Doing Business With PennDOT

A guide to your business partner relationship with the Pennsylvania Department of Transportation

You should be at a PC connected to the Internet to get full functionality from this presentation, since hot links will take you to the Internet and PennDOT’s Engineering and Construction Management System (ECMS)
Doing Business With PennDOT

Links within this document will take the user to the PennDOT ECMS main menu page as well as other pages in ECMS. The ECMS web site best functions with the latest version of Internet Explorer. Please refer to the ECMS home page for up to date system requirements.
Why do I want to work with PennDOT?

PennDOT uses a variety of consultant firms and your firm may be important to PennDOT. Your interest will be best served if you understand PennDOT’s processes.

PennDOT uses consultant firms when the demand for services exceeds the Department’s ability to provide those services in a timely manner.
Why do I want to work with PennDOT?

PennDOT uses various types of structural and highway engineers from consultants. Affiliated with those services are construction inspection, geotechnical, environmental, surveying, and many other specialties and disciplines.
You do not need to be a registered partner to learn more!

The Engineering and Construction Management System (ECMS) can give you background on the types of work planned and advertised even before you become a registered business partner, and you have no obligation to register.

The ECMS web site can be found at: [http://www.dot14.state.pa.us/ECMS/](http://www.dot14.state.pa.us/ECMS/)
Doing Business With PennDOT

Introduction

Frequently Asked Questions are located on the bottom left on the ECMS home page.

You can enter ECMS as a guest to view various information.
Doing Business With PennDOT

Introduction

Click on Solicitation along the top tool bar. Then click on either Panned Projects or Advertisements. They will both direct you to the Planned Projects and Advertisement Portal Page.
Doing Business With PennDOT

Introduction

Click here to view the Planned Projects Published from the last month.

Click one of the following choices to view the most recent Advertisements.
What publications govern consultant agreements?

Publication 442 – Specifications for Consultant Agreements for Project Development Services includes contractual information that will become part of every contract PennDOT enters into with consultant business partners.
What publications govern consultant agreements?

*Publication 93 – Policy and Procedures for the Administration of Consultant Agreements* provides information to help consultants understand the consultant agreement management rules by which PennDOT operates.
Publications to keep in mind

• Regional business journals and similar publications
• Penn DOT publications
  – On the web at www.dot.state.pa.us (follow the “Forms and Publications” link)
  – By mail at PennDOT Sales Store, PO Box 2028, Harrisburg, PA 17105-2028
  – By phone at (717) 787-6746
  – Fax to (717) 787-8779
  – In person, 5th floor, Commonwealth Keystone Building, 400 North Street, Harrisburg, PA

No cash is accepted.
What is a consultant and subconsultant?

According to Publication 442 defines:

- Consultant (Prime Consultant): the term Consultant means the contractual party (Prime Consultant) providing Consultant Work and Services pursuant to the Agreement with the Commonwealth. The Consultant may be an Individual, Partnership, Corporation, or Joint Venture.

- Subconsultant/Subcontractor: The party providing work and services to the Prime Consultant pursuant to an Agreement with the Prime Consultant to which the Department is not a party.
How do projects evolve?

- Planned Project – heads up of potential projects
- Advertised Project – detailed info on services required
- Shortlisted – for projects that are ‘normal selections’
- Consultant selection
- Technical proposal
- Creating a price proposal
- Execution of contract
- Notice to Proceed

No work can be done without a fully executed contract.
Why do I need to be a registered business partner?

ECMS is the only vehicle that individuals and firms can use to submit statements of interest, technical proposals, price proposals and to execute contracts if selected for work. It is the system used to process invoices and consultant performance reports as well. It is where you do business with PennDOT. It gives you access to proprietary information and includes specific information between you and PennDOT.
I am ready to work with PennDOT. How do I start?

Registration is a three-step process.
1. Register
   a) Paper
   b) Online
2. Create Qualification Package
3. Provide Overhead Information
Register in ECMS

You must register online registration and submit a paper registration to become a registered business partner. Once approved and assigned access to ECMS, before you can seek contracts with PennDOT you will need to submit a Qualification Package in ECMS.

You are eligible to pursue work and be selected after being registered and submitting your Qualifications Package.
Information on how to register as a Business Partner can be found on the ECMS home page.
Doing Business With PennDOT Registration

On the ECMS website, click here to be directed to the Business Partner Registration page to begin the registration process.
Doing Business With PennDOT Registration

Select "Private Sector Organization" if your organization is a business.

The paper copy of the registration agreement form as well as the instructions for filling it out can be viewed and printed from this page.
Doing Business With PennDOT
Registration

Mail the completed paper registration agreement to:

ECMS System Registration
PA Department of Transportation
Bureau of Project Delivery, ECMD
P.O. Box 3662
Harrisburg, PA 17105-3662
Registration Instructions

Please note that it typically takes 2 weeks from receipt by PennDOT of the electronic form and correctly completed paper form for PennDOT to complete the approval process and send email notification to your company.
To continue the registration process, click on the ‘Register’ button.
Doing Business With PennDOT Registration

Electronic Registration

Enter information into at least all the required fields (noted by the dot preceding the field name on all five tabs of the electronic registration form.)

Click Submit at the bottom of each tab.
Approved Registration

Once the registration for your company is complete, an email will be sent to your security administrator (as designated on the electronic registration form) with their User ID and Password.
Approved Registration

With this User ID and password, the security administrator will be able to:

- Establish other User IDs and passwords for users within your company.
- Assign users in your company to security groups, allowing these users to see and enter/submit information for your company based on the level of security provided by the security group.
- Delete users for your company.
- Reset passwords for your users.
How long does the process take?

Once you have submitted your online registration, the registration request will be incomplete until the registration form is received. All requests will remain active for 45 days. But the sooner you submit complete and accurate information on paper, the sooner you can be approved for access to the system.
Is that all I have to do?

All Government and Private Sector Business Partners that desire to complete financial transactions with PennDOT should also register with the Commonwealth to obtain a SAP Vendor Number. The registration form can be found at:

http://www.vendorregistration.state.pa.us
New Business Partner

Once you become a registered business partner, you can begin the process of completing your Qualifications Package, entering overhead information, and providing other information for the record.
Doing Business With PennDOT Qualifications Package

New Business Partner

In ECMS, click on Business Partner on the top tool bar, then click on Consultants
Qualification Package – Overview

Templates are available in ECMS for General Information, Project Experience, and Resumes; but not for the Quality Plan.

Click on these template downloads to view the Consultant Qualification Package documents needed.

Note: Business Partners must make sure to use the correct resume template. Please note that there is a specific template to be used for Construction Inspection resumes.
Qualification Package – Overview

- **General Information** – an opportunity to demonstrate, showcase and communicate all you have to offer
- **Project Experience** – what you have done in the past and references from those you have worked for
- **Resume** – Key individuals of the firm
- **Quality Plan** – Quality assurance, control, process and outcome/results
IMPORTANT

Qualifications Packages expire one year after they have been entered/updated. To remain eligible to pursue work with PennDOT, it is important that you renew and update your firm’s Qualification Package on an annual basis.
Overhead

PennDOT asks business partners to provide overhead information used to establish an overhead rate.
Overhead costs generally include, but are not limited to:

- Provisions for office, light, heat, and related items associated with the working space, equipment, and automobile expenses
- Taxes and insurance other than those included as salary costs, but excluding state and federal income taxes
- Professional licensing, training and development
- Professional expenses, such as executive, administrative, accounting, legal, and clerical salaries and expenses that are not directly reimbursed
- Payroll burden and fringe benefits which include - Paid sick leave; vacation; holidays; payroll taxes; unemployment contributions; Social Security taxes; insurance benefits, and retirement
Overhead

Determination of eligibility of cost items making up the Consultant overhead/indirect costs shall be governed by provisions set forth in Part 31 of the Federal Acquisition Regulations (FAR).
Overhead Calculator Tool

A calculator to help you do overhead rate estimations is available by clicking this link:

Open Overhead Calculator Tool

*Excel is required to view or use this tool.
The **Executive Compensation Worksheet** will need to be completed and submitted with the Qualification Package.

A link is located on the ECMS home page.
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Introduction

The AASHTO Internal Control Questionnaire will need to be completed and submitted with the Qualification Package.

A link is located on the ECMS home page. An editable .pdf version is included in Publication 93 as Appendix 3F AASHTO Internal Control Questionnaire (ICQ)
Think of yourself in terms of:

- How you want to be known
- How you will distinguish yourself from the competition
- What makes you attractive to other companies as part of a team or as a prime
- Why should they be attracted to you
- What separates you from the competition
- What are you unique characteristics and qualities
Remember to:

- Protect your interests and your reputation
- Know your limits
Doing Business With PennDOT
Distinguishing Your Business

Sell yourself

Services ✦ Employees ✦ Expertise
Experience ✦ Products ✦ Equipment
Education ✦ Training ✦ Certifications
Proximity ✦ Familiarity ✦ Availability

Distinguish Yourself
Make a commitment

- Letter of commitment
- ECMS resumes
- Any requested supporting materials

The letter of commitment and accompany documents are not an ECMS requirement. It is good business practice when teaming with another firm.
Items in a letter of commitment

- On similar projects
- In that region
- For that PennDOT organization
- For that client
- Any distinguishing skills, specialties or features

Read and follow the General Requirements
Project examples and references are invaluable down the line.

Collect them and be sure to keep them.
Doing Business With PennDOT
Distinguishing Your Business

Information to gather

PennDOT and other firms, interested in working with you, including local, state and federal agencies, are requesting reference materials.

It’s the same information you include in your ECMS qualifications package general information:

- Fact sheets
- Project references
- Project profiles
- Photos

Pennsylvania
DEPARTMENT OF TRANSPORTATION
www.dot.state.pa.us
Be able to sort your information

- By project type
- By service provided
- By region
- By project manager
- By client
- By year
Make Contacts

- Visit PennDOT District Offices
- Keep in touch
- Build relationships
- Network
Statement of Interest

✦ Project advertisements may specify the format of the statement of interest
✦ If there are no specific requirements, follow the general requirements attached to the advertisement
✦ Only the prime submits a statement of interest
Team Building
Questions for the Partner

- Who is your project manager?
- Will you provide the scope of work?
- What is our deadline to get information to you?
- To whom should we send that information?
Shortlisting provides an opportunity to fine-tune project details

- Confirm your services
- Confirm your project manager
- Ask questions
- Offer input
Developing the Technical Proposal

- Utilize PennDOT publications
- Provide the detail
- Develop and use standard write-ups
- Deliver what the prime has requested, is expecting
You may be asked to:

- Fine-tune your technical proposal
- Develop a price proposal
- Negotiate any changes, technical issues
- Submit for their approval
Developing the Price Proposal

- Provide your ECMS employee roster
- Provide overhead rates
- Incorporate PennDOT maximum allowances (meals, lodging, mileage, etc.)
- Create an ECMS price proposal
The price proposal and final technical proposal process may require many interactions.
Subconsultant agreement with the prime consultant

- Provides you with written documentation
- Reinforces the commitment
- Safeguards your business, position

Note: the subconsultant agreement is not a PennDOT requirement but is an industry standard.
Mentoring Makes Sense

Questions and answers to help established firms and new firms strengthen their business relationships
A new firm needs someone or some business partner

- To show the new firm the ropes
- To answer their questions
- Who has experience
As a new firm evolves, grows, things change

They can become even more valuable to the prime consultant, more of an asset to the project team
One way a prime consultant can minimize risk while assuring improved results is by mentoring a new firm.
Being able to document that team's experience, and that they have worked together on successful projects, is a decided advantage.
Doing Business With PennDOT
Disadvantaged Business Enterprise (DBE) Certification

The DBE Certification Process

The Pennsylvania Unified Certification Program (PA UCP) website [http://www.paucp.com/](http://www.paucp.com/) provides:

- Information about the Disadvantaged Business Enterprise (DBE) certification program
- Steps on how to become certified
- Instructions for completing the application
- DBE certification application to download or print
The DBE Certification Process

DBEs are part of a broader business development program that enables them to become certified by PennDOT along with other public works agencies with just one application.
The DBE Certification Process

To be eligible to become DBE certified, a firm must meet all the following criteria:

- At least 51%-owned by a socially and economically disadvantaged individual(s) who also controls the firm. The disadvantaged owner must be a U.S. citizen or lawfully admitted permanent resident of the U.S.;
- a small business that does not exceed $22.41 million in gross annual receipts; and
- Organized as a for-profit business
The DBE Certification Process

The PA UCP website provides a downloadable application that must be completed to begin the certification process.

Take time and send a complete application, including all supporting documents.
The DBE Certification Process

Once certified, your DBE status is recognized by:

- Allegheny County
- PennDOT
- Port Authority of Allegheny County
- Southeastern Pennsylvania Transportation Authority (SEPTA)
- City of Philadelphia
There is no charge, no fee, to make application to the PA UCP for Certification.

You can apply to any of the certifying participants. However, PA UCP recommends sending the application to a certifying participant in proximity of your business.
PennDOT is a certifying participant

Completed application and supporting documentation can be mailed to:

PA Department of Transportation
PO Box 3251
Harrisburg, PA 17105-3251
Phone – 717-787-5891
Fax 717-772-4026
Email – penndotucpinfo@state.pa.us
Doing Business With PennDOT
Disadvantaged Business Enterprise (DBE) Certification

What happens next?

✧ PA UCP reviews the application to assure it is complete, accurate and includes all required supporting documents
✧ An on-site interview will be scheduled and conducted
✧ When this initial review is finished, you will receive a letter from the PA UCP
Doing Business With PennDOT
Disadvantaged Business Enterprise (DBE) Certification

Review times
(from the code of Federal Regulations, Title 49, Part 26.83k)

✦ PA UCP has 90 days to review a DBE application
✦ If necessary to complete their review, a 60-day extensions can be granted.
If you’ve been certified!

Once approved by PA UCP, you will be notified by letter.

This is a three-year certification.

If your certification is denied

There is an appeal process which will be outlined in the letter you receive from PA UCP indicating that you were not certified and the reason(s).
Affidavit of No Change

- Every year, prior to your anniversary date, you will receive a letter from the PA UCP requesting you submit the Affidavit of No Change.
- There must be no changes in your firm’s ability to meet disadvantaged, ownership, or control standards.

(established in the Federal Code of Federal Regulations, Title 49, Part 26)
Recertification

Near the end of your three years of eligibility, you will receive a letter from the PA UCP inviting you to reapply for DBE certification.
Doing Business With PennDOT
Disadvantaged Business Enterprise (DBE) Certification

DBE Resources – ECMS

Firms looking for a DBE to provide services can utilize ECMS. The ECMS Consultant Information Search screen allows searching by:
- Business Partner ID
- DBE Certification
- Services provided
- Location
Doing Business With PennDOT
Disadvantaged Business Enterprise (DBE) Certification

DBE Resources – DBE Supportive Service Center

The DBE Supportive Service Center provides news, information, tips and timely updates to help DBE’s grow and compete.

They can be reached on their website at: www.penndbe.com or by phone at 877-736-6323.
DBE certification is a very helpful tool designed to assist you and your business to grow to become a successful enterprise.
Thank you for your interest in learning more about Doing Business With PennDOT

Summary of Resource Links:
ECMS – www.dot14.state.pa.us
PennDOT Website (Access to Forms and Publications) – www.dot.state.pa.us
Overhead Calculator Tool
The Pennsylvania Unified Certification Program Application – www.paucp.com
DBE Supportive Services Center – www.penndbe.com