

## PEF – Prequalification

### Description

The purpose of the *PEF - Prequalification* procedure is to ensure that each Professional Engineering Firm (PEF) that requests prequalification from NCDOT for long range planning activities is reviewed by the Transportation Planning Branch and accepted or rejected in SAP.

### Responsibility

The **Contractor Qualifications Section (COQ)** to oversee the process to prequalify prime contractors, subcontractors and private consulting firms for use on projects or services let or advertised by the Department.

The **TPB Staff Engineer (SE)** to review the prequalification packages and ensure the prequalification applications are reviewed by the appropriate person(s) within TPB and the PEFs are approved or rejected in SAP.

The **State Traffic Forecast Engineer (STFE)** to review PEF prequalification applications for firms that request prequalification for traffic forecasting and make a recommendation to the TPB Staff Engineer.

The **Model Research and Development Group Supervisor** to review PEF prequalification applications for firms that request prequalification for model development and application and make a recommendation to the TPB Staff Engineer.

### Scheduling and Time Constraints

When a PEF's application is received by NCDOT, the CQS will forward it to the appropriate Business Unit(s) for review. Each Unit will have four weeks to complete their review of the firm's application from the date listed in the 'Date Forwarded' column of the spreadsheet distributed by the CQS.

If an application has not been completed by the appropriate Units after four weeks, the CQS will review the firm's application and make a determination whether the firm is prequalified for any remaining disciplines that have not already been approved/rejected.

### Procedure

Step	Action
1	<p><b>Check for prequalification requests in SAP</b></p> <ul style="list-style-type: none"> <li>• Log into SAP and check the "Inbox" to see if any firms have requested prequalification from TPB.</li> <li>• Review spreadsheet from the CQS to see which firms have requested prequalification from TPB.</li> </ul> <p><b>Note:</b> Majority of the firms are submitting applications during July – September window, renewals are submitted throughout the year.</p>
2	<p><b>Use Application ID for the firm(s) requesting prequalification.</b></p> <p>The Application ID number will be needed as input to view the prequalification package in SAP or in the spreadsheet from the CQS.</p>
3	<p><b>View the Prequalification Package (s)</b></p>

	<ul style="list-style-type: none"> <li>• Go to <a href="https://apps.ncdot.gov/Vendor/Prequal/">https://apps.ncdot.gov/Vendor/Prequal/</a>; Log in with your NCID; enter the Federal Tax ID or Application ID and click on the “lookup” button (one or more offices may be identified).</li> <li>• Click on the office that you would like to review. Typically it will be the office that has a check under “Bidder,” “Subcontractor” or “Private Consultant”, it may be necessary to review/open multiple offices.</li> <li>• Click on “Next&gt;”</li> </ul>
4	<p><b>Review the Prequalification Package(s)</b></p> <ul style="list-style-type: none"> <li>• There will be a list of employees; print the list, or develop another mechanism, to identify the résumés that will need to be reviewed.</li> <li>• Click on “Print Application” and save it on your local drive for reference.</li> <li>• A pdf of the application will open. Look for the tasks for which the PEF is asking to be prequalified.</li> <li>• The application includes a list of each employee and their disciplines. Identify the employees that would have expertise in tasks for TPB (transportation planning, traffic forecasting, traffic modeling, etc.).</li> <li>• The application also includes work experience. This section should also be reviewed, but is typically not very helpful due to the limited space available on the application.</li> <li>• The TPB Staff Engineer may request that the State Traffic Forecast Engineer and/or the Model Research and Development Group Supervisor approve/reject the PEFs for traffic forecasting, model development and model application. A minimum of 2 weeks should be allotted to anyone being requested by the TPB Staff Engineer to review and approve/reject prequalification packages. If they do not have access to the online applications, the TPB Staff Engineer should notify the CQS to get them access to the application and résumés.</li> </ul> <p><b>Note:</b> There can be only one person per Business Unit that has access to approve/reject PEFs. The State Traffic Forecast Engineer, the Model Research and Development Group Supervisor, and others, as needed, can be given access to the applications but must make their recommendation by email to the TPB Staff Engineer for final approval or rejection in SAP.</p>
5	<p><b>Review Résumés</b></p> <p>Review résumés for individuals that were identified to have expertise in tasks for TPB, save PEF employee résumés on are online. Click on “résumé” beside the employee names that are to be reviewed.</p>
6	<p><b>Approve/reject tasks for prequalification</b></p> <p>Only the TPB Staff Engineer can approve/reject PEFs in SAP. The State Traffic Forecast Engineer and/or the Model Research and Development Group Supervisor will need to notify the TPB Staff Engineer in writing (by email) whether the PEFs should be approved or rejected for traffic forecasting, model development and model application. The TPB Staff Engineer will:</p> <ul style="list-style-type: none"> <li>• Return to SAP</li> <li>• Click on the firm that has been reviewed</li> <li>• Check the box under “Approve” for those tasks that the PEF is qualified to perform</li> </ul>

	<ul style="list-style-type: none"> <li>• Check the box under “Reject” for those tasks that the PEF is not qualified to perform</li> <li>• After all the boxes are checked, click on “Process Approval Items.” Verify all the information prior to clicking on “yes.” After clicking on “yes” everything will go away and cannot be changed through SAP.</li> </ul> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>• Do not submit without checking “Approve” or “Reject” by each task as the CQS will see this as “pending.” Once submitted, changes can only be made through the CQS.</li> <li>• In SAP, if “deleted” is shown by a task, it indicates that the firm has resubmitted their qualification package and is not requesting approval for a task for which they were previously approved. Check “Approve” for this task to be deleted.</li> </ul>
<b>9</b>	<p><b>Receive approval letters</b></p> <p>The TPB Staff Engineer will receive by email a copy of the letter to the PEF notifying them of the tasks for which they are approved.</p> <p><b>Note:</b> Once the approval letter has been sent by the CQS the TPB Staff Engineer may be contacted by a PEF to see why they were not prequalified for certain tasks. The TPB Staff Engineer should be ready to address these questions.</p> <p><b>Note:</b> Directory of Prequalified firms - <a href="https://partner.ncdot.gov/VendorDirectory/default.html">https://partner.ncdot.gov/VendorDirectory/default.html</a></p>

### **Policy, Regulatory, and Legal Requirements**

Business Units within NCDOT are required to prequalify PEFs.

### **Resources**

Link to prequalification applications – <https://apps.ncdot.gov/Vendor/Prequal/>

List of TPB prequalification tasks – [Transportation Planning PEF Tasks](#)

Directory of Prequalified firms - <https://partner.ncdot.gov/VendorDirectory/default.html>

### **Background**

### **Record of Revision**

*The information contained in this procedure is deemed accurate and complete when posted. Content may change at any time without notice. We cannot guarantee the accuracy or completeness of printed copies. Please refer to the online procedure for the most current version.*

<b>Version</b>	<b>Section Affected</b>	<b>Description</b>	<b>Effective Date</b>
2.0	Entire procedure	New template and updated link	3/20/2013
2.1	#2 and Resources	New link to the NCDOT PEF prequalification site	11/18/2013
2.2	Entire procedure	Updated Links, Application ID as SAP reference.	5/21/2015

Approved: April 21, 2010

**Revised: May 21, 2015**

Version 2.2

## ***Flowchart***