



PRIME CONTRACTOR
PREQUALIFICATION
APPLICATION

Director of Purchasing Services
3401 Walnut Street
Suite 421 A
Philadelphia, Pennsylvania 19104-6228

Issue Date 01/01/99
Revision 7 – 01/07/05

INSTRUCTIONS ON COMPLETING THE PREQUALIFICATION APPLICATION

Firms who desire to participate in the University of Pennsylvania's contracts program are required to complete a Prequalification Application, supply the supporting documents which are required and return the completed original signed package to:

Ms. Colleen Reardon, Strategic Sourcing Manager
University of Pennsylvania
Department of Purchasing Services
3401 Walnut Street, Suite 421A
Philadelphia, PA 19104-6228
215-898-1382
reardon@pobox.upenn.edu

Once you have submitted the completed application with all accompanying documents, it will be reviewed for completeness. If additional information is required, you will be notified. If you do not respond to the University's request for additional information within thirty (30) days of notification, your application will be considered inactive which may require that you begin the process again. An application must be complete before any action can be taken by the University. Once an application is complete, it will be voted upon by the University's Prequalification Review Committee and a decision rendered on the prequalification status of the applicant. The Review Committee may approve the applicant, reject the applicant, or table the vote and ask for additional information from the applicant. If approved, you will be considered prequalified for two (2) years from the date you are notified. At the end of the two years, you will have to complete and submit a new application if you wish to continue in the University's contracting program.

The category and per project capacity rating that you will be assigned by the University is based upon a number of factors including licenses or certifications held by the applicant firm, single and aggregate bonding capacity, financial capability, self-performing capability, number of employees, and size and complexity of your largest successfully completed projects. If at any time during the two year prequalification period your firm successfully completes any project or projects at least equal in value to the size of the largest successfully completed project submitted with the application, the firm is invited to request an increase in its per project capacity rating. If you would like to request an increase in your capacity rating, a written request must be submitted to any of the individuals named in the application instructions. The request must be accompanied by a newly completed Page 9 (Experience on Completed or Ongoing Projects) which is included in this application.

Once you have become prequalified, you will be placed on the University's Solicitation List for work which you have been prequalified to perform. Prequalification is a condition of bid submission. Under no circumstances will bids be accepted from contractors not prequalified.

The application should be completed on behalf of the applicant firm by an officer who is knowledgeable about past and current operations, policies and practices of the firm. A response must be provided to each question. If a particular question does not apply, the response must state "not applicable" or "N/A". **Applications that contain missing or incomplete answers will not be processed.**

Answers may be expanded upon by attaching additional pages. Use 8 ½" x 11" paper and mark each additional page with the firm's name and identification of the particular question to which an answer is being given.

The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards are required for each job or for contract award by the University. Those standards and requirements are set forth in each Invitation for Bid. Prequalification in no way ensures the award of contract work and the University reserves the right to limit solicitation to select bidders.

For the purposes of the application, the terms "company", "firm", "bidder", "proposer", and "contractor" are used interchangeably and have the same meaning.

Remember to:

- ✓ Supply **explanations** when asked
- ✓ Complete the **Experience on Completed and Ongoing Projects** form
- ✓ Identify the **disciplines for which you seek prequalification**
- ✓ Include all **supporting documents**
- ✓ Sign and date the **Certification and Authorization** form

Questions about the application? Contact Ms. Colleen Reardon at the telephone number above or:

Michael Dausch, Executive Director, Design and Construction Management
University of Pennsylvania
Division of Facilities and Real Estate Services
3101 Walnut Street
Philadelphia, PA 19104-6289
215-898-2414
mdausch@upenn.edu

SUPPORTING DOCUMENTS and INFORMATION WHICH MUST ACCOMPANY YOUR APPLICATION

The following documents or information must be included with your application:

FINANCIAL

Include a copy of the firm's three (3) most recent annual (audited, if available) financial statements. At a minimum, the financial statements must include the balance sheet, statement of income and retained earnings and footnotes, if applicable.

If the applicant has been in business less than three years, the application must include all available statements.

INSURANCE

Applicant must provide proof that the firm is insured at least in limits equal to the University's minimum requirements. A copy of these requirements for construction activities is found in the application. Disciplines other than construction may have additional insurance requirements such as errors and omissions, professional liability and environmental or pollution liability coverage.

LICENSES

Copies of all applicable and current trade licenses issued to the applicant firm which legally allow the firm to perform the work it does.

At a minimum, the firm is required to obtain and submit a current City of Philadelphia Business Privilege License if it intends to work at the Philadelphia campus.

UNION AFFILIATION

All labor required to complete manpower requirements for University projects must be performed utilizing AFL-CIO trade union labor personnel. **If your firm is not currently signatory to local building trade agreements, a letter, signed by a principal of the firm, must be submitted with this application which states "(Name of applicant firm) agrees to employ AFL-CIO trade union personnel on all University of Pennsylvania projects performed by the firm. This also applies to all subcontractors employed by (name of applicant firm) for this work."**

PREVIOUS WORK HISTORY

The application contains a form titled "Experience on Completed or Ongoing Projects". Please use this form to detail the work that the firm has performed within the last two (2) years. A minimum of three (3) projects, preferably completed, should be provided. Use one page per project and reproduce copies of the form as necessary. Remember to identify yourself as a prime contractor, subcontractor or joint venture partner.

OSHA VIOLATIONS

If at any time within the past five (5) years the applicant firm received an OSHA serious violation, you must provide copy(s) of the *Citation and Notification of Penalty*, signed *Settlement Agreement* and narrative which details the specific issue(s) cited, remedial action required and taken by your firm, amount of fine initially imposed and ultimate resolution.

RESUMES AND ORGANIZATIONAL CHART

The applicant must include current resumes for each Principal and Key individual identified in Question 8a. The application must also include a copy of the firm's current Organizational Chart.

DUNS (Data Universal Numbering System) NUMBER

The DUNS Number is a distinctive nine-digit identification number assigned to the firm by Dun & Bradstreet Information Services. If the applicant does not have a DUNS number, it should contact Dun & Bradstreet directly to obtain one. A DUNS number will be provided to the firm within seven to ten business days. For information on obtaining a DUNS number, the firm, if located in the United States, should call Dun & Bradstreet at 1-800-333-0505.

SUPPLIER QUESTIONNAIRE and W-9 FORM

Any new applicant must complete and return with this application a completed "University of Pennsylvania Vendor Questionnaire" and "Request for Taxpayer Identification Number and Certification, Form W-9". These forms are either attached to this application or available at http://www.purchasing.upenn.edu/for_suppliers/forms.php. Only after an applicant has become prequalified will the information provided on the Questionnaire and W-9 forms be entered into the University's automated procurement and disbursement system.

**UNIVERSITY OF PENNSYLVANIA
DEPARTMENT OF ACQUISITION SERVICES**

PREQUALIFICATION APPLICATION

PLEASE PRINT OR TYPE ALL INFORMATION

1. NAME OF APPLICANT FIRM _____

Tax ID No. _____ or SS No. _____

DUNS No. (See Instructions) _____

D/B/A Name (if any) _____

Applicant's Address _____

City _____ State _____ Zip _____

Mailing Address (if different) _____

City _____ State _____ Zip _____

Telephone No. (____) _____ FAX No. (____) _____

Corporate E-mail Address _____

Contact Person _____ Title _____

2. BUSINESS ORGANIZATION OF APPLICANT

Date the applicant firm was formed _____

Type of Organization

Corporation
State in which incorporated _____ Year _____

Partnership
 General Limited
State and County where partnership filed _____

Sole Proprietorship
Owner _____

Not-for-Profit

Joint Venture

3. MINORITY BUSINESS STATUS

a. Is the applicant firm certified as a Minority Business Enterprise (MBE) or Women Business Enterprise (WBE)?

- Yes No

(If "Yes", attach Certification Letter)

b. Within the past five (5) years has the applicant firm had an MBE or WBE certification revoked or denied?

- Yes No

4. APPLICANT'S INSURANCE INFORMATION – The University of Pennsylvania requires that evidence of insurance coverage be in effect during the term of any contract awarded by the University to the contractor. **BINDERS ARE NOT ACCEPTABLE.** Minimum Coverages Required by the University of Pennsylvania are:

Workers' Compensation – In accordance with Commonwealth of Pennsylvania statutory limits. Employer's Liability coverage shall not be less than \$100,000.

Commercial General Liability – Minimum combined limit of \$2,000,000 for both bodily injury and property damage liability coverage, per occurrence and in the aggregate for each annual policy period. Coverage shall be extended to include blanket contractual liability coverage, owners and contractors protective liability, products and completed operations coverage, personal injury liability hazards and incidental medical malpractice coverage.

Comprehensive Automobile Liability – coverage for all owned, non-owned or hired motor vehicles with limits of \$1,000,000 per accident for the bodily injury coverage and \$1,000,000 per accident for the property damage.

Excess Liability Protection - \$3,000,000 per occurrence, combined single limit and \$3,000,000 in the aggregate for each annual policy period.

Name of Primary Insurance Agent or Broker _____

Address _____

Telephone No. () _____ FAX No. () _____

Type of Coverages

	Commercial Gen. Liability	Auto Liability	Worker's Comp	Other
Policy No.				
Name of Carrier				
Amount – Single				
Amount – Aggregate				
Expiration Date				

5. APPLICANT'S BONDING INFORMATION

Name of Bonding Agent _____

Address _____

Telephone No. () _____ FAX No. () _____

Name of Bonding Company	Bonding Capacity (Single)	Bonding Capacity (Aggregate)

6. APPLICANT'S LICENSES AND CERTIFICATES – Provide information on licenses and certificates necessary for the type of work applicant firm will perform. Attach copies, including City of Philadelphia Business Privilege License and Certificate of Authority to do Business in the Commonwealth of Pennsylvania (if applicable)

Type of License or Certificate	Firm or Individual's Name	License No.	Expiration Date

7. CURRENT NUMBER OF EMPLOYEES

	Full Time	Part Time
Office		
Field		

8. PRINCIPALS AND KEY PERSONNEL IN FIRM - On the chart below, complete the required information. "Principals" and "Key Personnel" include any of the following:

- Proprietors, partners, directors, officers
- Any manager or individual who participates in overall policy-making or financial decisions for the firm
- Any person in a position to control and direct the firm's overall operations or any significant part of it's operation

Applicant firms that are publicly held corporations should list the president, treasurer, AND only those officers and managers who will have direct responsibility for PENN contracts.

Resumes for Principals and Key Personnel and firm's current Organizational Chart must be provided with this application.

a. Principals and Key Personnel (use additional paper if necessary)

	Person 1	Person 2	Person 3
Name			
Title			
% of Ownership			
No. of shares owned			

b. At present, do any of the Principals or Key Personnel listed in Question No. 8a own 25% or more of any other firm?

Yes No

If "Yes", list below

Person	Firm Name	Address	Tax ID No.	% Owned

c. Is any Principal or Key Person listed in Question No. 8a a current employee or related by blood or marriage to any current employee of the University of Pennsylvania?

Yes No

If "Yes", list below

Name of Principal or Key Person	Name of PENN Relative	Relationship

- d. Are any of the Principals or Key People listed in Question No. 8a related by blood or marriage to any owner or other key person in a firm that currently does work for the University of Pennsylvania?

Yes No

If "Yes", list below

Name of Principal or Key Person	Name of Relative in Other Firm	Name of Other Firm

9. UNION AFFILIATIONS OF APPLICANT FIRM – All labor required to complete manpower requirements for University projects **must** be performed utilizing AFL-CIO trade union labor personnel.

- a. Does the applicant firm have a current union contract for its field personnel?

Yes No

(If "No", please see Page iii, Union Affiliation.)

If "Yes", list below

Trade	Local	Contract Expiration Date

- b. Does the applicant firm pay prevailing union scale wages and benefits?

Yes No

- c. In the last five (5) years, has the applicant firm participated in a state-approved apprenticeship program?

Yes No

10. APPLICANT FIRM'S FINANCIAL INFORMATION

- a. Identify name of credit services (i.e. Dun & Bradstreet) and Account No.

Name of Credit Service	Account No.

- b. For each line of credit, unsecured loan or secured loan provided by a lending institution, list the following:

Amount of Credit	Outstanding Balance	Termination Date	Name/Address of Lending Institution

- c. Are there any liens outstanding against the applicant firm?
 Yes No

If "Yes", provide a detailed explanation with this application.

- d. Has the applicant firm or any of its current Principals or Key Personnel been party to a bankruptcy or reorganization proceeding within the last five (5) years?
 Yes No

If "Yes", provide a detailed explanation with this application.

- f. Annual sales dollar volume of firm _____

12. INTEGRITY OF APPLICANT FIRM – If applicant has answered "Yes" to any question below, a separate explanation must be supplied with this application.

During the past five (5) years, has the applicant firm ever:

- a. Been the subject of a lien or claim of \$25,000 or more by a subcontractor or supplier?
 Yes No
- b. Failed to complete a contract?
 Yes No
- c. Been suspended, debarred, disqualified or otherwise been declared ineligible to bid?
 Yes No
- d. Been defaulted on any contract?
 Yes No
- e. Had a contract terminated?
 Yes No
- f. Had liquidated damages assessed against it upon completion of a contract?
 Yes No

During the past five (5) years, has the applicant firm or any of its Principals or Key Personnel:

- a. Been a plaintiff or defendant in any lawsuits arising out of public or private construction contracts?
 Yes No
- b. Been the subject of an investigation involving any alleged violation of criminal law, civil antitrust law or other federal, state or local civil law?
 Yes No
- c. Been convicted after trial or by plea of any felony under state or federal law?
 Yes No
- d. Entered a plea of nolo contendere to a charge of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property or violation of an antitrust law?
 Yes No
- e. Been the subject of an investigation of any alleged violation of a federal, state, or local regulation by any public agency including, but not limited to, federal regulatory agencies such as EPA or SEC?
 Yes No
- f. Been found to have committed a violation of any labor law or regulation including prevailing wage rates and fair labor practices/
 Yes No
- g. Been found to have committed an OSHA "serious violation"?
 Yes No
- h. Been found to have committed a construction-related violation of federal, state, or local environmental law or regulation?
 Yes No

13. BIDDING CAPABILITY AND PREVIOUS EXPERIENCE – Indicate below the categories in which the applicant firm has previous experience. **Previous experience in a particular trade or activity by the firm is a prerequisite to prequalification in that category.** The applicant must provide a separate narration for each category selected indicating the applicant firm’s experience and involvement with that work.

A. Specialty (check all appropriate)

- | | |
|---|--|
| <input type="checkbox"/> 1. Research, Laboratories, Medical | <input type="checkbox"/> 8. Paving |
| <input type="checkbox"/> 2. Commercial, Retail | <input type="checkbox"/> 9. Construction Management |
| <input type="checkbox"/> 3. Residential | <input type="checkbox"/> 10. Utilities |
| <input type="checkbox"/> 4. Office | <input type="checkbox"/> 11. Exterior Restoration (non-historic) |
| <input type="checkbox"/> 5. Classroom | <input type="checkbox"/> 12. Demolition |
| <input type="checkbox"/> 6. Historic Preservation | <input type="checkbox"/> 13. Asbestos Abatement |
| <input type="checkbox"/> 7. Landscape | <input type="checkbox"/> 14. Materials Testing |

B. CSI Division Specialty (check all appropriate). Applicant firm must have self-performing capability for each specialty selected.

- 1. Sitework
- 2. Concrete
- 3. Masonry
- 4. Metals
- 5. Carpentry
- 6. Thermal and Moisture Protection
- 7. Doors and Windows
- 8. Finishes
- 9. Specialties
- 10. Equipment
- 11. Furnishings
- 12. Special Construction
- 13. Conveying Systems
- 14. Mechanical
- 15. Electrical
- 16. Plumbing
- 17. HVAC
- 18. Sprinkler
- 19. ATC
- 20. Balancing
- 21. Fire Alarms
- 22. Security

C. Contract Capability (determined by size of previous work and bonding capacity)

- 1. \$0 - \$10,000
- 2. \$0 - \$50,000
- 3. \$0 - \$100,000
- 4. \$0 - \$250,000
- 5. \$0 - \$500,000
- 6. \$0 - \$1,000,000
- 7. \$0 - \$5,000,000
- 8. \$0 - \$10,000,000
- 9. \$0 - >\$10,000,000

If offered, are you willing to participate in projects less than \$100,000?

- Yes No

14. EXPERIENCE ON COMPLETED OR ONGOING PROJECTS – A separate sheet must be completed for each project. Use additional paper if necessary.

Project Completed Work in Progress

Prime Contractor Subcontractor Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? Yes No

Were you required to possess a Performance and/or Payment Bond? Yes No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (____) _____ Fax No. (____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

CERTIFICATION AND AUTHORIZATION

I _____ , being duly sworn, state that I am
(print full name)

_____ of _____
(print title) (print firm name)

and that I have read and understand the questions and responses contained in the attached application and its appendices.

I certify that to the best of my knowledge the information given in response to each question and the appendices is full, complete and accurate.

I acknowledge that the University of Pennsylvania may, by means it deems appropriate, determine the accuracy and truth of the statements made in this application.

I recognize that all the information submitted is for the express purpose of allowing the University of Pennsylvania to determine responsibility. The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards are required for each job or project award by the University of Pennsylvania. Those standards and requirements are set forth in each invitation for bid. Prequalification in no way insures the award of contract work.

I authorize the University of Pennsylvania to contact any entity named in the application for purposes of verifying the information supplied by the applicant. A copy of this authorization shall have the same force and effect as the original.

A MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF THE APPLICATION OR REVOCATION OF PRIOR APPROVAL THEREBY PRECLUDING THE APPLICANT FROM PERFORMING WORK FOR THE UNIVERSITY OF PENNSYLVANIA FOR A PERIOD OF UP TO THREE (3) YEARS. IN ADDITION, IF FRAUDULENT INFORMATION CONTAINED IN THE APPLICATION IS USED BY THE UNIVERSITY OF PENNSYLVANIA TO MAKE A DETERMINATION OF THE APPLICANT'S "RESPONSIBILITY", THE APPLICANT MAY BE HELD LIABLE FOR ANY COSTS RESULTING FROM THE TERMINATION OF ANY CONTRACT AWARDED TO THE APPLICANT.

Print name Date

Print Title

Signature