

# DPTI Prequalification System for Professional Service Contractors



## Guidelines



Government of South Australia  
Department of Planning,  
Transport and Infrastructure

# DPTI Prequalification System for Professional Services Contractors

## Contents

1	INTRODUCTION .....	3
1.1	Background .....	3
1.2	Prequalification Categories.....	3
1.3	Eligibility .....	4
1.4	Conditional Prequalification .....	4
1.5	Tendering .....	4
2	APPLICATION AND ASSESSMENT PROCESS .....	5
2.1	Applications.....	5
2.2	Assessment Criteria .....	5
	Criteria 1: Company experience.....	5
	Criteria 2: Personnel .....	5
	Criteria 3: Management Systems .....	5
2.3	Assessment of Applications.....	5
2.4	Notification .....	6
2.5	Upgrading Prequalification Status.....	6
2.6	Maintenance of Prequalification.....	6
3	TERMS AND CONDITIONS OF PREQUALIFICATION .....	7
	APPENDIX A –CHARACTERISTICS AND EXAMPLES OF BUILDING PROJECTS IN EACH LEVEL .....	8

# DPTI Prequalification System for Professional Services Contractors

## 1 INTRODUCTION

### 1.1 Background

The Department of Planning, Transport and Infrastructure (DPTI) Prequalification System for Professional Services Contractors is used for building projects that are valued at greater than \$165 000 (including GST).

Suitably experienced companies (“Applicants”) are invited to apply for prequalification with DPTI in accordance with these Guidelines.

The purpose of the prequalification system is to:

- achieve consistency, fairness and transparency in DPTI’s tendering and selection processes;
- minimise the risk of DPTI entering into contracts with contractors who do not have sufficient capability and capacity;
- reduce the cost of tendering and tender assessment for both industry and Government; and
- encourage high standards and continuous improvement that will contribute to a sustainable building and construction industry in South Australia.

The system aims to facilitate, but not replace, tender assessment for individual projects. Generally, DPTI will use the list of prequalified companies to determine a shortlist of selected companies who will be invited to submit tenders for professional services.

### 1.2 Prequalification Categories and Levels

The Professional Services Contractors (“PSC”) prequalification system applies to the following categories:

#### **Lead PSC:**

- Architecture
- Engineering

#### **Discipline PSC:**

- Vertical Transportation Engineer
- Structural Engineer
- Mechanical Engineer
- Landscape Architect
- Interior Designer
- Hydraulic Engineer
- Heritage Architect
- Fire Engineer
- Electronic Engineering
- Electrical Engineer
- Civil Engineer
- Architect

# DPTI Prequalification System for Professional Services Contractors

The following levels, which relate to the complexity and value of the project, are available in each category:

PSC Level 1:	Simple - conventional buildings, small scale (typically valued up to \$5 million)
PSC Level 2:	Medium - medium scale / complexity buildings (typically valued up to \$15 million)
PSC Level 3:	Complex - large scale, complex buildings (typically valued in excess of \$15 million)

A more comprehensive description of each level is include in Appendix A.

To be classified at PSC Level 1, 2 or 3, an Applicant must demonstrate that it has the experience, resources / personnel and management systems to successfully deliver professional services for a building project at that level. Prequalification in a higher level automatically prequalifies that company in the lower level(s).

The prequalification system does not include project managers, contract managers and cost managers, which are engaged by DPTI through a panel arrangement whenever required.

An Applicant's financial capacity is not considered in the prequalification system. However, DPTI reserves the right to undertake an assessment of financial capacity prior to the award of a contract.

## 1.3 Eligibility

Companies (i.e. entities with an Australian Company Number), sole traders and partnerships are eligible to apply for prequalification. Prequalification does not extend to related or subsidiary companies of a prequalified company. Any such company or entity must apply for prequalification in its own right. Trusts are not eligible for prequalification.

## 1.4 Conditional Prequalification

Where an Applicant does not meet every specified eligibility criteria, the Applicant may be granted "Conditional" Prequalification. Examples where this may apply include:

- a newly formed company, which has suitably experienced personnel and satisfies the requirements for systems and other resources, is unable to satisfy all of the past experience criteria, but DPTI considers that the company is competent to undertake the work;
- a sole trader, where DPTI will require assurance that a backup plan is in place if the sole trader unexpectedly becomes unavailable.

The granting of Conditional Prequalification is at the absolute discretion of the DPTI.

Conditionally Prequalified companies may be requested to provide additional information at the time of tender. Providing the conditionally prequalified company continues to comply with the nominated conditions of their prequalification, they will be eligible to tender for contracts in the categories and financial level they are conditionally prequalified in.

## 1.5 Tendering

DPTI will usually publish tenders on [www.tenders.sa.gov.au](http://www.tenders.sa.gov.au) as either a call to all companies at the appropriate category / level or a restricted call to selected prequalified companies.

# DPTI Prequalification System for Professional Services Contractors

## 2 APPLICATION AND ASSESSMENT PROCESS

### 2.1 Applications

Companies are invited to apply for prequalification by submitting the application form (as an .xlsx file) and the specified attachments (as .pdf files). The application form may be downloaded from: [http://www.dpti.sa.gov.au/contractor\\_documents/prequalification](http://www.dpti.sa.gov.au/contractor_documents/prequalification).

The application must be submitted in accordance with the instructions on the front of the Application Form. Do not submit a hard copy.

Enquiries should be directed to: [DPTI.Prequal@sa.gov.au](mailto:DPTI.Prequal@sa.gov.au).

### 2.2 Assessment Criteria

Listed below is a summary of the assessment criteria that will be used to assess Applicants. Full details of the information to be submitted and the minimum criteria for each level is included in the application form.

#### Company experience

Applicants are required to demonstrate satisfactory performance on past and current relevant projects. Details of the nominated projects must be provided, along with some Performance Reports and referee details.

#### Personnel

Applicants must have key personnel with experience and qualifications appropriate to the categories / levels being applied for. The experience may be with previous employers, but only where it validated as being relevant experience.

#### Management Systems

The Applicant must have management systems which are appropriate for the category applied for which cover safety and quality.

For levels PSC2 and PSC3, the quality management systems must be third party certified.

### 2.3 Assessment of Applications

When undertaking the assessment, DPTI may take into account information from any of the following the sources:

- Information submitted with the application;
- documented evidence held by DPTI or other government agencies regarding the Applicant's previous performance;
- information that was submitted in a previous prequalification application (where appropriate); and
- any other valid information relevant to the Application, notwithstanding that the information has not been submitted by the Applicant.

# DPTI Prequalification System for Professional Services Contractors

Performance reports may be considered to determine whether an Applicant meets the minimum requirements for company experience. Where the Applicant submits a Performance Report from a DPTI project, it must be on the DPTI Performance Report proforma. If the project is a non-DPTI project, it is preferable that the performance report covers the same elements as the DPTI Performance Report.

DPTI is not obliged to accept a non-DPTI Performance Report if DPTI forms the reasonable opinion that it is biased, inadequate or not representative of the Applicant's actual performance on that project.

DPTI may seek written or verbal reports from a referee. The referee must have a sound knowledge of the contract and must be capable of making an impartial assessment of the Applicant's performance.

Where a performance report indicates that the Applicant's performance is marginal or unsatisfactory, the Applicant must demonstrate that it has successfully implemented corrective action to prevent a re-occurrence of the issue.

DPTI may use internal and / or external assessors when considering an application.

## 2.4 Notification

Applicants will be notified in writing regarding which, if any, prequalification category / level it has achieved within 6 weeks of lodgement of their application. However, if the information provided is not sufficient to complete the assessment, this time may be extended.

Applicants that are not satisfied with the outcome of the assessment may lodge a request for a review or appeal, as detailed in the DPTI Building Conditions of Prequalification (refer Section 3 of these Guidelines).

## 2.5 Upgrading Prequalification Status

A prequalified company may apply for an upgrade of its prequalification status after having successfully completed several projects at the current level.

To be eligible for an upgrade, an Applicant must be able to demonstrate that its circumstances have changed sufficiently since its last prequalification application was assessed. It may not be necessary to complete the entire application form and an Applicant should confirm the requirements for the application with DPTI before submitted an upgrade application. Temporary upgrades for specific projects will not be issued.

## 2.6 Maintenance of Prequalification

Prequalification is for a notional 3 year period. However, if a company is subject to adverse performance reports, undergoes a restructure or its competency is materially reduced, DPTI may request a new application. At any time, DPTI may seek confirmation that the information submitted with an application remains relevant or request an update of the information.

DPTI will monitor and assess the ongoing performance of each prequalified company. A company's ongoing prequalification is subject to it maintaining a satisfactory level of performance in its delivery of contracts. A failure to comply with the requirements for maintenance of prequalification may result in the prequalification being withdrawn or the level downgraded in accordance with the DPTI Building Conditions of Prequalification (refer Section 3 of these Guidelines).

# DPTI Prequalification System for Professional Services Contractors

## 3 TERMS AND CONDITIONS OF PREQUALIFICATION

Applicants and prequalified companies are required to comply with the DPTI Building Conditions of Prequalification, available from:

[http://www.dpti.sa.gov.au/contractor\\_documents/prequalification](http://www.dpti.sa.gov.au/contractor_documents/prequalification)

Details of the review and appeal process are also included in the above document.

# DPTI Prequalification System for Professional Services Contractors

## APPENDIX A –CHARACTERISTICS AND EXAMPLES OF BUILDING PROJECTS IN EACH LEVEL

The following characteristics are indicative for each level. However, it is not expected that any one project will include all of the characteristics listed for that level.

### PSC Level 1: Simple

#### Technical

- Small scale and low technical risk / complexity.
- Conventional building techniques using commonly available trades.
- Moderate level of coordination of discipline specialists, such as structural, mechanical and electrical engineers.
- Typically projects with a total value up to \$5 million.

#### Delivery Risks

- Cost / quality issues are routine.
- Program is routine.
- Political impact generally limited to immediate site issues.
- Impact of non-performance is limited and can be redressed through standard contract management processes.

### PSC Level 2: Medium

#### Technical

- The project is of moderate scale and complexity.
- May involve some innovative design.
- Opportunity for leading edge aesthetics and built form to be incorporated into the design.
- May require substantial functional and spatial analysis.
- May require a moderate level of interaction with existing facility operators (eg within a school or hospital) and stakeholder consultation.
- May require a process of developing alternative models and assessing them rigorously to determine the recommended approach.
- Numerous discipline specialists involved, requiring rigorous coordination.
- Examples include office accommodation / refurbishment, health facilities, high security buildings, science laboratories, educational facilities.
- Typically projects with a total value up to \$15 million.

#### Delivery Risks

- Cost/quality issues are important.
- Program is important.
- Political impact may affect local region or interest groups.
- Non-performance may have consequential effects such as the client having find temporary accommodation.



# DPTI Prequalification System for Professional Services Contractors

## PSC Level 3: Complex

### Technical

- Large scale / complex project.
- Significant opportunity for leading edge aesthetics and built form to be incorporated into the design.
- Numerous discipline specialists involved, requiring rigorous coordination.
- May require significant interaction with existing facility operators ie “brownfields” environment and/or special limitations on construction environment (eg within a high security prison).
- May include complex structural elements and have special design or construction requirements such as long span structural components, severe / aggressive exposure requirements or vibration / fatigue loading.
- May have special operating requirements for the completed building such as clean rooms, biosecurity, specialised medical facilities or high security.
- Often have bespoke specifications for at least part of the works.
- Examples include health facilities, high security buildings, science laboratories, multi-storey facilities, unique or highly specialised facilities.
- Typically projects with a total value in excess of \$15 million.

### Delivery Risks

- Cost/quality issues are critical.
- Program is critical.
- Political impact may be state-wide.
- Non-performance will have serious consequential effects.
- Frequently design and construct contracts or innovative contracting models.