

<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 2.14.2013
<b>SUBJECT:</b> <b>CONDITIONAL PREQUALIFICATION</b>	

**CONDITIONAL PREQUALIFICATION DESCRIPTION**

Conditional prequalification is the conditional assignment of a work classification code(s) by PennDOT to a contractor, including newly organized contractors, based on the prior experience of the personnel of their organization. Conditional prequalification approval is not project-specific. Successful completion of conditional prequalification may be applied towards the regular assignment of the work classification code.

**CONDITIONAL PREQUALIFICATION FOR NEWLY ORGANIZED CONTRACTORS**

Conditional prequalification for newly organized contractors operates in a manner similar to regular prequalification except that the ability factor that is assigned by the Prequalification Office will be less than an ability factor that is assigned to an existing contractor. After a newly organized contractor successfully completes a project, its ability factor will increase. After a newly organized contractor has successfully completed a sufficient number of projects to transition to regular prequalification, its ability factor will increase to the ability factor that is assigned to an existing contractor.

**CONDITIONAL PREQUALIFICATION REQUESTING AUTHORITY**

PennDOT prequalified contractors in a qualified status as well as new PennDOT prequalification applicants are eligible to request conditional prequalification. PennDOT prequalified contractors in an expired status are not eligible to request conditional prequalification until a prequalification renewal application is submitted to the Prequalification Office and approved, which re-establishes a qualified status.

**CONDITIONAL PREQUALIFICATION APPROVING AUTHORITY**

Conditional prequalification requests are only evaluated by the Prequalification Office in PennDOT's Contract Management Section. Approval is granted in writing by the Chief, Contract Management Section. Verbal or written direction by any other individual is invalid.

**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-Conditional Prequalification Guidelines-1.0.1.docx

<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 2.14.2013
<b>SUBJECT:</b> <b>CONDITIONAL PREQUALIFICATION</b>	

**CONDITIONAL PREQUALIFICATION REQUEST REQUIREMENTS**

1. Written, notarized request on the contractor's letterhead.
2. Number of full-time employees.
3. Number of full-time field superintendent/working foreman employees.
4. Name(s) of proposed, key personnel, including full-time field superintendent/working foreman employees.
5. Social security number(s) of proposed, key personnel, including full-time field superintendent/working foreman employees.
6. Proposed, conditional work classification(s) associated with proposed, key personnel, including full-time field superintendent/working foreman employees.
7. Declaration that the proposed, full-time field superintendent/working foreman will direct all daily on-site construction activities associated with the proposed conditional work classification.
8. Declaration that key personnel will be replaced with equal or greater experience upon separation from the contractor.
9. Experience of proposed, key personnel, including full-time field superintendent/working foreman employees (see detailed format below).
10. Signed by an individual that is authorized to enter into commitments on behalf of the contractor.
11. Send to the Prequalification Office by mail to the Bureau of Project Delivery; 400 North Street-7<sup>th</sup> Floor; Harrisburg, PA 17120.

**KEY PERSONNEL EXPERIENCE FORMAT**

Attach resumes to the conditional prequalification request of all key personnel, including full-time field superintendent/working foreman, in the following format:

JOE CONTRACTOR  
100 Gravel Road  
Harrisburg, PA 17120

**Current Job Title:** Project Superintendent

**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-Conditional Prequalification Guidelines-1.0.1.docx

<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 2.14.2013
<b>SUBJECT:</b> <b>CONDITIONAL PREQUALIFICATION</b>	

**Construction Operations**

**Education/Training:** Penn State University  
B.S. in Civil Engineering  
Graduated 1990

Certified Concrete Testing Technician  
1991 – present

**Employment History:**

1991-1993	ABC Contractors Labor, Backhoe Operator
1993-1995	XYZ Contractors Foreman
1995-2012	MNO Contractors Project Superintendent
2012-present	QRS Contractors Project Superintendent

**Work Experience:** Date: June 2010  
Project No.: PennDOT ECMS 01234\*

**Project Description:** Include a brief narrative of the completed work actually performed by your firm as it relates to the conditional work classification you are requesting. Do not include projects that are not associated with the conditional work classification.

**Duties Performed:** Include a comprehensive description of your role and responsibility on the project.

\*For a non-PennDOT project, list the name and mailing address of the project owner as well as the name and mailing address of the prime contractor if worked as a subcontractor.

**CONDITIONAL PREQUALIFICATION RENEWAL REQUIREMENTS**

1. Written, notarized request on the contractor’s letterhead.
2. Number of full-time employees.
3. Number of full-time field superintendent/working foreman employees.

**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-Conditional Prequalification Guidelines-1.0.1.docx

<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 2.14.2013
<b>SUBJECT:</b> <b>CONDITIONAL PREQUALIFICATION</b>	

4. ECMS project number(s) of prime contracts and/or subcontracts associated with the approved conditional work classification(s).
5. Name(s) of conditionally-approved, key personnel.
6. Declaration that conditionally-approved, key personnel are full-time employees.
7. Declaration that each conditionally-approved, full-time field superintendent/working foreman is directing and/or will direct all daily on-site construction activities associated with the approved conditional work classification.
8. Declaration that conditionally-approved key personnel will be replaced with equal or greater experience upon separation from the contractor.
9. Signed by an individual that is authorized to enter into commitments on behalf of the contractor.
10. Send quarterly to the Prequalification Office by mail to the Bureau of Project Delivery; 400 North Street-7<sup>th</sup> Floor; Harrisburg, PA 17120 by January 15, by April 15, by July 15, and by October 15 of each year until conditional prequalification has been approved as regular prequalification.

**CONDITIONAL PREQUALIFICATION GUIDELINES**

1. Generally, conditional prequalification approval is based on the prior experience of a field superintendent/working foreman directing the daily, on-site construction activities associated with a work classification. To clarify for the purposes of conditional prequalification, PennDOT defines field superintendent/working foreman experience as the daily, on-site direction of a labor force, equipment, and material as well as interpreting plans and specifications, scheduling, and assuming responsibility of a project.
2. Generally, only one conditional prequalification work classification will be assigned per full-time field superintendent/working foreman at a time. Related conditional prequalification work classifications may be assigned at the discretion of the Prequalification Office.
3. The contractor may apply the conditional work classification to **no more** than three projects at a time provided that the field superintendent/working foreman is capable of directing the daily, on-site construction activities associated with the conditional work classification and that they have adequate staff and resources.
4. Any changes to the approved conditional prequalification request must be submitted to the Prequalification Office for approval.

**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-Conditional Prequalification Guidelines-1.0.1.docx

<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 2.14.2013
<b>SUBJECT:</b> <b>CONDITIONAL PREQUALIFICATION</b>	

**CONDITIONAL PREQUALIFICATION PAST PERFORMANCE REPORT**

Upon completion of the conditional prequalification work, the District will file a Past Performance Report with the Prequalification Officer together with a recommendation to either 1) revoke conditional approval, unattainable; 2) continue conditional approval, needs further training; or 3) make permanent, can perform without further training.

**CONDITIONAL PREQUALIFICATION TO REGULAR PREQUALIFICATION**

Complete an Additional Codes Request application, available for download from ECMS, that includes all completed work within the last five years that is associated with the conditionally-assigned work classification code, and submit to the Prequalification Office.

**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-Conditional Prequalification Guidelines-1.0.1.docx

**VERSION:**  
1.0.0

**VERSION REPLACED:**  
0.1.0

**LAST REVISED:**

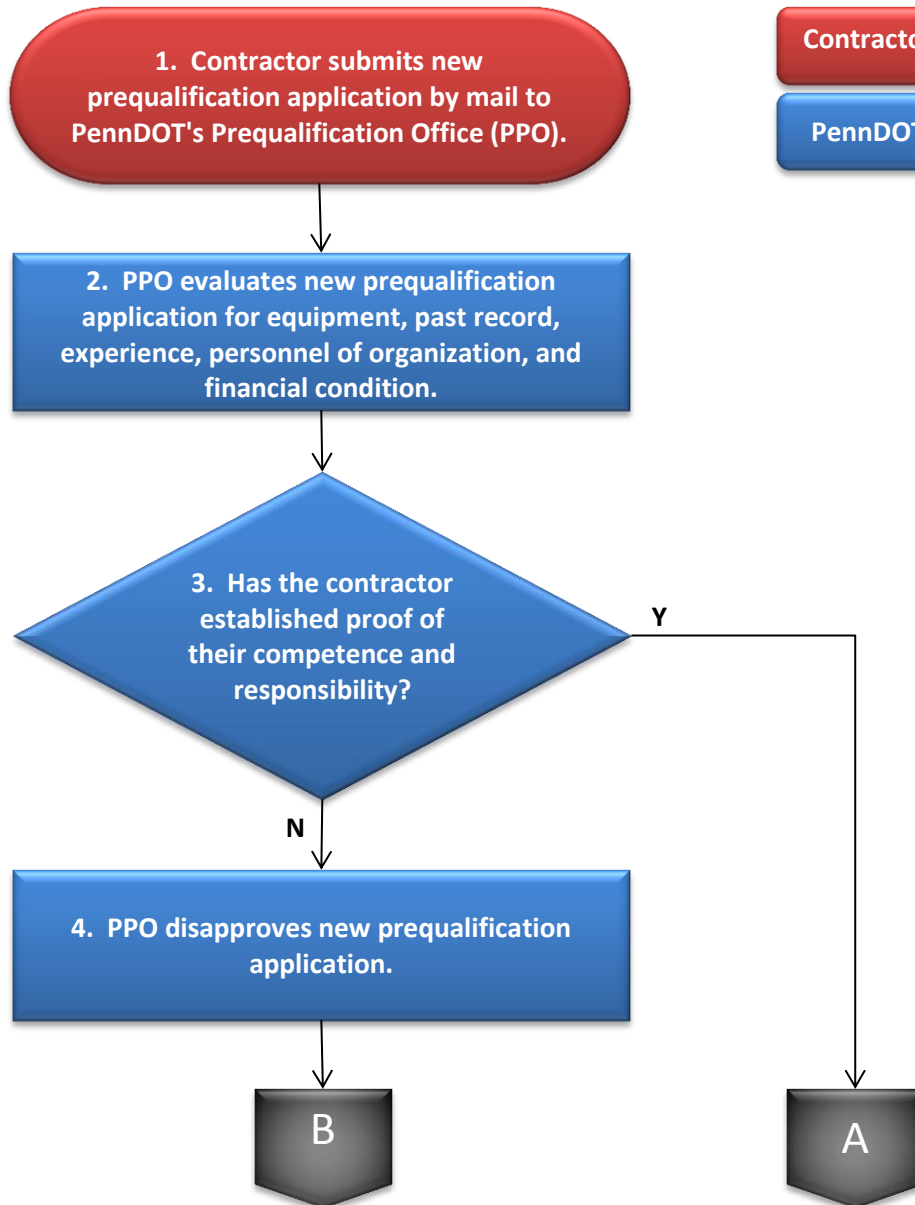
**ISSUED:**  
4.19.2013

**SUBJECT:**  
**NEW CONTRACTOR PREQUALIFICATION APPLICATION PROCESS**

**KEY**

Contractor Responsibility

PennDOT Responsibility



**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-New Contractor Prequalification Application Process-1.0.0.docx

**VERSION:**  
1.0.0

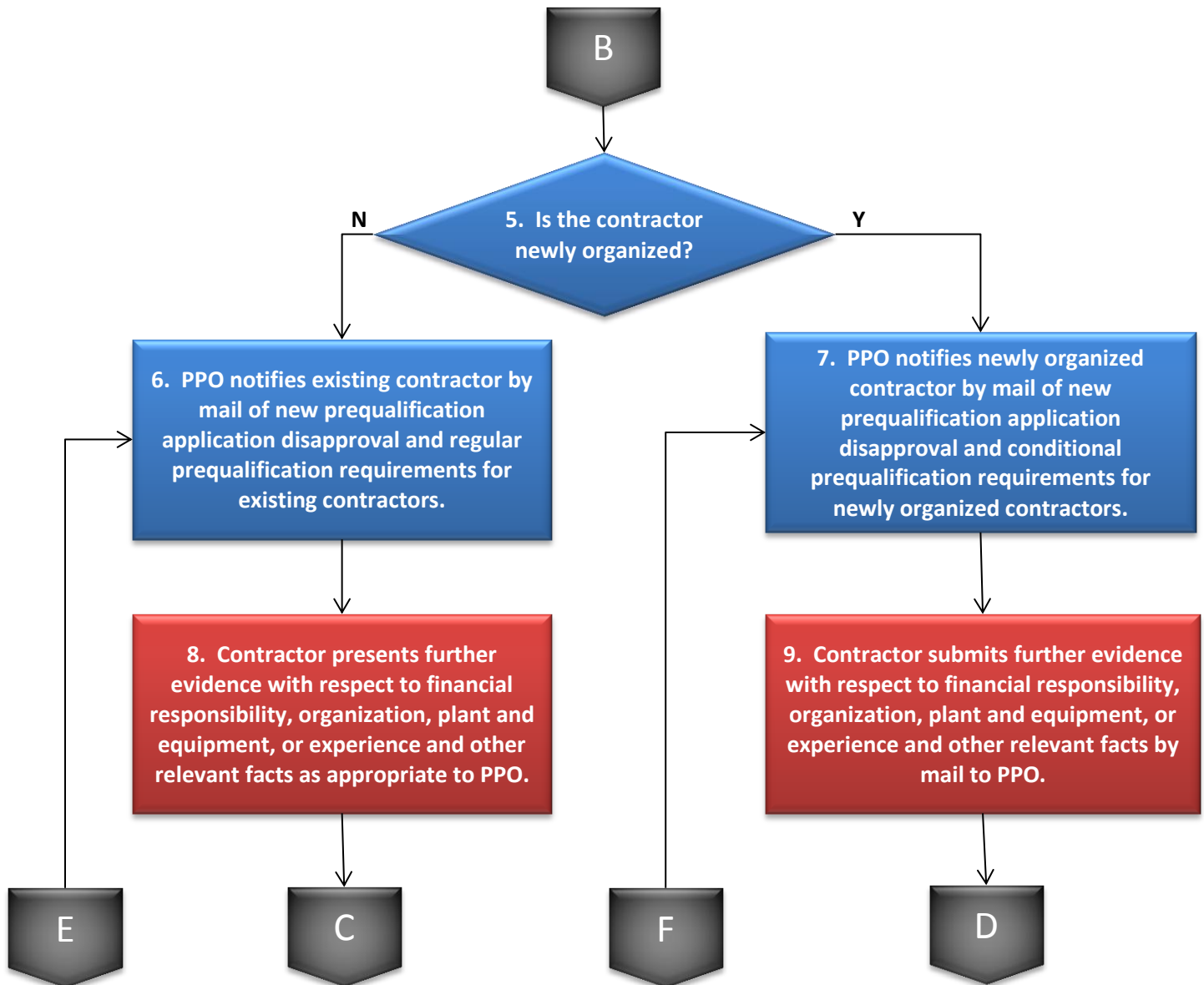
**VERSION REPLACED:**  
0.1.0

**LAST REVISED:**

**ISSUED:**  
4.19.2013

**SUBJECT:**

**NEW CONTRACTOR PREQUALIFICATION APPLICATION PROCESS**



**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-New Contractor Prequalification Application Process-1.0.0.docx

**VERSION:**  
1.0.0

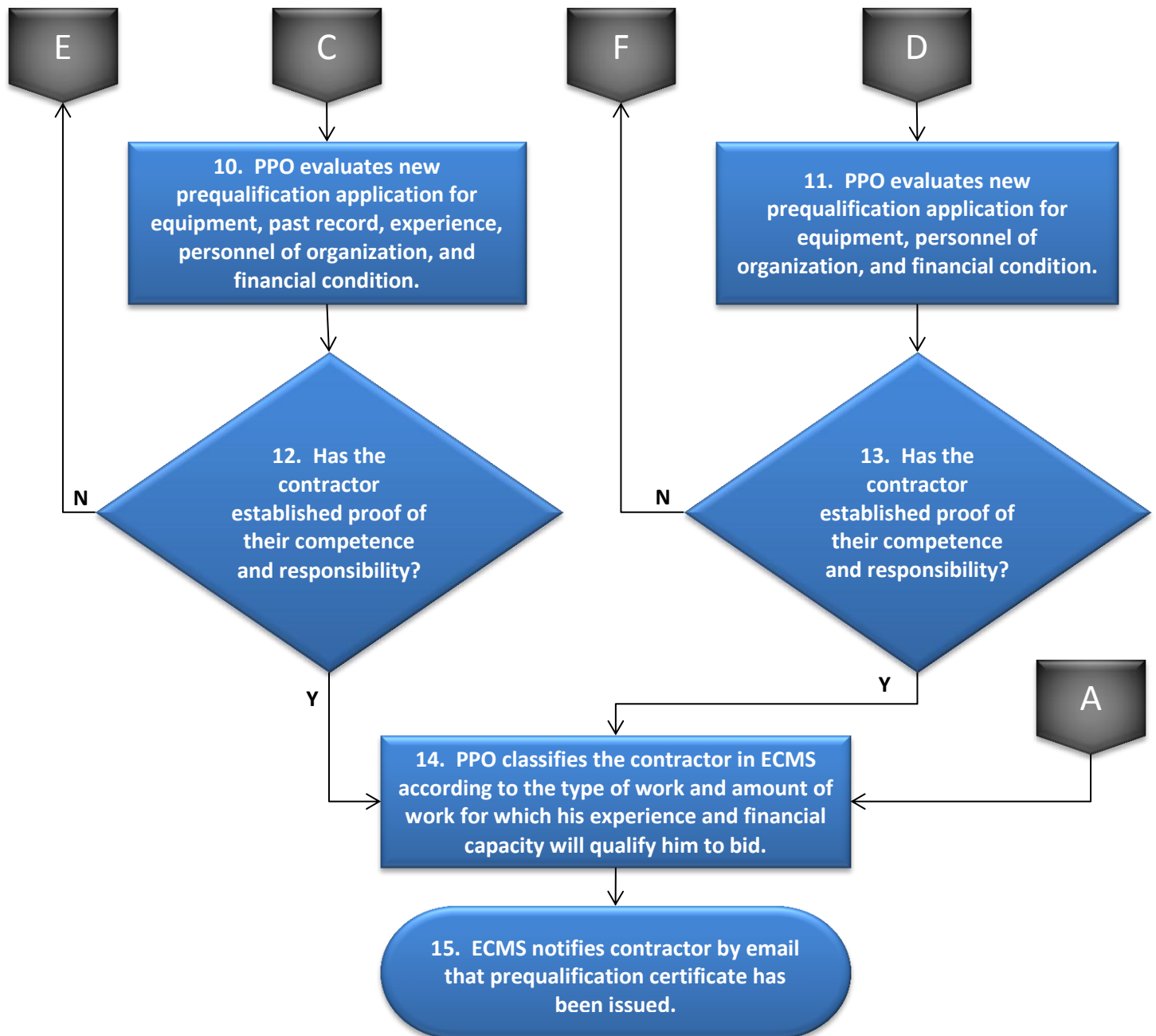
**VERSION REPLACED:**  
0.1.0

**LAST REVISED:**

**ISSUED:**  
4.19.2013

**SUBJECT:**

**NEW CONTRACTOR PREQUALIFICATION APPLICATION PROCESS**



**FILENAME AND PATH:**

S:\Bureau of Construction & Materials\CMD\Preq\Program Documents\20130419-4825-New Contractor Prequalification Application Process-1.0.0.docx