



**PHILADELPHIA REDEVELOPMENT
AUTHORITY**

**PRE-QUALIFICATION APPLICATION FOR HOUSING CONSTRUCTION
CONTRACTORS AND MANAGERS**

1234 Market Street, 16th Floor
Philadelphia, PA 19107
REVISED August 4, 2016

PRE-QUALIFICATION APPLICATION INSTRUCTIONS

Overview

The Philadelphia Redevelopment Authority (PRA) maintains a list of pre-qualified general contractors and construction management firms interested in performing work for residential projects funded by the PRA through the City of Philadelphia's Office of Housing and Community Development. Firms who wish to pre-qualify for PRA-financed construction projects are required to complete a Pre-qualification Application.

Projects may range from the rehabilitation of existing row houses, to new construction of twin townhouses, new or rehabilitated handicapped accessible residential construction, and conversions of schools or commercial buildings into residential units. Developers, under certain circumstances, will be required to notify pre-qualified contractors and/or construction managers to competitively bid on projects. Developers will award contracts on a competitive bid basis.

Application Process

The PRA will review complete applications only and contact the applicant if additional information is needed. Failure to respond to the PRA's request for additional information within thirty (30) days of notification or if the additional information is inadequate, the application will be considered inactive and not be processed.

The terms "company", "firm", "bidder", and "contractor" are used interchangeably in the application. An officer of the firm who is knowledgeable about past and current operations, policies, and practices must complete the application. If a particular question does not apply, please mark as "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 1/2"x11" paper and mark each additional page with the firm name and referenced question.

Pre-Qualification

The PRA pre-qualification status will extend two (2) years from the date of notification. Once pre-qualified, the PRA will place firms on the Cost Containment Policy Bid List. Pre-qualification is a condition of bid submission. Firms must renew status every two years by submitting a new application. The category and per project capacity rating assigned by the PRA is based upon:

- (1) licenses or certifications held by the applicant firm;
- (2) single and aggregate bonding capacity;
- (3) financial capability;
- (4) self-performing capability;
- (5) Number of employees;
- (6) Size and complexity of your largest successfully completed projects;
- (7) Past performance on PRA projects, which includes MBE/WBE and Wage Compliance
- (8) Past performance on non-PRA projects- commercial, institutional or residential.

If firms would like to request an increase in capacity rating, a written request must be submitted. The request must be accompanied by a newly completed Experience on Completed or Ongoing Projects and PRA Performance Report, which is included on Page 13 of this application.

Bid Process

Pre-qualification in no way ensures the award of contract work and the PRA reserves the right to limit solicitation to select bidders. The PRA will monitor the bid process. The sponsoring developer will forward to the PRA the list of firms solicited, the list of the bids received and the bid award recommendation.

The information provided within this application is for PRA pre-qualification purposes only. Additional or different standards are required for each project approved by the PRA. Those standards and requirements are set forth in the Invitation for Bid.

Application Submission

Please submit one electronic copy and three hard copy applications to:

Michael Closeme
Philadelphia Redevelopment Authority
Housing Development Division
1234 Market St., 16th Floor
Philadelphia, PA 19107
Michael.Closeme@pra.phila.gov

Please direct questions about the application to Michael Closeme via email only at
Michael.Closeme@pra.phila.gov

APPLICATION ATTACHMENTS:

➤ **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 of insurance equal to the minimum requirements. Insurance requirements are located in Section 4. Disciplines other than construction may have additional insurance requirements such as errors and omissions, professional liability and environmental or pollution liability coverage. Please refer to Exhibit "A".

➤ **BOND CAPACITY**

Please provide a letter from your Surety Company verifying the information stated in Section 5 of the application.

➤ **LICENSES**

Copies of all applicable and current trade licenses issued to the applicant firm that legally allow the firm to perform the work it does. This includes City of Philadelphia or State Contractor License. The firm is required to obtain and submit a current City of Philadelphia Business Privilege License.

➤ **PRA PERFORMANCE HISTORY**

The application requires firms to self-disclose performance on past PRA-financed projects. The firm must list all work performed within the last three years with PRA. This includes budget and schedule performance, MBE/WBE and wage compliance. Use the attached form to complete the required information.

➤ **PREVIOUS WORK HISTORY-NON PRA PROJECTS**

The application contains a form titled "Experience on Completed or Ongoing Projects". Please use this form to detail the non-PRA work that the firm has performed within the last three years. Firms must list a minimum of five (5) projects. Use one page per project and reproduce copies of the form as necessary.

➤ **OSHA VIOLATIONS**

If at any time within the past five (5) years the applicant firm received a serious OSHA 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 for 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.

➤ **APPLICATION CERTIFICATION AND AUTHORIZATION FORM**

Please be sure to complete the certification and authorization form. Applications will not be processed without it.

PRA PRE-QUALIFICATION APPLICATION FOR HOUSING CONSTRUCTION CONTRACTORS AND MANAGERS

PLEASE TYPE ALL INFORMATION

1. **NAME OF FIRM:** _____

Tax ID 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**

Date applicant firm 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), Women Business Enterprise (WBE) or Disabled Business Enterprise (DBE)?
Yes No

(If "Yes", attach Certification Letter)

- b. Within the past five (5) years has the applicant firm had an MBE, WBE or DBE Certification revoked or denied?
Yes No

4. **INSURANCE INFORMATION**

The PRA requires evidence of insurance coverage be in effect during the term of any contract approved by the PRA. Please see attached Exhibit "A" for the PRA's insurance requirements.

5. **BONDING INFORMATION**

Name of Bonding Agent _____

Address _____

Telephone No.: _____

Fax No.: _____

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

-
6. **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 conduct 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**

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 its 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 PRA approved contracts.

Please attach organizational chart and resumes for Principals and Key Personnel.

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 Personnel listed in Question No. 8a a current employee or related by blood or marriage to any current employee of the PRA.

Yes No If "Yes", list below

Name of Principal or Key Person	Name of PRA 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 PRA?

Yes No If "Yes", list below

Name of Principal or Key Person	Name of PRA Relative	Relationship

9. **UNION AFFILIATIONS:** Labor required to complete manpower requirements for PRA projects may 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. **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 judgments or 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 a party to a bankruptcy or reorganization proceeding within the last five (5) years?

Yes No

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

e. Annual sales dollar volume of firm _____

11. **FIRM INTEGRITY:** 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 ever:

- a. Been the subject of judgment 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 convicted after trial or by plea of any felony under state or federal law?
Yes No
- b. 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 antitrust laws?
Yes No
- e. Been the subject of an investigation of any alleged violation of a federal, state, or local regulation by a 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 regulations?
Yes No

12. **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.

- Division 00 - Procurement and Contracting Requirements
- Division 01 - General Requirements
- Division 02 - Existing Conditions
- Division 03 - Concrete
- Division 04 - Masonry
- Division 05 - Metals
- Division 06 - Wood, Plastics, Composites
- Division 07 - Thermal and Moisture Protection
- Division 08 - Openings
- Division 09 - Finishes
- Division 10 - Specialties
- Division 11 - Equipment
- Division 12 - Furnishings
- Division 13 - Special Construction
- Division 14 - Conveying Equipment
- Division 21 - Fire Suppression
- Division 22 - Plumbing
- Division 23 - Heating, Ventilating, and Air Conditioning (HVAC)
- Division 25 - Integrated Automation
- Division 26 - Electrical
- Division 27 - Communications
- Division 28 - Electronic Safety and Security
- Division 31 - Earthwork
- Division 32 - Exterior Improvements
- Division 33 - Utilities

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

- \$0-\$100,000
- up to \$500,000
- up to \$1,000,000
- up to \$5,000,000
- up to \$10,000,000
- up to \$15,000,000
- up to \$20,000,000
- up to \$25,000,000 and above

If offered, are you willing to participate in projects less than \$250,000?
Yes No

13. PRA PERFORMANCE HISTORY: Using the format below, list a maximum of five PRA financed projects that the firm has completed in the last three years that were financed by the Philadelphia Redevelopment Authority using City funds (such as CDBG, HOME, NSP, HTF, etc). Each project must have its own form on a separate page.

Facility/Project Name _____ Address of Project _____ Owner _____

Project Completed Work in Progress

Prime Contractor Subcontractor Joint Venture Partner

Is project LEED Certified? Yes No
 If yes, LEED Level: Silver Gold Platinum

Contract Amount (Applicant's share) _____

Was this project bonded? Yes No

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

Start Date _____
 Scheduled Completion Date _____
 Actual Completion Date _____
 Construction Manager _____
 Architect _____

14. NON-PRA PROJECT EXPERIENCE: Using the format below, list a maximum of five non-PRA financed projects that you have completed in the last three years. Each project must have its own form on a separate page. Include commercial projects.

Facility/Project Name _____ Address of Project _____ Owner _____

Project Completed Work in Progress

Prime Contractor Subcontractor Joint Venture Partner

Is project LEED Certified? Yes No
 If yes, LEED Level: Silver Gold Platinum

Contract Amount (Applicant's share) _____

Was this project bonded? Yes No

Were you required to obtain 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:

15. SUSTAINABILITY/GREEN BUILDING CERTIFICATIONS

Is firm an Energy Star Certified Partner?

Yes

No

List all sustainable building groups in which firm holds active membership. Include initial year of membership.

Organization/Affiliation	Member Since

Please list members of staff certified as “Sustainable Building Specialist”, such as LEEP AP, BPI, Passive House, etc. Include name, certifying body and certification date.

Staff Name	Type of Certification	Certifying Body	Cert. Date

**PRA PRE-QUALIFICATION APPLICATION
CERTIFICATION AND AUTHORIZATION**

I _____, being duly sworn, state that I am
(print full name)
_____ of _____
(print title) *(print firm name)*

Moreover, 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 Philadelphia Redevelopment Authority may, by means it deems appropriate, determined the accuracy and truth of the statements made in the application.

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

I authorize the PRA 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. IN ADDITION, IF FRAUDULENT INFORMATION CONTAINED IN THE APPLICATION IS USED BY THE PRA 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 _____

GUIDELINES FOR JOINT VENTURE

Joint Venture partnership(s) with a certified MBE/WBE/DBE must meet the following criteria in order to meet participation goals:

1. The MBE/WBE/DBE partner(s) must be certified by the City of Philadelphia authorized by law to certify such enterprises, prior to proposal submission.
2. The MBE/WBE/DBE partner(s) must be substantially involved in significant phases of the contract including, but not limited to, the performance, with its own work force, of a portion of the onsite work, and of administrative responsibilities such as bidding, planning, staffing and daily management.
3. The business arrangements must be customary (i.e. each partner shares in the risk and profits of the joint venture commensurate with their respective ownership interests).

If you intend to receive credit towards the minimum participation goals by entering into a joint venture partnership with a certified MBE/WBE/DBE, you must complete this questionnaire and submit it with your bid/proposal. Please attach a copy of the Joint Venture Agreement.

1. Name of Joint Venture: _____
2. Address of Joint Venture: _____
3. Contact Person for Joint Venture
Name: _____
Title: _____
Telephone: _____ Email Address: _____

Please identify all of the firms which comprise the Joint Venture partnership. Identify whether the firm is a certified MBE/WBE/DBE. Include the following information FOR EACH FIRM in the partnership, regardless of ownership:

- a. Name of Firm
- b. Address of Firm
- c. Telephone Number of Firm
- d. Email Address of Firm
- e. IRS ID No.
- f. Type of Certification, if applicable – MBE, WBE, DBE
- g. Certifying Agency and Certification Number
- h. Percentage of Ownership in Joint Venture

Describe, in detail, the business purpose of the Joint Venture partnership and role of each firm in the Joint Venture. Include information regarding daily management, bidding, planning, and on site work and staffing to be provided. Attach supplemental pages if necessary.
