

 <b>pennsylvania</b> DEPARTMENT OF TRANSPORTATION	<b>BUREAU OF PROJECT DELIVERY  HIGHWAY DELIVERY DIVISION  CONTRACT MANAGEMENT SECTION</b>
<b>VERSION:</b> 1.0.1	<b>VERSION REPLACED:</b> 1.0.0
<b>LAST REVISED:</b> 4.19.2013	<b>ISSUED:</b> 3.10.2006
<b>SUBJECT:</b> <b>PROVISIONAL PREQUALIFICATION</b>	

**PROVISIONAL PREQUALIFICATION DESCRIPTION**

Provisional prequalification is the provisional assignment of a work classification code by PennDOT to a prequalified contractor, working as a subcontractor, if a Prime Contractor is willing to train and directly supervise this work as it is self-performed by the subcontractor. This work classification code must be assigned to the Prime Contractor to be considered for provisional prequalification for the subcontractor. Provisional prequalification approval is project-specific. Successful completion of provisional prequalification may be applied towards the regular assignment of the work classification code.

**PROVISIONAL PREQUALIFICATION REQUESTING AUTHORITY**

The Prime Contractor of a PennDOT project is the sole requesting authority.

**PROVISIONAL PREQUALIFICATION APPROVING AUTHORITY**

Provisional 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.

**PROVISIONAL PREQUALIFICATION REQUEST REQUIREMENTS**

1. Written request on the Prime Contractor’s letterhead.
2. Name of proposed, prequalified subcontractor.
3. ECMS project number and construction item number(s) to be completed by the proposed, prequalified subcontractor.
4. Name of the Prime Contractor’s superintendent that will provide the training to the proposed, prequalified subcontractor.
5. The Prime Contractor’s detailed training plan for the proposed, prequalified subcontractor, outlining the steps to be followed.
6. Written request on the proposed, prequalified subcontractor’s letterhead to the Prime Contractor that meets the following requirements:
  - a. Name of the subcontractor’s superintendent that will receive the training from the Prime Contractor.

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- b. Declaration of interest in expanding its scope of operations into the specified classification of work.
  - c. Signed by an individual that is authorized to enter into commitments on behalf of the subcontractor.
7. Signed by an individual that is authorized to enter into commitments on behalf of the Prime Contractor.
8. Send to the Prequalification Office by any of the following methods:
  - a. By mail to the Bureau of Project Delivery; 400 North Street-7<sup>th</sup> Floor; Harrisburg, PA 17120
  - b. By fax to (717) 783-7969
  - c. By email to [RA-pdPrequalBOCM@pa.gov](mailto:RA-pdPrequalBOCM@pa.gov)

#### **ECMS PROVISIONAL PREQUALIFICATION SUBCONTRACTOR REQUEST REQUIREMENTS**

1. Written approval by the Chief, Contract Management Section prior to ECMS subcontractor request approval.
2. If the proposed, prequalified subcontractor will be self-performing item(s) of work on the project in addition to the provisional prequalification item(s) of work, submit one subcontractor request for only the provisional prequalification item(s) and a separate subcontractor request for the additional items(s) of work.
3. For the provisional prequalification subcontractor request, include "Provisional Prequalification approval on MM/DD/YYYY" as the partial/incidental description of the item(s).

#### **PROVISIONAL PREQUALIFICATION GUIDELINES**

1. Applies to first-tier subcontract work only (i.e., does not apply to sub-subcontract work).
2. Only **one** provisional prequalification work classification will be granted per subcontractor at one time. Once a provisional work classification has been made permanent, the subcontractor may initiate another provisional request.
3. The subcontractor may apply the provisional work classification to **no more** than three projects at one time provided that they have adequate staff and resources.
4. The Prime Contractor will be limited to training two provisional subcontractors per project at one time.

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5. The items of proposed subcontract work must be related and assignable to a single work classification.
6. The items of proposed subcontract work should be of sufficient quantity to provide at least twenty working days of meaningful training on that project.
7. The Prime Contractor must be prequalified for the work classification applicable to the proposed subcontracted work.
8. A Prime Contractor with a GHC (general highway contractor) designation and not possessing the applicable work classification may submit verifiable experience of their superintendent to provide training and oversight to the subcontractor.
9. The proposed subcontractor must be currently prequalified in at least one work classification.
10. The Prime Contractor must be willing to provide training to the superintendent of the proposed subcontractor.
11. The proposed subcontractor must be willing to be trained by a qualified superintendent of the Prime Contractor (not a third party).
12. The proposed subcontractor must use their own employees (not the employees of the Prime Contractor).
13. The proposed subcontractor must use their own equipment (not the equipment of the Prime Contractor) or lease equipment from an independent rental company.
14. The proposed subcontractor must purchase all materials used in performance of the subcontract work.
15. The Prime Contractor and the proposed subcontractor must notify the Prequalification Office at least one week prior to starting work on the project.
16. Any changes to the approved provisional prequalification request must be submitted to the Prequalification Office for approval.

#### **PROVISIONAL PREQUALIFICATION PAST PERFORMANCE REPORT**

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

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**PROVISIONAL 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 provisionally assigned work classification code, and submit to the Prequalification Office.

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