State of Illinois
Illinois Department of Transportation

Engineering Prequalification and Agreement System

Instruction Manual

Illinois Department of Transportation

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Engineering Prequalification and Agreement System (EPAS) Manual

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1 INTRODUCTION

This is an instruction manual to help firms complete the Statement of Experience and Financial Condition (SEFC) and the Statements of Interest (SOI).

2 DISCLAIMER

All photos used in this manual are not indicative of an actual company or PTB/Item within the EPAS system. These photos and examples and used for **illustrative purposes only**.

3 EPAS MINIMUM REQUIREMENTS

Minimum requirements to execute the EPAS system are listed below:

3.1 Hardware requirements

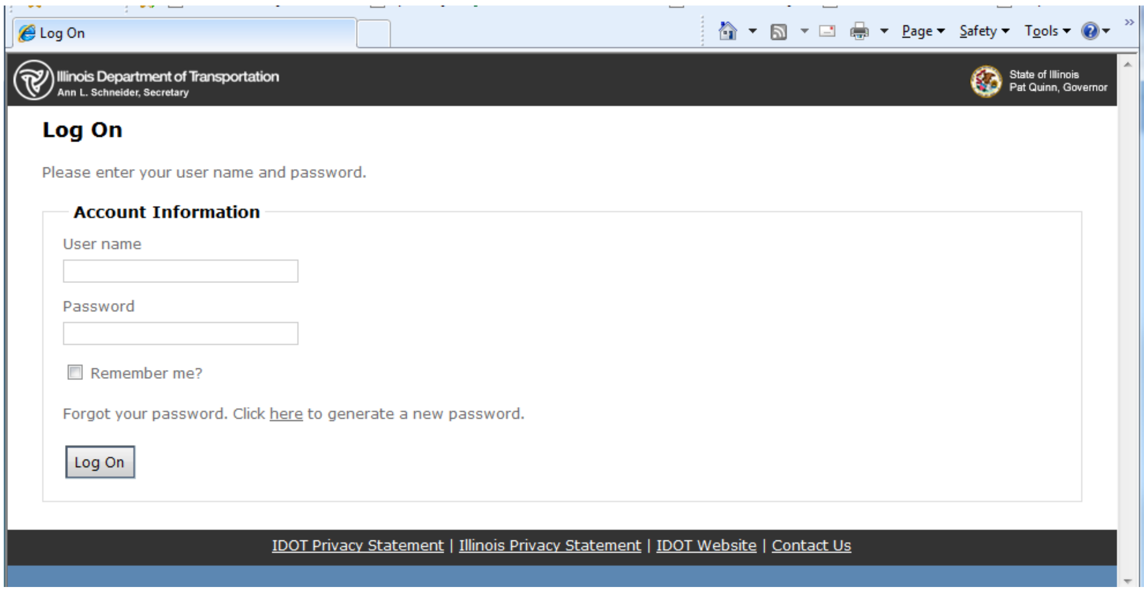
- Must have Broadband Internet Connection
- Must have either: Internet Explorer (IE), Microsoft Edge or Google Chrome browser
- Must have XP or higher operating system
- Must have at least a 2GB or higher main memory
- Must be running on screen resolution of 1024 x768 or higher

3.2 Software requirements

- The EPAS Application needs cookies to be enabled in your browser. To enable cookies, please follow the steps below:
  1. Select the **Tools** menu on your Browser menu
  2. Select **Internet Options**
  3. Select the **Privacy tab**
  4. Select the **Default button** (or manually slide the bar down to 'Medium')
  5. Select the **OK** button
- The EPAS Application also needs JavaScript enabled on your browser. To enable Java Script, please follow the steps below
  1. Select the **Tools** menu on your IE Browser menu
  2. Select **Internet Options**, and then Select the **Security** tab.
  3. Select the **Internet** zone.
  4. If you do not have to customize your Internet security settings, Select Default Level and proceed to step 4. If you must customize your Internet security settings, follow these steps:
     a. Select **Custom Level**.
     b. In the **Security Settings – Internet Zone** dialog box, Select **Enable** for **Active Scripting** in the **Scripting** section.
  5. Select the **Back** button to return to the previous page, and then Select the **Refresh** button to run scripts.
  6. Help Is available: Once Logged on, in the upper right corner select the Help Button. https://apps.dot.illinois.gov/EPAS/Home/Instructions

4 LOGGING ON TO EPAS

Login Screen:



Firms that are new to prequalification with IDOT are required to request an account.

Review the description and minimum requirements (see IDOT website) to determine which categories the firm would be qualified to do. Once a firm decides to become prequalified, e-mail DOT.ConsultantServices@illinois.gov and indicate your interest in becoming a prequalified engineering consultant, and attach the Federal Form, W-9.

Once your account has been established the following procedure can be used to log in:

1. **Username**: Your TIN # (FEIN) (do **NOT** use spaces or dashes)

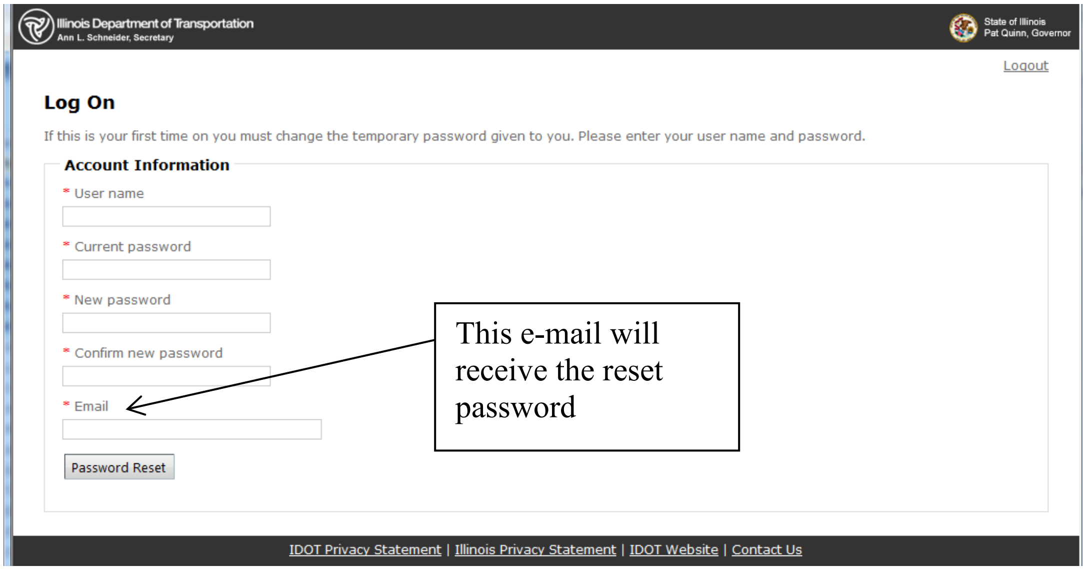
2. **Password**: Welcome (Initial password if new to EPAS System).
   - Firms currently prequalified will use the TIN or additional username(s) established by your firm and the password created by your firm.

3. Select the ***Log On*** button.

NOTE: If you become locked out, e-mail DOT.ConsultantServices@illinois.gov and include the Username. A new password generated by the system will be sent to the user e-mail in EPAS. (This e-mail is established by the firm and IDOT cannot modify) For security, the password can only be sent to the e-mail established.

The following screen appears the first-time logging into the EPAS system:

Change Password Screen



1. Enter your Username
   This will be the same username that you entered in the above screen (if you entered your TIN #, then reenter the TIN #).

2. Enter the current password
   This will be ***Welcome*** for the first time.

3. Enter your new password and confirm your new password.

4. Enter your Email address.
   This email will be utilized by IDOT to send you password reset notification if your account is locked out due to 3 unsuccessful login failures.
   - Note for security, reset passwords must be sent to the e-mail listed. It is important to keep this e-mail current.
   - If locked out send an e-mail requesting the password be reset and include the User ID to DOT.ConsultantServices@Illinois.gov

5. After you log in, the screen below will be displayed. This screen will display all the SEFC applications.

NOTE PASSWORD REQUIREMENT: Password must be at least three of the following four-character groups and must be a length of 7 or greater

- English uppercase characters (A through Z).
- English lowercase characters (a through z).
- Numerals (0 through 9).
- Non-alphabetic characters (!, $, #, %, @, &, *, ~)

5 EPAS HOME SCREEN & NAVIGATION

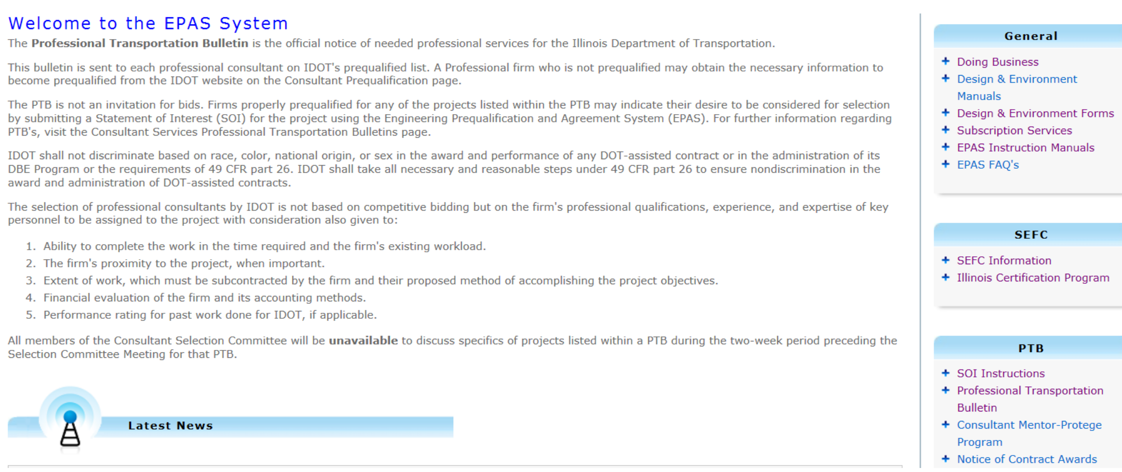
1. **Reports**
   To run reports, select "Reports", in the **orange** box, where you can run reports about Prequalified Environmental Staff (if your firm is prequalified in Environmental Reports) and a list of users for your firm (Security Vendor Audit Report).

2. **User Administration**
   This option, in the **purple** box, allows users to create and manage permissions within your firm.

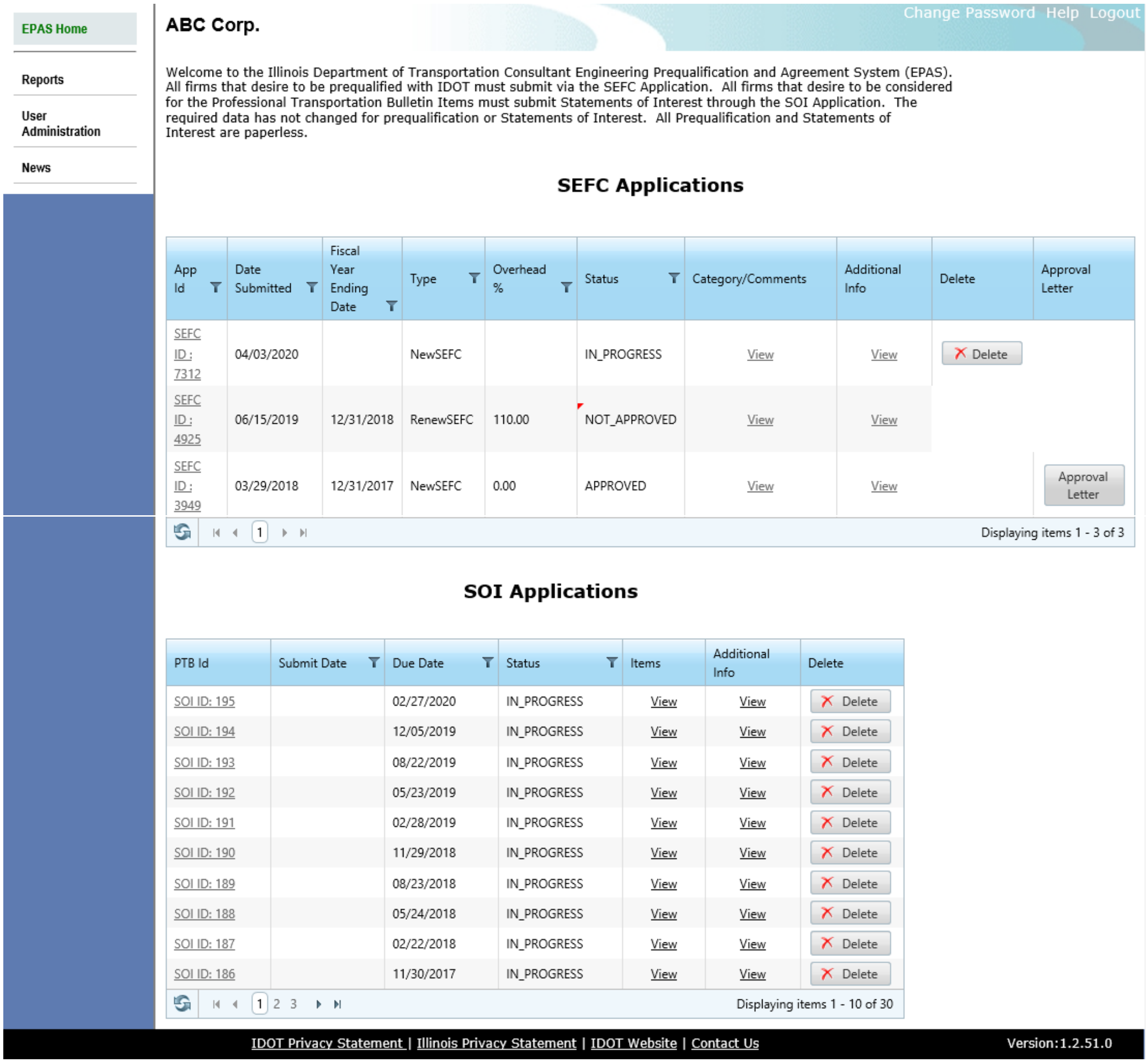
3. **News**
   Select News, in the **red** box, for information regarding consultants. Information regarding Professional Transportation Bulletins, processes etc. are posted here.

4. **Change Password**
   To change your password, select "Change Password" in the **blue** box.

5. **Help**
   The Help Button, in **green** box, has helpful information and links for prequalification, bulletins, etc. Selecting Help takes the user to this Screen:



EPAS Home: View of firm's with SEFC and SOI Applications



The above screen will list all the Firm's SEFCs and SOIs submitted.

If this is your first time using the EPAS system, you will not see any SEFCs.

5.1 SEFC Application Grid

- **App Id**: If you Select the SEFC ID (#): link in the App Id column, the system will display the Corporate Profile page if your application status is IN_PROGRESS. Otherwise, the system will display a READ ONLY copy of the SEFC application in a different Internet Explorer window.
- **Submit Date**: Date SEFC was submitted.

- **Fiscal Year Ending Date**: Fiscal year end date is specific for the firm and is the FY data of the financial information submitted not the date submitting, entered during SEFC Entry.

- **Type**: Type of SEFC submitted (there are three types, see Section 7: When and What to Submit: Start New; Renew; or Amend for more information).

- **Overhead Rate %**: Overhead rate for the firm, used for invoicing.

- **Status:** Status of the SEFC, see detailed description of each status see Section 6.1 SEFC Status Column.

- **Category**: If you select the ***View*** link in the Category column, it will display all prequalification categories applied for, category qualification status, and comments from IDOT related to the category.

- **Additional Info**: If you Select the ***View*** link in the Additional Info column (SEFC & SOI Application grids), it will display all information, which was requested by IDOT. (This note is retained with the file even after the additional information is received).

5.2 SOI Application Grid

- **PTB Id**: If you Select the ***SOI ID*** link in the PTB Id column, the system will display the SOI Home page if your application status is IN_PROGRESS. Otherwise, the system will display a READ ONLY copy of the SOI application in a different Internet Explorer window.

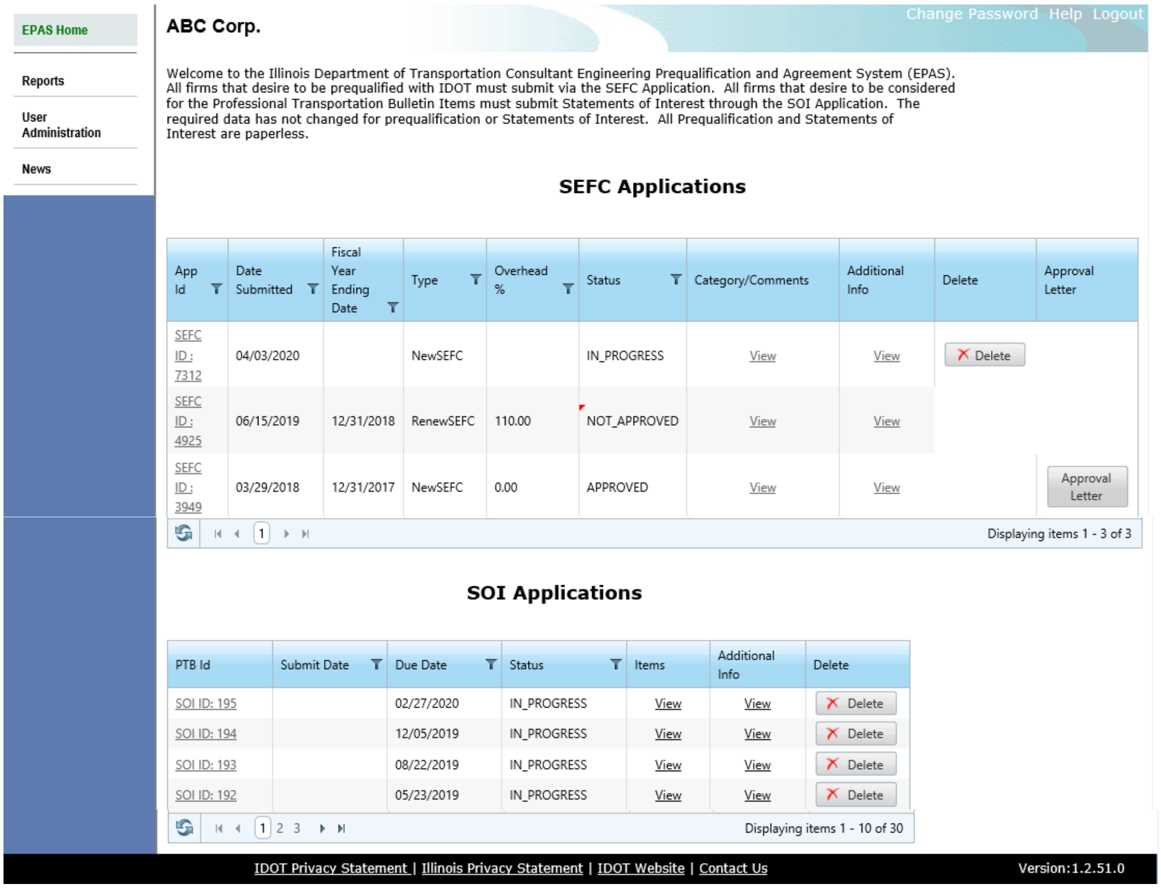
IMPORTANT: **IN_PROGRESS** means the application is in the firms work queue. IDOT does **NOT** have access to your application currently.

- **Items**: If you select the ***View*** link in the Items column, it will display all items applied for in the particular PTB, the items status and any comments from IDOT related to the item.

- **Additional Info**: If you Select the ***View*** link in the Additional Info column (SEFC & SOI Application grids), it will display all information, which was requested by IDOT. (This note is retained with the file even after the additional information is received).

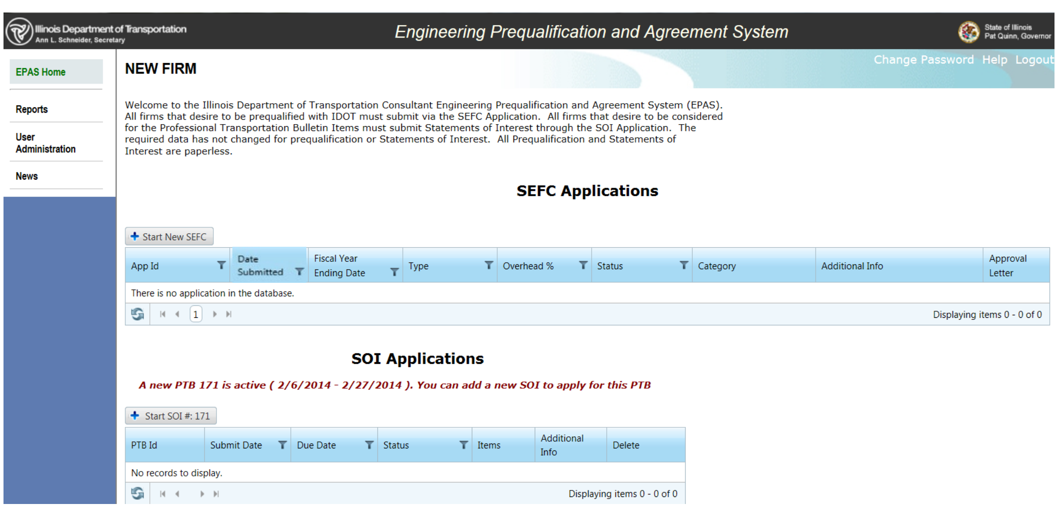
6 SEFC ENTRY

SEFC List



The above screen will list all the SEFCs that have been submitted. (If the firm has not applied for prequalification before the SEFC Application will be empty).

SEFC List shown when there has not been a SEFC submitted.



Select the ***Start New SEFC*** button to create a SEFC to be submitted to IDOT. This is used for first time applicants, and every third year when the firm's Entire SEFC is due.

To see what each column means review Section: 5.1 SEFC Application Grid.

6.1 SEFC Status Column

Once an application has been submitted it will go through several "Status" stages:

1. **In Progress**: The firm is working on an application. IDOT does **NOT** have the application & does not have access to the application until the firm submits.

2. **Submitted**: The firm has submitted the application. Until IDOT reviews and approves (status says "approved or not approved") there cannot be an additional application created. Only one active application is allowed.

3. **Initial Review:** The application has been checked out by IDOT staff to make sure the correct data is included for review. At this time, it may be returned to the firm for Additional Information.

4. **ADDITIONAL INFO REQUIRED**: The firm's work queue will show, additional information is required and by selecting View under the Additional Info column, the firm can easily see the required data to be added and/or revised.

SEFC Applications

App Id	Date Submitted	Fiscal Year Ending Date	Type	Overhead %	Status	Category	Additional Info	Approval Letter
SEFC ID : 2556	07/29/2014	06/30/2014	NewSEFC		ADDITIONAL_INFO_REQUIRED	View	View	

IMPORTANT: Firms have two (2) weeks to revise the application and resubmit or they can be marked as **NOT APPROVED**. The application must be submitted again once requested changes are made. It must say "Submitted", Select Summary and Submit on the left, in order for it to be back in IDOT's work queue.

5. **Initial Review Approved:** This means the correct data is in the application and the application can be reviewed in its entirety by the required IDOT staff.

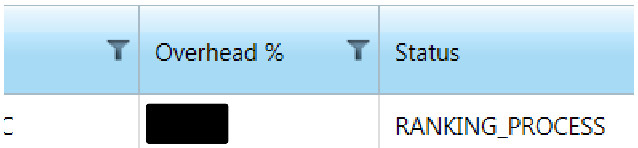
6. **Ranking Process:** The requested Prequalification Categories are being reviewed.

7. **Ranking Complete:** The review of the Prequalification Categories has been completed. Corporate and Financial Data may or may not have been completed at this time. Logon to EPAS and if there is a **RED** triangle by the Overhead % column, audits has reviewed. Hover over the triangle and the audit comment can be seen.

   If there is **NOT** a triangle, the audit review has not been completed.

   Example: The prequalification categories are being reviewed and the audit section has completed their review.

Example: The prequalification categories are being reviewed and the audit section has **NOT** completed their review.



Firms can log into EPAS and check the status of the submittal at any time.

When the application has been reviewed in its entirety, the firm's status will be marked as either **Approved** or as **Not Approved**.

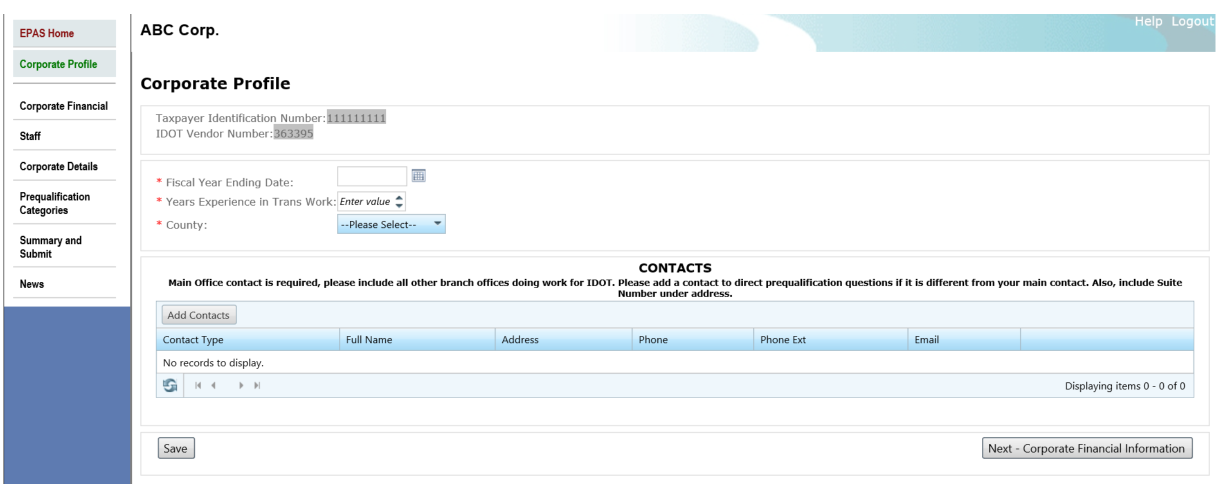
Once the application shows either approved or not approved, the firm can create another application.

When creating a New, Renew, or an Amend Application the EPAS system creates a copy of the last approved application for modification.

NOTE: A firm shown as Not Approved is required to do a **NEW SEFC** application and is **NOT** considered prequalified until IDOT completes the review.

6.2 Corporate Profile Screen

Corporate Profile Screen



This is the Corporate Profile Screen, which shows your TIN and your IDOT vendor number. All required fields are marked with *. The system will let you bypass required fields initially.

The required fields must be completed before the system will allow you to submit to IDOT.

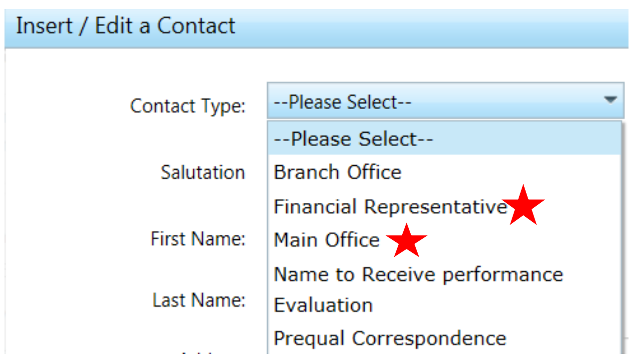
A few **NOTES** when filling out the Corporate Profile Screen:

- Fiscal year end date is specific for the firm and is the FY data of the financial information submitted not the date submitting.

- **NOTE FOR OUT OF STATE COMPANY**: If you are an out of state company select *Out of State* from the county dropdown and the next 3 fields; District, Senate Legislative District, and Senate House District will not be shown.

- **NOTE FOR CONTACTS**: A main contact and a financial contact are mandatory. Only list one main contact and one main financial (do not have multiples of each). Include all branches doing work with IDOT.

  Please add a contact to direct prequalification questions if it is different from your main contact and a performance contact if different from Main.



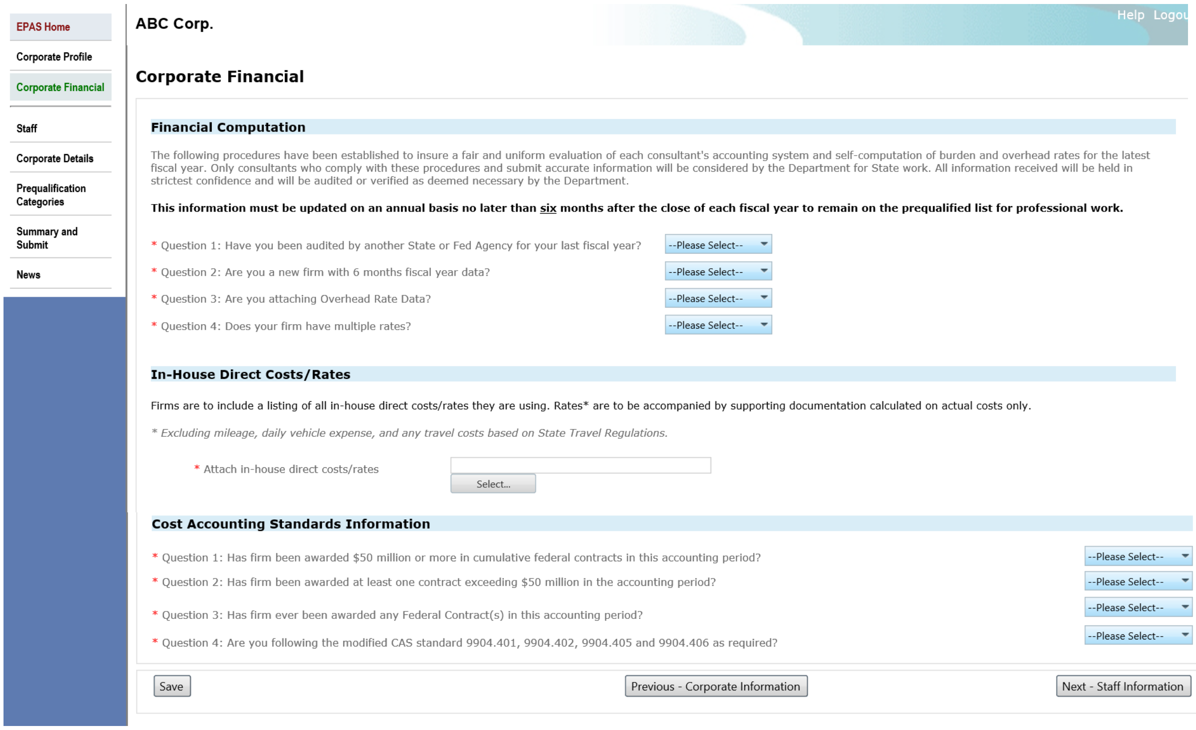
Include **COMPLETE** address, street, suite, city, state, zip, etc.

NAVIGATION: Once the information has been supplied you can:

- Select ***Save:*** This button will save the information and remain on the same page.

- Select ***Next:*** This button will save the information and navigate you to the next page – Corporate Financials page.

6.3 Corporate Financial Screen

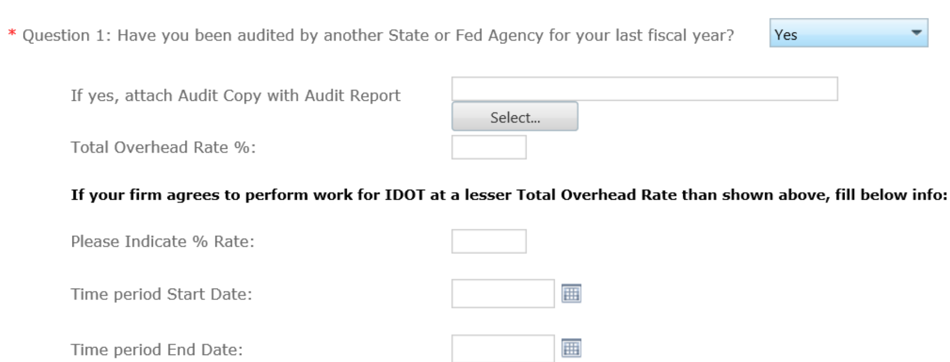


This is the Corporate Financial Screen. This screen is only accessible by a user that has access to your company's financial data (See here to see instructions on adding users to the company with Financial or non-financial roles). All attachments must be attached in the proper space, or applications could be returned.

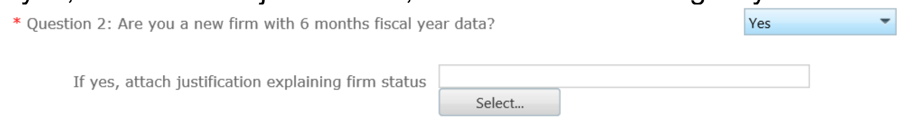
All required fields are marked with *.

A few **NOTES** when filling out the Corporate Financial Screen:

- ***Question 1***: (must answer yes or no)
  If yes, then attach your Cognizant audit by a State or Federal Agency along with copy of the Audit Report. A Private company or independent CPA audit **IS NOT ACCEPTABLE**.



- ***Question 2:*** (must answer yes or no)
  If yes, then attach a justification, and our auditors will give you an overhead rate.



- ***Question 3:*** (must answer yes or no)
  If yes, you must attach the following:

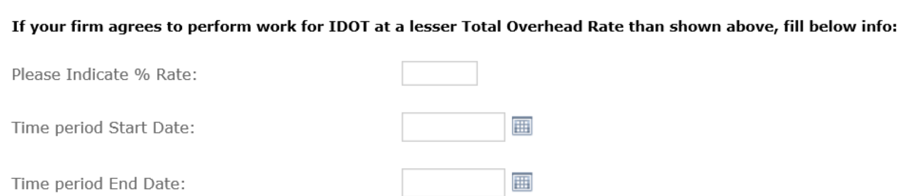
1. **Tax Return**: Last fiscal year taxes, or 6-month tax extension if your taxes have not yet been completed. The tax return should be signed and include all applicable schedules and statements. IF an extension is submitted, once taxes are finalized you must submit the taxes through an Amended SEFC.

2. **Trial Balance**: The trial balance is a report run at the end of the fiscal year, listing the ending balance in each account, *see example* on next page. The trial balance should include **ALL** accounts, not just expenses.

3. **AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers:** Include the completed questionnaire, the link to the questionnaire is here: https://audit.transportation.org/wp-content/uploads/sites/14/2018/07/Appd-B-ICQ-FINAL-updated-to-reference-2016-Guide-1.doc

   It is on the AASHTO website: https://audit.transportation.org/.

4. **Overhead rate:** Overhead rate statement, which is either a self-computation of payroll burden and fringe expense and general and administrative expense percentage rates or a compilation, review, or audit by a CPA. More information is under section 6.3.1 Overhead Data.
   - Firm will be asked to enter in the overhead rate % into EPAS.
   - Firm can agree to perform work for IDOT at a lesser Total Overhead Rate than shown in the SEFC application and will be asked to supply within EPAS.

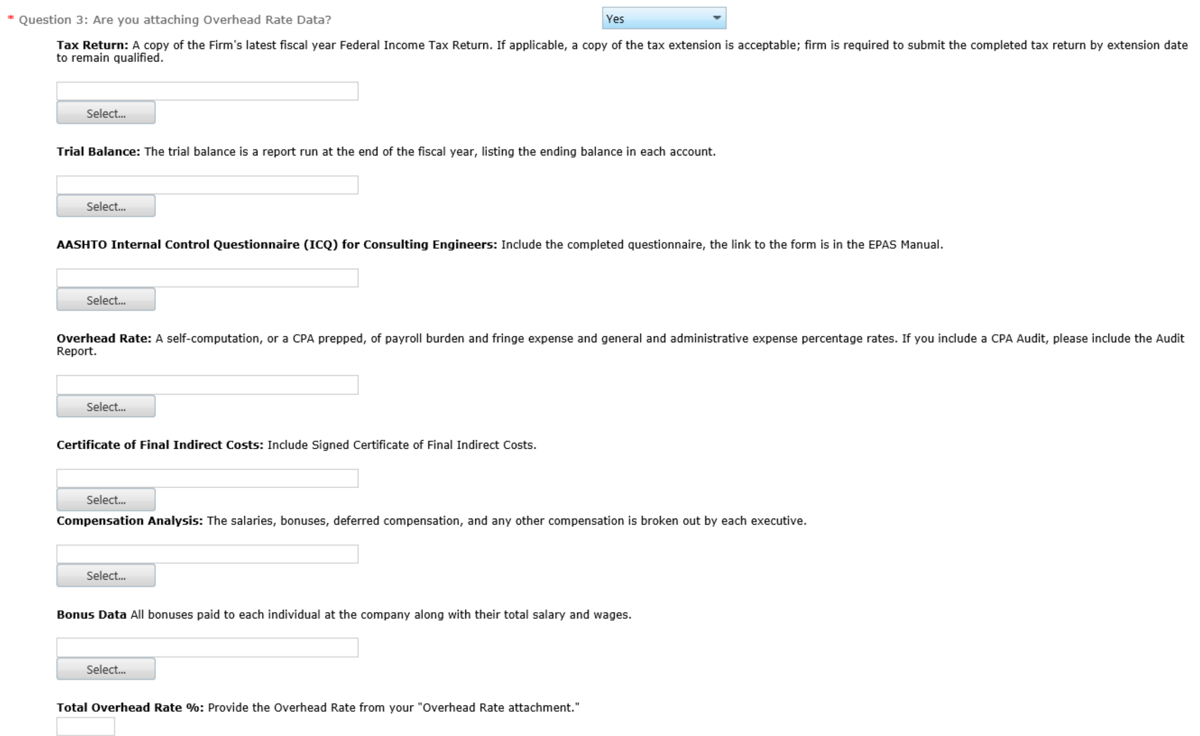


5. **Certificate of Final Indirect Costs**: A signed Certification of Final Indirect Costs, *see example* on next page, this can be used or something similar.

   http://www.fhwa.dot.gov/legsregs/directives/orders/44701a.htm

6. **Compensation Analysis:** This is data which shows all the executives in the company, and it compares their total compensation to a benchmark. The salaries, bonuses, deferred compensation, and any other compensation is broken out by each executive and is required to be submitted for review. If the company is on the accrual basis, this schedule should be completed on the accrual basis as well. *See example* on next page. Please see 6.3.1 Overhead Data.

7. **Bonus Data:** The bonus data is all bonuses paid to each individual at the company along with their total salary and wages. If the company is on the accrual basis, the bonuses provided should be the accrual bonuses. Please see [6.3.1 Overhead Data](#).



* Question 3: Are you attaching Overhead Rate Data? Yes

Tax Return: A copy of the Firm's latest fiscal year Federal Income Tax Return. If applicable, a copy of the tax extension is acceptable; firm is required to submit the completed tax return by extension date to remain qualified.

Select...

Trial Balance: The trial balance is a report run at the end of the fiscal year, listing the ending balance in each account.

Select...

AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers: Include the completed questionnaire, the link to the form is in the EPAS Manual.

Select...

Overhead Rate: A self-computation, or a CPA prepped, of payroll burden and fringe expense and general and administrative expense percentage rates. If you include a CPA Audit, please include the Audit Report.

Select...

Certificate of Final Indirect Costs: Include Signed Certificate of Final Indirect Costs.

Select...

Compensation Analysis: The salaries, bonuses, deferred compensation, and any other compensation is broken out by each executive.

Select...

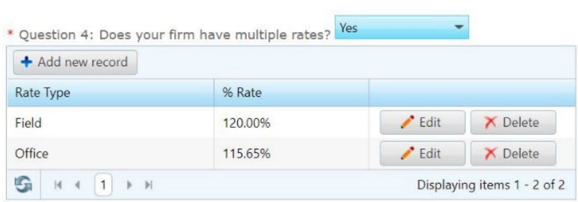
Bonus Data All bonuses paid to each individual at the company along with their total salary and wages.

Select...

Total Overhead Rate %: Provide the Overhead Rate from your "Overhead Rate attachment."

If no is selected for Question 3, you must either:
(a) provide a Cognizant audit in Question 1, or
(b) indicate you are a new firm in Question 2.

- ***Question 4:** (must answer yes or no)
  If yes, you must supply ***at least two*** different types of rates as well as answering YES to Question 3.



* Question 4: Does your firm have multiple rates? Yes

+ Add new record

Rate Type	% Rate	
Field	120.00%	Edit Delete
Office	115.65%	Edit Delete

Displaying items 1 - 2 of 2

Examples are on the next page…

SAMPLE TRIAL BALANCE:

2:38 PM
12/15/07
Accrual Basis

Rock Castle Construction

Trial Balance

As of November 30, 2007

	Nov 30, 07	
	Debit	Credit
Checking	88,361.48	
Savings	49,368.42	
Accounts Receivable	40,943.48	
Tools & Equipment	5,000.00	
Inventory Asset	29,653.20	
Retainage	4,176.80	
Undeposited Funds	54,961.52	
Land	90,000.00	
Buildings	325,000.00	
Trucks	78,352.91	
Trucks:Depreciation	0.00	
Computers	28,501.00	
Furniture	7,325.00	
Accumulated Depreciation		121,887.78
Pre-paid Insurance	1,716.85	
Accounts Payable		75,804.61
QuickBooks Credit Card		70.00
CalOil Card		5,111.80
Payroll Liabilities		7,100.58
Sales Tax Payable		5,774.91
Bank of Anycity Loan		19,932.65
Equipment Loan		3,911.32
Note Payable		18,440.83
Truck Loan		49,354.57
Opening Bal Equity		612,970.25
Owner's Equity:Owner's Contribution		25,000.00

SAMPLE OF CERTIFICATE OF FINAL INDIRECT COSTS:

The following can be used or a similar document, as long as the data below is included.

CERTIFICATION OF FINAL INDIRECT COSTS

Firm Name: ____

Indirect Cost Rate Proposal (overhead rate): ___________

Date of Proposal Preparation (mm/dd/yyyy): _________________

Fiscal Period Covered (mm/dd/yyyy to mm/dd/yyyy): __________________

I, the undersigned, certify that I have reviewed the proposal to establish final indirect cost rates for the fiscal period as specified above and to the best of my knowledge and belief:

> *1.) All costs included in this proposal to establish final indirect cost rates are allowable in accordance with the cost principles of the Federal Acquisition Regulations (FAR) of title 48, Code of Federal Regulations (CFR), part 31.*
>
> *2.) This proposal does not include any costs, which are expressly unallowable under the cost principles of the FAR of 48 CFR 31.*

All known material transactions or events that have occurred affecting the firm's ownership, organization, and indirect cost rates have been disclosed.

Signature: ____

Name of Certifying Official* (Print): ____________________________________

Title: ____

Date of Certification (mm/dd/yyyy): _______________________

*The "Certifying Official" must be an individual executive or financial officer of the firm at a level no lower than a Vice President or Chief Financial Officer, or equivalent, who has the authority to represent the financial information utilized to establish the indirect cost rate for use under Agency contracts.

Ref. FHWA Directive 4470.1A available online at:
http://www.fhwa.dot.gov/legsregs/directives/orders/44701a.htm

SAMPLE OF COMPENSATION ANALYSIS:

Sample NCM Compliance Schedule

Company name	ABC Company
Date prepared	5/16/2019
For costs incurred during fiscal year ended	12/31/2018
Gross revenue from engineering, and related, services	$20,000,000

(Steps 1& 2)			(Step 1)					(Step 3)		(Step 4)	(Step 5)	
Position (Match to NCM Job Descriptions)	Name or Employee ID Number	Related Party? (y/n)	Salary	Bonus	Deferred Compensation	Other Compensation	Total Compensation	Adjustment for Unallowable Activities & Unallowable Forms of Compensation	Compensation Subject to Reasonableness Test	NCM Amount (use numbers from NCM Tool)	Adjustment: Amount in Excess of NCM	Total Required Adjustment
CEO/President	John Doe	y	$ 300,000	$ 120,000	$ 5,000	$ -	$ 425,000	$ (2,002)	$ 422,998	$ 525,000	$ -	$ (2,002)
Chief Financial Officer	Jane Doe	n	250,000	75,000	4,000	-	329,000		329,000	289,018	$ (39,982)	$ (39,982)
						-	-	-	-		-	-
						-	-	-	-		-	-
						-	-	-	-		-	-
						-	-	-	-		-	-
						-	-	-	-		-	-
						-	-	-	-		-	-
						-	-	-	-		-	-
			-			-	-	-	-		-	-
TOTALS			$ 550,000	$ 195,000	$ 9,000	$ -	$ 754,000	$ (2,002)	$ 751,998	$ 814,018	$ (39,982)	$ (41,984)

I hereby certify that, to the best of my knowledge, this schedule is complete and accurate:

Name and Title (printed or typed)

Signature

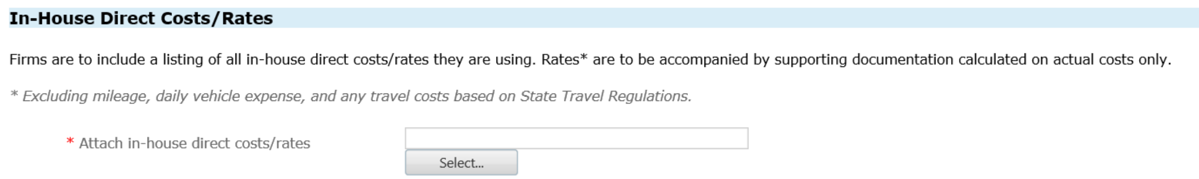
Date

(Note: This schedule should be certified by a Company officer/executive.)

- ***In-house Direct Costs/Rates**: Are required to be completed by all firms.

  In the event there are **NO IN-HOUSE** direct costs except for vehicles, you can provide a signed statement to that effect in place of a schedule with support for your rates simply stating, “Our Firm does not have any In-House Direct Costs”.

  Requested in EPAS as Shown:



  The Department is requesting a listing of all **IN-HOUSE ONLY** Direct Costs billed to any client, including but not limited to IDOT, at a rate. For example, if you bill CADD at a rate, you need to include the CADD rate in your list with the unit of measure (Hour/day etc.) and the rate. This would be the same thing if you produce your own copies. Include those in your list with the unit of measure (per copy) and the rate.

  The data must include support for the rate being billed. It must be based on the firm’s OWN ACTUAL expenses and usage and when the rate was calculated.

  It **CANNOT** be based on a published rental rate.

  Include vehicles w/mileage or daily rates as well but the support for the rate will not be required because those are rates established by Illinois.

  IDOT has FORM BDE 436 which can be used. This document is for a specific job but can be used to show firms in house direct costs. Firms can submit their own form if desired.

  BDE 436 is available on the website:
  - http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index
  - Then under Compliance &Admin, Agreement Execution, Prime Agreement, Requirements.

  A document similar can be used for your direct costs.

NAVIGATION: Once the information has been supplied you can:

- Select ***Save:*** This button will save the information and remain on the same page.

- Select ***Previous:*** This button will save the information and navigate you to the previous page – Corporate Profile page.

- Select ***Next:*** This button will save the information and navigate you to the next page – Staffing Information page.

6.3.1 Overhead Data

The AASHTO website for the NCM. https://audit.transportation.org/
See pages 42 and 43 for an example (also below) and AASHTO Chapter 8 for assistance.

IDOT applies two analyses:

1. First, is a bonus analysis to determine the allowability of bonuses. A listing of all employees receiving bonuses is required. Reviews bonuses based on the IDOT Bonus Policy dated 08/01/18 (see 6.3.1.1 Bonus Policy below).

2. The second analysis is an excess compensation analysis. Firms can either use the National Compensation Matrix (NCM) or perform an analysis based on surveys (a minimum of three surveys is required). If the firm uses surveys, they are required to submit the supporting documentation for IDOT to review. If an adjustment is necessary based on both analyses, IDOT will make the appropriate adjustments.

Excerpt from Page 42 and 43 of the AASHTO Guide on next page:

TABLE 5-5: SAMPLE INDIRECT COST RATE SCHEDULE

Sample Consulting Company
Statement of Direct Labor, Fringe Benefits, and General Overhead
For the Year Ended December 31, 200x

Description	General Ledger Account Balance	Disallowed Costs	Notes	Proposed Company Wide	% of Direct Labor
DIRECT LABOR	$ 1,950,501	$ -		$ 1,950,501	100.00%
FRINGE BENEFITS					
6300 Benefits: Bonuses	$ 234,060	$ (28,560)	(a)	$ 205,500	10.54%
6310 Benefits: 401(k) - Employer's Contribution	97,525	-		97,525	5.00%
6320 Benefits: PTO (vacation, sick, and holiday)	253,565	-		253,565	13.00%
6820 Insurance: Disability	58,515	-		58,515	3.00%
6830 Insurance: Life	21,846	(800)	(b)	21,046	1.08%
6840 Insurance: Medical	136,535	-		136,535	7.00%
6850 Insurance: Workers' Comp	15,799	-		15,799	0.81%
7500 Payroll Taxes: FICA and Med	180,421	-		180,421	9.25%
7510 Payroll Taxes: FUTA and SUTA	78,020	-		78,020	4.00%
TOTAL FRINGE BENEFITS	$ 1,076,286	$ (29,360)		$ 1,046,926	53.67%
GENERAL OVERHEAD					
6700 Indirect Labor	$ 741,190	$ (3,300)	(c)	$ 737,890	37.83%
6000 Advertising and Marketing	23,991	(6,750)	(d)	17,241	0.88%
6100 Automobile Expense	68,268	(13,580)	(e)	54,688	2.80%
6200 Bank Service Charges	9,753	-		9,753	0.50%
6400 Contributions and Gifts	14,629	(14,629)	(f)	-	0.00%
6500 Depreciation Expense	117,030	-		117,030	6.00%
6600 Dues and Subscriptions	16,189	(350)	(g)	15,839	0.81%
6800 Insurance: Automotive	15,409	-		15,409	0.79%
6810 Insurance: Business Liability	23,406	-		23,406	1.20%
6900 Interest Expense	36,084	(36,084)	(h)	-	0.00%
7000 Licenses and Permits	21,456	-		21,456	1.10%
7100 Maintenance and Repairs	97,135	-		97,135	4.98%
7200 Meals and Entertainment	19,310	(1,050)	(i)	18,260	0.94%
7300 Miscellaneous Fees, Fines, and Penalties	6,827	(6,827)	(j)	-	0.00%
7400 Office Expense: Cleaning	8,192	-		8,192	0.42%
7410 Office Expense: Postage and Delivery	4,486	-		4,486	0.23%
7420 Office Expense: Office Supplies	32,183	-		32,183	1.65%
7430 Office Expense: Other Office Expense	35,889	-		35,889	1.84%
7600 Personal Property Tax	42,911	-		42,911	2.20%
7700 Professional Fees: Accounting and Legal	30,428	-		30,428	1.56%
7800 Rent	180,049	(2,400)	(k)	177,649	9.11%
7900 Telephone	60,466	-		60,466	3.10%
8000 Utilities	29,472	-		29,472	1.51%
Direct Cost Recovery	-	(107,278)	(l)	(107,278)	-5.50%
TOTAL GENERAL OVERHEAD	$ 1,634,753	$ (192,248)		$ 1,442,505	73.96%
TOTAL FRINGE BENEFITS AND GENERAL OVERHEAD	$ 2,711,039	$ (221,608)		$ 2,489,431	127.63%

FAR References and Notes:

(a) 31.205-6(b)(2): Executive compensation in excess of reasonable amount is disallowed.
(b) 31.205-19: Key-officers' life insurance is disallowed (beneficiary is company and/or officers).
(c) 31.201-6(e)(2): Labor costs associated with advertising, entertainment, and other unallowable activities are disallowed.
(d) 31.205-1: Advertising materials and costs are disallowed.
(e) 31.205(m)(2) & 31.205-46(d): Personal use of a company asset (automobile) is disallowed.
(f) 31.205-8 & 31.205-13: Contributions and gifts are disallowed.
(g) 31.205-22: Lobbying costs, paid as a percentage of professional dues, are disallowed.
(h) 31.205-20: Interest is disallowed.
(i) 31.205-13 & 31.205-50: Entertainment is disallowed.
(j) 31.205-15: Late fees, fines, and penalties are disallowed.
(k) 31.205-11(f) & 31.205-36: Related party rent is limited to allowable cost of ownership.
(l) 31.202: Internal allocation direct cost credit.

TABLE 5-6: SAMPLE INDIRECT COST RATE SCHEDULE (WITH FIELD RATE)

SAMPLE CONSULTING COMPANY, INC.
Statement of Direct Labor, Fringe Benefits, and General Overhead—with Field Rate
For the Year Ended December 31, 200x

Description	General Ledger Account Balance	Disallowed Costs	Notes	Proposed Company Wide	ALLOCATIONS Proposed Home Office	Proposed Field Office	Notes	Percent to Field Office
DIRECT LABOR	$ 1,950,501	$ -		$ 1,950,501	$ 1,826,853	$ 123,648	(m)	6.34%
FRINGE BENEFITS								
6300 Benefits: Bonuses	$ 234,060	$ (28,560)	(a)	$ 205,500	$ 193,000	$ 12,500	(m)	
6310 Benefits: 401(k) - Employer's Contribution	97,525	-		97,525	91,254	6,271	(m)	
6320 Benefits: PTO (vacation, sick, and holiday)	253,565	-		253,565	241,421	12,144	(m)	
6820 Insurance: Disability	58,515	-		58,515	54,805	3,710		6.34%
6830 Insurance: Life	21,846	(800)	(b)	21,046	19,712	1,334		6.34%
6840 Insurance: Medical	136,535	-		136,535	127,879	8,656		6.34%
6850 Insurance: Workers' Comp	15,799	-		15,799	14,797	1,002		6.34%
7500 Payroll Taxes: FICA and Med	180,421	-		180,421	168,982	11,439		6.34%
7510 Payroll Taxes: FUTA and SUTA	78,020	-		78,020	73,074	4,946		6.34%
TOTAL FRINGE BENEFITS	$ 1,076,286	$ (29,360)		$ 1,046,926	$ 984,924	$ 62,002		
GENERAL OVERHEAD								
6700 Indirect Labor (G&A and support allocation)	$ 741,190	$ (3,300)	(c)	$ 737,890	$ 681,482	$ 37,760	(n)	5.25%
6700 Indirect Labor (field labor allocation)				-		18,648	(m)	
6000 Advertising and Marketing	23,991	(6,750)	(d)	17,241	16,336	905		5.25%
6100 Automobile Expense	68,268	(13,580)	(e)	54,688	51,817	2,871		5.25%
6200 Bank Service Charges	9,753	-		9,753	9,241	512		5.25%
6400 Contributions and Gifts	14,629	(14,629)	(f)	-	-	-		5.25%
6500 Depreciation Expense	117,030	-		117,030	115,801	1,229	(o)	1.05%
6600 Dues and Subscriptions	16,189	(350)	(g)	15,839	15,007	832		5.25%
6800 Insurance: Automotive	15,409	-		15,409	14,600	809		5.25%
6810 Insurance: Business Liability	23,406	-		23,406	22,177	1,229		5.25%
6900 Interest Expense	36,084	(36,084)	(h)	-	-	-		5.25%
7000 Licenses and Permits	21,456	-		21,456	20,330	1,126		5.25%
7100 Maintenance and Repairs	97,135	-		97,135	92,035	5,100		5.25%
7200 Meals and Entertainment	19,310	(1,050)	(i)	18,260	17,301	959		5.25%
7300 Miscellaneous Fees, Fines, and Penalties	6,827	(6,827)	(j)	-	-	-		5.25%
7400 Office Expense: Cleaning	8,192	-		8,192	8,106	86	(o)	1.05%
7410 Office Expense: Postage and Delivery	4,486	-		4,486	4,439	47	(o)	1.05%
7420 Office Expense: Office Supplies	32,183	-		32,183	31,845	338	(o)	1.05%
7430 Office Expense: Other Office Expense	35,889	-		35,889	35,512	377	(o)	1.05%
7600 Personal Property Tax	42,911	-		42,911	42,460	451	(o)	1.05%
7700 Professional Fees: Accounting and Legal	30,428	-		30,428	28,831	1,597		5.25%
7800 Rent	180,049	(2,400)	(k)	177,649	175,784	1,865	(o)	1.05%
7900 Telephone	60,466	-		60,466	57,292	3,174		5.25%
8000 Utilities	29,472	-		29,472	29,163	309	(o)	1.05%
Direct Cost Recovery	-	(107,278)	(l)	(107,278)	(106,152)	(1,126)	(o)	1.05%
TOTAL GENERAL OVERHEAD	$ 1,634,753	$ (192,248)		$ 1,442,505	$ 1,363,407	$ 79,098		
TOTAL FRINGE BENEFITS AND GENERAL OVERHEAD	$ 2,711,039	$ (221,608)		$ 2,489,431	$ 2,348,331	$ 141,100		

Note allocation of indirect labor to Home Office and Field Office.

INDIRECT COST RATE AS PERCENTAGE OF DIRECT LABOR	128.55%	114.11%
	Home Office	**Field Office**

FAR References & Notes:

(a) 31.205-6(b)(2): Executive compensation in excess of reasonable amount is disallowed.
(b) 31.205-19: Key-officers' life insurance is disallowed (beneficiary is company and/or officers).
(c) 31.201-6(e)(2): Labor costs associated with advertising, entertainment, and other unallowable activities are disallowed.
(d) 31.205-1: Advertising materials and costs are disallowed.
(e) 31.205(m)(2) & 31.205-46(d): Personal use of a company asset (automobile) is disallowed.
(f) 31.205-8 & 31.205-13: Contributions and gifts are disallowed.
(g) 31.205-22: Lobbying costs, paid as a percentage of professional dues, are disallowed.
(h) 31.205-20: Interest is disallowed.
(i) 31.205-13 & 31.205-50: Entertainment is disallowed.
(j) 31.205-15: Late fees, fines, and penalties are disallowed.
(k) 31.205-11(f) & 31.205-36: Related party rent is limited to allowable cost of ownership.
(l) 31.202: Internal allocation direct cost credit.
(m) Field employee labor and fringe specifically identified.
(n) Indirect general administrative and support labor less identified field portion is allocated.
(o) Accounts allocated at a lower percentage to field offices--see facilities cost calculation in Table 5-7.

6.3.1.1 Bonus policy as of August 1, 2018

Illinois Department of Transportation

Office of Highways Project Implementation
2300 South Dirksen Parkway / Springfield, Illinois 62764

August 1, 2018

To: All Illinois Prequalified Consultants

In a letter dated December 24, 2015 to All Prequalified Consultants the department issued its policy for evaluating bonus allowability and reasonableness which became effective January 1, 2016.

To provide greater clarification, Part E of the attached guidelines has been revised. This revision makes it clear that closely held firms can submit their bonus plan for approval. The Illinois Department of Transportation will utilize the bonus plan, if approved, when evaluating the allowability of bonuses. The Bureau of Investigations and Compliance, Financial Review & Investigations Section (dot.oqcr.audits@illinois.gov) will begin reviewing bonus policies for all firms whose fiscal year begins August 1, 2018 (ending July 31, 2019) and later.

If you have any questions or need additional information, please contact Jack Elston, Bureau Chief of Design and Environment, located at 2300 South Dirksen Parkway, Room 330, Springfield, Illinois 62764, by telephone at (217) 782-7526.

Sincerely,

Paul A. Loete, P.E.
Director of Highways Project Implementation
Chief Engineer

Enclosure

Policy

It is the policy of the Department of Transportation to comply with the Federal Acquisition Regulation (FAR) in the procurement, administration and audit of architectural and engineering agreements.

Purpose

The purpose of this policy is to provide guidelines to determine the allowability and reasonableness of compensation practices in the procurement, administration and audit of architectural and engineering agreements.

Guidelines for Implementation

A. The regulatory framework which forms the basis of the department's policy is FAR 31.201-3, FAR 31.201-4 and FAR 31.205-6.

B. In accordance with the requirements of the FAR 31.205-6(f)(1), architectural and engineering firms are permitted to provide bonus and incentive compensation. In order to be allowable charges against Government contracts, bonus and incentive compensation payments must be allocable to Government contracts, reasonable in nature and must not represent a distribution of profits.

C. In order to be acceptable, documented bonus plans shall include procedures for bonus and incentive pay. Firms providing profit distributions to owners should document their procedures related to such distributions to clearly distinguish them from bonus and incentive pay. Profit distribution procedures should include a detailed explanation as to the form and methodology by which profits are distributed to owners which clearly delineates the differences between the firm's bonus and incentive pay plan procedures and the firm's profit distribution procedures.

  a. Bonus and incentive pay plan procedures must comply with the requirements of FAR 31.205-6(f)(1)(i) which specifies that *"awards are paid or accrued under an agreement entered into in good faith between the contractor and the employees before the services are rendered or pursuant to an established plan or policy followed by the contractor so consistently as to imply, in effect, an agreement to make such payment*".

  b. Bonus and incentive pay plan procedures must include specific descriptions of the performance measures and procedures used to determine bonus amounts. At a minimum, documented procedures must include the following components:

     i. Eligibility criteria
     ii. Period of bonus plan
     iii. Performance criteria
     iv. Incentives awards/spot bonuses must be related to performance, as measured by quantitative and qualitative factors.
     v. Form of payment to be received
     vi. Distribution timeline

  c. Bonus and incentive pay plans may include a provision that bonus awards are contingent upon the Company achieving an appropriate level of financial performance to warrant the payment of bonuses.

Policy
Page Two
August 1, 2018

D. In the absence of an approved bonus and incentive pay plan, the department will implement the following procedures:

   a. The firm shall be allowed to provide documentation to support the basis used to determine bonuses, and other relevant information, to support the department's evaluation. This information may include, but is not limited to the following:

      i. Eligibility criteria
      ii. Performance criteria utilized
      iii. Relation of incentives/spot bonuses to quantitative and qualitative performance factors
      iv. Form of payment received
      v. Distribution timeline

   b. In instances where sufficient documentation is not provided, the department shall disallow, as a distribution of profits, that portion of bonuses paid to owners which exceeds the largest percentage bonus paid to a non-owner expressed as a percentage of salary by greater than 10%. Outlier non-owners may not be considered.

E. In accordance with the requirements of FAR 31.205-6(a)(6)(i), the department is required to give special consideration to owners of closely held firms. If the firm has an acceptable bonus plan as described in Part C, or provided the documentation described in Paragraph a. of Part D, the department will audit for compliance with the approved bonus policy/methodology. If it is determined a firm is not following their approved bonus plan or provided the documentation described in Paragraph a. of Part D, the Department will utilize the methodology described in Paragraph b. of Part D.

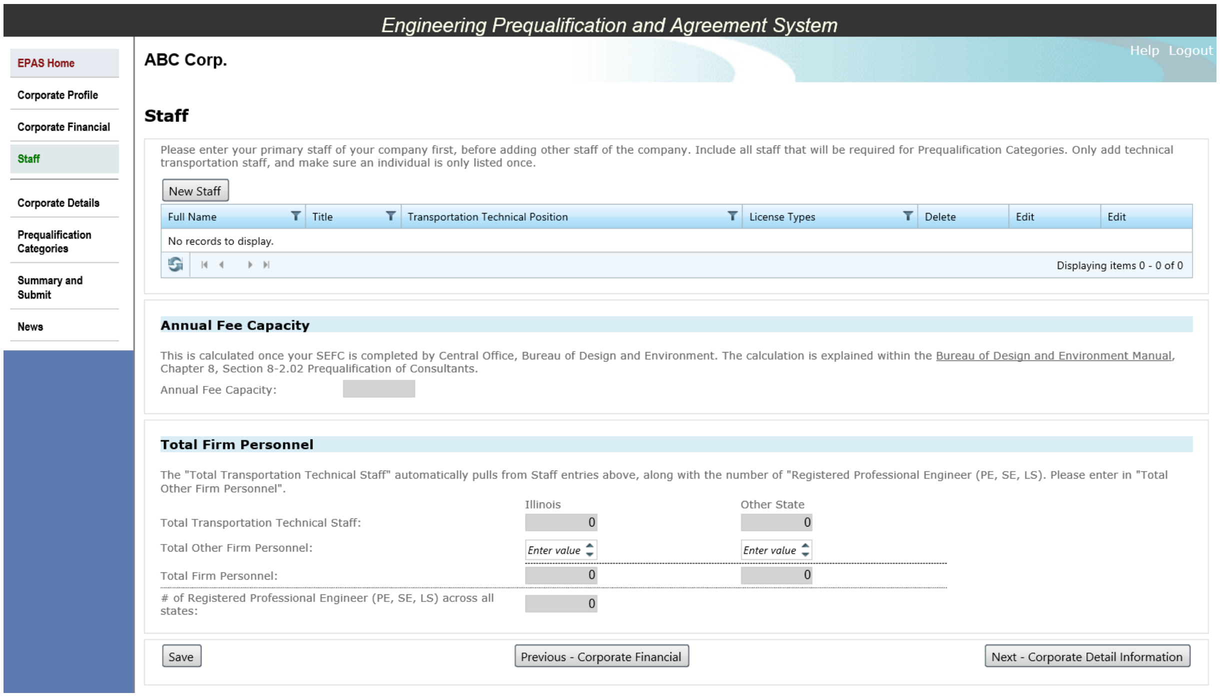
   a. According to the Internal Revenue Service, closely held firms are defined as firms in which more than 50% of the value of its outstanding stock is, directly or indirectly, owned by five or fewer individuals at any time during the last half of the tax year.

   b. Any individual owning 5% or less of a closely held firm having a direct labor base of $5.0 million or less shall be considered a non-owner for purposes of the above determination.

F. Architectural and Engineering firms are required to prepare an analysis of the reasonableness of executive compensation in accordance with Chapter 7 of the AASHTO Uniform Audit and Accounting Guide and Defense Contract Audit Agency guidance. If the firm does not prepare such a compensation analysis, the department shall use the National Compensation Matrix to determine the reasonableness of executive compensation.

6.4 Staffing Screens

Summary of Staff



This is the Staff Summary Screen. It should contain all the firm's **TRANSPORTATION** staff that will be required/used for Prequalification Categories, leads and support staff.

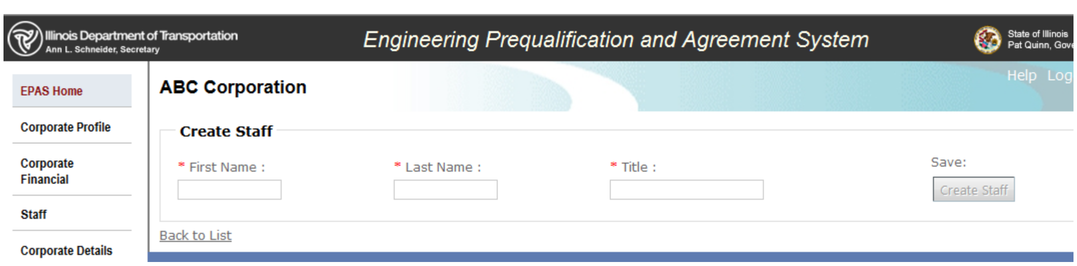
NO administration, office assistance, interns or temporary staff members should be listed.

NOTE: Review the Section 6.6.6 Environmental Prequalification Instructions for Subconsultant Staff entry used only for EA & EIS categories.

6.4.1 Add Staff

1. Select the ***New Staff*** button, the following screen is displayed:

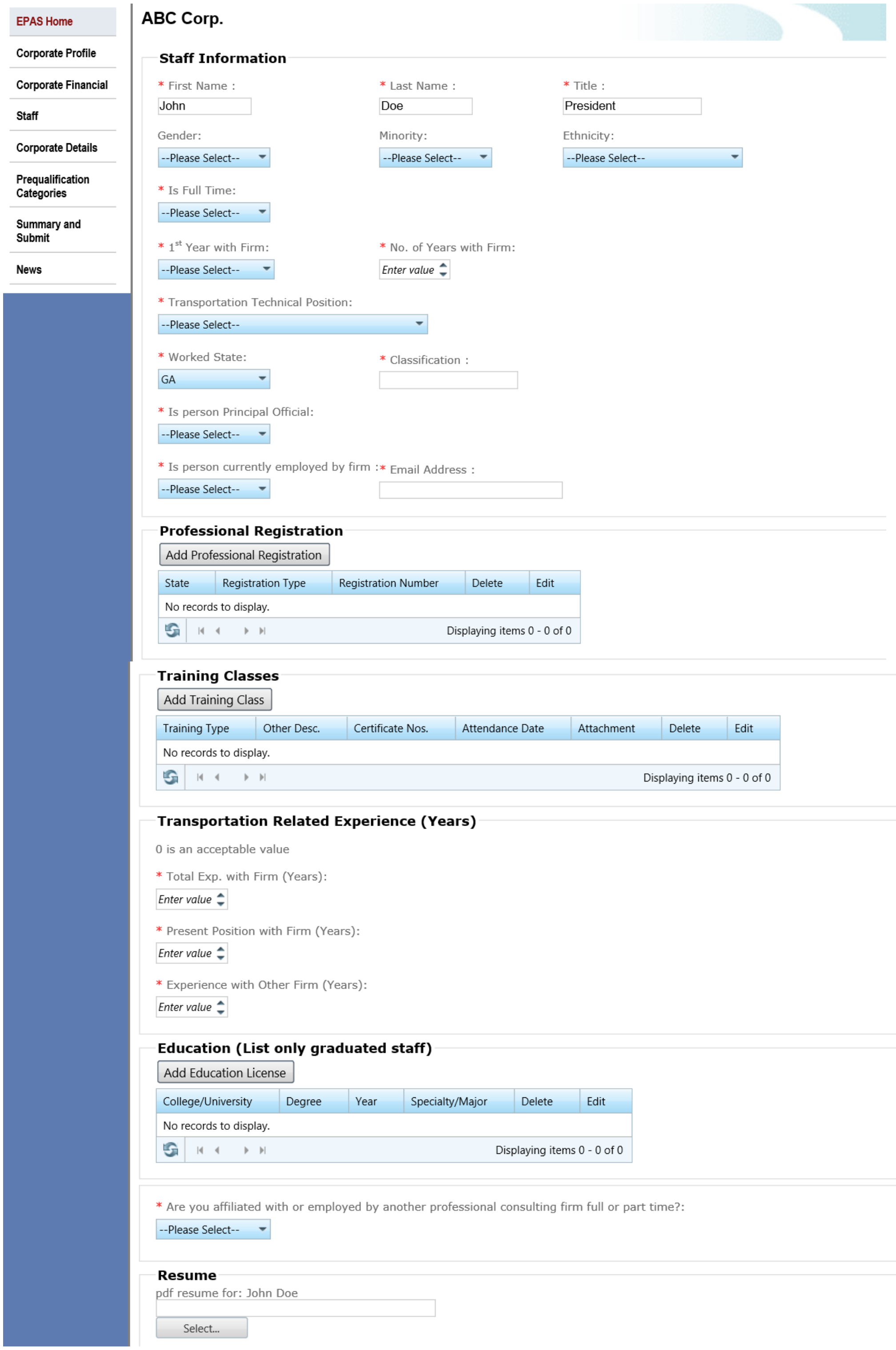
   Create Staff Screen



2. Enter the First Name, Last Name and the Title; the Create Staff Button will be enabled. Select the ***Create Staff*** button and the Staff Detail page will be presented.

3. Click ***Create Staff*** button and the following screen is displayed.

Staff Detail Screen



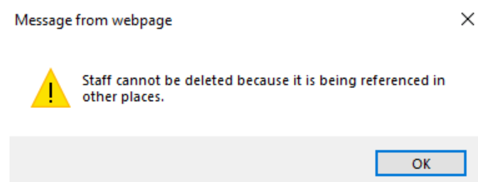
4. Enter all the required fields*.

The system will let you bypass the required fields for now. The required fields must be entered before you submit the SEFC to IDOT. The system will not allow submittal until they are completed. Select ***Save and return to Staff*** button and you will see the new staff displayed in the Staff Summary Page.

NOTE: Classification is based on the company naming conventions

5. Select ***Save and return to Staff***

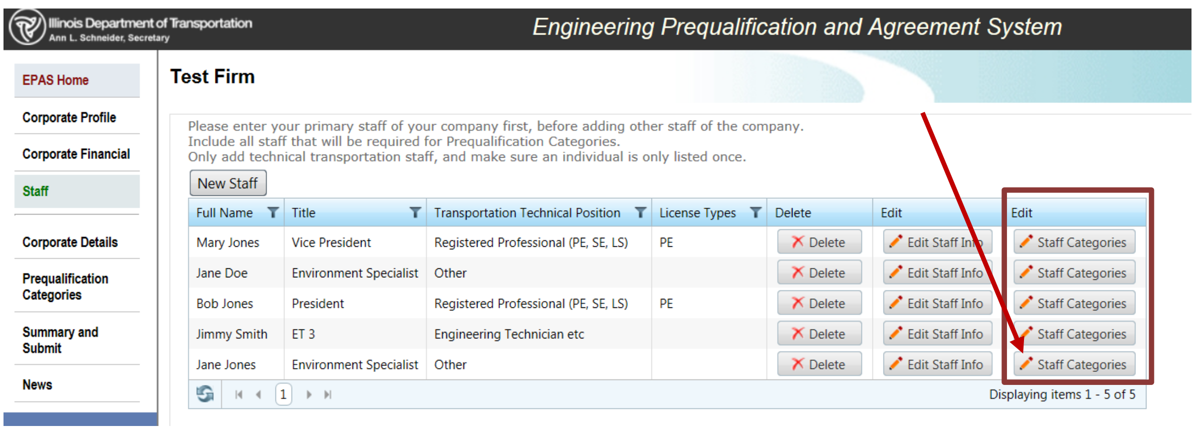
6.4.2 Delete Staff



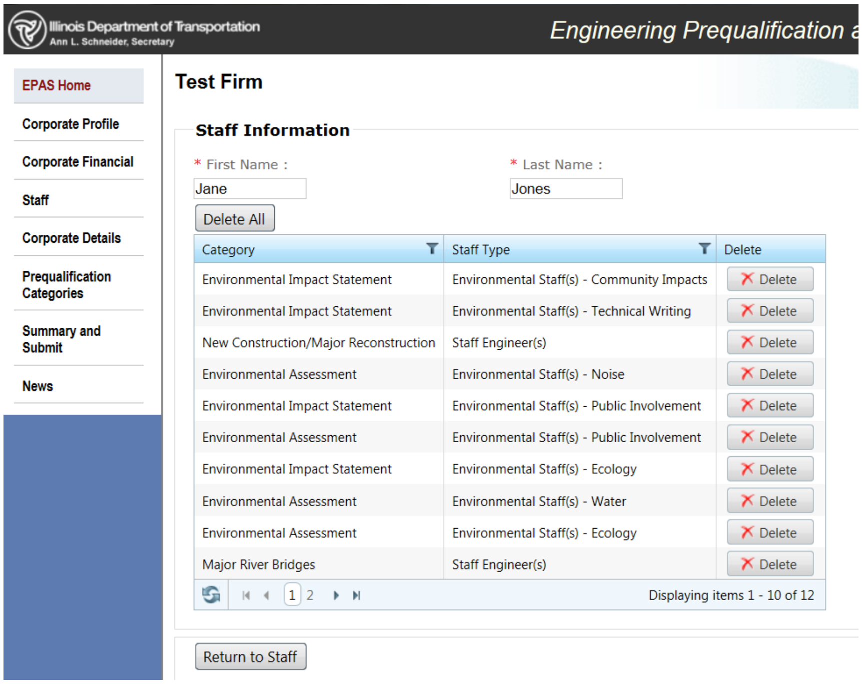
1. Remove the individual from any references and questionnaires within the SEFC. IF you try to delete a staff member who is referenced in the SEFC you will get an error message like the following → Once you remove the staff from the referenced areas, the person can be deleted from the Staffing section.

2. By selecting the last column ***Staff Categories,*** it will display for that individual all the prequalification categories they are listed in as staff.

   For example, Jane Jones is shown, click ***Staff Categories***



You can see all categories/references Jane Jones is in:



From here you can choose to "Delete" all references.

3. Click ***Return to Staff***

4. Then you can ***Delete*** that individual

6.4.3 Annual Fee Capacity

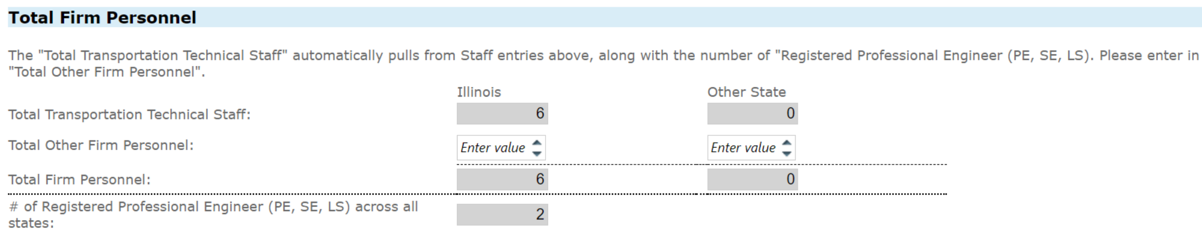
Consultant's annual fee capacity is an evaluation of its technical and professional staff's ability to generate an estimated annual volume of work. The Total Transportation Technical Staff is prepopulated based on the number of professional staff you have entered in the staffing screen. The "Other Firm Personnel" are those that are non-professional staff that account towards your prequalification categories.

NOTE: Annual Fee Capacity (AFC) is determined by IDOT. The Consultant does **NOT** include information in the AFC field. The annual fee capacity is based on the technical transportation staff entered and professional staff entered.

The Design and Environment Manual **Chapter 8-Section 2.02 Prequalification of Consultants** addresses the AFC calculation: https://idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Design%20and%20Environment%20Manual,%20Bureau%20of.pdf#page=460

6.4.4 Total Firm Personnel

This section will automatically pull staff entries from the above staff entered into EPAS. There is a section where you can add “Other Firm Personnel”



Total Firm Personnel

The "Total Transportation Technical Staff" automatically pulls from Staff entries above, along with the number of "Registered Professional Engineer (PE, SE, LS). Please enter in "Total Other Firm Personnel".

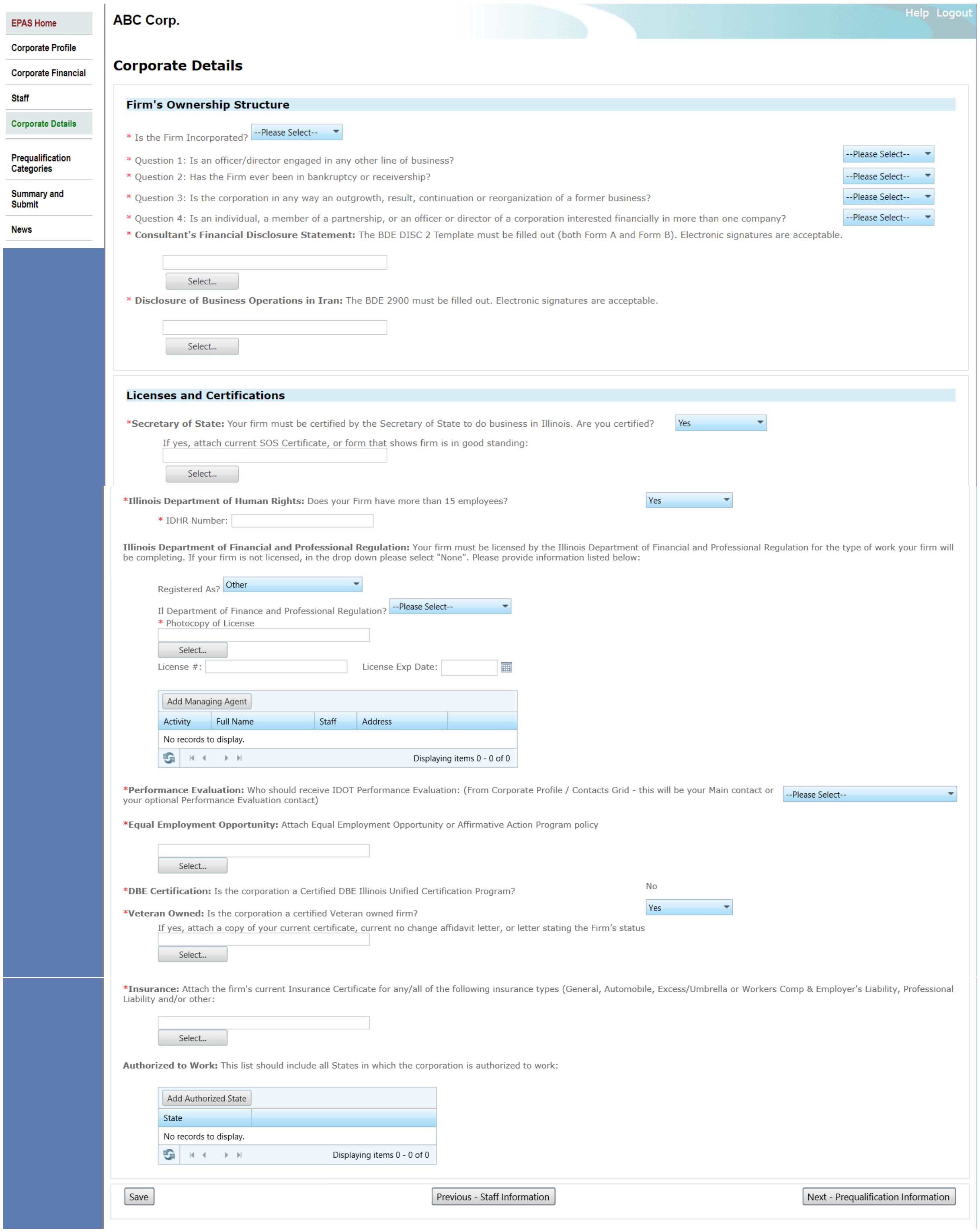
	Illinois	Other State
Total Transportation Technical Staff:	6	0
Total Other Firm Personnel:	Enter value	Enter value
Total Firm Personnel:	6	0
# of Registered Professional Engineer (PE, SE, LS) across all states:	2	

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: This button will save the information and remain on the same page.
- Select ***Next***: This button will save the information and navigate you to the next page – Corporate Detail Page.
- Select ***Previous***: This button will Save the information and navigate you to the previous page – Corporate Financial Page.

6.5 Corporate Detail Screens

Corporate Detail Screen

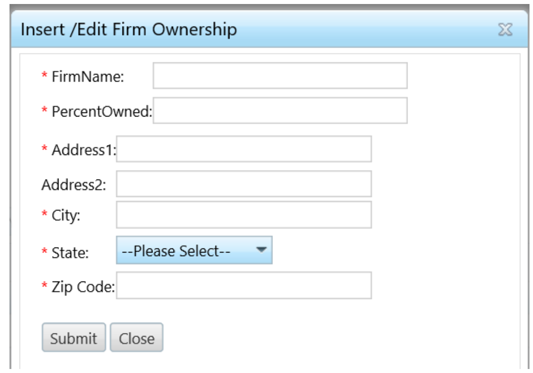


6.5.1 Firm's Ownership Structure

A few **NOTES** when filling out Firm's Ownership Structure:

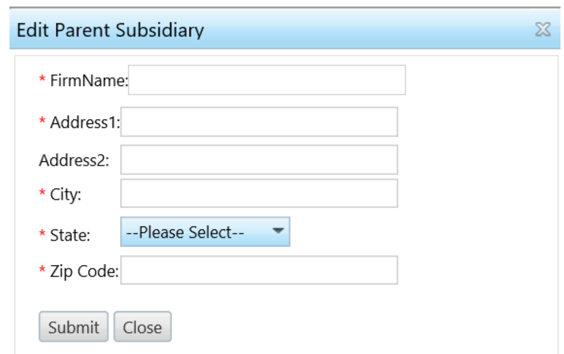
- **Does firm have ownership by Parent Company?**
  If you are owned by a Parent Company/Entity:

  1. Answer "Yes" to the question
  2. Click ***Add Parent Firm Ownership***
  3. Supply the required fields
  4. Then select ***Submit***.



- **Does firm have subsidiaries?**
  If your firm has subsidiaries:

  1. Answer "Yes" to the question
  2. Click ***Add Subsidiary Firm Name***
  3. Supply the required fields
  4. Then select ***Submit***.



- *** Consultant's Financial Disclosure Statement:** (must supply)
  The BDE DISC 2 Template must be filled out (both Form A and Form B). Electronic signatures are acceptable.

  Form can be found on IDOT Website, under "Prequalification" tab.
  https://idot.illinois.gov/Assets/uploads/files/IDOT-Forms/BDE/BDE%20DISC2%20TEMPLATE.docm

- *** Disclosure of Business Operations in Iran:** (must supply)
  The BDE 2900 must be filled out. Electronic signatures are acceptable.

  Form can be found on IDOT Website, under "Prequalification" tab.
  https://idot.illinois.gov/Assets/uploads/files/IDOT-Forms/BDE/BDE%202900.pdf

  * **Disclosure of Business Operations in Iran:** The BDE 2900 must be filled out. Electronic signatures are acceptable.

  Select...

6.5.2 Licenses and Certifications

A few **NOTES** when filling out Licenses and Certifications:

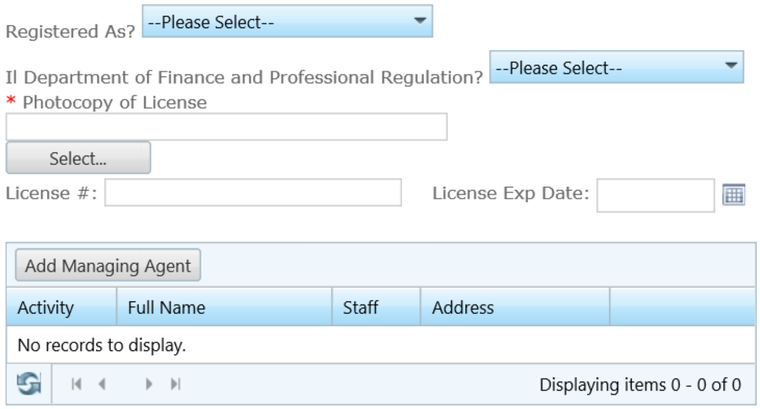
- *** Secretary of State:** (must provide)
  Firm can either submit the actual Certificate from the Secretary of State (must be less than one (1) year old) **OR** a screen shot of the website displaying "good standing" and a print date stamp at the bottom with **CURRENT DATE**, can be submitted like so:

- *** Illinois Department of Human Rights:** (must answer yes or no)
  Does your Firm have more than 15 employees? IF yes then you must supply the IDHR Number.

  ***Illinois Department of Human Rights:** Does your Firm have more than 15 employees? Yes

  * IDHR Number:

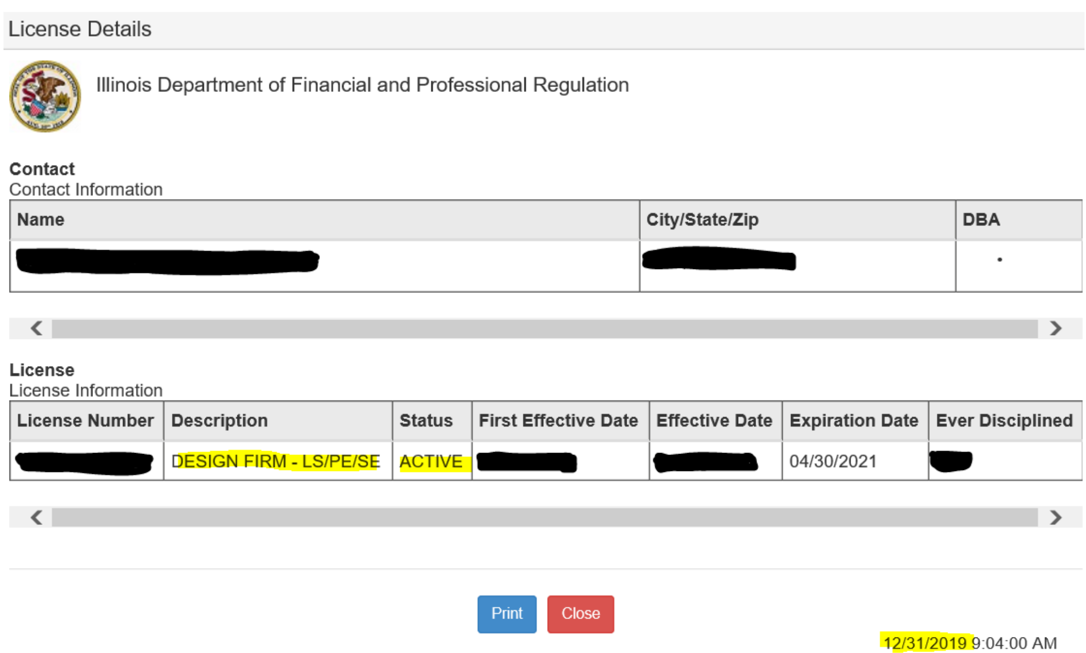
- *** Illinois Department of Finance and Professional Regulation (IDFPR) License:** The IDFPR license is required to be prequalified on **MOST** categories. Any category which requires staff to be licensed as an IL: PE, SE, PLS, and/or Architect requires the firm to licensed.



In the few instances it is **NOT** required, complete as follows:

1. For Registered as, chose "None"
2. The popup will disappear, and the requirement will go away.

Firm can either submit the actual License **OR** a screen shot containing the disciplines the firm is licensed in and the date the license expires.



License Details

Illinois Department of Financial and Professional Regulation

Contact
Contact Information

Name	City/State/Zip	DBA
[redacted]	[redacted]	.

License
License Information

License Number	Description	Status	First Effective Date	Effective Date	Expiration Date	Ever Disciplined
[redacted]	DESIGN FIRM - LS/PE/SE	ACTIVE	[redacted]	[redacted]	04/30/2021	[redacted]

Print Close

12/31/2019 9:04:00 AM

- **<u>* Performance Evaluation:</u>**
  Provide the individual who should receive the IDOT Performance Evaluation: (From Corporate Profile / Contacts Grid - this will be your Main contact or your optional Performance Evaluation contact).

- **<u>* Equal Employment Opportunity or Affirmative Action Program Policy:</u>** (must provide)
  This is a requirement, ensure the most recent plan is attached and submitted.

- **<u>* DBE Certification:</u>**
  If the firm is certified through the Illinois UCP (https://idot.illinois.gov/doing-business/certifications/disadvantaged-business-enterprise-certification/il-ucp-directory/index) EPAS will pull that information/confirmation that the firm is or is not DBE certified.

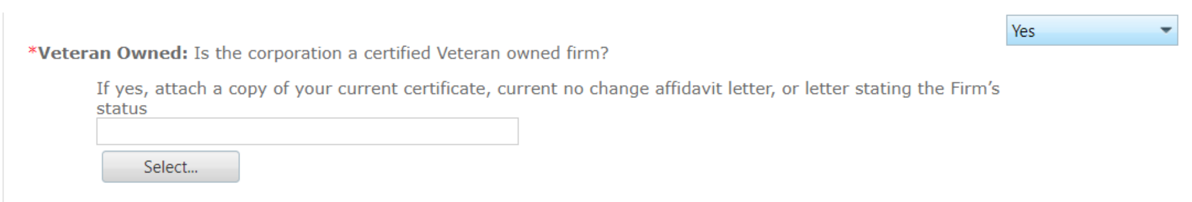
  Example of a firm who is not DBE Certified:

  ***DBE Certification:** Is the corporation a Certified DBE Illinois Unified Certification Program? No

  Example of a firm who is DBE Certified:

  ***DBE Certification:** Is the corporation a Certified DBE Illinois Unified Certification Program? **Yes**

- **<u>* Veteran Owned:</u>** (must answer yes or no)
  Is the corporation a certified Veteran owned firm? If yes, attach a copy of your firm's current certificate, current no change affidavit letter, or letter stating the Firm's status.



- **<u>* Insurance:</u>** (must provide)
  Attach the firm's current Insurance Certificate for any/all of the following insurance types (General, Automobile, Excess/Umbrella or Workers Comp & Employer's Liability, Professional Liability and/or other.

  For more information about insurance requirements, see "Standard Agreement Provisions for Consultant Services" sections 2.26 and 2.71.
  https://idot.illinois.gov/Assets/uploads/files/Doing-Business/Directories/Agreements/Highways/Design-and-Environment/StandardAgreementProvisionsForConsultantServices2018.pdf

  NOTE If your SEFC is currently locked for editing, and you need to submit your insurance, you can email it to: DOT.ConsultantServices@illinois.gov and be sure to send a copy to your IDOT project manager as well.

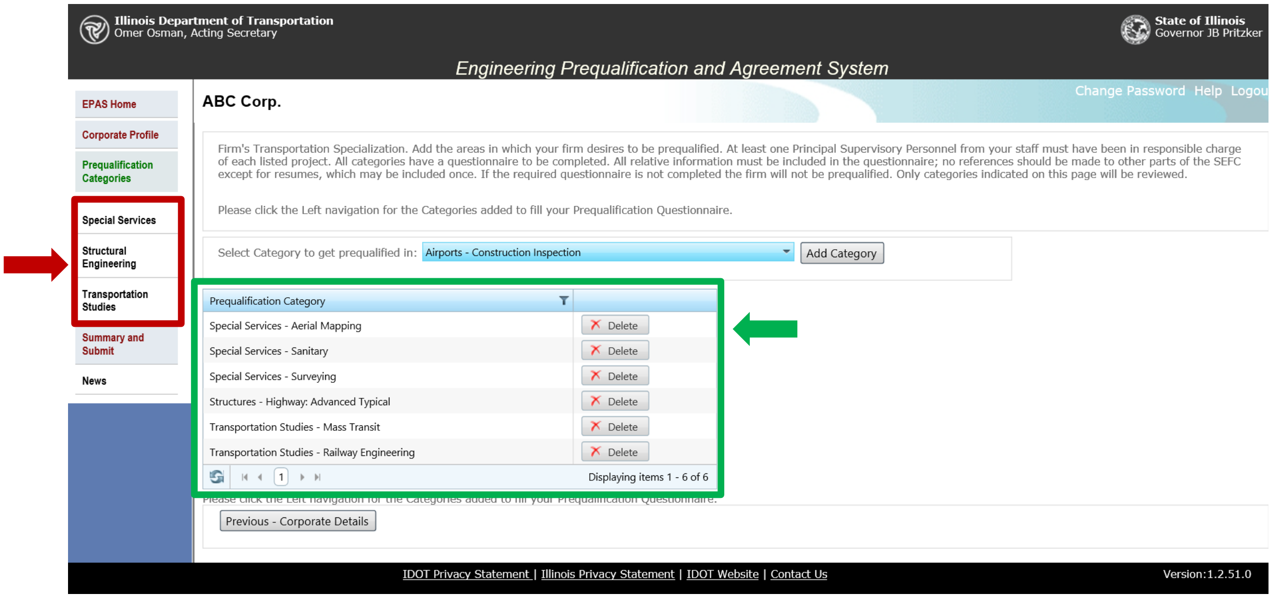
- **Authorized to Work:**
  This list should include all States in which the corporation is authorized to work:

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: This button will save the information and remain on the same page.
- Select ***Next***: This button will save the information and navigate you to the next page – Prequalification Category Page.
- Select ***Previous***: This button will Save the information and navigate you to the previous page – Staff Page.

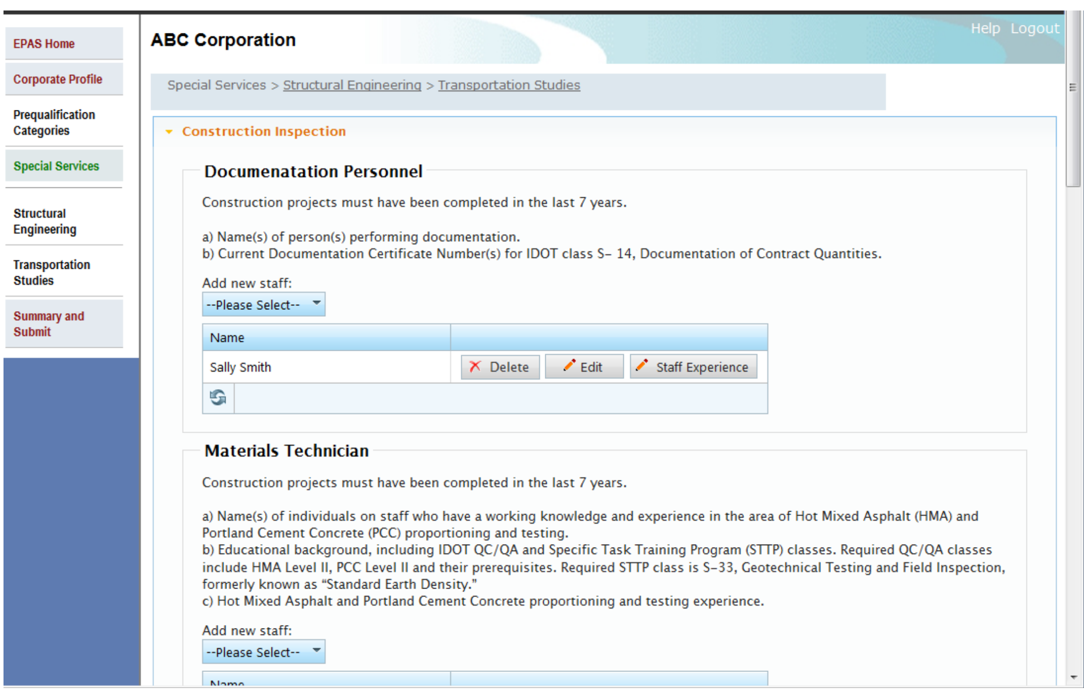
6.6 Prequalification Category Screen

Prequalification Screen

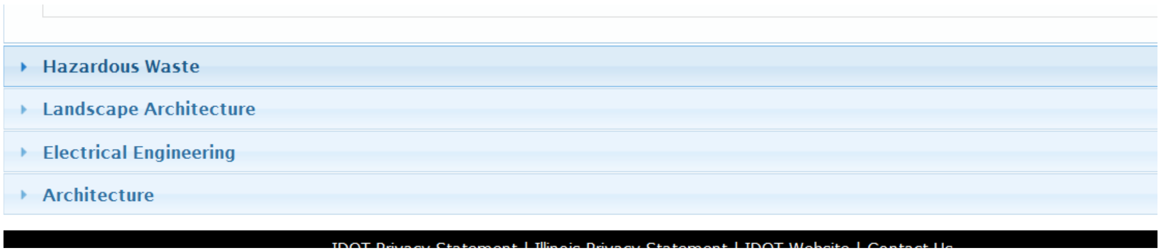


This is the Prequalification Category page. The next few screen shots show sample screens when filling out and navigating through the Prequalification Screen.

Questionnaire for Special Service – Construction Inspection Prequalification Category:

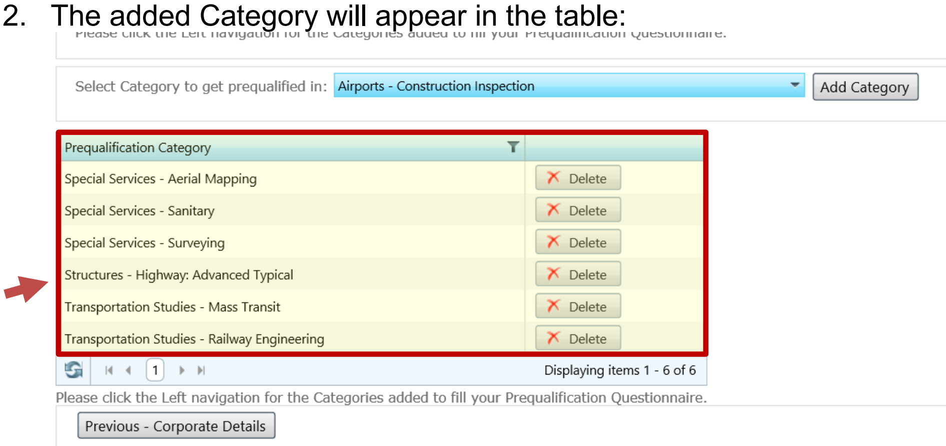


Other categories under the heading appear at the bottom of the page:

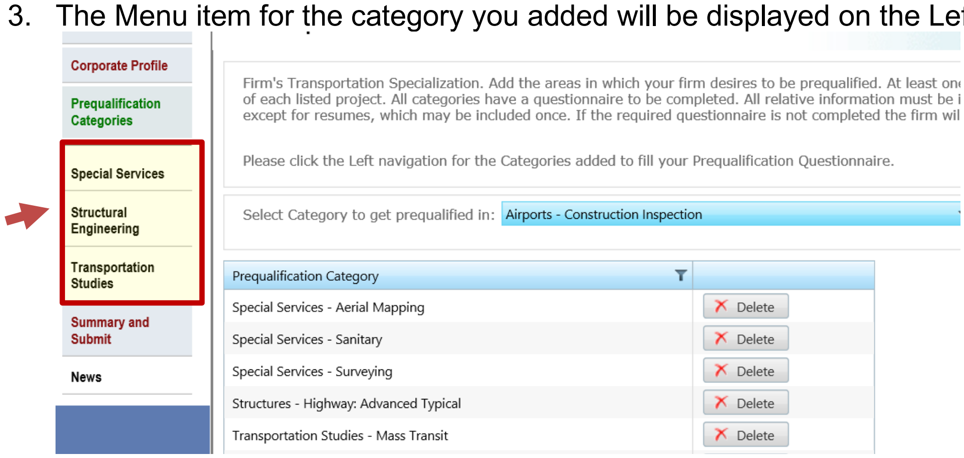


6.6.1 Add a Category

1. Select the Prequalification category and Select the ***Add Category*** button.
2. The added Category will appear in the table:



3. The Menu item for the category you added will be displayed on the Left Menu.



Select the general category from the Left Menu and the Questionnaire for the categories under the heading will be displayed.

6.6.2 Delete a Category

1. To delete a category, you will have to delete **ALL STAFF** listed within the prequalification category.

2. Once all staff has been removed within the prequalification category, you can then click ***Delete*** next to the category.

6.6.3 When to Update Categories

Prequalification categories are reviewed at every **NEW SEFC** submittal, as well as within an Amended SEFC if it is requested. Categories are **NOT** reviewed during a **Renewal SEFC**.

6.6.4 Completing Questionnaires

Few **NOTES** when filling out questionnaires:

- Be sure to review and provide the requirements for each category as described in the Description of Minimum Requirements for Prequalification, hosted on the IDOT website: http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Prequalification%20

- Include all the information requested in the Questionnaire, this is the information IDOT will view to prequalify your company. **ONLY LIST INFORMATION RELEVANT TO THAT CATEGORY.**

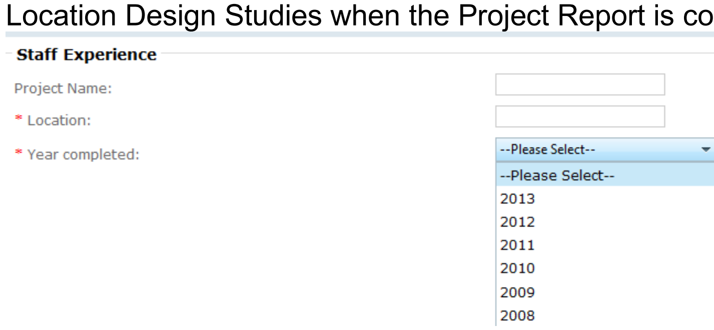
- Most of the questionnaires are set up in the same format. From the submittal, IDOT needs to be able to tell who was in charge, what everyone (lead/staff) did, and how much of the project was completed by the firm and staff.

- Also remember to remove **OUTDATED PROJECTS**.

- Each of the categories has a drop down listing the acceptable years of completion.

- Ongoing projects are **NOT CONSIDERED**, project must be completed to be considered. Completion is for the category being completed, for example, Roads & Streets is considered complete when the project plans are ready to go to letting. Survey when the survey is complete.

  Location Design Studies when the Project Report is complete.



- Overall general description:

Staff Experience

Project Name: PTB 111/Item 10 (IL XX)

* Location: ILXX (1st. Ave. to 5th St.)

* Year completed: 2012

* Provide an overall/general description of project,should be concise:
(text unlimited)

PS&E for IL XX. Project consisted of widening and resurfacing, with intersection improvements from 1st Ave. to 5th St. in Sangamon County.

- Scope is the specific thing the firm did, or staff did.

  This information must pertain to the category being requested, don't repeat the whole project, or include information for other categories.

  For example, if you are requesting Roads and Streets, use.

  If you are requesting Traffic Signals, use

* Scope of project:
(Only list specifically the services the firm provided that are applicable to this category.
Text is limited to a maximum of 1200 characters.)

(Project also listed under Firm Experience)
Project manager in charge of plans, special provisions and construction estimate.
Work included design calculations, typcial sections, roadway design(plan/profile) quantity calculations, intesection redesign, including traffic signals.

Or

Completed traffic signal design for the intersections at 2nd & 4th with IL XX.

- There are projects in which the staff and firm experience would be the same. If this is the case under the general description for the category, it can be referenced to something similar to this:
  - This project is also listed under Joe Smith's experience
  - For Staff, this project is also listed under firm experience

- You cannot reference other projects under different categories. Do not say under traffic signals the information is under the roads and streets categories, you will be denied.

Final step is submitting the application, see Section 6.7 Summary and Submit Screen.

6.6.5 Complex Categories

For some categories that do build on each other, you can apply for the highest category and get the lesser complex category. The following are applicable to this rule:

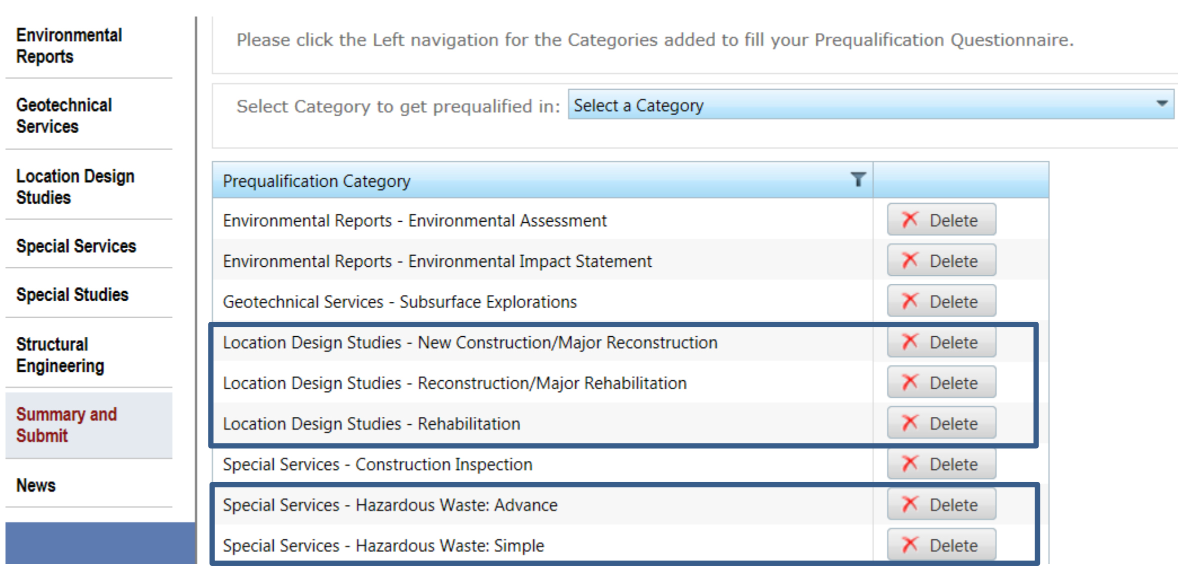
- **Structures: Highway: Complex**
  - Structures - Highway: Advanced Typical
  - Structures - Highway: Typical
  - Structures - Highway: Simple

- **Location Design Studies - New Construction/Major Reconstruction**
  - Location Design Studies - Reconstruction/Major Rehabilitation
  - Location Design Studies - Rehabilitation

- **Highways – Freeways**
  - Highways - Roads and Streets

- **Hazardous Waste: Advance**
  - Hazardous Waste: Simple

Each category the firm is interested in being considered would have to be added, meaning if you are applying for all three Location Design Studies, be sure to add all three of the categories, but only have to fill out the Location Design Studies - New Construction/Major Reconstruction questionnaire.



6.6.6 Environmental Prequalification Instructions

Review the Description and Minimum Requirements for current applicable criteria for prequalification in:

- **Environmental Assessment (EA)**
- **Environmental Impact Statements (EIS)**

https://idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20And%20Minimum%20Requirements%20For%20Prequalification.pdf

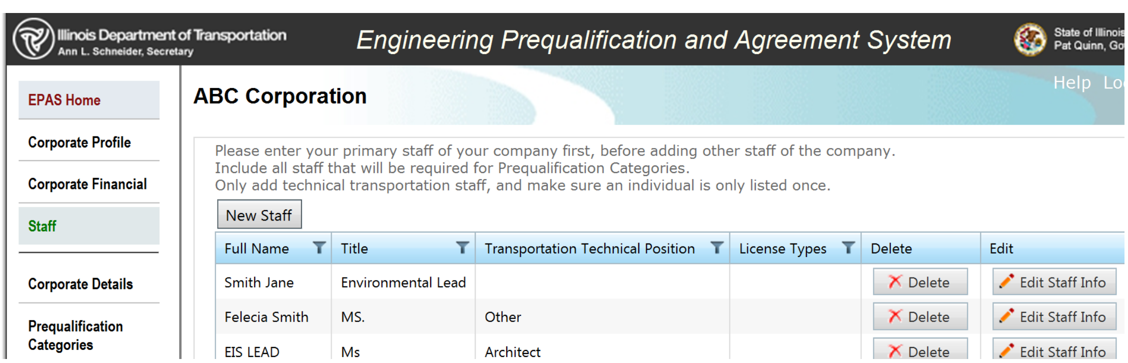
All firms requesting prequalification for EA or EIS must complete the corresponding EPAS Environmental Questionnaires and must include required credentials for all completed NEPA documents and training courses. If applying for both EA and EIS both questionnaires must be completed.

IMPORTANT - BEFORE YOU BEGIN:

1. Please note that all members of your firm's staff AND any subconsultants employed by other firms you plan to assign for any of the environmental disciplines must FIRST be entered as "NEW STAFF" on the Corporate Profile/Staff screen shown below. (SEE the following page).
2. When entering "NEW STAFF" information for a subconsultant, **DO NOT COPY** the Staff Information as answered directly by the individual. Answers to several questions concerning their employment status, including, "Is full-time," "Is Consultant" and "Consulting Firm Name" must reflect the individual's relationship to YOUR FIRM. (I.e., is full-time = No; Is Consultant = Yes; and Consulting Firm Name = THAT INDIVIDUAL's EMPLOYING FIRM, not YOUR firm name.)
3. Data entered in these fields must be correct for EPAS and IDOT staff to recognize an individual as a subconsultant to your firm.
4. ***Failure to supply accurate data in these specific fields for any subconsultant your firm plans to use (even if noted elsewhere in your submittal) will result in your firm being denied in the EA and/or EIS categories.***

(*The following examples illustrate EPAS screens that must be completed and may be used as guidelines.)*

Corporate Profile/Staff Screen



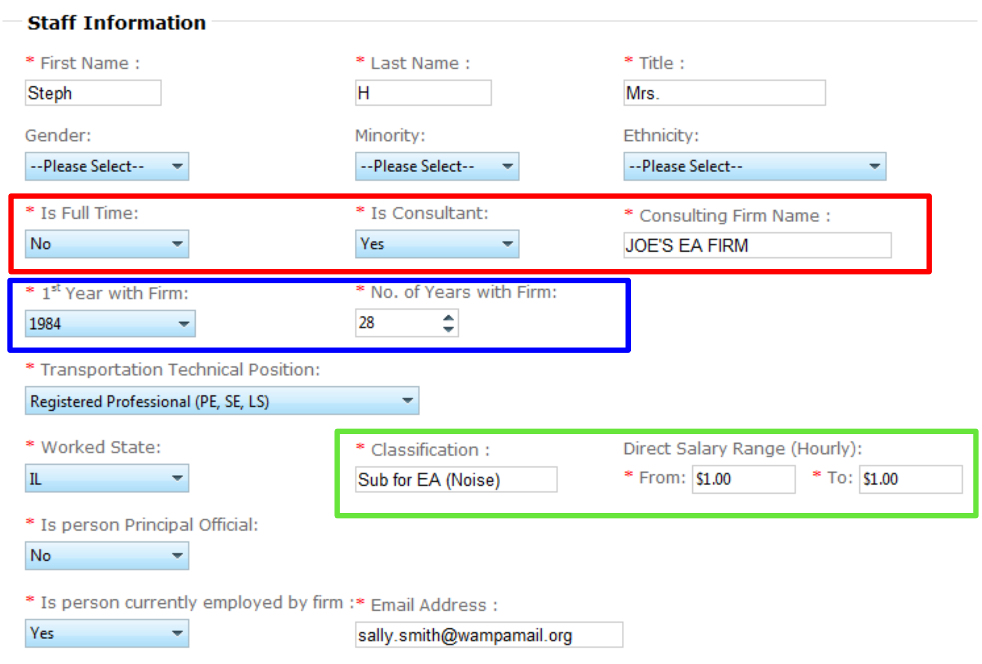
Staff Information Screen

For <u>in house staff</u>, enter all Staff Information as shown in this Manual under "[Add Staff](#)."

6.6.6.1 For Environmental Staffing being used from another firm

If you intend to use one or more **SUBCONSULTANTS** to meet the required environmental disciplines, the Staff Information for each of these persons **MUST** be completed as shown next.

Failure to answer the question "Is Consultant" Yes and properly include the CONSULTING FIRM NAME (their employing firm's name) for any subconsultants will result in your submittal being denied.



Staff Information

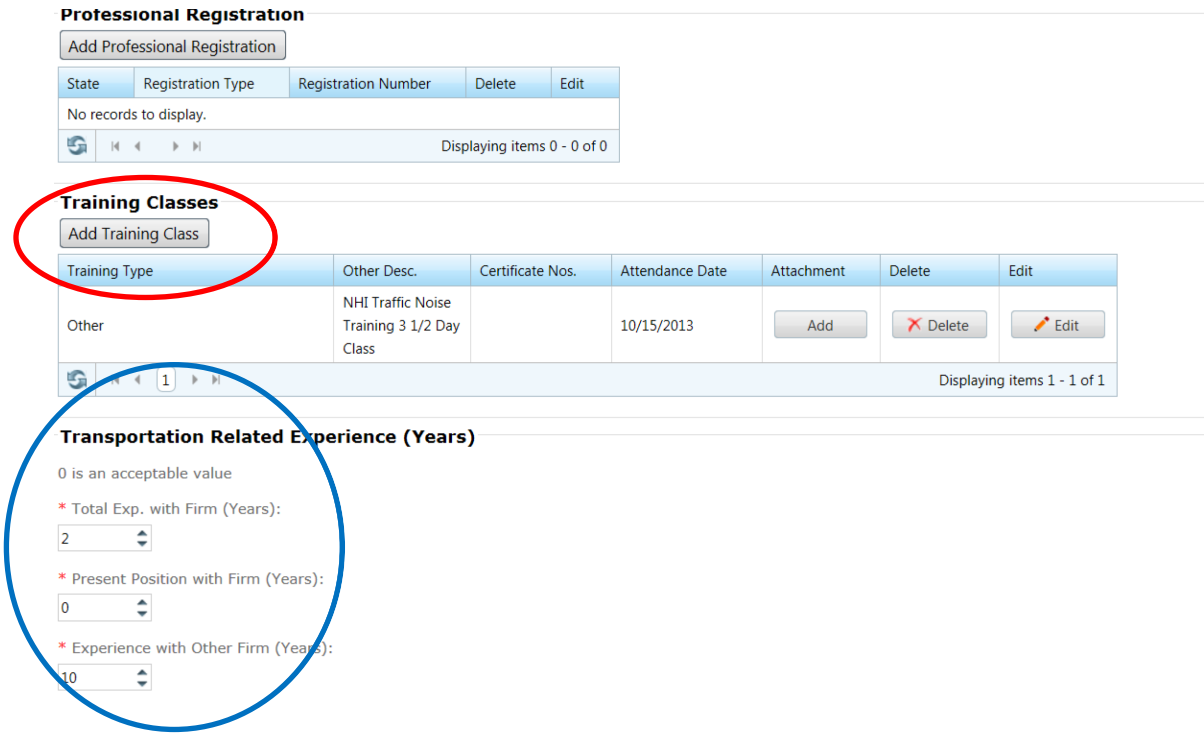
* First Name : Steph
* Last Name : H
* Title : Mrs.
Gender: --Please Select--
Minority: --Please Select--
Ethnicity: --Please Select--
* Is Full Time: No
* Is Consultant: Yes
* Consulting Firm Name : JOE'S EA FIRM
* 1st Year with Firm: 1984
* No. of Years with Firm: 28
* Transportation Technical Position: Registered Professional (PE, SE, LS)
* Worked State: IL
* Classification : Sub for EA (Noise)
Direct Salary Range (Hourly): * From: $1.00 * To: $1.00
* Is person Principal Official: No
* Is person currently employed by firm : Yes
* Email Address : sally.smith@wampamail.org

- **RED Outline**: Responses to the 3 boxes above outlined in <u>**RED**</u> must be completed as shown in order for EPAS and IDOT BDE to recognize an individual as a subconsultant assigned by your firm. If so, the answer to "**IS FULL TIME**" [employed by YOUR FIRM] must be **NO**; you **MUST** respond **YES** to "**IS CONSULTANT**" and you **MUST** complete the next box indicating the **CONSULTING FIRM NAME** by whom the person is employed. If the CONSULTING FIRM NAME is not properly included <u>at this location in EPAS</u>, ***even if it is mentioned elsewhere in your submittal***, your firm will be **DENIED** prequalification for EA and/or EIS.

- **BLUE Outline**: The portion outlined in <u>**BLUE**</u> refers to the first year and total number of years this person has been employed by their current firm.

- **GREEN Outline:** If the person's specific job classification and salary range are known, they should be included in the <u>**Green**</u> portion; otherwise, complete as shown above.

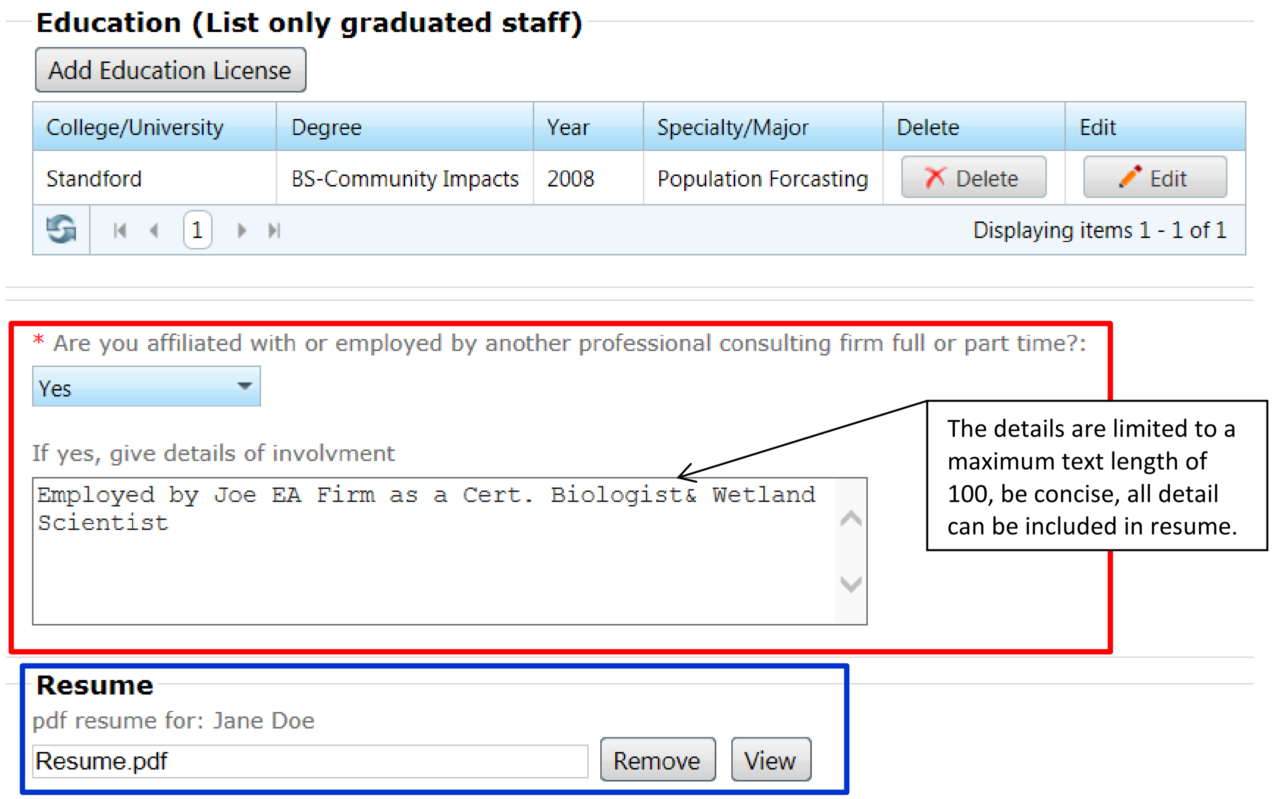
6.6.6.2 Adding Staff Information



- **RED Circle: Training classes** (circled in **Red**) should include all NEPA training and other courses applicable to the person's specialty or assigned discipline. (Both recommended and required training courses are listed in the Description and Minimum Requirements for Prequalification: https://idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20And%20Minimum%20Requirements%20For%20Prequalification.pdf.)

  Certificates of Completion **MUST** be attached to receive credit for training classes (i.e., documentation of required Noise training is mandatory for all persons requesting prequalification for that discipline).

- **BLUE Circle: Transportation Related Experience** (circled in **Blue**) is used to indicate the person's total number of years of transportation related experience (employment) with their present firm, in their present position, and their number of years with other firms. (If no previous employing firms, enter 0.)



- **RED Square**: In the **Education** category, if you answer **YES** to the "affiliated with or employed by another firm" question (in **Red**), additional brief details about the firm or your involvement should be included, as shown in this example (Note limited to 100 Characters).

- **BLUE Square**: Information supplied in a person's **Resume** (in **Blue**) will be analyzed by IDOT environmental specialists to determine if it reflects all requirements for the person's assigned discipline(s). In addition, a higher level of NEPA experience is required to be prequalified at the EIS level.

  IMPORTANT: It is essential that resumes for all persons requesting Environmental prequalification in any capacity and for any assignment thoroughly ***detail their educational background, training, and experience RELATIVE TO THEIR DESIGNATED ENVIRONMENTAL DISCIPLINE(S) OR ASSIGNMENTS.***

  To demonstrate their level of expertise, all highway related NEPA experience should be specified. (Example: A Noise specialist's resume should thoroughly explain their highway noise-related assignments and identify specific projects on which they worked. Certificates of Completion for required Highway Traffic Noise Fundamentals & TNM Computer Modeling courses must be attached.)

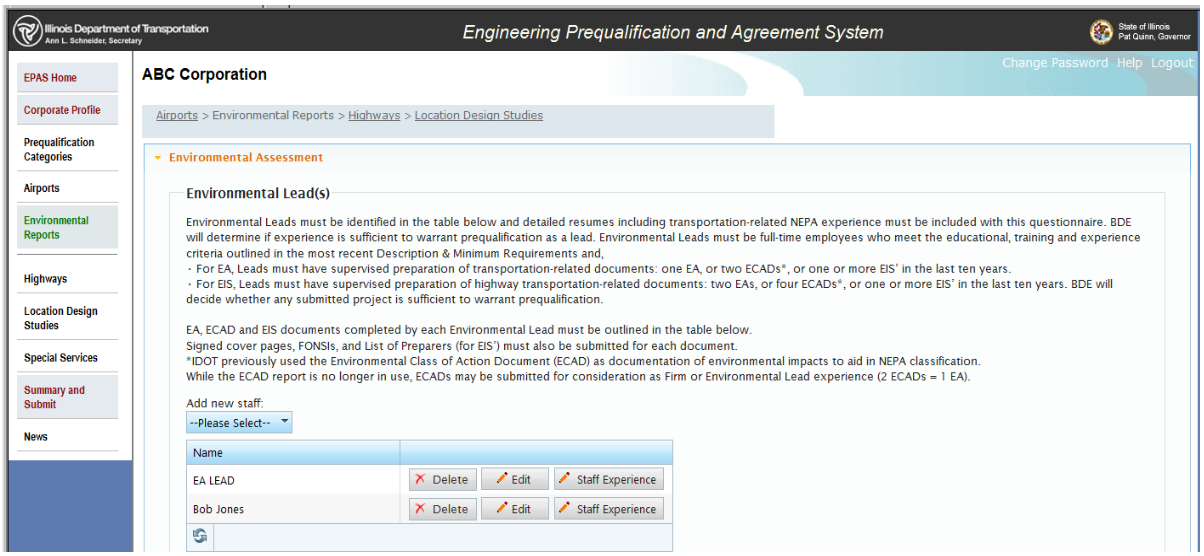
6.6.6.3 Questionnaire

After all, NEW STAFF (including subconsultants') names have been entered and their Staff Information is completed, you may begin the **Environmental Questionnaire** shown below.

NOTE: Your EPAS submittal must indicate if you are requesting prequalification for **EA only** or for **BOTH EA and EIS.** If requesting **BOTH** categories, you must complete both the EA and EIS Questionnaires.

The first category on both Environmental Questionnaires (for EA and for EIS) is Environmental Lead(s).

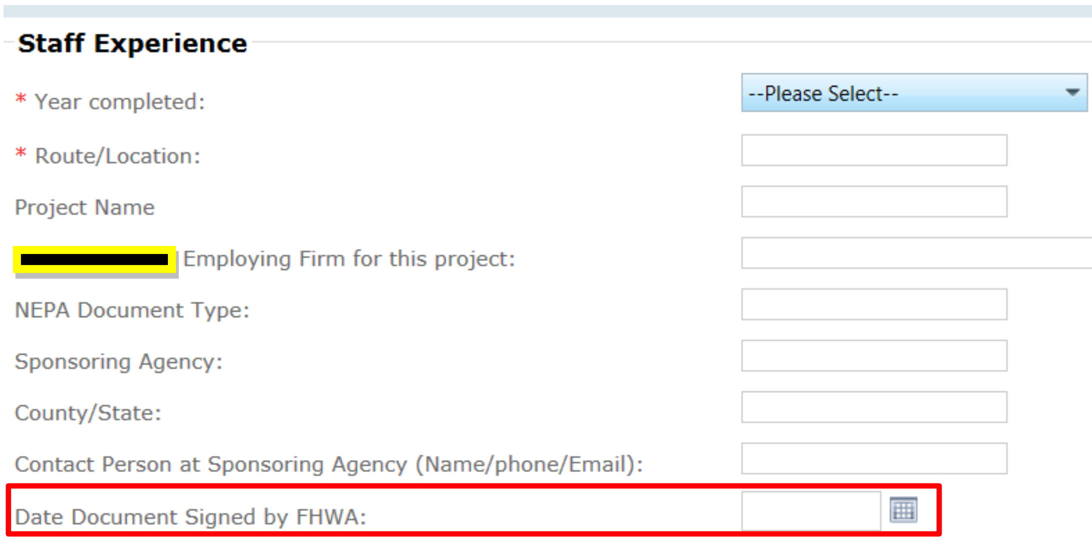
Environmental Questionnaire



(1) ENVIRONMENTAL LEAD(S)

1. Begin the Questionnaire by selecting the name of the first person assigned as an Environmental Lead.

2. Next, click to add that person's **Staff Experience**.


Staff Experience

* Year completed: --Please Select--

* Route/Location:

Project Name

[redacted] Employing Firm for this project:

NEPA Document Type:

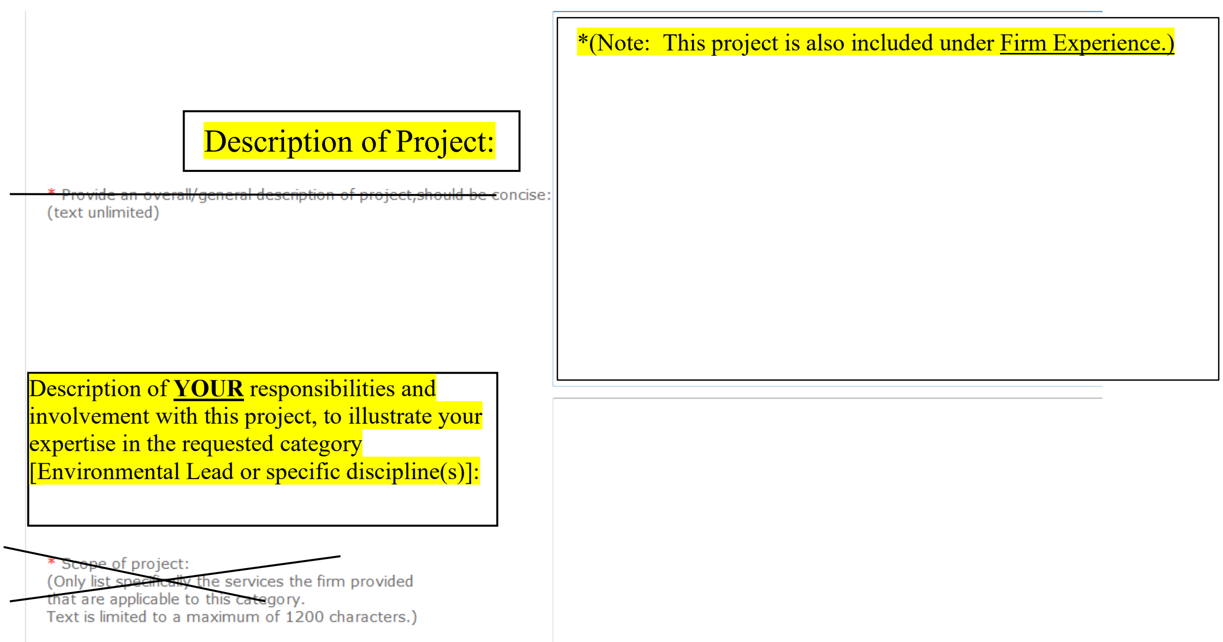
Sponsoring Agency:

County/State:

Contact Person at Sponsoring Agency (Name/phone/Email):

Date Document Signed by FHWA:

3. Use the **Staff Experience** section to detail specific NEPA documents for which the person served as the Environmental Lead. (Note: Only one person is eligible for credit as Lead of a document.) "Employing Firm for this project" will indicate whether the submitting firm is also eligible for credit. (If the Lead was employed by another firm at the time, only that firm may receive Firm experience credit.) **THE DATE DOCUMENT SIGNED BY FHWA MUST BE COMPLETED.** (Refer to bookmarks to learn how to use the calendar.) No credit is allowed for incomplete documents OR documents without proper documentation included.


Description of Project:

~~* Provide an overall/general description of project,should be~~ concise:
(text unlimited)

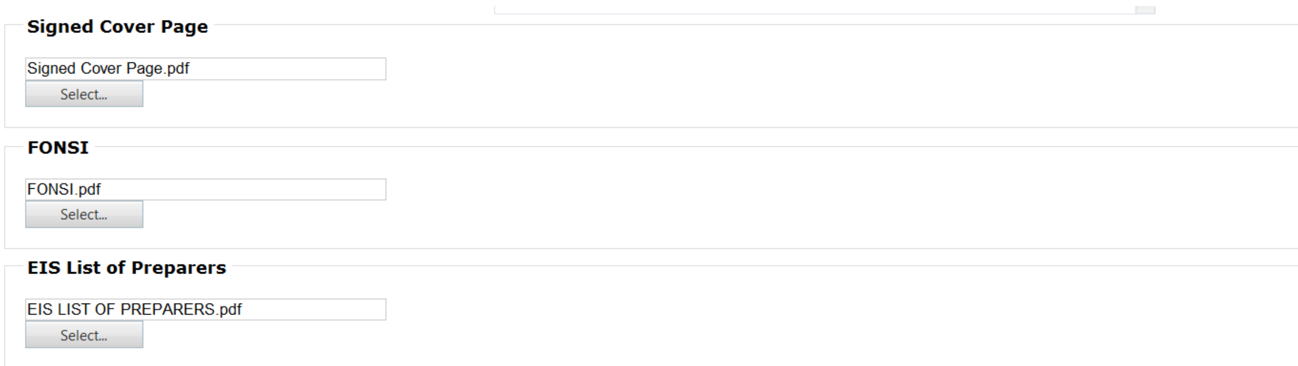
*(Note: This project is also included under Firm Experience.)

Description of **YOUR** responsibilities and involvement with this project, to illustrate your expertise in the requested category [Environmental Lead or specific discipline(s)]:

~~* Scope of project:~~
~~(Only list specifically the services the firm provided~~
~~that are applicable to this category.~~
Text is limited to a maximum of 1200 characters.)

4. The **Description of Project** should be concise and specific as to the firm's work/responsibilities involved, including the nature & extent of environmental work. If the same **Staff or Lead Experience** project is also being submitted as **Firm Experience**, please note as indicated in the Description of Project. *

5. Use the box below the Description of Project to explain **YOUR SPECIFIC ROLE AND RESPONSIBILITIES**, either as the Lead or for a specific discipline on this project. (Do not repeat the Project Description data in this space or include [i.e., cut & paste] another staff person’s responsibilities in this space.)



6. Finally, attach required signature page, FONSI or List of Preparers for the document.

7. Repeat this process for each document completed by this Environmental Lead in the past 10 years and for any other Environmental Leads being proposed.

(2) ENVIRONMENTAL STAFF(S) – COMMUNITY IMPACTS

1. Select the name of the first person being proposed for Community Impacts.

2. Next, click to add the person’s Staff Experience related to Community Impacts, including specific NEPA documents on which they worked. Describe their responsibilities and involvement with each project to illustrate their expertise in the category of Community Impacts.

3. ***Repeat this process*** for each person being proposed for Community Impacts, Ecology, Water, Public Involvement, and Technical Writing.

When all staff data is complete, the remaining category is used to document your ***Firm Experience.***

(3) FIRM EXPERIENCE:

IDOT considers both Firm experience and individual staff experience in determining Environmental prequalification. This section is for projects completed by your firm. The Environmental Lead’s name and the Date Document Signed by FHWA must be completed. (Refer to bookmarks to learn how to use the calendar.) No credit can be given for incomplete documents. The Description of Project should be concise and specific as to the firm’s work/responsibilities involved, including the nature and extent of environmental work. Note: If the same Firm Experience project is also being submitted as Environmental Lead or Staff Experience, please note as indicated in the Description of Project.

Once all project data has been completed and saved, attach the required documentation (Signed Cover Page, FONSI, EIS List of Preparers) in PDF format.

Firm Experience for Environmental Consultants

* Year completed: --Please Select--

Project Name

PTB Item #/Project Name:

Client:

Environmental Lead for this project:

NEPA Document Type:

Sponsoring Agency:

* Route/Location:

County/State:

Contact Person at Sponsoring Agency (Name/phone/Email):

Date Document Signed by FHWA:

Note: This project is also listed under Mr. Jones' Environmental Lead Experience and Mr. Smith's Staff Experience.

Description of project:

This project submittal of your **Firm Experience**. Once it is saved you may edit, if necessary, the following documents.

- Signed cover attachment
- FONSI attachment
- EIS List of preparers attachment

Sample of firm experience filled out: Informational purposes only.

Firm Experience for Environmental Consultants

* Year completed:	2011
Project Name	IL Route XX
PTB Item #/Project Name:	New Route XX
Client:	Lake City
Environmental Lead for this project:	Bob Roberts
NEPA Document Type:	EA
Sponsoring Agency:	Lake City
* Route/Location:	IL XX
County/State:	Lilly Pond
Contact Person at Sponsoring Agency (Name/phone/Email):	TOM TTOM@LAKE.COM
Date Document Signed by FHWA:	11/29/2011
Description of project:	Note: This project is also listed under Mr. Jones' Environmental Lead Experience and Mr. Smith's Staff Experience. Proposed realignnment of IL XX on exisitng and new alignment, with proposed bike path and drainage corrections. Firm was responsbile for the Final Environmental Assesement, including cultural resouce analysis, parks & recreation resources, Sectin 106 analysis, & Section 4(f) documentation for the M-15 EIS. Alternative anaysis, community impacts, agency coordination and QA/QC was provided for the signed documents.

If a firm is applying for EIS and EA, both questionnaires must be completed. If there is duplicate information, the statement above is suggested for inclusion.

6.6.7 Specialty Category

This is used only when IDOT requires a firm to have an overhead rate, and a Statement of Experience and Financial Condition (SEFC) will be required to be completed. This occurs when a firm is performing specialty work (work not covered by one of the established prequalification categories).

Regardless of the firm being a prime or subconsultant overhead rates are approved through an EPAS submittal.

IMPORTANT: IF your firm is prequalified in categories already, specialty category addition will not be allowed and will be asked to be removed from your SEFC application. “Specialty” is only set aside for firms who fit in no other prequalification category.

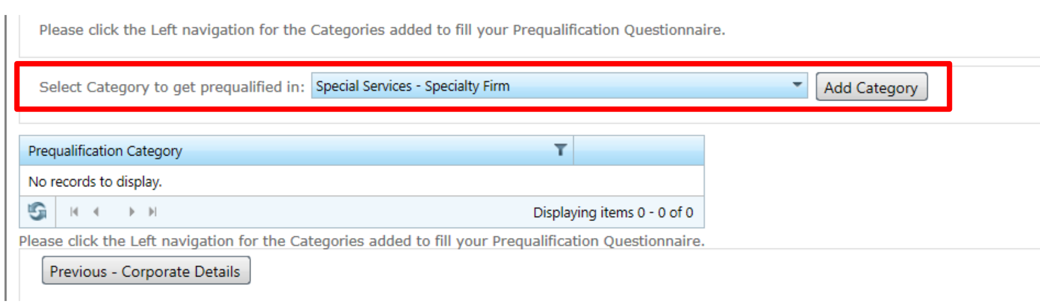
To get started:

1. Establish an EPAS account, review Section 4.

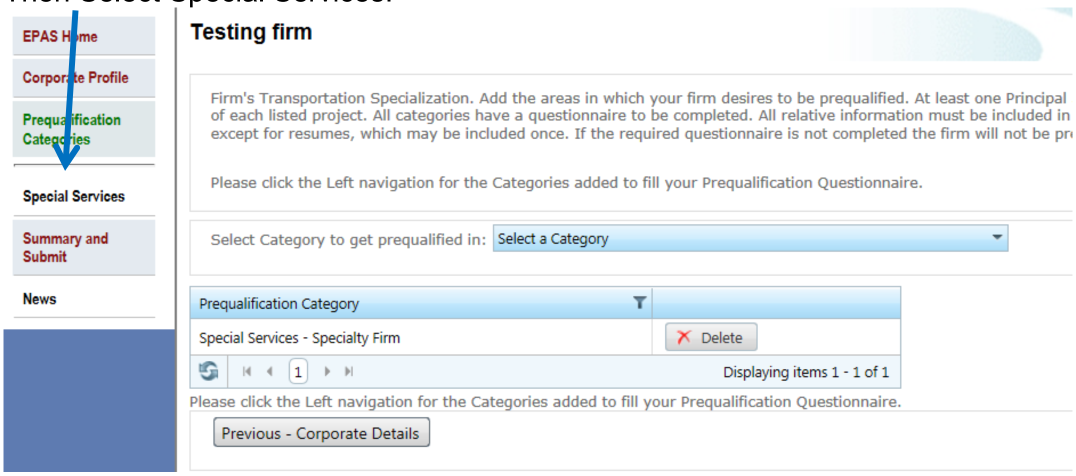
2. Follow, Section 6 for details on completing a SEFC Application.

3. For staff entry, list key staff, which is the staff performing the required specialty work.

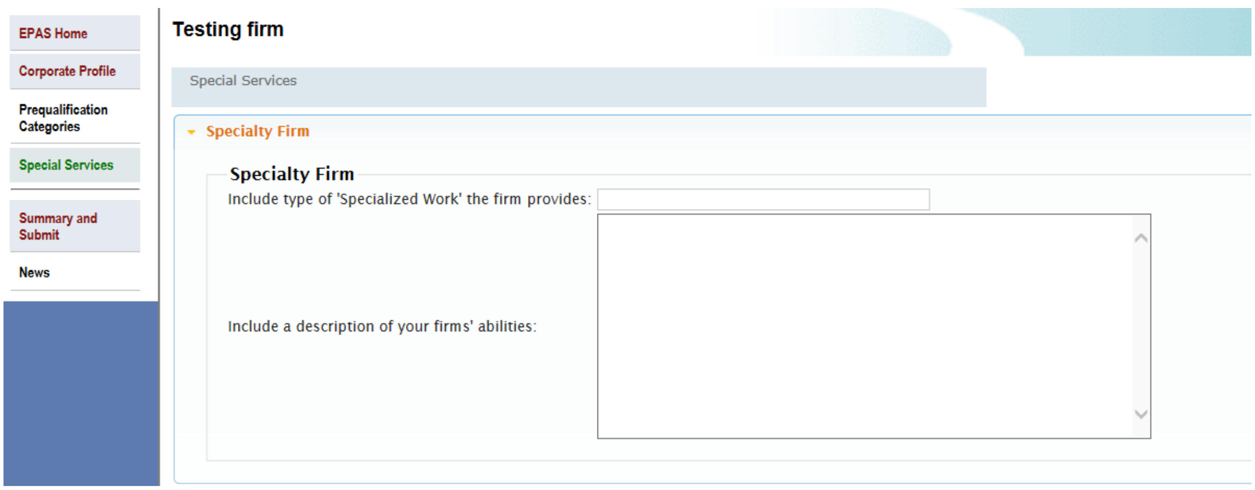
4. For the prequalification category, select “Special Services-Specialty Firm” and then Add Category.



5. Then Select Special Services:



6. Then include the type of services the firm provides and a description of your firms' abilities.



- **Firm provides**: Brief title of work the firm supplies
- **Description of services**: Include the details of the specific work the firm provides, information may show type of services, firm may include firm projects, equipment is applicable, etc.

NOTE: IF the Description of your firms' abilities is **NOT** filled out your SEFC will be returned to you and asked to provide this.

Once all the information is completed select ***Summary Submit*** and follow the instructions on submitted under Section 6.7 Summary and Submit Screen.

NOTE: Please remember to **SAVE** your application on a regular basis.

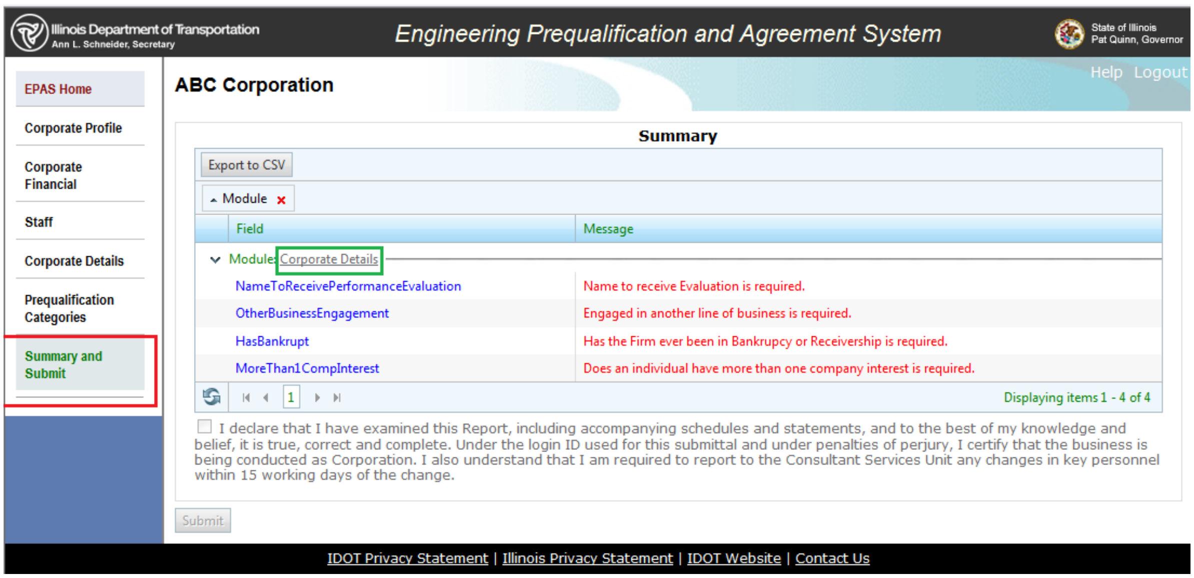
6.7 Summary and Submit Screen

When ready to submit your application to IDOT, Select the ***Summary and Submit*** menu. (See **red** box highlighted in above screen).

Please review the check sheet on the next page to cross check everything has been added/updated prior to submitting.

This screen will display all required information that has not been answered and is required by IDOT for you to submit.

Summary and Submit Screen



If there are no errors, check the "I declare that I have…..." acknowledgement box and the Submit button will be enabled.

Select the ***Submit*** button to submit your application to IDOT.

Your status should change from **In Progress** to **SUBMITTED**.

A message box will be displayed informing you that after submittal you will not be able to edit the SEFC application. Please make sure all information is accurate before submitting.

NOTE: There can only be one SEFC submitted at a time. You cannot do an Amended SEFC, or any other SEFC at this time while the current one is in review.

6.7.1 Resolving the Errors

- By Selecting the hyperlink (depicted above in the green box), the system will take you to the appropriate page to fix the errors.

- You can Select the *Export to CSV* button to list the errors in a document and print it out in an excel spread sheet.

- Once all the errors are resolved, the Check box – “I declare that I have…...” will be enabled. Check this acknowledgement box and the Submit button will be enabled.

6.7.2 SEFC Check sheet

The following is a tool to ensure everything is in order prior to submitting your SEFC:

☐ **CORPORATE PROFILE**

☐ **Contact**: Contact information is current and up to date

☐ **CORPORATE FINANCIAL**

☐ **Question 1**: is your audit by a State or Federal Agency

- If yes attach cognizant audit

☐ **Question 2**: have you been in business for more than one fiscal year

☐ **Question 3:** are you attaching overhead rate data

☐ **Tax Return**: provide copy of Federal filed taxes

- If not previous years taxes with the tax extension

☐ **Trial Balance**: lists all account balances.

- No profit/loss statements or Chart of Accounts

☐ **AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers**

☐ **Overhead Rate**: provide detailed information on how rate was obtained

- Overhead rate **CANNOT** be a temporary rate until a real rate is est.
- Must be completed by the deadline that SEFC submittal is due (June 30th for most firms)
- No time extensions

☐ **Certificate of Final Indirect Costs**:

- Is a legal document certifying your overhead rate is correct
- If you knowingly submit a temporary overhead rate with this document, there could be consequences.

☐ **Compensation Analysis**

☐ **Bonus Data**

☐ **Question 4**: firm have multiple rates

- If yes supply at least two rates

☐ **Direct Cost:** sheet is correct

- These are not pay rates

☐ CORPORATE DETAILS

- ☐ **Consultant's Financial Disclosure Statement**
- ☐ **Disclosure of Business Operations in Iran**
- ☐ **Secretary of State Certificate**:
  - Shows firm is currently in good standing with timestamp on it
  - Has a current date on it - within one year old
- ☐ **Professional License**: is current
- ☐ **EEO/Affirmative Action Program Policy**: up to date and current
- ☐ **Veteran's certificat**e: if applicable, is current
- ☐ **Certificate of Liability Insurance**: all dates current

☐ PREQUALIFICATION QUESTIONNAIRE(S)

- ☐ **Requirements**: reviewed the Description of Minimum Requirements and complied
- ☐ **Completion Dates**: have correct completion dates and are fully completed
  - Phase 1 is when TS&L has been completed
  - Phase 2 is when PS&E has been completed
  - Phase 3 is when construction has been completed
- ☐ **Projects**: are relevant
  - i.e., Roads & Streets: no bike paths, ADA ramps, etc.…
  - Phase 1 projects only contain phase 1 information
- ☐ **Experience**: new projects have been added
  - Old projects have been deleted

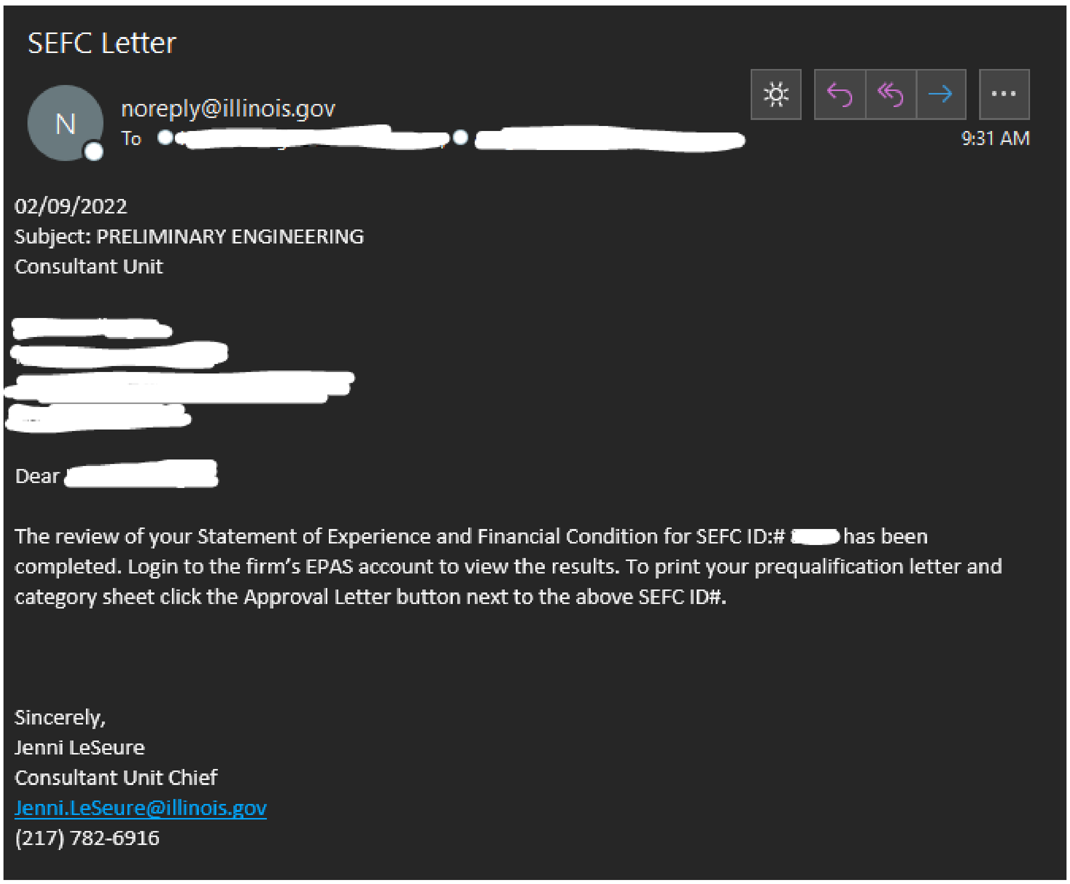
If any of the above are not correct, your submittal will be returned.

6.8 SEFC Approval

Once the SEFC is approved, an email will be sent to the Main and Financial contact person that was supplied under "Corporate Profile" screen.

The email will be from the following address: noreply@illinois.gov. It might be a good idea to save this email address in your email provider, so it doesn't automatically go to the "junk" folder.

Approval Email


SEFC Letter

noreply@illinois.gov
To [redacted]
9:31 AM

02/09/2022
Subject: PRELIMINARY ENGINEERING
Consultant Unit

[redacted]

Dear [redacted]

The review of your Statement of Experience and Financial Condition for SEFC ID:# [redacted] has been completed. Login to the firm's EPAS account to view the results. To print your prequalification letter and category sheet click the Approval Letter button next to the above SEFC ID#.

Sincerely,
Jenni LeSeure
Consultant Unit Chief
Jenni.LeSeure@illinois.gov
(217) 782-6916

7 WHEN AND WHAT TO SUBMIT: START NEW; RENEW; OR AMEND

All firms are required to submit their SEFC on an **ANNUAL BASIS**, with the due date being six (6) months after the end of the firms Fiscal Year. Firms are required to submit a New SEFC every third year based on the firm's name. See chart below on when a New or Renew SEFC is due.

Not submitting by the required due date will result in the firm being **NOT APPROVED**.

For example, if your firm's fiscal year ending date is December 31st, your annual SEFC is due no later than June 30th.

There are three (3) types of SEFC, and they are as follows:

1. **New SEFC** *: is a complete submittal.

   All information is updated, and all categories are reviewed. (This is every **THREE (3) YEARS**). For firms currently prequalified most data is carried over into the new application.

2. **Renew SEFC** *: is for the corporate and financial data, such as the ownership, firm's licensing, insurance, and overhead rate data. The Categories and staffing are **NOT** reviewed during the Renewal submittal and will not be reviewed at this time.

   IMPORTANT: If staffing and categories updates are needed, they should be done through an **AMEND** option not at the renewal time because the system doesn't recognize these changes.

3. **Amend SEFC**: is used anytime there are changes that need to be made to a previous submittal. Following are a few examples of an Amend SEFC:
   - Contact information changes, phone, e-mail, addresses
   - Staffing changes that affect firms' prequalification and/or annual fee capacity (When deleting staff, the staff must first be deleted from questionnaires before being deleted from Staff area)
   - Updating Insurance
   - If an extension was used in supplying tax information and the completed tax return needs to be entered.
   - Requesting additional and/or re-applying for a prequalification category.

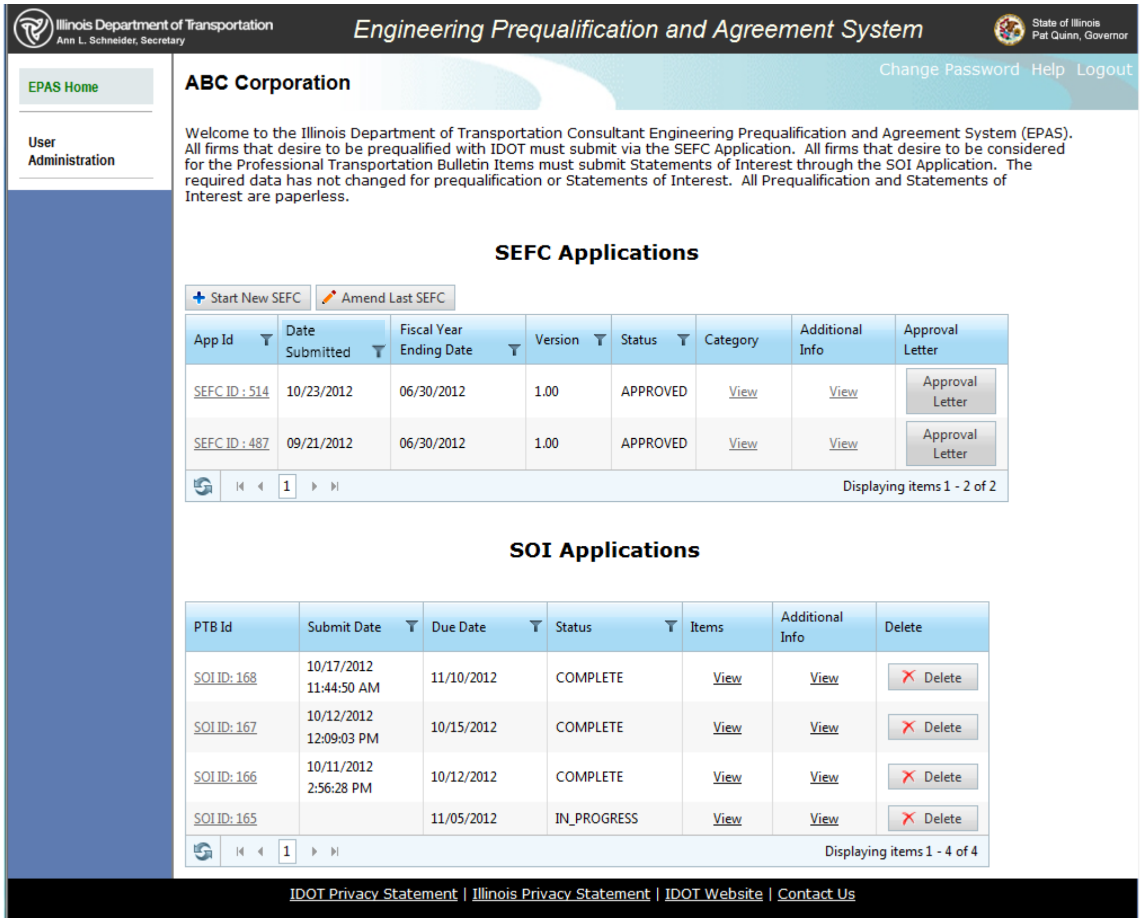
Firm's submittals are based on the **CALENDAR YEAR** they are submitting within:

THE YEAR SHOW IS WHEN THE EPAS SUBMITTAL IS DUE							
Firm Name Beginning with:	2022	2023	2024	2025	2026	2027	2028
A - E	NEW	RENEW	RENEW	NEW	RENEW	RENEW	NEW
F - N	RENEW	NEW	RENEW	RENEW	NEW	RENEW	RENEW
O - Z	RENEW	RENEW	NEW	RENEW	RENEW	NEW	RENEW

** Submitted **yearly** depending on your firm's name as shown in chart above.*

7.1 Start New SEFC

EPAS Home Screen



1. Select the ***Start New SEFC*** button

2. Progress through entire application and fill in all information that has been erased (financial data for previous fiscal year), or that has changed since your last submittal

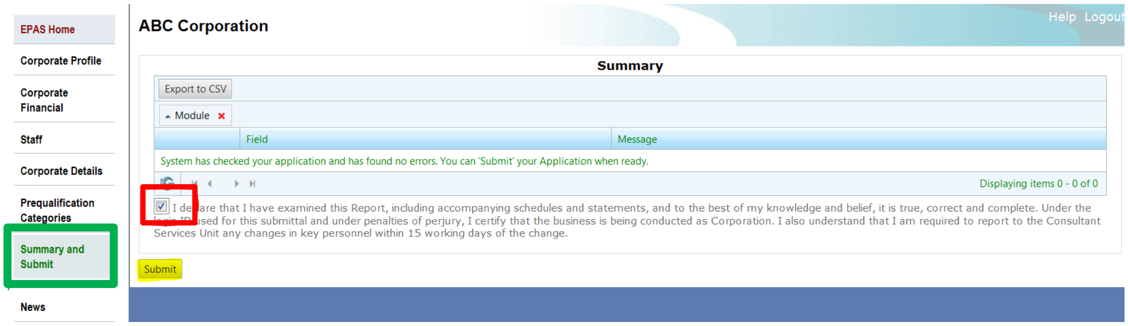
3. Update questionnaires by:
   - Adding jobs that have been completed since last submittal and remove all jobs that are outside of the allowable timeframe
   - Job dates are for completions for a specific category and **SHOULD NOT BE MODIFIED.** If it was completed in 2010, it should not be completed in 2011 now.
   - Projects not completed and are ongoing are **NOT** considered
   - To Delete staff, review section 6.4.2 Delete Staff

4. At the Summary and Submit page, make sure to check the box and hit the **SUBMIT** button. Saving it does **NOT** submit the application.

   If the status says **IN PROGRESS**, it is in the firm's work queue.

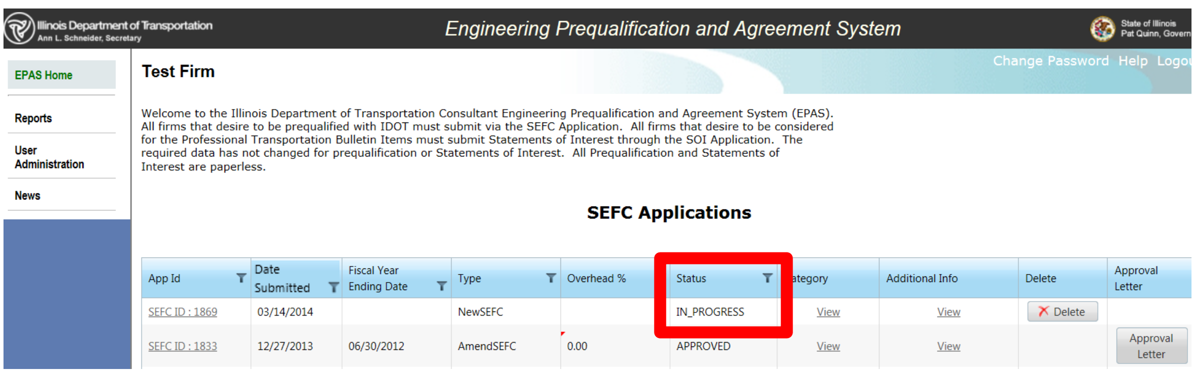
When the status says **SUBMITTED** it is in IDOT's work queue and the firm will not have access to the application until IDOT completes the review.

Summary and Submit screen



IMPORTANT: IN_PROGRESS means the application is in the firms work queue. IDOT **DOES NOT** have access to your application currently.

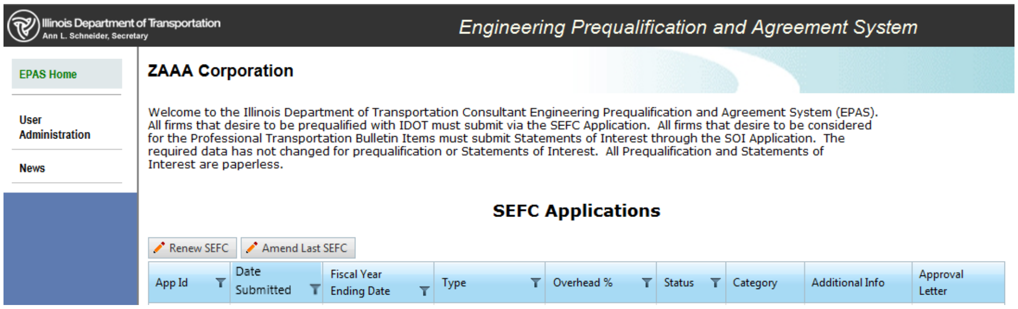
Screen shot of view when NOT submitted to IDOT



7.2 Renewing a SEFC:

Renew is for the corporate and financial data, such as the firm's licensing, insurance, and overhead rate data. The Prequalification Categories and staffing are **NOT** reviewed during the Renewal submittal.

EPAS Home Screen



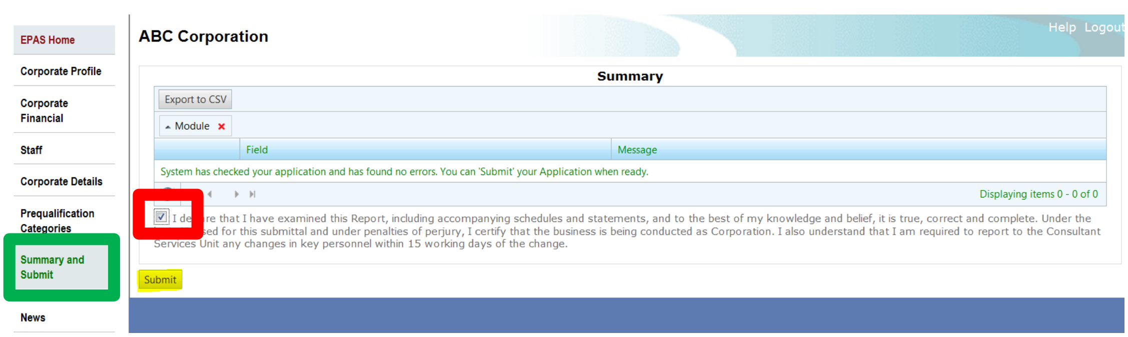
1. Select the ***Renew SEFC*** button.
   This is used annually when only the Corporate and Financial portion of the SEFC is required.

2. Progress through entire application and fill in required information.

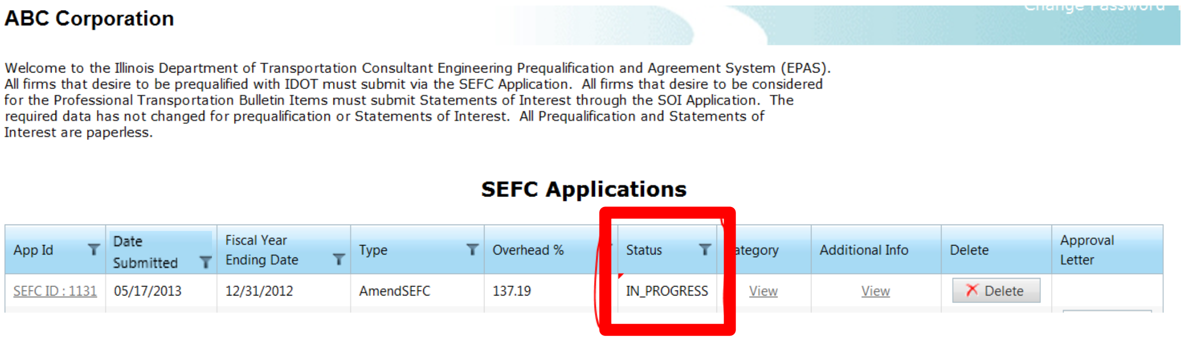
   IMPORTANT: If staffing and categories updates are needed, they should be done through an **AMEND** option not at the renewal time. The system doesn't recognize those changes and staff is not aware of the changes to review.

3. At the Summary and Submit page, make sure to check the box and hit the submit button. Saving it does not submit the application. If the status says in progress, it is in the firm's work queue. When the status says submitted it is in IDOT's work queue and the firm will not have access to the application until IDOT completes the review.

Summary and Submit Screen



Screen Shot of View when NOT Submitted to IDOT



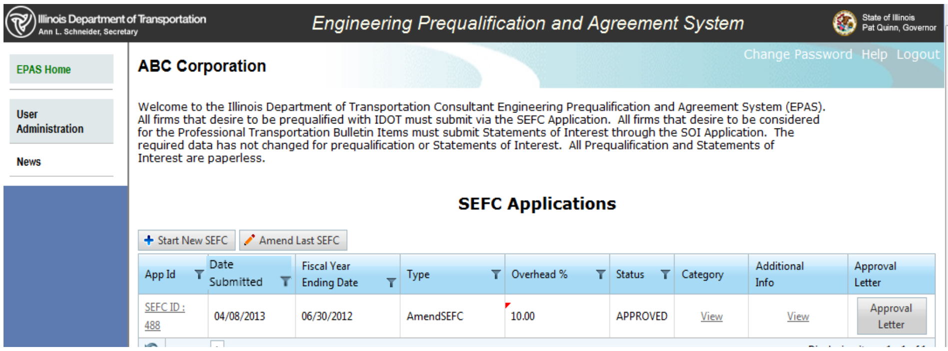
ABC Corporation

Welcome to the Illinois Department of Transportation Consultant Engineering Prequalification and Agreement System (EPAS). All firms that desire to be prequalified with IDOT must submit via the SEFC Application. All firms that desire to be considered for the Professional Transportation Bulletin Items must submit Statements of Interest through the SOI Application. The required data has not changed for prequalification or Statements of Interest. All Prequalification and Statements of Interest are paperless.

SEFC Applications

App Id	Date Submitted	Fiscal Year Ending Date	Type	Overhead %	Status	ategory	Additional Info	Delete	Approval Letter
SEFC ID : 1131	05/17/2013	12/31/2012	AmendSEFC	137.19	IN_PROGRESS	View	View	Delete	

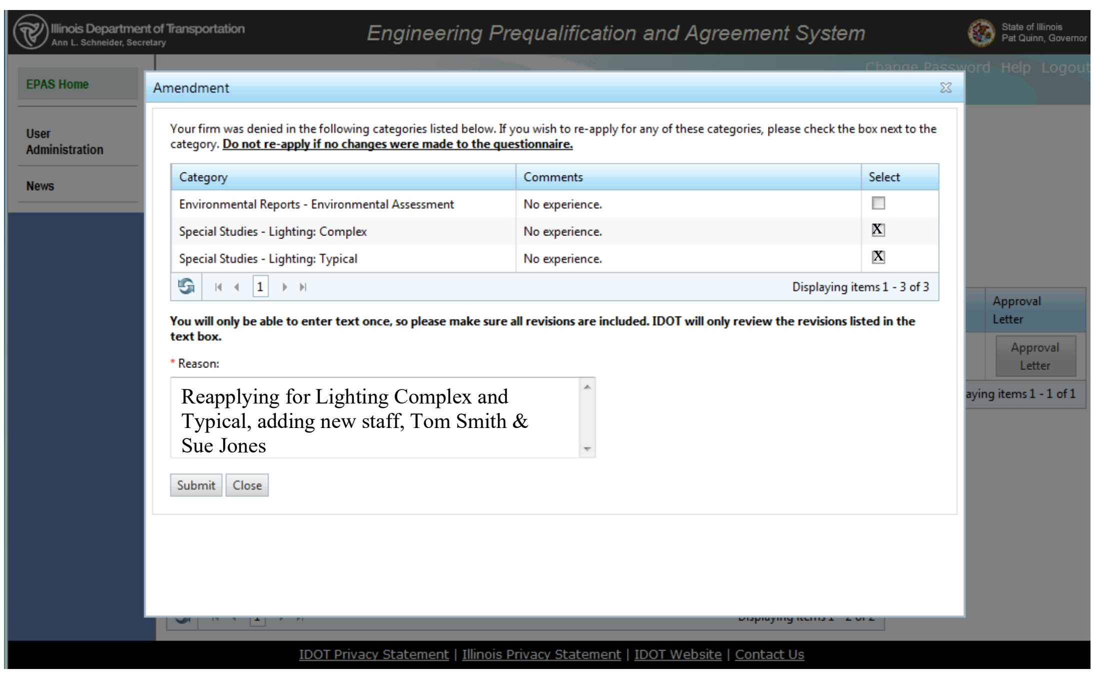
7.3 Amending a SEFC



1. Select the ***Amend Last SEFC*** button. This is used when changes are required outside of the annual submittal. Following are examples of possible changes: Address change, contact info, update insurance, seek additional prequalification, staffing update, etc.…

   IMPORTANT: An Amend SEFC cannot be used in place of a New or Renew SEFC. If submitted it will be returned, and if it's past the submission deadline, the firm will be marked "Not Approved".

2. The screen below will be displayed:



3. If you were previously denied prequalification in a category, it will show that category, and ask if you want to re-apply.

   If you want to re-apply, check the box next to that Category. If you do wish to reapply then that information will be retained for you to revise.

If you do not wish to reapply then those category questionnaires will be deleted. No information in the questionnaire for the specific category will be retained in the created application.

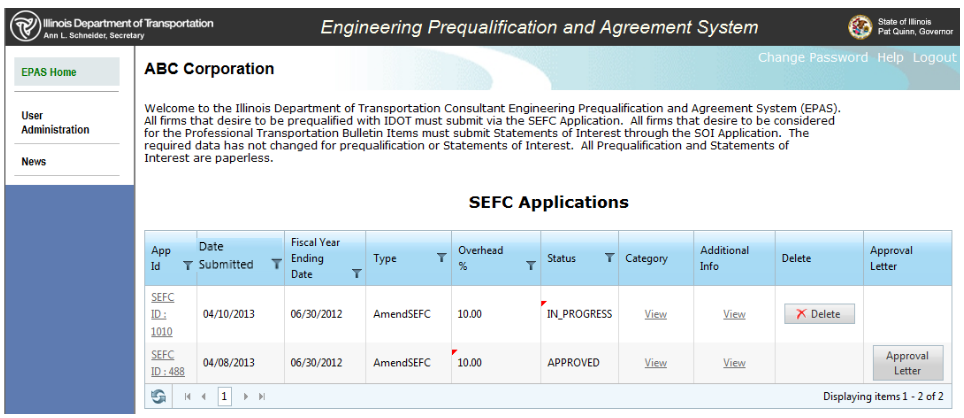
4. You then must type what has been amended, i.e., staff update, address change, requesting prequalification in (name category).

   Please note that we only review what we are notified of, i.e., the information included in the amended text. This space is to briefly explain what is being revised.

   Do not ask questions or include the entire revision in this location. The application will be returned.

   The revisions are required to be included in the actual application.

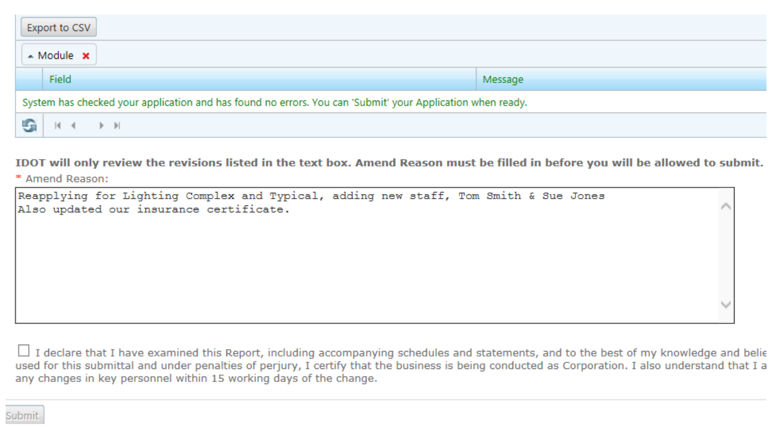
5. Select the submit button and the screen below will be displayed:



6. To make the changes, select the SEFC ID with the “In Progress Status.”

7. When all changes have been made, go to Summary and Submit as you would with a New SEFC, check box and hit the submit button. Selecting Save only will not submit the application.

8. The text box is shown again to allow the firm to include any other changes completed during the revision of the SEFC amend. This should be brief and specific.



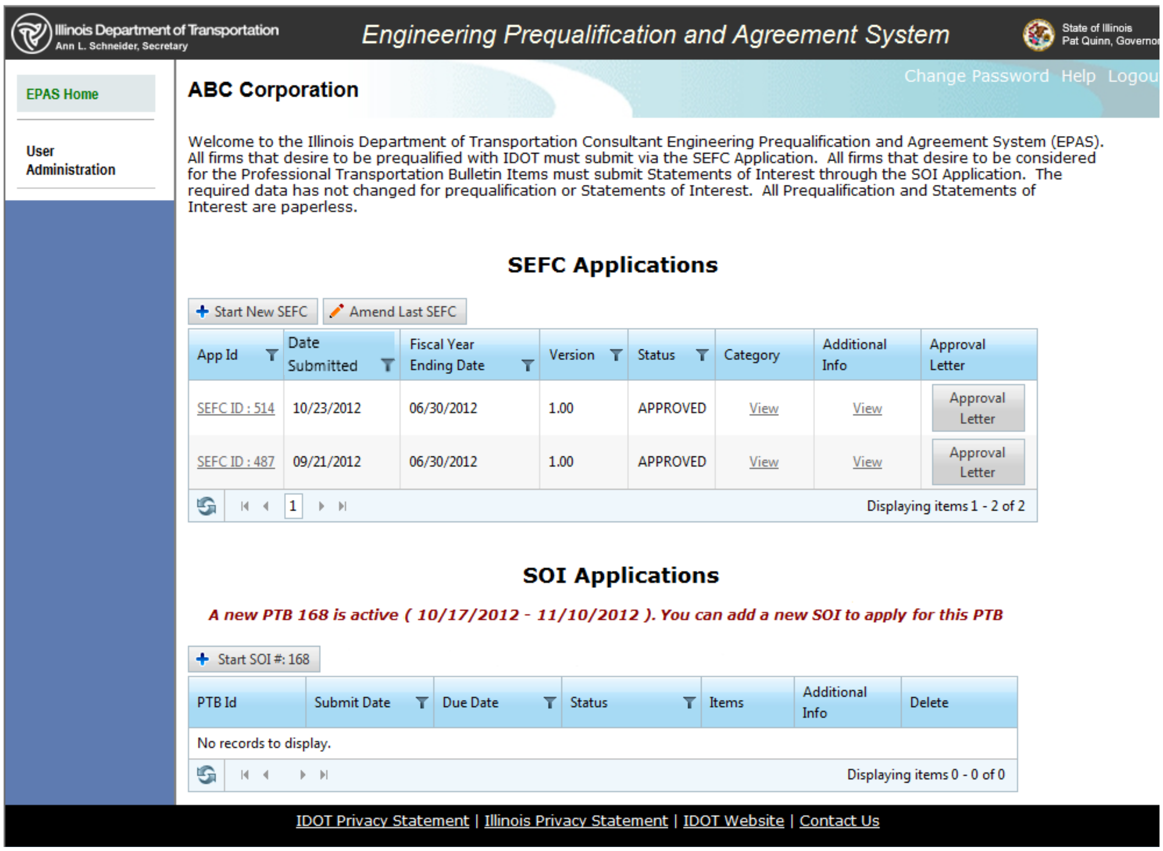
8 SOI ENTRY

Applying for an Item(s) is done from the SOI Home page screen. You can select one or multiple items at a time to add. The Items screens are not available until you have at least added one Item to apply for.

SOI option will only be available during the duration where a PTB is published, and the SOI deadline. Once the deadline is passed, the option will no longer be available.

There is a tentative PTB Schedule on IDOT Website: http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Bulletin

SOI List without any SOIs



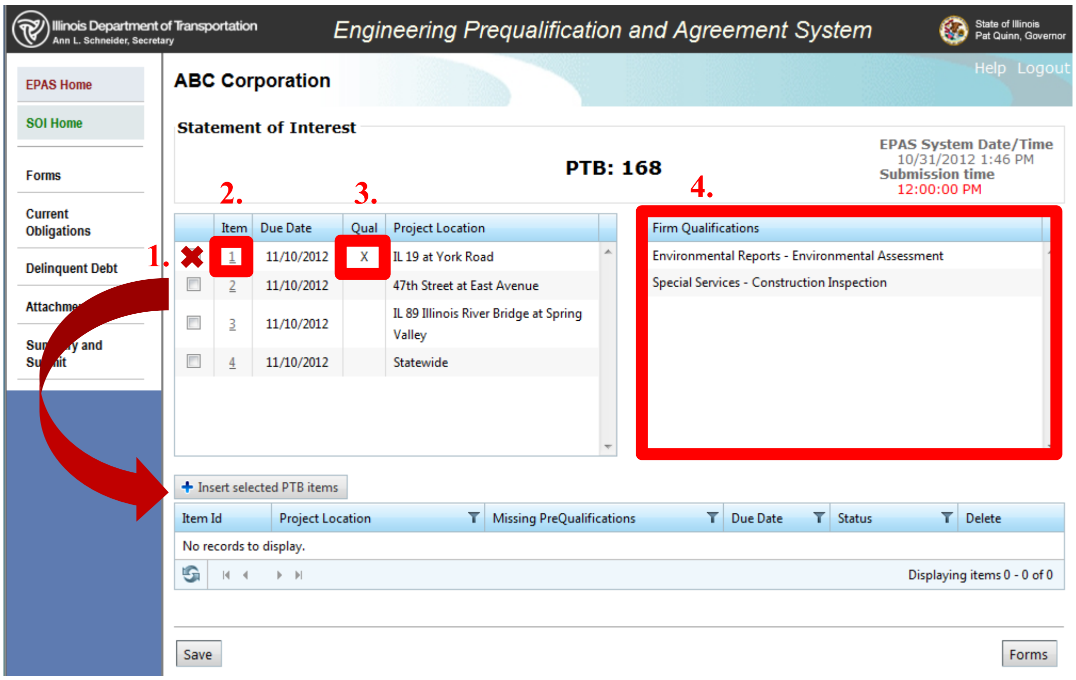
This is the Statement of Interest (SOI) Home screen. From here you can fill out and download various PTB related forms, select and apply for specific items and submit the entire SOI when complete.

NOTE: If you are submitting as Prime (in a non-Teaming relationship) then **51%** of the work is required by the Prime and can sub out a maximum of 49%. (per 2.24 SUBLETTING, ASSIGNMENT OR TRANSFER of the Standard Agreement Provisions for Consultant Services)

8.1 Start a SOI

Select the ***Start SOI #*** button to create a SOI to be submitted to IDOT. The screen below will be displayed:

SOI Home Screen



NOTE: Signatures can be electronic or actual. Print document, sign, convert to an adobe pdf document and then attach.

1. Select the item you are interested in, and then click the button below the table Insert selected PTB items, once you select it the item will appear in the table below.

Item Id	Project Location	Missing PreQualifications	Due Date	Status	Delete
ITEM ID: 1	IL 9 at York Road				Delete
1					Displaying items 1 - 1 of 1

2. To view the actual advertisement, click the actual item – a new window will appear with the advertisement

3. An “X” in the “Qual” column means your firm has all the required prequalification requirements for that item.

4. The “Firm Qualification” table are categories your firm is currently prequalified to do. These do not include categories under review.

IMPORTANT: The current EPAS Server date and time is displayed in the upper right-hand corner. The time listed will be accurate **within 45 seconds** of the actual EPAS Server time. Once the EPAS System Date/Time has surpassed the SOI Due Date + Submission time, you **WILL NO LONGER BE ABLE TO SUBMIT** the SOI for this item. **It is the firms' responsibility** to make certain everything is submitted by the due date; **NO EXCEPTIONS** will be made.

A few **NOTES** to remember when filling out a SOI:

- The file naming conventions used for all attached files are left to the discretion of the firm. The only stipulation is all files attached **MUST BE** in Adobe Acrobat .PDF file format.

- Current Obligations link is only accessible by a user that has access to your company's financial data (Click here for instructions to add user(s) to your company with Financial or Non-Financial roles).

  IMPORTANT ENTER IN 000'S, if you enter actual amount system will add the 000's and it will appear the firm has more work and could appear over capacity.

- The items, which your firm has all the prequalification for, are listed with an **X** in the Qual column. You may apply for items in which your firm is not prequalified, but you will be required to file an amended SEFC for the missing prequalification categories to be considered for the item. Missing prequalification's categories for the item are listed in the Missing Prequalification's column. If the required prequalification categories are not obtained, the firm will not be considered for the item. Review the BDE Manual Chapter 8 for details.

- For your convenience, a listing of your firm's current prequalification(s) is displayed in the Firm Qualifications grid.

NAVIGATION: The following navigational/action are supplied, you can:

- Select ***Save***: this button will save the information and remain on the same page

- Select ***Forms***: this button will save the information and navigate you to the next screen – Forms

- Select the **#** link in the Item column, the system will display the text from the actual advertisement in a different Internet Explorer window

- Select the items which you wish to apply for by placing a checkmark in each box and then Select the ***Insert selected PTB items*** button. The item(s) are now displayed in the bottom grid.

- Select an ***Item ID #***: link to begin entering item specific information.

8.2 SOI Screens

The SOI Screens listed below must be completed in their entirety for the SOI.

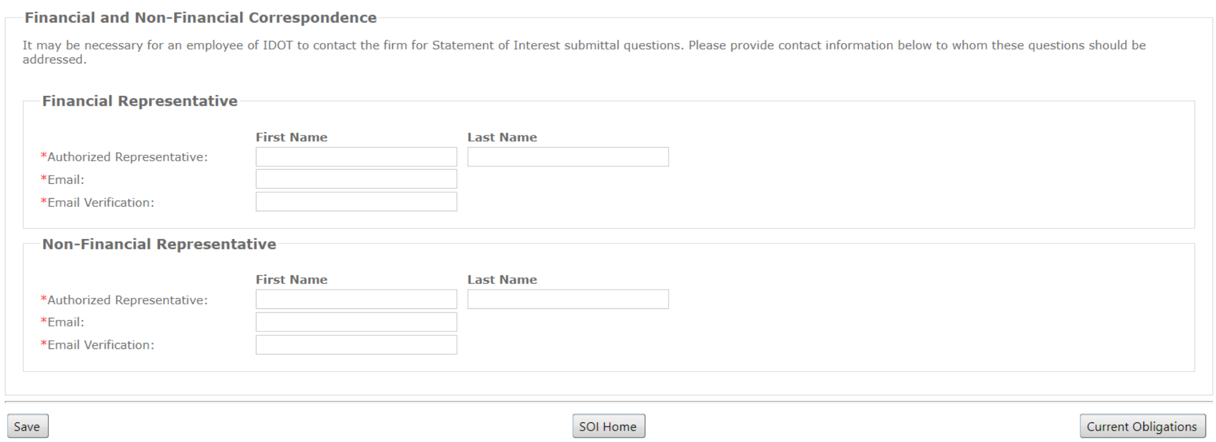
These screens only need to be filled out one time for each SOI.

NOTE: Part of the Forms, the entire Current Obligations and part of the Attachments screen is only accessible by a user that has access to your company's financial data (See here to add users to your company with Financial or Non-Financial roles).

IMPORTANT: Please make certain you have applied for **ALL** items and have them completed in their entirety before printing the Delinquent Debt Certification on the Attachments page.

8.2.1 Forms Screen

The firm will provide contact information for IDOT for the various Financial and Non-Financial pieces of the SOI. All required fields are marked with *. The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.



A few **NOTES** to remember when filling out the Forms Screen:

- If your Financial and Non-Financial representatives in the office are the same individual, you can Select the ***Copy to non-financial*** button.

- The Financial Representative section is only accessible by a user that has access to your company's financial data (See here to add user to your company with Financial or Non-Financial roles).

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.

- Select ***SOI Home***: this button will save the information and navigate you to the previous screen – SOI Home Screen.

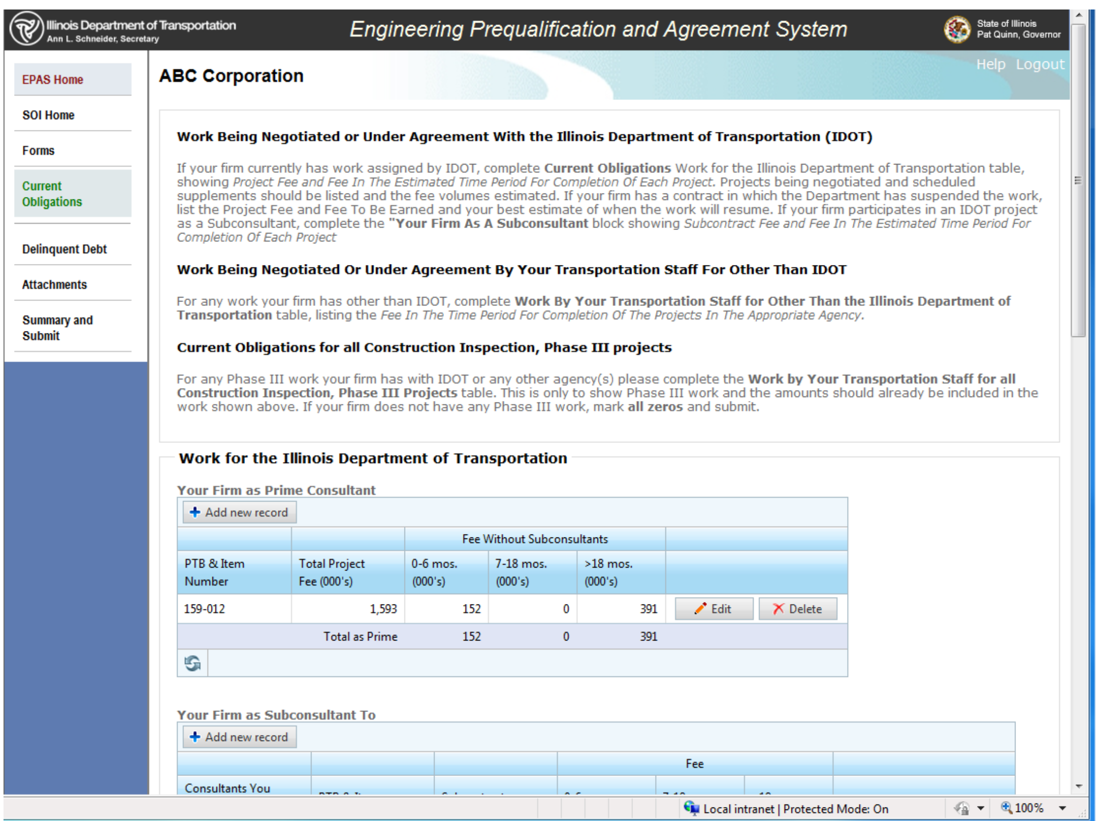
IMPORTANT: Based on your current user role (Financial or Non-Financial) you will see one of the two buttons below:

- You can Select ***Current Obligations***: this button will save the information and navigate you to the next screen – Current Obligations. **NOTE**: You will only see the Current Obligations button on this screen if you are a Financial User.

- You can Select ***Delinquent Debt***: this button will save the information and navigate you to the next screen – Delinquent Debt. **NOTE**: You will only see the Delinquent Debt button on this screen if you are a Non-Financial User.

The screen below will be displayed if you Select ***Current Obligations*** button (if available based on role), otherwise Select ***Delinquent Debt*** and skip to the Delinquent Debt section below.

8.2.2 Current Obligations Screen



This is the Current Obligations screen, which allows the firm to enter all current IDOT work, all work by your firm for other than IDOT and any Phase III work. **THESE ARE ENTERED AS 000'S.** Entering in the entire number carries over into reports the selection committee uses.

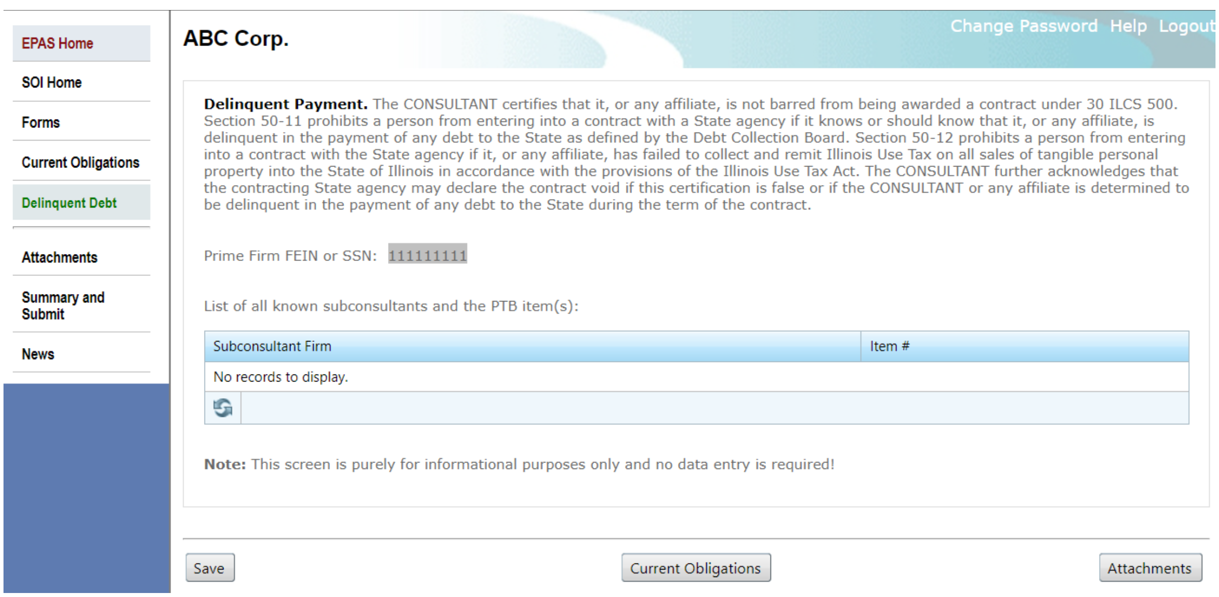
IMPORTANT: IF IT'S ONE MILLION, ENTER IN 1,000 NOT 1,000,000 else it will read as **1 BILLION** dollars instead of 1 million dollars. **The firm will appear as being over capacity on the selection committee reports when entered this way.**

The Current Obligations Screen is only accessible by a user that has access to your company's financial data (See here to add user to your company with Financial or Non-Financial roles).

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.
- Select ***Forms***: this button will save the information and navigate you to the previous screen – Forms.
- Select ***Delinquent Debt***: this button will save the information and navigate you to the next screen – Delinquent Debt. The screen below will be displayed if you Select ***Delinquent Debt*** button.

8.2.3 Delinquent Debt Screen



This is the Delinquent Debt screen, which displays all subconsultants used and the Item numbers, which the subs will be utilized. This screen is purely for informational purposes only and no data entry is required. Please make sure to validate all the required subconsultants the firm is using are listed and the Item numbers they are used on are correct.

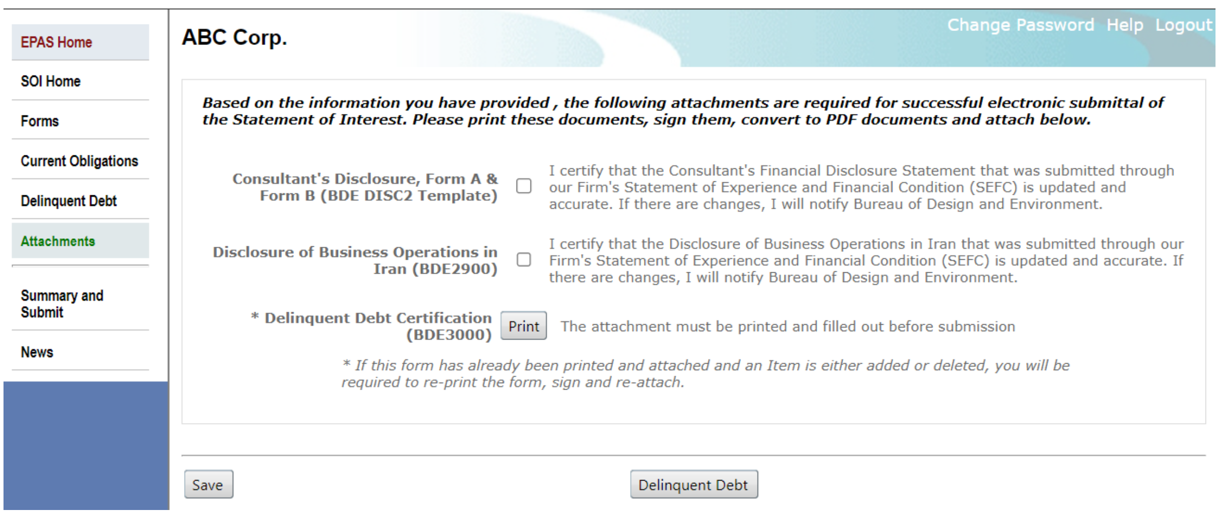
NOTE: As you add a subconsultant firm on the Exhibit A screen for an item, they will be listed then on this screen. This screen is a running total of all the subconsultant firms used, in all items you have applied for, and which item numbers you used those firms with.

Once the information has been supplied you can:

- Select ***Save*** – this button will save the information and remain on the same page.
- **NOTE:** Based on your current user role (Financial or Non-Financial) you will see one of the two buttons below.
  - Select ***Current Obligations***: this button will save the information and navigate you to the previous screen – Current Obligations. NOTE: You will only see the Current Obligations button on this screen if you are a Financial User.
  - Select ***Forms***: this button will save the information and navigate you to the previous screen – Forms. NOTE: You will only see the Forms button on this screen if you are a Non-Financial User.
- Select ***Attachments***: this button will save the information and navigate you to the next screen – Attachments.

  The screen below will be displayed if you Select ***Attachments*** button.

8.2.4 Attachments Screen



This is the Attachments screen, which you must check/acknowledge the two boxes for both forms BDE DISC2 Template and BDE2900 which are submitted at the time of the SEFC.

The Delinquent Debt will be "Printed" then save as a PDF and reattach after signatures are obtained.

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.

- Select ***Delinquent Debt***: this button will save the information and navigate you to the previous screen – Delinquent Debt.

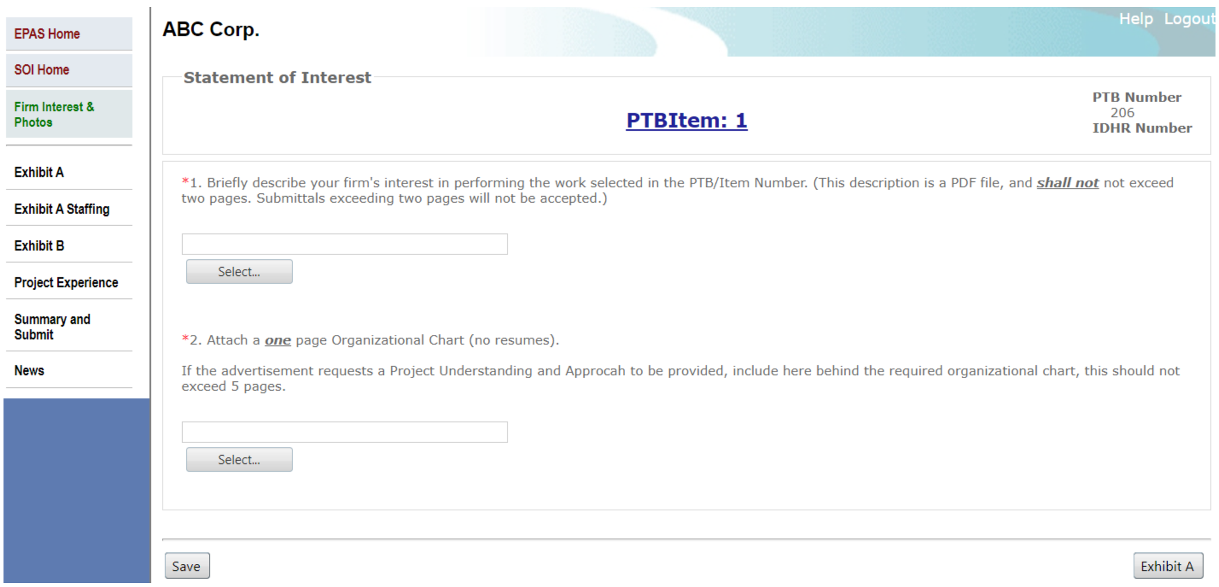
Please Select the ***SOI Home*** on the left-hand navigation menu.

8.3 SOI Item Screens

The SOI Item Screens listed below must be completed in their entirety for each item the firm wishes to apply. You **WILL NOT BE ALLOWED** to submit the application multiple times.

IMPORTANT: be certain you apply for **ALL ITEMS** you are interested in before final submission.

8.3.1 Firm Interest & Photos



This is the Firm Interest & Photos screen, which shows the PTB and Item number and your IDHR Number (If your firm has one). All required fields are marked with *.

The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.

If you Select the ***PTB Item***: link in the Statement of Interest header, the system will display the text from the actual advertisement in a different Internet Explorer window.

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.

- Select ***Exhibit A***: this button will save the information and navigate you to the next screen – Exhibit A. The screen below will be displayed if you Select ***Exhibit A*** button.

8.3.2 Exhibit A

8.3.2.1 Teaming

IDOT allows the practice of multiple firms joining efforts (prequalification categories and staff) to submit as a **PRIME** on a Professional Transportation Bulletin. The action of joining forces with another consultant to submit on a Professional Transportation Bulletin is called Teaming. If the firm wishes to use the option of Teaming, it is chosen on Exhibit A in EPAS.

IMPORTANT: A single firm submitting as a prime and using other firms as a subconsultant is **NOT CONSIDERED A TEAMING AGREEMENT**.

When submitting as a Team, the collective prequalification of the Team is used to determine eligibility. When a Team is selected, negotiations proceed with the Team. Contracts are executed with the Team at the end of successful negotiations.

Statements submitted by Teams may be considered unless specifically prohibited in the advertisement. A Teaming Agreement is required and is to be submitted by the prime lead and is signed by all parties and **MUST** be included with the Statement of Interest. The firms interested in performing as a Team must coordinate with each other and submit through EPAS.

NOTE: IDOT **DOES NOT** have a form for Team agreements.

The Team entity will have the sum of the individual firms' prequalification, capacity and evaluation history.

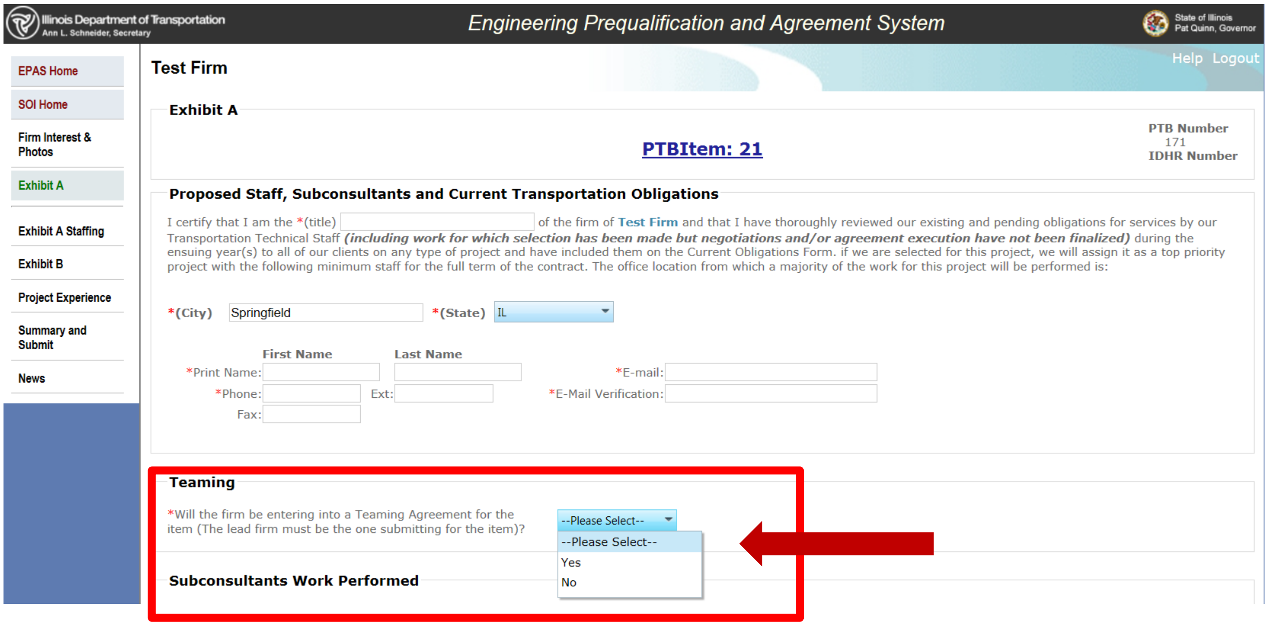
Based on your role, certain requirements will be required within your firms' SOI:
- Submitting as the Lead Prime
- Submitting as the Secondary Prime

SUBMITTING AS THE LEAD PRIME:

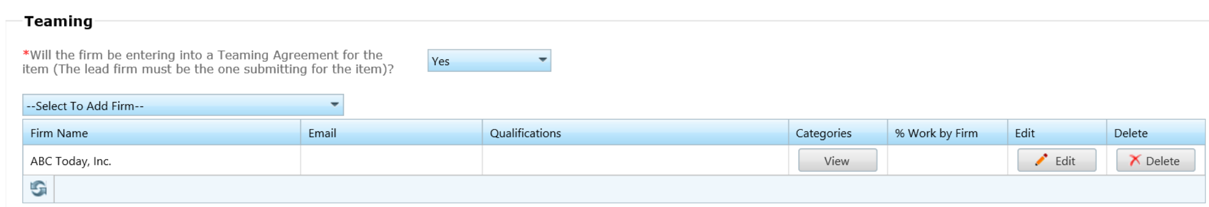
Each individual firm's current obligations (work left), delinquent debt, Iran disclosure, and disclosure forms A&B must be completed by each of the Team Members.

The Lead Prime will submit **ONE** Statement of Interest with the following specified:
- Name the firm managing the Team/Project, i.e., the Lead Prime firm.
- Name the firm invoicing (typically the Lead Prime firm).
- Name the firm responsible for each prequalification category (must be prequalified in the category of work the firm is performing).
- Include Key personnel names with firm name on Exhibit A.

1. Select "Yes" and supply the following on the statement of interest:

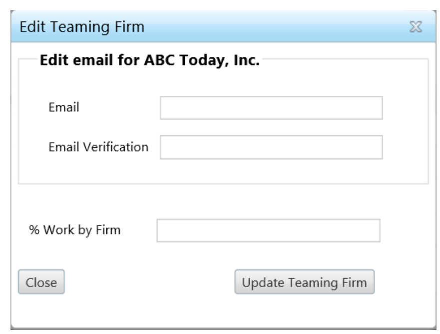


2. Select the firm you are teaming with (Secondary prime) within the drop down



3. Select under Categories ***View*** button: select the categories of work the Secondary Prime will be performing.

4. Select ***Edit*** button: provide the Secondary Prime's email adddress, and the % of work the firm will be performing. (recommend copy and paste email address to avoid errors)



NOTE: This is used to **ALERT** the Team Member when the Lead firm submits.
When Lead Prime does SUMMARY and SUBMIT an e-mail goes to the Secondary Prime Member.

An example email as follows:

EPAS – Teaming Notification for PTB#195

N noreply@illinois.gov
To [redacted]

Reply | Reply All | Forward | ...

[redacted]

To Whom It May Concern

The firm of [redacted] Inc. has requested the firm of [redacted] to enter into a Teaming Agreement. This Teaming Agreement is expressly for the purpose of applying for item [redacted] on Professional Transportation Bulletin 195.

As a Teaming firm, you are required to complete certain forms in order to be considered for selection on the above listed item(s).These forms MUST be completed and submitted PRIOR to 12:00 PM CST, 02/27/2020. Forms, for the above stated PTB, will not be available to submit after this deadline. Please log in to the Engineering Prequalification Agreement System at the following address https://apps.dot.illinois.gov/EPAS and fill out and submit the following forms:

- Current Obligations
- Consultant's Disclosure
- Form A
- Form B
- Delinquent Debt Certification
- Disclosure of Business Operations in Iran
- Attachments

For further information pertaining to the above PTB & Item number(s), please visit the Illinois Department of Transportation website at the following link:

http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Bulletin

If you feel this Teaming Agreement request is in error, please contact the above said firm for further information regarding this request.

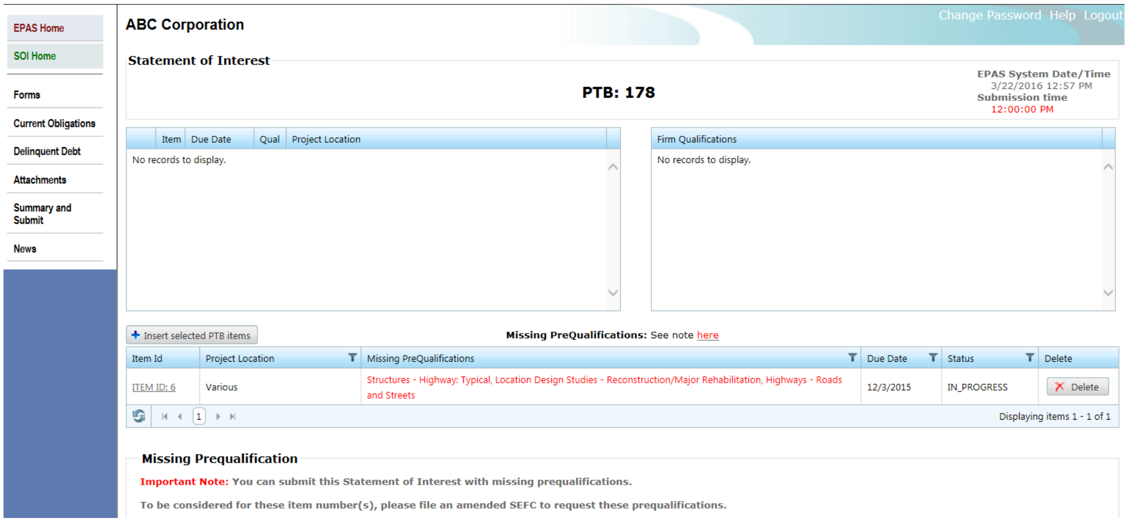
Note: This is an automated message sent by the Engineering Prequalification Agreement System (EPAS). Please do not reply to this email as this mailbox is not monitored and all email requests will be unanswered.

EPAS does not recognize if the firms have submitted the forms or not. It is a way to inform firms they are listed as being a Team Member and if the firm hasn't submitted the required data, they are required to do so to be considered for selection on the Item.

IMPORTANT: Regardless of the member being a Lead or team member all information is due by the required date on the PTB cover, **NO EXCEPTIONS**.

5. The example below, shows the Prime Lead firm selected Item 6 (see next page).

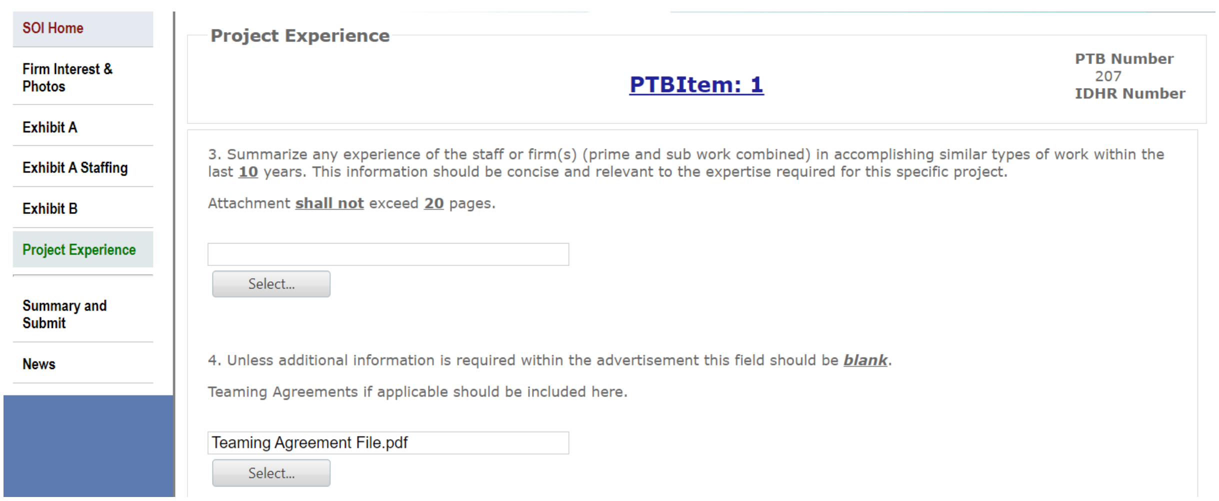
The system only recognizes the Lead's prequalification, therefore the missing prequal categories show up in red:



It is the responsibility of the Lead and other members of the Teaming Agreement to meet the required prequalification requirements.

IDOT checks the prequalification of the entire Team (the Lead and other members acting as prime).

6. The Lead Prime, will attach under the "Project Experience" screen the Teaming Agreement as a single PDF under attachment number 4, as shown below:



SUBMITTING AS THE SECONDARY PRIME:

If a firm is submitting as part of a Team, then the firm may **NOT** submit as a prime alone or as part of another Team on the same Item.

IMPORTANT: DO NOT SELECT the item you are Teaming with the Lead Prime.

The required insurance coverage applies to the Team entity.

IF Secondary Prime is not submitting as a Lead on **ANY** other items:

The Secondary Prime still has to submit a Statement of Interest. The only difference if is they are not submitting on any other items and **NOT** selecting the item they are teaming on, the firm would submit:

1. Financial and Non-Financial Contact (under “Forms”), and
2. Current Obligations, and
3. Check the “Consultant's Disclosure, Form A & Form B (BDE DISC2 Template)” and “Disclosure of Business Operations in Iran (BDE2900)” checkboxes under “Attachments”, and
4. Delinquent Debt
   - The Lead does sumbit the delinquent Debt for all Team Members, but the Team Member should submit their firms delinquent debt as well. When the form is generated you will get an error message, just make note on the PDF that you are teaming.

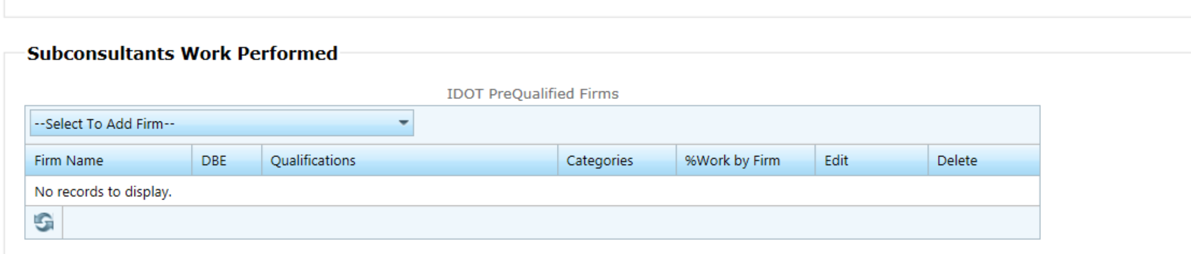
Once the required information has been included, then Select ***Summary and Submit***.

IF the Secondary Prime is submtiting as a lead on **OTHER** items:

There are no additional forms required, by submitting as a prime the required documents (as stated above) will be required as part the submittal for the other item(s).

8.3.2.2 Subconsultants Work Performed

Firms acting as a Subconsultant can be added.
A list of prequalified firms is available in the drop down, ***select to add firm***



IMPORTANT: IF a Firm is **NOT** prequalified then you cannot propose them on your SOI, for they will not appear in the drop down. That does **NOT** mean you add them to the next table “Other Firms’. You will be asked to remove the firm.

The next table is one that is rarely used and is used in cases of **specialty engineering services**. If a firm is proposing a to utilize a firm who is providing a specialty service and is not within the EPAS system (and does not fit in one of the defined prequalification categories) they are added here. Examples would be Value Engineering, Steel Fabrication Inspection.

Other Firms

Add Other Firm

Firm Name	DBE	Tasks to be Performed	%Work by Firm	Edit	Delete
No records to display.					

8.3.2.3 Mentor-Protégé

A Protégé must be a firm prequalified in at least one established prequalification category, else you cannot add them. You first must add them as a subconsultant.

When selecting a Mentor-Protégé firm, the firm **MUST BE** a DBE and **MUST** have been prequalified in at least one prequalified category. If both criteria have not been met, the firm will not appear in the drop-down box.

1. Click “Yes”
2. Select firm in drop down
3. Describe area of work you will be mentoring them in

Mentor-Protégé

*Firm is proposing a Mentor-Protege on this project? Yes

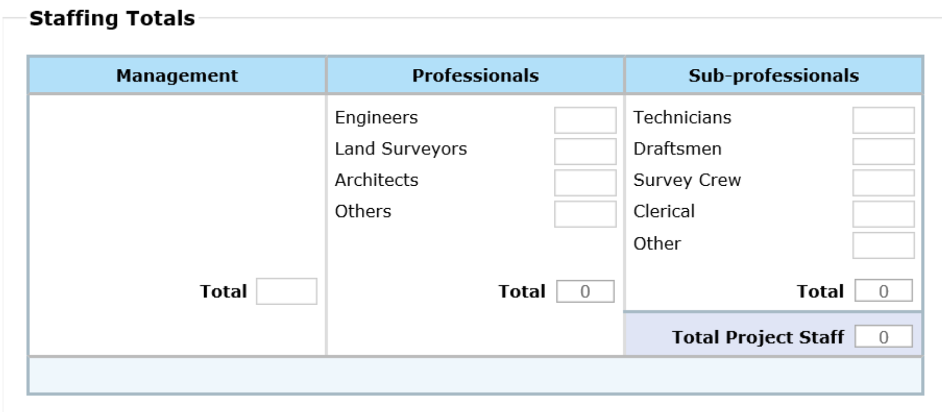
--Select New Protege Firm--

Protege Firm Name	Areas of work (PreQualification Categories) they will be participating in	Commands
No records to display.		

For additional information: http://www.idot.illinois.gov/doing-business/procurements/Industry-Marketplace/mentor-protege/index#Engineering

8.3.2.4 Staffing Totals

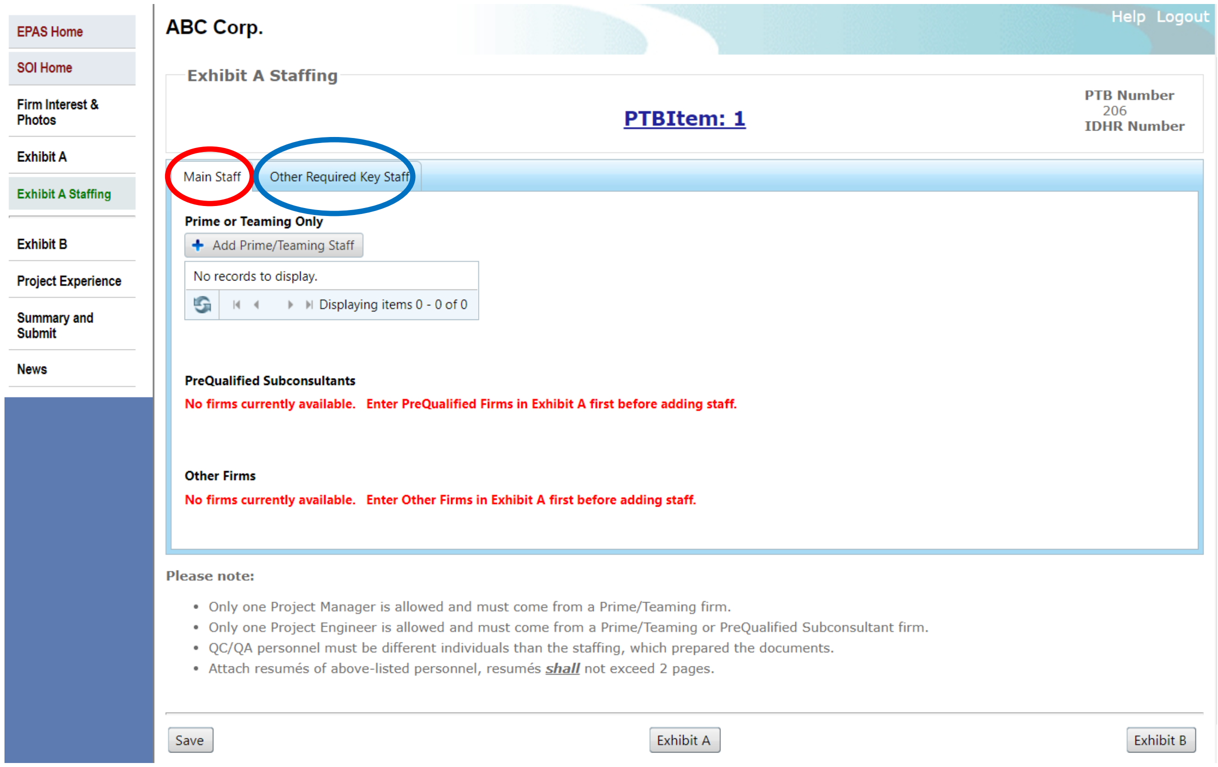
This section is the number of staff you are proposing to put towards the advertised services within the item (not firm's total staffing of the company). This will also feed into the Exhibit A form that is required to be signed by your firm. Full time equivalent staff should be added.



NAVIGATION: Once the information has been supplied you can:

- Select ***Save*:** this button will save the information and remain on the same page.
- Select ***Firm Interest & Photos***: this button will save the information and navigate you to the previous screen – Firm Interest & Photos.
- Select ***Exhibit A Staffing***: this button will save the information and navigate you to the next screen – Exhibit A Staffing. The screen below will be displayed if you Select ***Exhibit A Staffing*** button.

8.3.3 Exhibit A Staffing



This is the Exhibit A Staffing Screen. This screen contains two tabs which allow you to enter all staff which you intend to use on this item.

The first tab, **(1) MAIN STAFF TAB,** allows you to enter the following personnel needed for the advertised item:

- Project Manager
- Project Engineer
- Structural Engineer
- QC/QA Roadway
- QC/QA Structures

All required fields are marked with *.

The system will not allow you to bypass certain required fields on pop-up windows within this screen.

The required fields must be completed before the system will allow you to submit to IDOT.

The most common QC/QA is Roadway and Structure, if a QC/QA is requested for another work item, example surveying, you can include under Roadway or under the **OTHER REQUIRED KEY STAFF** tab.

A few **NOTES** when filling out the **(1) MAIN STAFF TAB**:

- The Prime or Team Only grids will allow you to select and assign staff from your most current approved SEFC. Due to confidentiality reasons, IDOT cannot show staff members from any subconsultant firms you use.

- The system will not allow you to enter personnel into a grid until the firm(s) from which the individuals come from have been added on the ***Exhibit A*** screen.

- Only one Project Manager is allowed, and he/she must come from the prime firm, or in case of a Team, he/she can come from any of the firms which are part of the Team.

- All staff which are entered require an attached resume which must be in Adobe Acrobat PDF format. The system will not allow you to attach any other file format.

NAVIGATION: Once the information has been supplied you can:

- Select the ***View*** link next to the Resume field to display the attached resume of the individual.

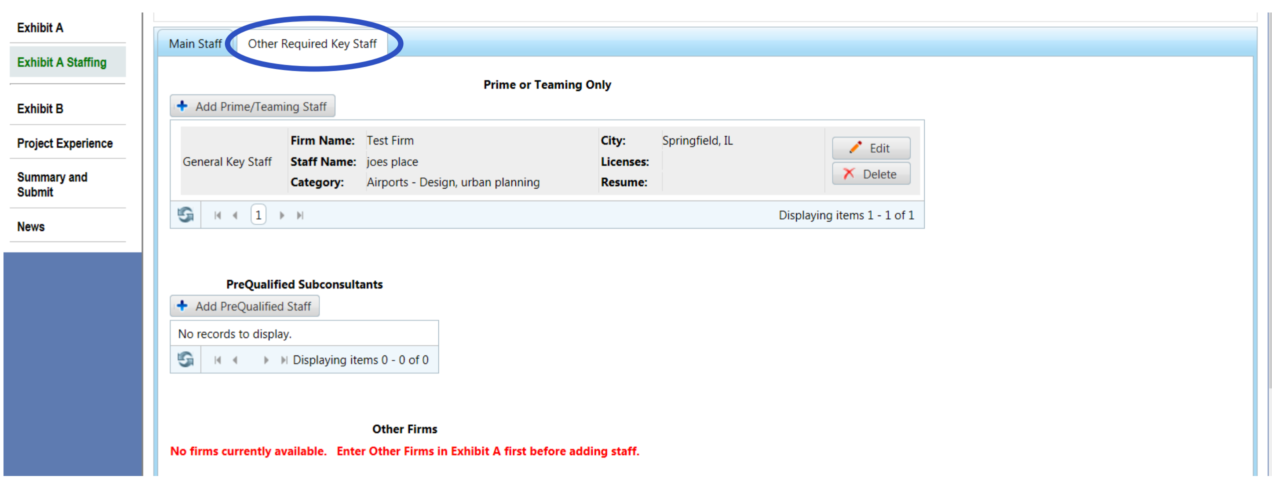
- Select ***Save*****:** this button will save the information and remain on the same page.

- Select ***Exhibit A***: this button will save the information and navigate you to the previous screen – ***Exhibit A***.

- Select Exhibit B: this button will save the information and navigate you to the next screen – ***Exhibit B***.

The screen below will be displayed if you Select **(2) OTHER REQUIRED KEY STAFF** tab.

(2) OTHER REQUIRED KEY STAFF



This is the Exhibit A Staffing Screen **(2) OTHER REQUIRED KEY STAFF TAB.**

This screen allows you to enter all remaining staff you will use on the item. All required fields are marked with *.

The system will not allow you to bypass certain required fields on pop-up windows within this screen. The required fields must be completed before the system will allow you to submit to IDOT.

A few **NOTES** when filling out the **(2) OTHER REQUIRED KEY STAFF**:

- The Prime or Team Only grids will allow you to select and assign staff from your most current approved SEFC. Due to confidentiality reasons, IDOT cannot show staff members from any subconsultant firms you use.

- The system will not allow you to enter personnel into a grid until the firm(s) from which the individuals come from have been added on the Exhibit A screen.

- All staff which are entered require an attached resume which must be in Adobe Acrobat PDF format. The system will not allow you to attach any other file format.

NAVIGATION: Once the information has been supplied you can:

- Select the ***View*** link next to the Resume field to display the attached resume of the individual.

- Select ***Save***: this button will save the information and remain on the same page.

- Select ***Exhibit A***: this button will save the information and navigate you to the previous screen – ***Exhibit A***.

- Select ***Exhibit B***: this button will save the information and navigate you to the next screen – ***Exhibit B***.

The screen on the next page will be displayed if you Select ***Exhibit B*** button.

8.3.4 Exhibit B

Exhibit B will only display when required. If not shown it is not required.

The Exhibit B Screen, can have up to four tabs depending on the prequals required, can consist of the following:

- Location Design Study
- Environmental Work
- Environmental Staff
- Other Environmental Staff.

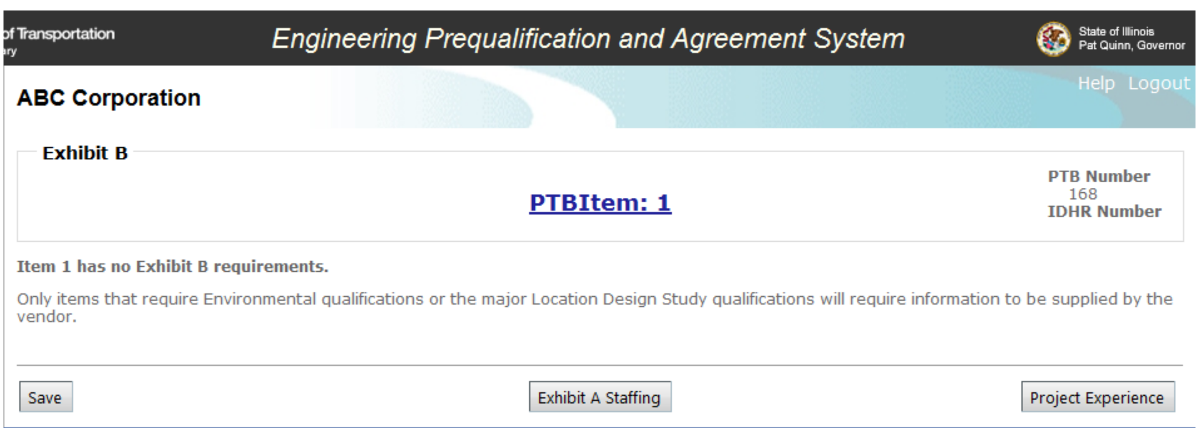
This screen, and certain tabs, is only accessible if the item requires the following prequalification categories:

- Location Design Studies (Reconstruction/Major Rehabilitation)
- Location Design Studies (New Construction/Major Reconstruction)
- Environmental Reports (Environmental Assessment) or
- Environment Reports (Environmental Impact Statements).

This system is intelligent and will only display the required tabs, which need to be completed for the item.

IF these categories are not required, Exhibit B is not required, and it is so indicated in EPAS. The Exhibit B will **NOT** show as an option.

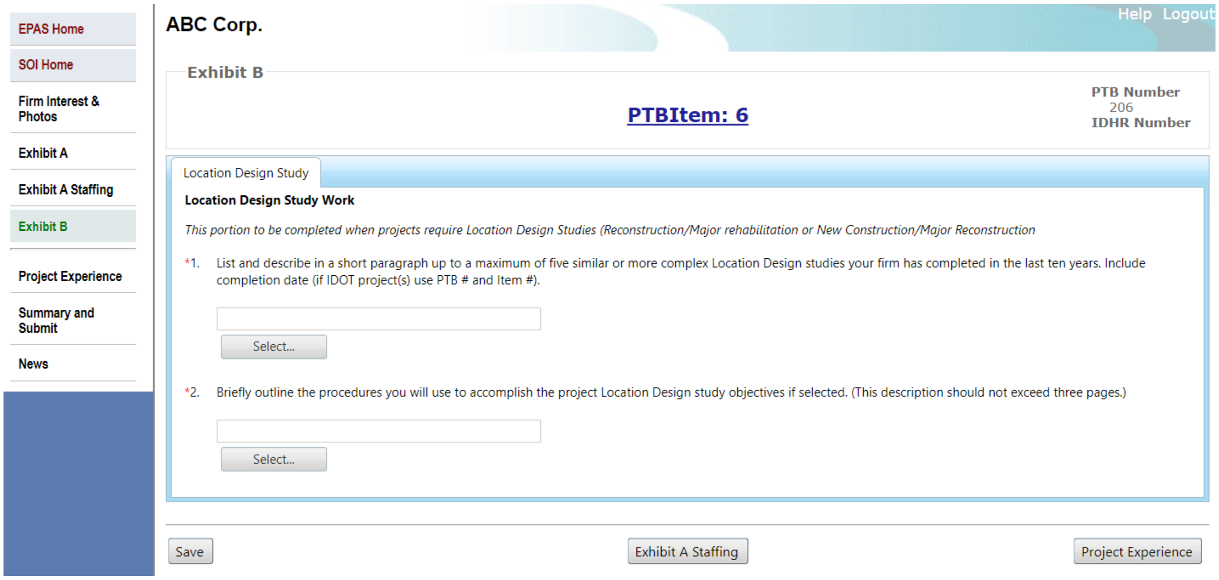
Exhibit B Not Required Screen



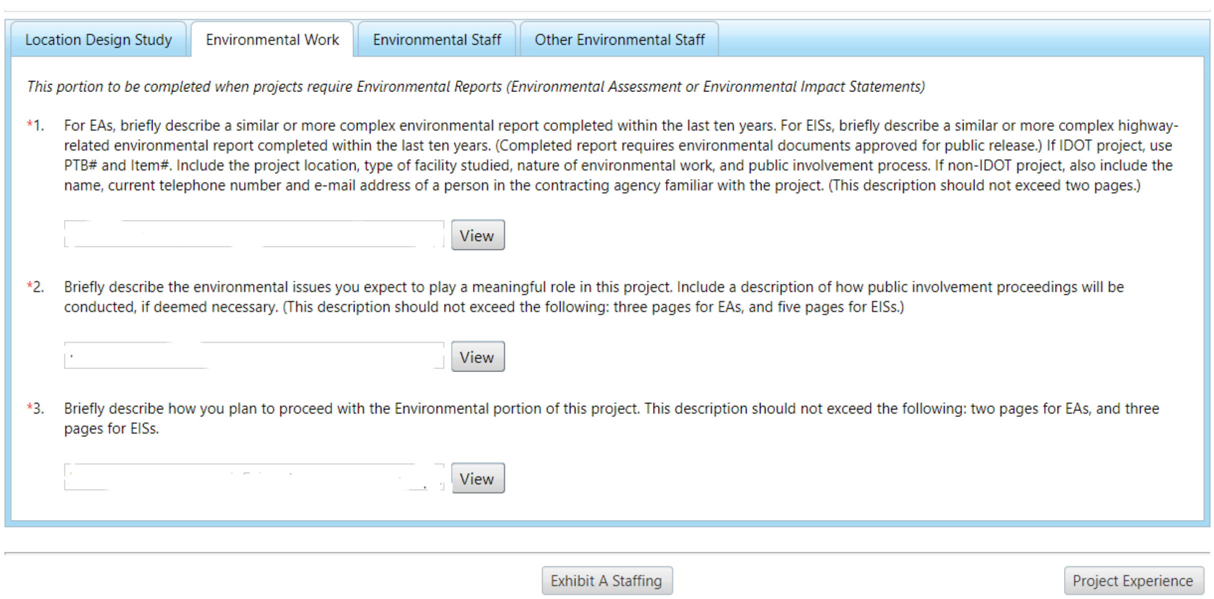
8.3.4.1 Location/Design Study tab

This screen allows you to attach Adobe Acrobat PDF files describing similar work and procedures to accomplish the Location/Design studies objectives.

All required fields are marked with *. The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.



8.3.4.2 Environmental Work Tab



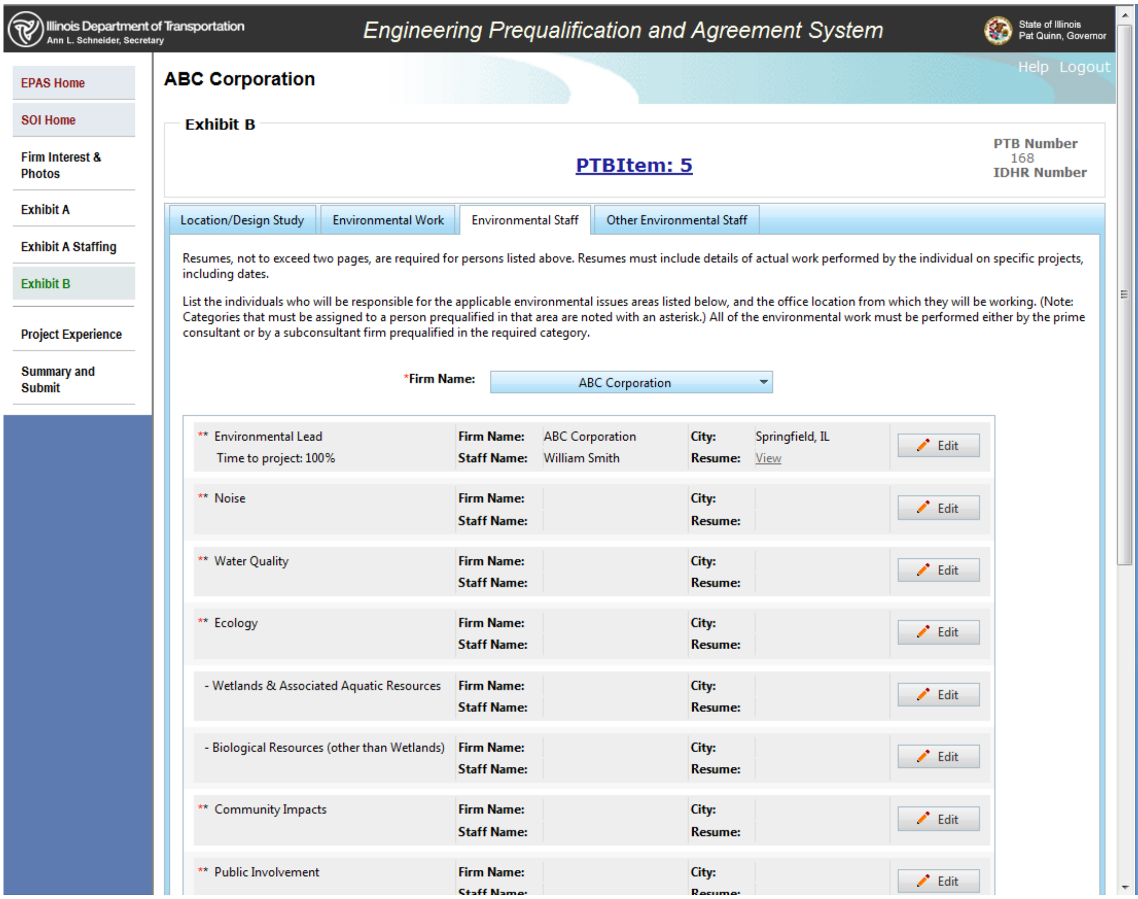
The above is the Exhibit B Screen Environmental Work tab.

This screen allows you to attach Adobe Acrobat PDF files describing completed environmental reports, issues, plan, and environmental staff incorporation into the study.

All required fields are marked with *. The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.

NOTE: This screen will only appear if the item applied for contains Environmental Reports (EA or EIS).

8.3.4.3 Environmental Staff Tab



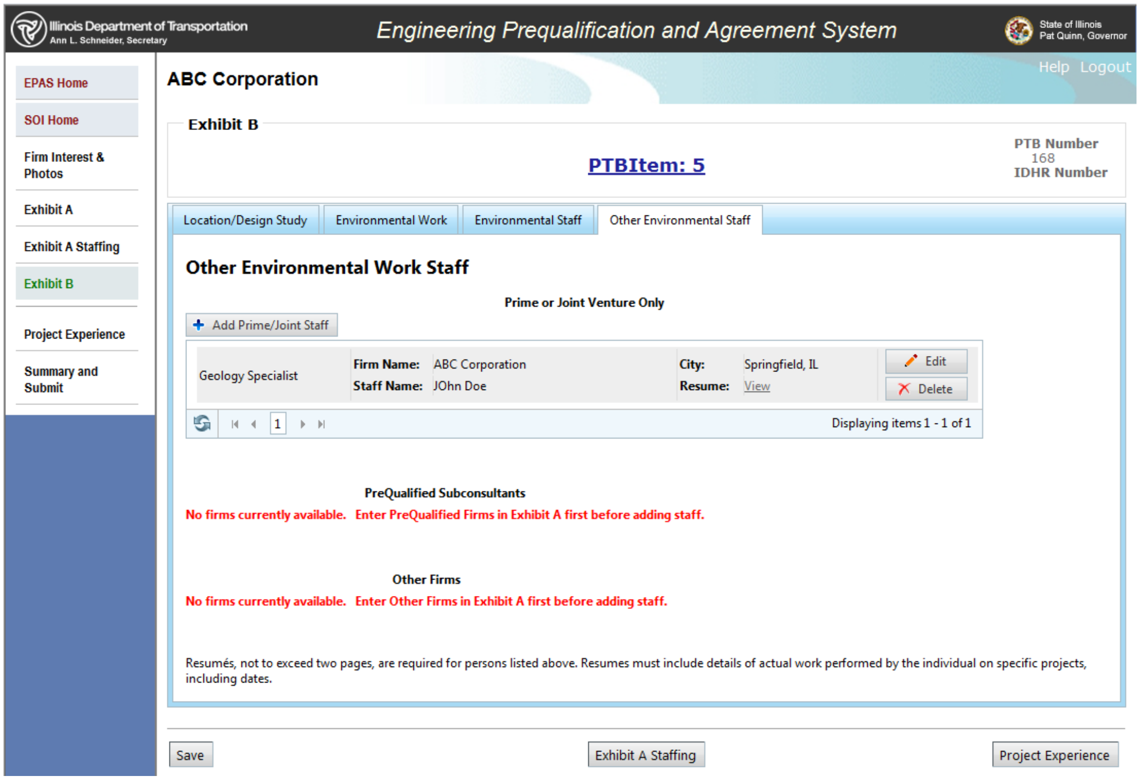
The above is the Exhibit B Screen Environmental Staff tab. This screen allows you to list all individuals who will be responsible for the applicable environmental issue areas.

All required fields are marked with *. The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.

NOTE: This screen will only appear if the item applied for contains Environmental Reports (EA or EIS).

IMPORTANT: The Environmental Lead **MUST** come from the firm selected in the Firm Name dropdown box. All other listed staff can come from the same firm or different firms.

8.3.4.4 Other Environmental Staff Tab



The above is the Exhibit B Screen Other Environmental Staff tab. This screen allows you to list all individuals who will be responsible for the applicable environmental issue areas, which are not required. This includes the following areas:

- Cultural Resources
- Geology
- Agriculture
- Air Quality
- Special Waste

NOTE: You can Select the ***View*** link next to the Resume field to display the attached resume of the individual.

All required fields are marked with *. The system will not allow you to bypass certain required fields on pop-up windows within this screen. The required fields must be completed before the system will allow you to submit to IDOT.

NOTE: This screen will only appear if the item applied for contains Environmental Reports (EA or EIS).

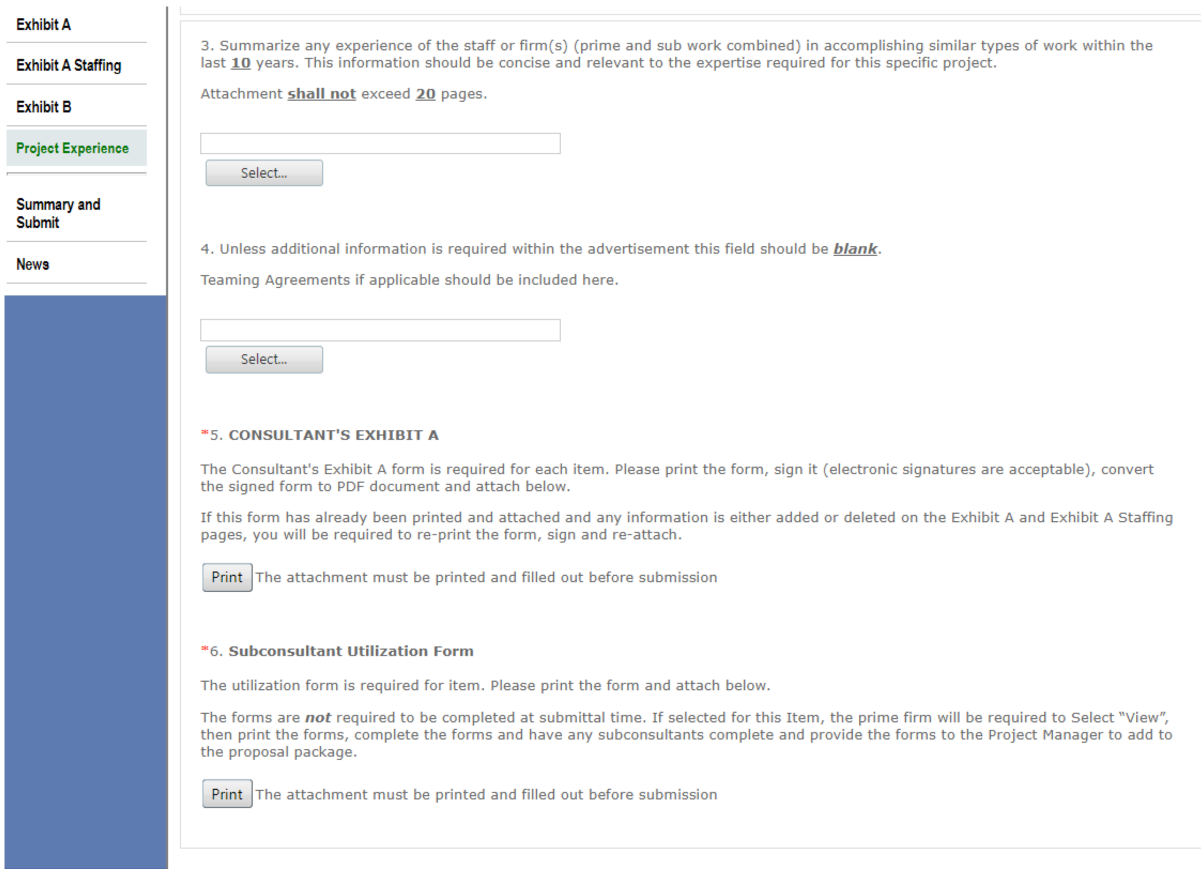
NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.

- Select ***Exhibit A Staffing***: this button will save the information and navigate you to the previous screen – Exhibit A Staffing.

- Select ***Project Experience***: this button will save the information and navigate you to the next screen – Project Experience. The screen below will be displayed if you Select ***Project Experience*** button.

8.3.5 Project Experience Screen



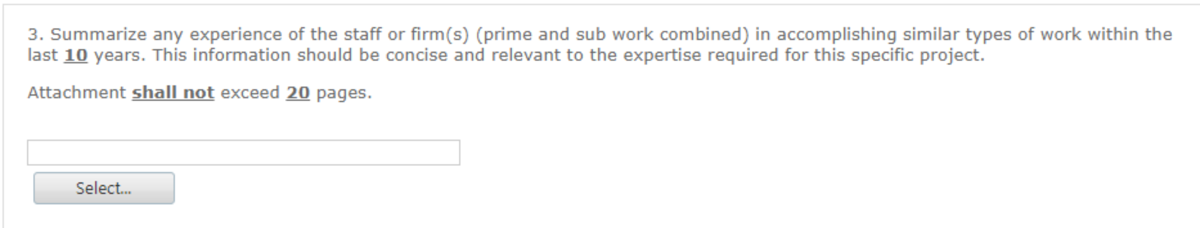
This is the Project Experience Screen.

This screen will allow you to attach a summary of staff experience, a summary of additional requested information in the project advertisement, a signed copy of the Consultant's Exhibit A, and the proposed subconsultant utilization plan.

All required fields are marked with *. The system will let you bypass certain required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.

Be sure to read the instructions for each attachment.

8.3.5.1 Experience (Question 3)

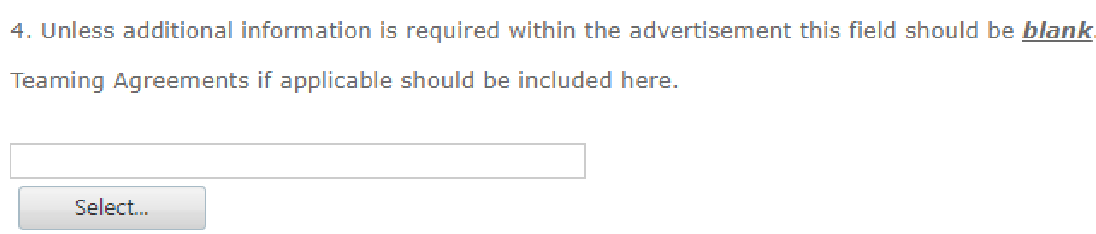

3. Summarize any experience of the staff or firm(s) (prime and sub work combined) in accomplishing similar types of work within the last **10** years. This information should be concise and relevant to the expertise required for this specific project.

Attachment **shall not** exceed **20** pages.

Select...

Attachment shall not exceed 20 pages.

8.3.5.2 Additional Information (Question 4)

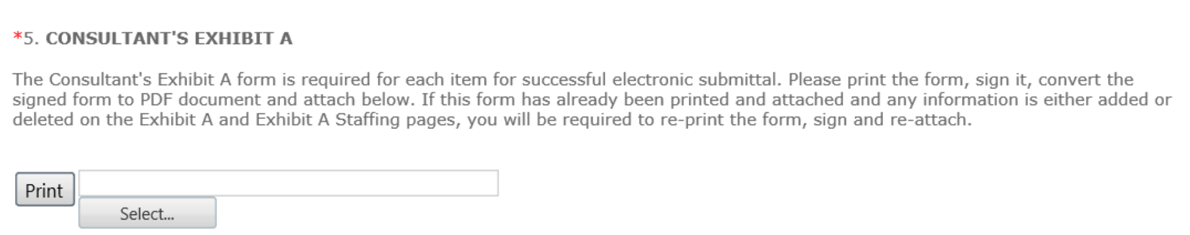

4. Unless additional information is required within the advertisement this field should be ***blank***.

Teaming Agreements if applicable should be included here.

Select...

Unless additional information is requested within the specific advertisement, this attachment field should be blank, unless you are doing a Teaming.

8.3.5.3 Consultant's Exhibit A (Question 5)


*5. **CONSULTANT'S EXHIBIT A**

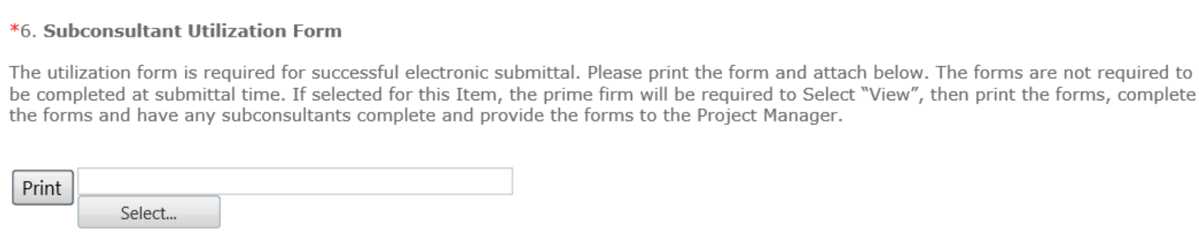
The Consultant's Exhibit A form is required for each item for successful electronic submittal. Please print the form, sign it, convert the signed form to PDF document and attach below. If this form has already been printed and attached and any information is either added or deleted on the Exhibit A and Exhibit A Staffing pages, you will be required to re-print the form, sign and re-attach.

Print

Select...

You must Select the **PRINT** button on the **Consultant's Exhibit A** and print the form before the system will allow you to attach the signed copy. Please make certain to sign the form and then convert the signed form to an Adobe Acrobat PDF file for attachment.

8.3.5.4 Subconsultant Utilization Form (Question 6)


*6. **Subconsultant Utilization Form**

The utilization form is required for successful electronic submittal. Please print the form and attach below. The forms are not required to be completed at submittal time. If selected for this Item, the prime firm will be required to Select "View", then print the forms, complete the forms and have any subconsultants complete and provide the forms to the Project Manager.

Print

Select...

You must Select the **PRINT** button on the **Subconsultant Utilization Form** and save and then attach. This form is **NOT** required to be signed at the time of submittal.

If selected for an Item, the prime firm will be required to Select "View", then print the forms which have been submitted. At negotiations the prime will provide the completed the forms to the Project Manager. Any changes will be documented at the negotiation meeting. The completed utilization form will be part of the proposal.

Make sure the categories of work and percent of work being done in the proposal are as accurate as possible.

There is more information regarding the sub u-plan in the Standard Agreement Provisions for Consultant Services (SAPCS), Section 2.67, available on the IDOT Website: http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Directories/Agreements/Highways/Design-and-Environment/StandardAgreementProvisionsForConsultantServices2018.pdf

NAVIGATION: Once the information has been supplied you can:

- Select ***Save***: this button will save the information and remain on the same page.
- Select ***Exhibit B***: this button will save the information and navigate you to the previous screen – Exhibit B.

This concludes all the required screens to successfully apply for an item. You must fill these screens out for **EACH** item, for which you are applying. Please return to the SOI Home page (by selected ***SOI Home*** in left navigation) and select the next item for which you are applying and complete the screens again.

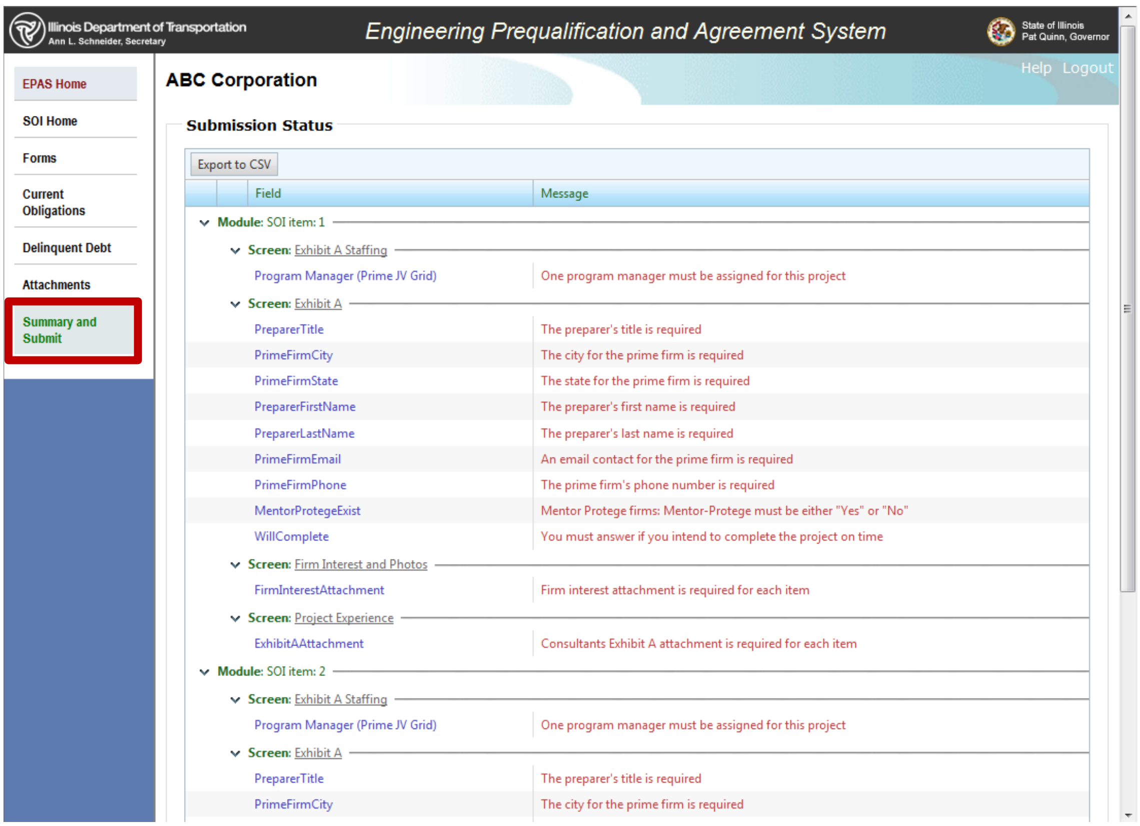
Else if you are finished, click ***Summary and Submit*** on the left navigational screen to submit your application to IDOT.

8.4 Summary and Submit

IMPORTANT: Please make certain you have applied for all items and have them completed in their entirety before submitting your SOI application. You **WILL NOT BE ALLOWED** to submit the application multiple times. After submittal, you will not be able to edit the SOI application. Please make certain your SOI has been submitted before the SOI due date.

Once the EPAS System Date/Time has surpassed the SOI Due Date + Submission time, you **WILL NO LONGER BE ABLE TO SUBMIT** the SOI for this item. It is the firms' responsibility to make certain everything is received by the due date/time, **NO EXCEPTIONS** will be made.

Summary and Submit Screen



If you are ready to submit your SOI application to IDOT:

1. Select the ***Summary and Submit*** on the left-hand navigation menu. This screen will display all required information that has not been answered and is required by IDOT for you to submit.
   - By Selecting the various hyperlinks (depicted above as an underlined screen name), the system will take you to the appropriate page to fix the errors.
   - You can Select the ***Export to CSV*** button to list the errors in a document and print it out.

2. Once all errors are resolved, the check box – "Under the login ID used for this submittal …." will be enabled. Check this acknowledgement box and the ***Submit*** button will be enabled.

3. Select the ***Submit*** button to submit you SOI application to IDOT. A message box will be displayed to inform you that after submittal you will not be able to edit the SOI application.

A few **NOTES** to keep in mind:

- Please make certain that all the information is **ACCURATE** before submitting.

- Once the submittal process has been completed, IDOT will start the review process.

- Please check periodically in EPAS because if we need additional information, a form revised and resubmitted for example, it will be resubmitted via EPAS, and firm will be notified via email of action needed.

- The firm will only be able to revise and resubmit the information requested. If a signature is missing on Exhibit A or a missing Delinquent Debt form for a subconsultant etc. the firm has the chance to adjust the requested information.

9 INVOICES

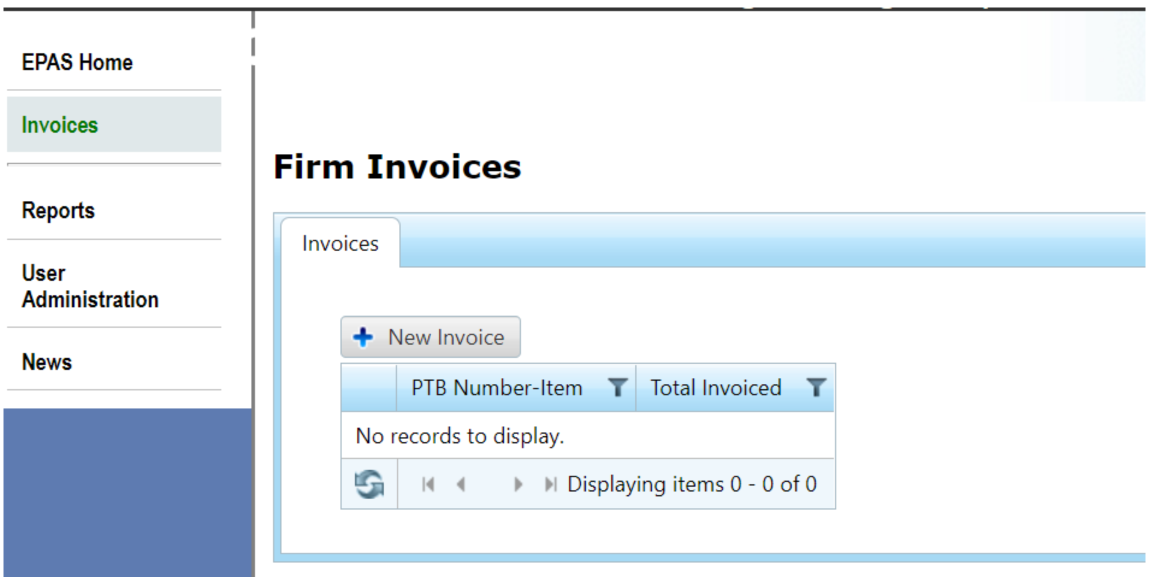
Invoiced amounts for active PTB projects shall be supplied in EPAS for the Prime and all Subconsultant(s) on PTB selected projects.

Invoice data shall be entered **PRIOR** to submitting the invoice to IDOT. If there were corrections from IDOT after the invoices were submitted, corrections shall be made in EPAS.

The Prime firm is the only one who can submit this information.

The Admin for the firm (TIN username) can grant individuals permission to the Invoice arm, follow Section 10 below.

Blank Invoice Screen



As invoiced amounts are entered, EPAS will sum the total amounts for you per PTB – Item.

At the top of the table, you will see “Total Invoiced” and “$0.00”, this is temporary until we are able to put a link in between EPAS and IDOT’s financial database to show the firm how much IDOT says the particular PTB-Item has been paid.

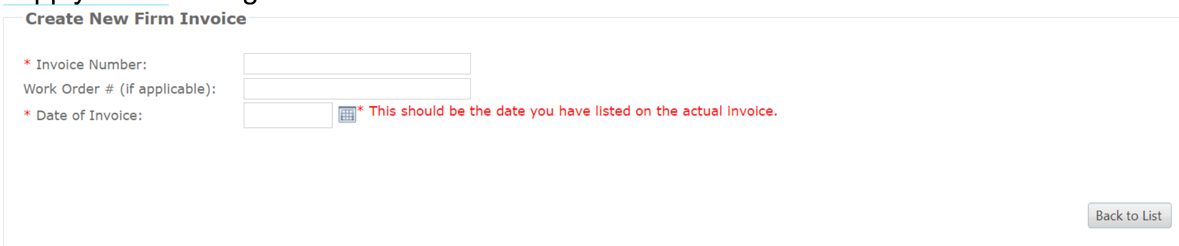
9.1 Start A New Invoice

1. Click ***New Invoice*** button.

2. A drop down will appear, and you will click the appropriate PTB-Item number. This drop down list pulls from all active agreements we have on file.

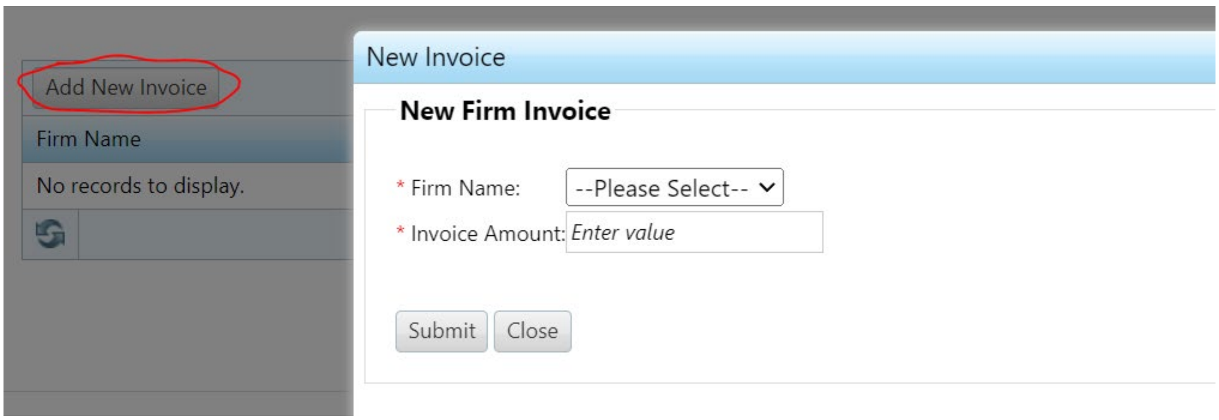
   If you have a project that is closed out and is appearing in the drop down it means that it has not been formally closed out in EPAS, thus appearing in the drop down. As projects close out, the project will disappear from the drop down selection.

3. Supply the following:



   a. **<u>Invoice Number</u>**: the number from the Prime invoice
   b. **<u>Work Order #</u>** (if applicable)
   c. **<u>Date of Invoice</u>**: the date that is on the actual Prime invoice.

4. Click ***Add New Invoice*** button for the table/grid.



5. Supply the following:

   a. **<u>Firm Name</u>**: this drop down will pull from the list of firms that are within your agreement.

      If you are missing a subconsultant please contact Jenni.LeSeure@illinois.gov.

   b. **<u>Invoice Amount</u>**: the invoice amount for the specific firm

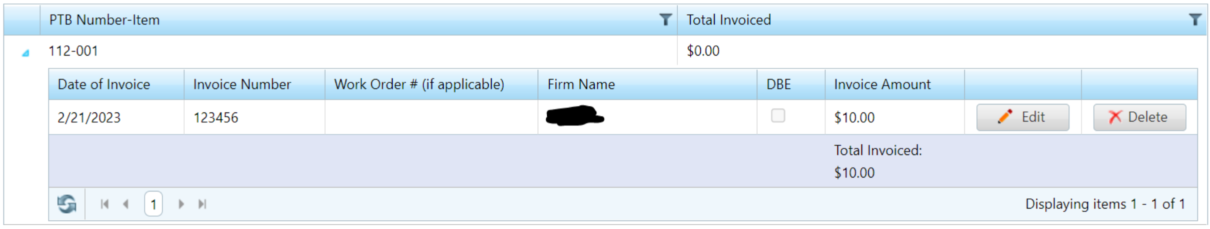
      When entering the amount for the Prime, include only the amount related to the Prime (i.e. total invoice amount minus subconsultant's total).

6. Click ***Submit*** button. Repeat for each firm on the invoice.

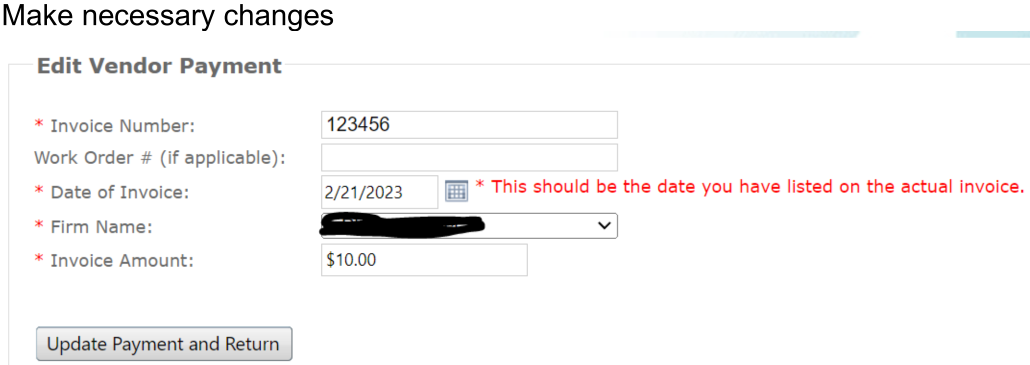
Once all the information has been entered click ***Back to List*** button, and your information will save.

9.2 Edit an Invoice

1. On the PTB – Item number, click the drop down arrow and click the ***Edit*** button for appropriate firm.



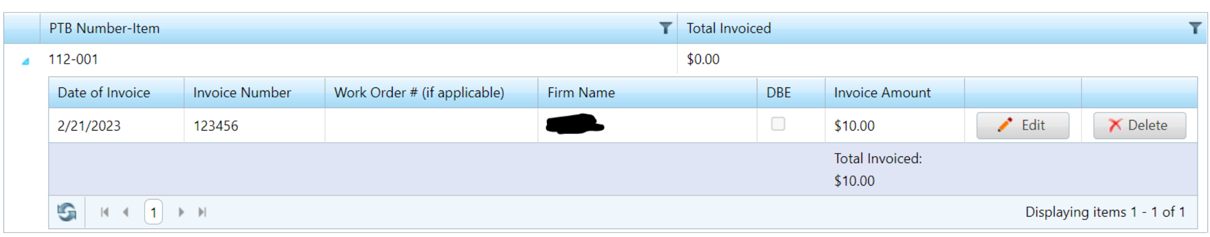
2. Make necessary changes



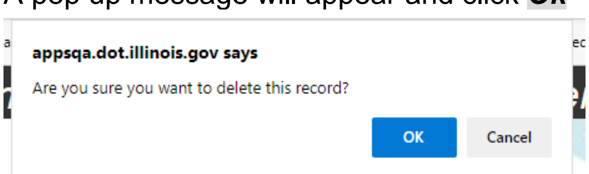
3. Click ***Update Payment and Return*** button.

9.3 Delete an Invoice

1. On the PTB – Item number, click the drop down arrow and click the ***Delete*** button for appropriate firm.



2. A pop up message will appear and click ***Ok***



3. The invoice will be deleted.

10 MANAGING YOUR EPAS ACCOUNT

IDOT creates **ONE** username based on the firm name and TIN.

The firm is responsible for all other users created and IDOT cannot modify these. It is the firm's responsibility to maintain users created by the firm.

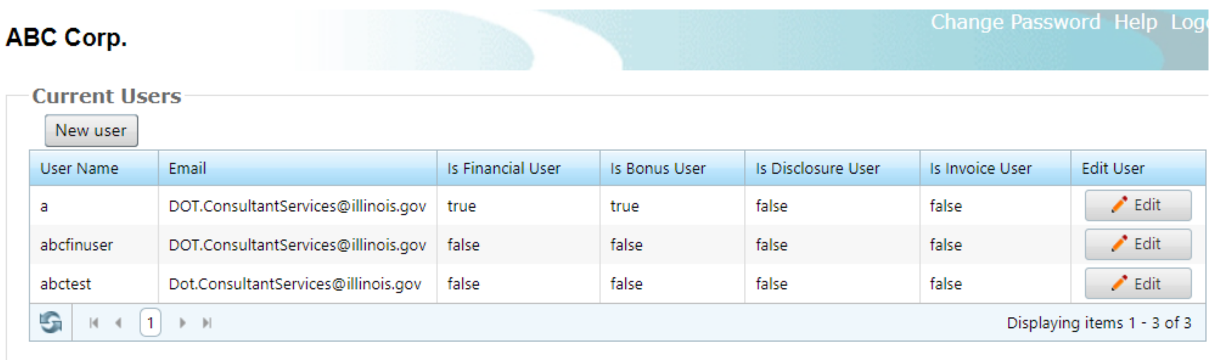
IDOT will only reset passwords.

10.1 Adding Multiple User(s) to your Company

You will be able to add multiple users within your company to enter data into the SEFC application.

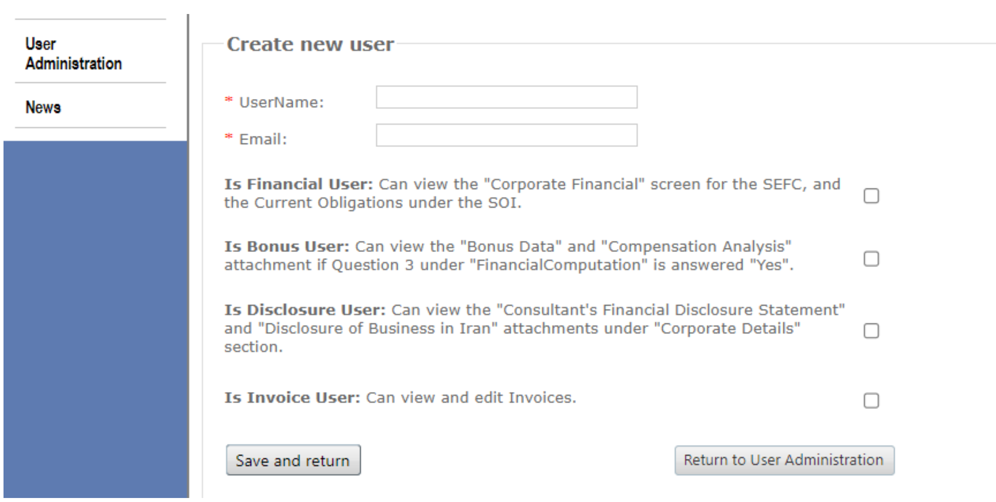
1. Select the ***User Administration*** menu option in the left navigational screen. The following screen will be displayed.

User Administration Screen



2. Select the ***New User*** button and the screen below will be displayed.

Create System User Screen



3. There are multiple layers of permissions to choose from:

   - **Is Financial User**: Can view the "Corporate Financial" screen for the SEFC, and the Current Obligations under the SOI.

   - **Is Bonus User**: Can view the "Bonus Data" and "Compensation Analysis" attachment if Question 3 under "Financial Computation" is answered "Yes".

   - **Is Disclosure User**: Can view the "Consultant's Financial Disclosure Statement" and "Disclosure of Business in Iran" attachments under "Corporate Details" section.

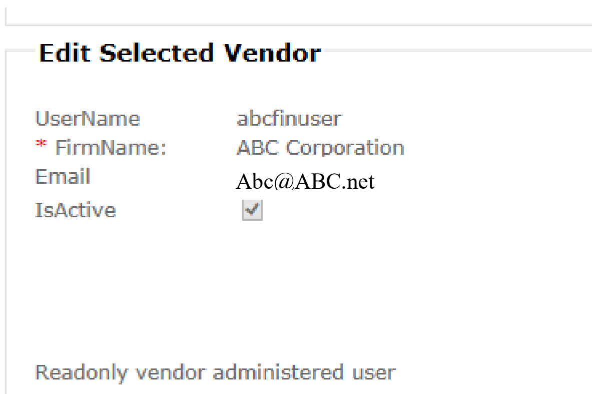
   - **Is Invoice User**: Can view and edit Invoices.

4. Select ***Save*** and return button. This will display the list of users that you have added.

5. Select the ***Return to User Administration*** button if you don't want to save your changes and return to the list of users.

Once the user is established, they **CANNOT** be deleted.

The ***Is Active*** button can be unchecked and is the responsibility of the firm to do so.



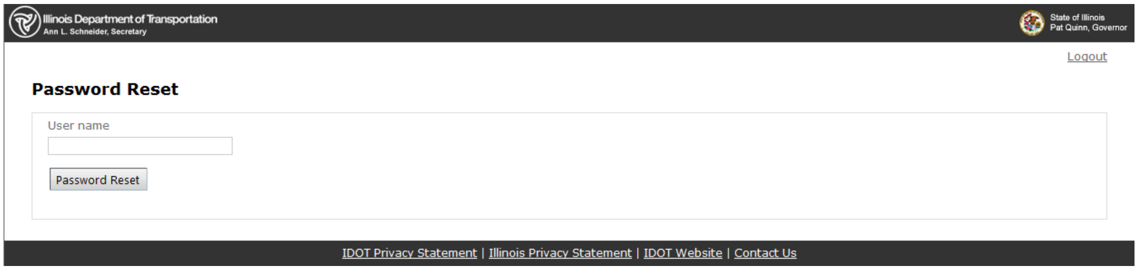
10.2 Forgot Password

If you forget your password, follow the instructions below.

Login Screen

1. Select the ***here*** link as depicted on the red box highlighted above.

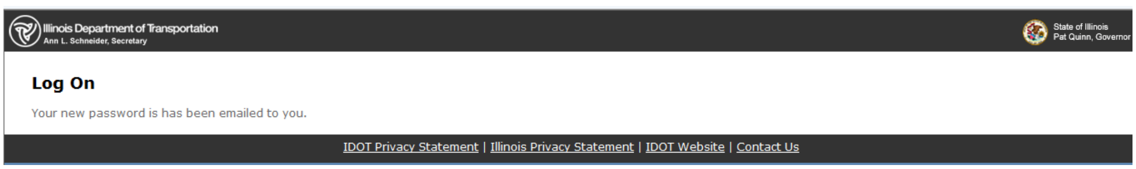
Password Reset Screen



2. Enter your username.

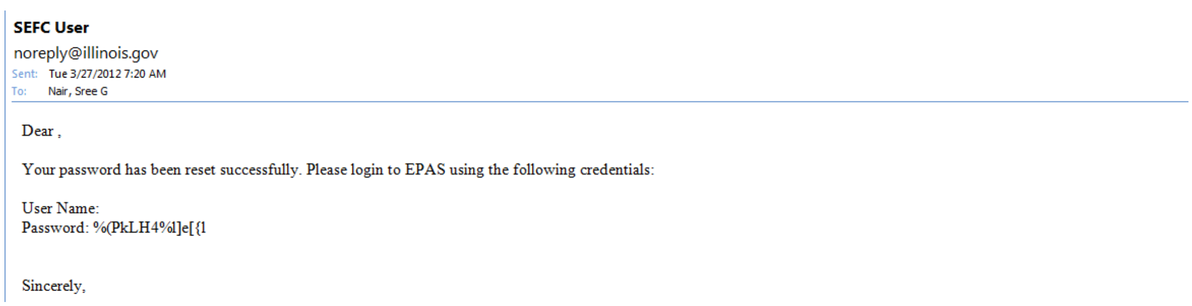
3. Select the ***Password Reset*** button. The following screen will be displayed.

Password Reset Success Notification Message Screen



4. An email will be sent to you as depicted below.

Reset Email



SEFC User
noreply@illinois.gov
Sent: Tue 3/27/2012 7:20 AM
To: Nair, Sree G

Dear ,

Your password has been reset successfully. Please login to EPAS using the following credentials:

User Name:
Password: %(PkLH4%l]e[{1

Sincerely,

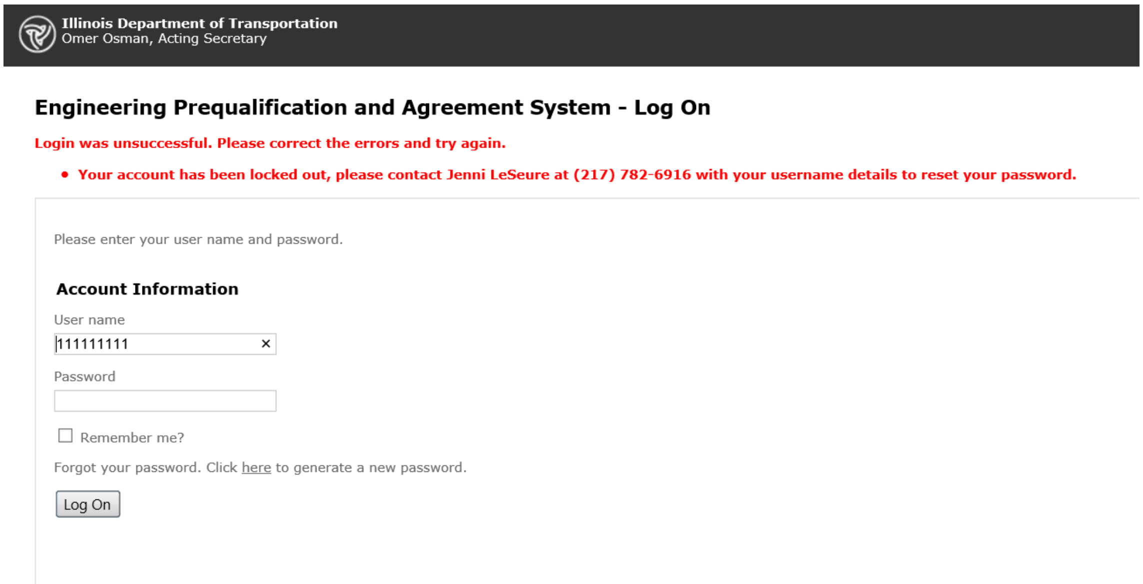
5. Logon to the system using the new password.

10.3 Login Failure

You will be locked out from the system if you have 3 consecutive login failures.

To reset your password, follow the instructions below.

Password Lock-Out Screen



The above screen will appear.

1. Either:
   - Call/e-mail the contact information stated on the screen and provide the user ID that you use to log in to EPAS as well as the company name. Have your username handy.
   - You can also e-mail DOT.ConsultantServices@illinois.gov with company name and user ID that needs the password reset.

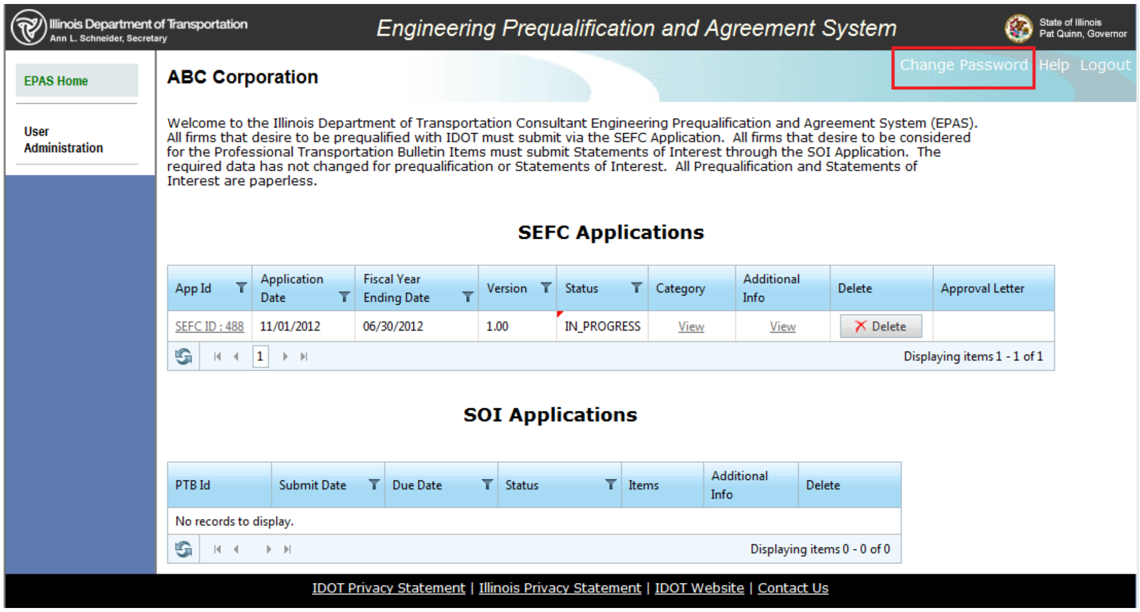
2. The contact person will reset your password and you will receive an email. IDOT cannot give passwords to anyone other than to the e-mail address provided by the firm in the system.

3. Login to the EPAS system with your username and the new password supplied in the email. Copying and pasting the e-mail is suggested.

10.4 Change Password

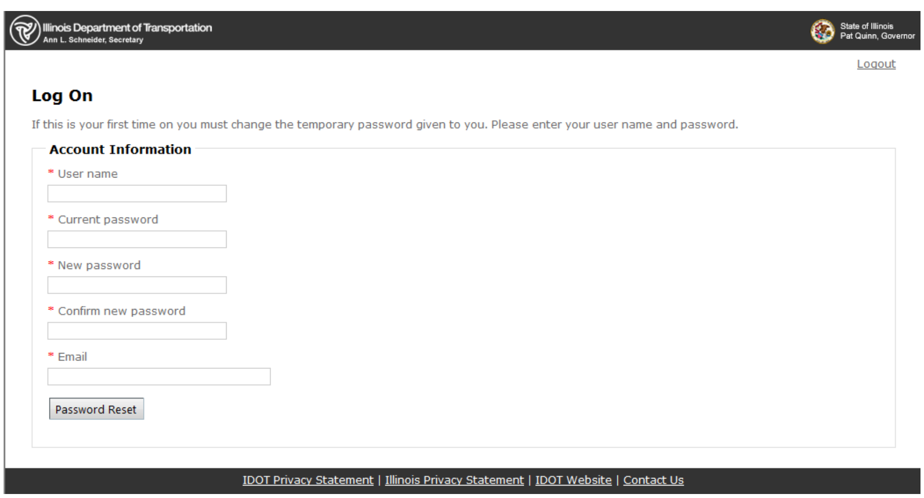
To change your password, follow the instructions below.

SEFC List Screen



1. Select the ***Change Password*** link on the EPAS Home screen, after you first log in. The following screen will appear.

Change Password Screen



2. Enter your Username – This will be the same username that you entered in the login screen (if you entered your TIN #, then reenter the TIN #)

3. Enter the current password – This will be the password you entered on the login page

4. Enter your new password and confirm your new password.

5. Enter your Email address if it is not shown or if it is different than the one shown, as this email will be utilized by IDOT to send you password reset notifications.

NOTE: The Vendor Document Site and EPAS Application are **NOT** the same. They are different systems.

11 REPORTS

Within EPAS there are currently three reports your firm can run:

1. **Invoices by PTB Item Number**: This report runs by PTB and Item number, and displays invoices entered into EPAS.
2. **Prequalified Environmental Staff**: This report is only for firms who have Environmental Reports (Environmental Assessment and Environmental Impact Statements) prequalification categories. This report will show you what staff is approved in which category, and any comments the prequal reviewer it had. It's the same as the Environmental Letter your firm gets when their SEFC is approved.
3. **Security Vendor Audit Report**: This report gives you an overview of the use of your firm's account, usage and logins (by date and time).

11.1 Invoices by PTB Item Number

To run the report:

1. Click ***Reports*** in the left navigational bar.

2. Click ***Run*** link for Invoices by PTB Item Number.

3. Select PTB/Item in drop down.

4. Select ***Run Report*** button

5. The report can be exported to Excel. Once opened it will show the information that has been entered into the Invoice arm of EPAS:
    - Date of Invoice
    - Invoice Number
    - Work Order Number
    - Firm Name
    - Is DBE
    - Invoice Amount
    - Total Invoiced (per the PTB Item)
    - Total Invoiced to DBE Firms
    - Current Operating DBE Goal (Total Invoiced to DBE Firms / Total Invoiced)

Blank Report

INVOICES FOR PTB PTB-ITEM

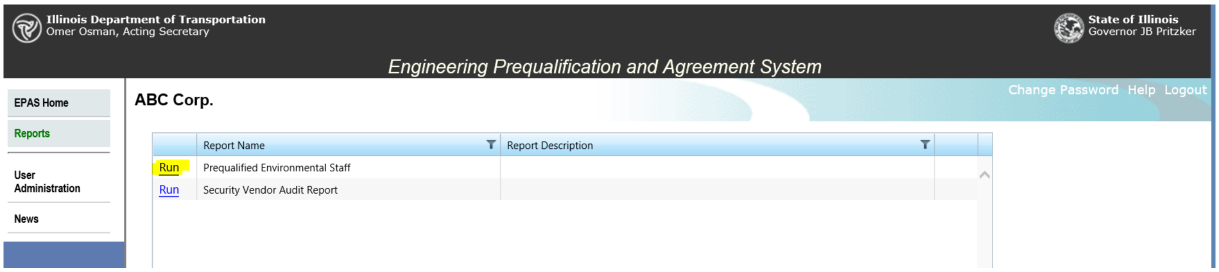
InvoicesByPtbItemNumberR202

Date of Invoice	Invoice Number	Work Order Number	Firm Name	Is DBE	Payment Amount
				Total:	
			Total Invoiced:		
			Total Invoiced to DBE Firms:		
			Current Operating DBE Goal:		

11.2 Prequalified Environmental Staff Report

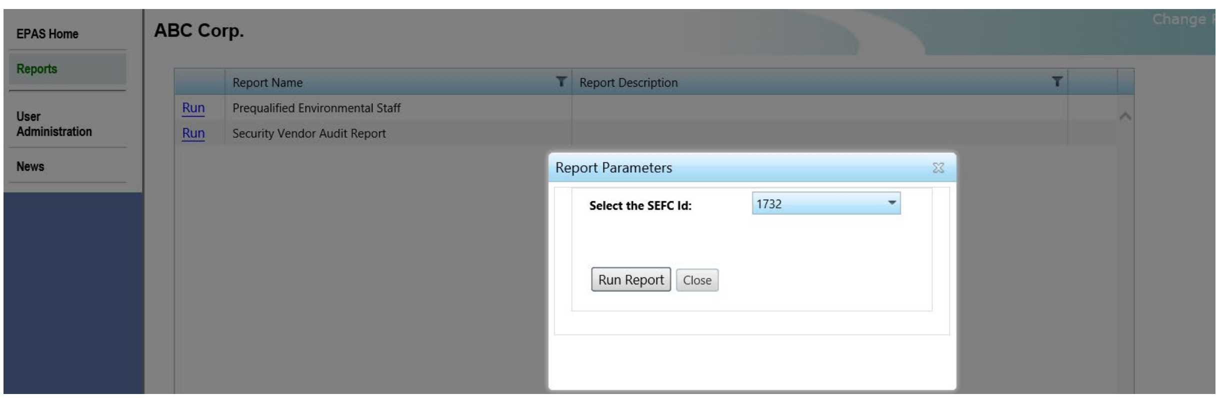
To run the report:

1. Click ***Reports*** in the left navigational bar.
2. Click ***Run*** link for Prequalified Environmental staff.

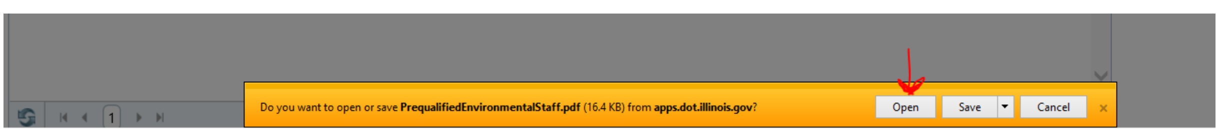


3. Select the ***SEFC ID*** number within the drop down, you are wanting the report on

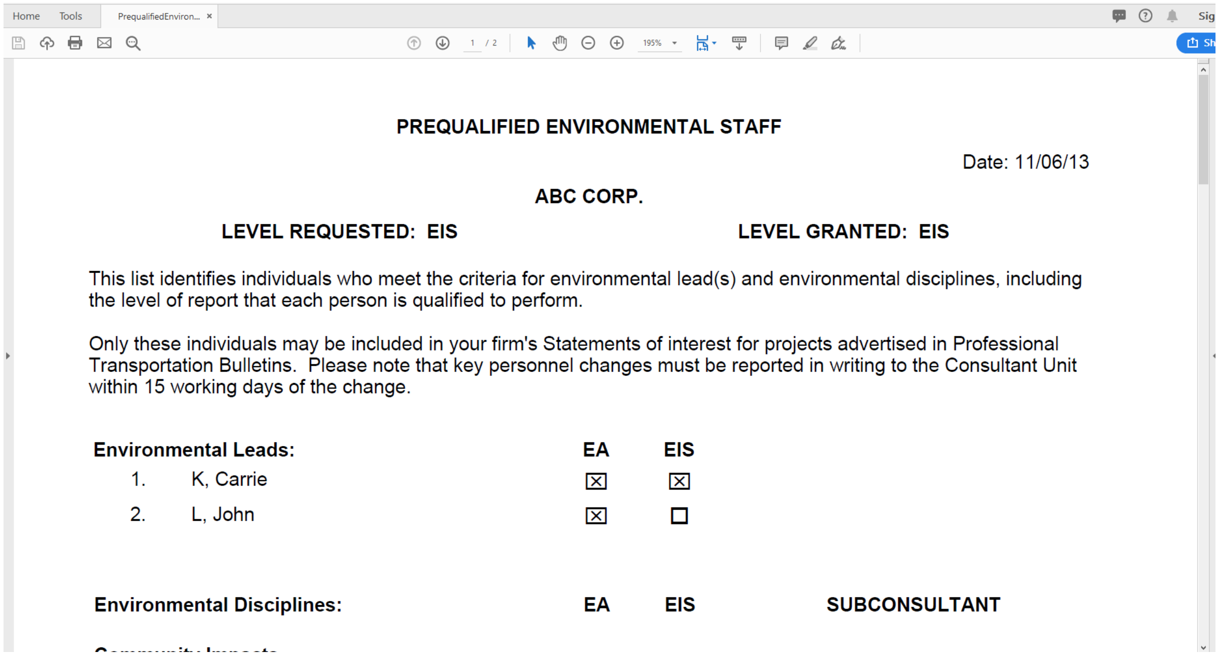
Report Parameters Screen



4. Select ***Run Report*** button
5. A ribbon at the bottom of your screen will appear, select “Open” (or save is you wish)



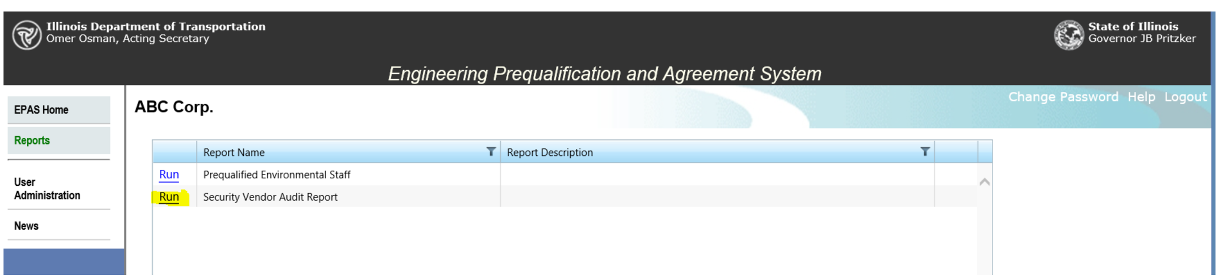
6. Report will open in Adobe Acrobat.



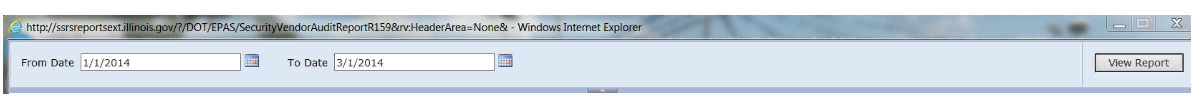
11.3 Security Vendor Audit Report

To run the report:

1. Click ***Reports*** in the left navigational bar.
2. Click ***Run*** link for Security Vendor Audit Report

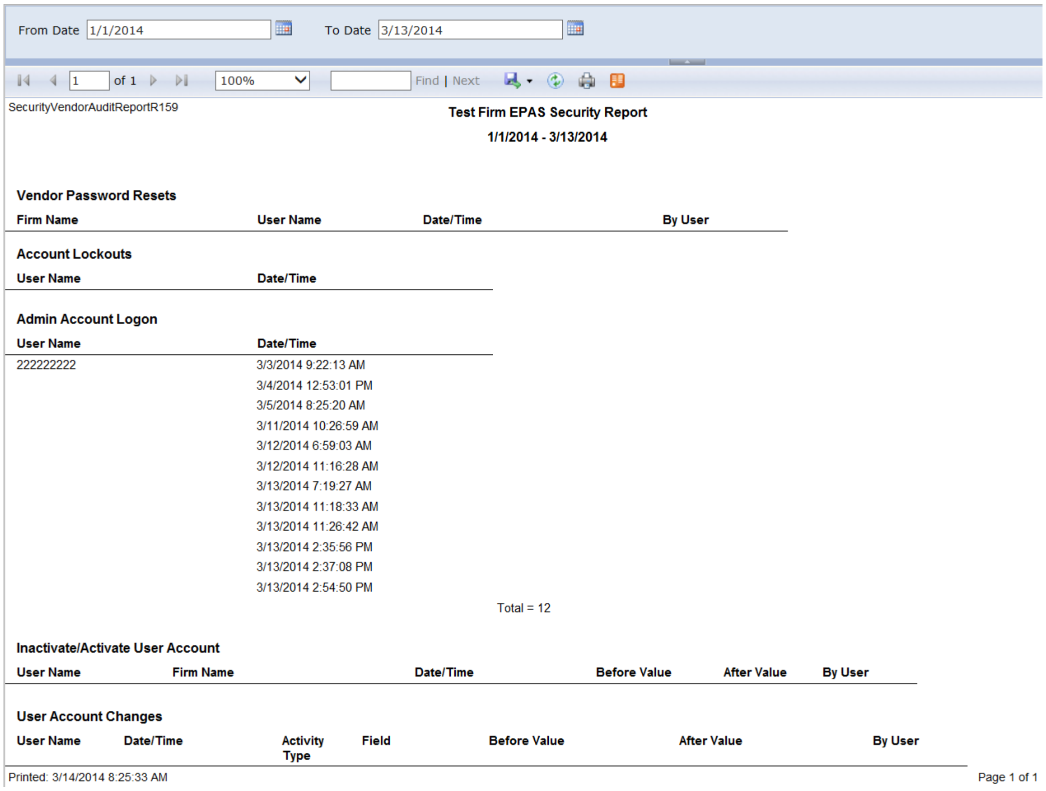


3. Insert Dates and Select ***View Report***:



Continued on next page…

4. The following report is displayed. It will give you an overview of the use of your firm's account.



From Date 1/1/2014 To Date 3/13/2014

1 of 1 100% Find | Next

SecurityVendorAuditReportR159

Test Firm EPAS Security Report

1/1/2014 - 3/13/2014

Vendor Password Resets

Firm Name	User Name	Date/Time	By User

Account Lockouts

User Name	Date/Time

Admin Account Logon

User Name	Date/Time
222222222	3/3/2014 9:22:13 AM
	3/4/2014 12:53:01 PM
	3/5/2014 8:25:20 AM
	3/11/2014 10:26:59 AM
	3/12/2014 6:59:03 AM
	3/12/2014 11:16:28 AM
	3/13/2014 7:19:27 AM
	3/13/2014 11:18:33 AM
	3/13/2014 11:26:42 AM
	3/13/2014 2:35:56 PM
	3/13/2014 2:37:08 PM
	3/13/2014 2:54:50 PM

Total = 12

Inactivate/Activate User Account

User Name	Firm Name	Date/Time	Before Value	After Value	By User

User Account Changes

User Name	Date/Time	Activity Type	Field	Before Value	After Value	By User

Printed: 3/14/2014 8:25:33 AM Page 1 of 1

12 FAQ

This section lists some of the frequently asked questions regarding the system.

12.1 EPAS

1) Q. How do I access the EPAS application?

A. The following link: http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Prequalification%20 will take you to the Consultant Prequalification page on the IDOT Internet Site. From this page you will see the Engineering Prequalification and Agreement System (EPAS) link (at bottom of page under "Quick Links").

Selecting the EPAS link will display the EPAS Login page. Enter your username and password to access the system.

2) Q. Can I access EPAS with Google Chrome or Microsoft Edge?

A. Yes, you should be able to use Google Chrome or Microsoft Edge to access EPAS.

3) Q. How am I notified of changes for prequalification and statement of interest submittals?

A. Notifications are done in several ways.

- There is a News Link on EPAS, which contains pertinent information for consultants.
- The Professional Transportation Bulletin contains a New Notices Section.
- The BDE Consultant Subscription Server is used for mass e-mailing consultant firms, you must sign up to do so choose the Stay Connected Tab at: http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Connect

4) Q. What does it mean when I get the following message?
"We regret that this error occurred. To help us debug the problem, please document what you were doing just prior to the error and submit it to the following email address listed below. Please include your name and contact information such as phone number and/or email address, just in case we need to get further information from you…. "

A. If you received the above error, it means there was a system error. Please help us by sending detail documentation on what you did prior to the error. The more detail you provide will help us fix the problem quicker and provide you with a better experience of the system.

5) Q. Do we receive emails from the EPAS System?

A. **YES**. The emails that you receive from EPAS will originate from noreply@illinois.gov.

Please do not ignore this email. You will receive email from this address for the following reasons: Password Reset, Additional Information Required for SEFC, New EPAS Account Information.

Please do not respond to these emails.

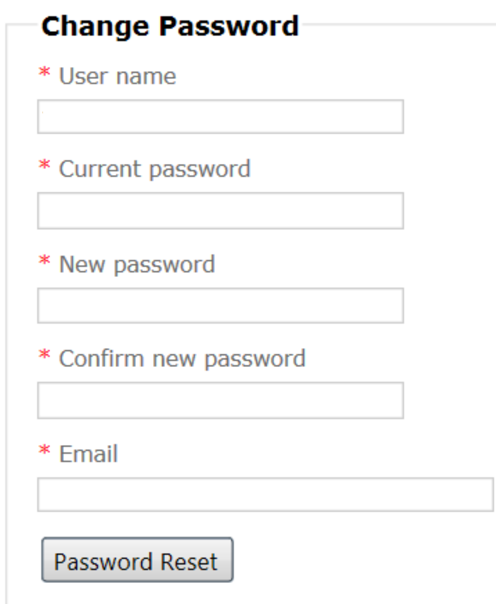
6) Q. What are the password requirements?

A. Password must be at least three of the following four-character groups and must be a length of 7 or greater

- English uppercase characters (A through Z).
- English lowercase characters (a through z).
- Numerals (0 through 9).
- Non-alphabetic characters (! $, #, %, @, &, *, ~)

7) Q. Who gets the Password resets?

A. The E-mail included under the Change Password, which is completed by the firm, gets the e-mail reset associated with the username.



8) Q. What is session timeout?

A. Most web-based applications have a session timeout for security purposes when you have left the application idle (not doing any work on it for some period – 10 minutes or so).

Please logout of the system if you are not going to be working on it for some time to protect your information.

You might also get a system error when you leave your system idle and enter data on your return. When this situation arises, please logout of the system and logon again to resume

12.2 SEFC

1) Q. How do I know when to submit my SEFC for renewal?

A. Go to EPAS and select Help. There is a SEFC Instruction Link. The location has a table with the application times. See Section 7 When and What to Submit: Start New; Renew; or Amend.

IMPORTANT: all firms are required to submit a SEFC (New or Renew) on an **ANNUAL** basis, which is based on the firm's fiscal year. Firms are then given 6 months from their FY end date to submit the SEFC application. Firm's not submitting by the due date will be marked as not approved.
There is reminder in EPAS once the fiscal year is up:

SEFC Applications

Your renew SEFC is due by 6/30/2017. Failure to submit your renew SEFC by 6/30/2017 will result in loss of your prequalification status.

2) Q. How do I know if the application has been submitted?

A. It has **NOT** been submitted if under the Application status it says In Progress.

It has been submitted if it has, Submitted, Initial Review, Ranking Process, or Ranking complete under the Application Status.

	App Id	Vendor	Application Type	Date Submitted	Application Status	Ac

3) Q. How do I know if the application review has been completed?

A. Under the status, if it says Approved or Not Approved the review is completed. See the Status Section description in this manual. (The approval letter is only available when approved)

App Id	Date Submitted	Fiscal Year Ending Date	Type	Overhead %	Status	Category/Comments	Additional Info	Approval Letter
SEFC ID: [redacted]	07/31/2019	[redacted]	RenewSEFC	[redacted]	RANKING_COMPLETE	View	View	
SEFC ID: [redacted]	05/08/2019	[redacted]	AmendSEFC	[redacted]	APPROVED	View	View	Approval Letter
SEFC ID: [redacted]	08/07/2018	[redacted]	RenewSEFC	[redacted]	APPROVED	View	View	Approval Letter

4) Q. What is the difference between New SEFC, Renew SEFC and Amend?

A. Review Section 7: When and What to Submit: start New; Renew; or Amend for more information.

- **New SEFC**: is for first time applicants and for firm's that are required to submit the entire SEFC, staffing, prequalification questionnaires, and corporate & financial data.
- **Renew SEFC**: is for currently prequalified firms that are required to submit the corporate and financial data for renewal.
- **Amend**: is to update an existing SEFC with partial changes, such as a staff update, requesting a new category, updating insurance.

5) Q. When do I update my insurance?

A. It is the firm's responsibility to keep the insurance amounts and expiration dates current. This is done by doing an **AMEND** to the existing SEFC application. Insurance certificates are required to be included and up to date.

All insurance certificates are entered in EPAS under Corporate Details.

If you are unable to submit an Amended SEFC because you have a SEFC in que, send a copy of your insurance to: DOT.ConsultantServices@illinois.gov and send a copy of the insurance to all IDOT Project Managers you currently are working with.

6) Q. When I select an attachment to include in EPAS, nothing happens. The system doesn't recognize that something has been selected to attach.

A.

- First try while in the EPAS system (internet explorer) go to the Tools/Compatibility View Setting and click on the Add button next to the Add the Illinois.gov Website and then close.
- If that doesn't work, go to the internet Explorer and then to Tools/Internet Options. Click on the Advanced Tab at the top, and then select Restore advanced Settings.
- If none of those work, go back to the advanced tab, Select the reset, then close, and restart the computer.
- Also, if you have another computer available try using EPAS from it.

7) Q. Can I bookmark a page from the application and retrieve it later from my favorites?

A. No. Please do not bookmark a page from the application. Always logout of the system before you leave. Remember to save your work before you exit the application.

8) Q. Can I print my application?

A. There is **NOT** a print option for the application. You can do screen prints or go page by page and do "Print Preview" and print the screens.

9) Q. What is the AFC field?

A. The AFC is the firm's annual fee capacity. IDOT completes this field based on the staff the firm has included in the SEFC. See BDE Manual, Chapter 8 section 2.02 Prequalification of Consultants for additional detail.

10) Q. Can I get a time extension?

A. **NO. No time extensions will be issued or allowed.**

12.3 SOI

1) Q. What happened to the Joint Venture option?

A. The Joint Venture option is now called Teaming. All the requirements for JV are still the same; the name only has been revised

2) Q. Can I print my application?

A. There is **NOT** a print option for the application. You can do screen prints. You can do screen prints or go page by page and do "Print Preview" and print the screens.

13 CONTACT

- Please send any SEFC and/or SOI questions to the Consultant Services mailbox.

  Email: DOT.ConsultantServices@Illinois.gov

- Please send any questions related to the SEFC Corporate Financial screen, such as questions concerning the overhead rate data, taxes, trial balance, in-house direct costs to the Financial Review & Investigation Section mailbox.

  Email: DOT.OQCR.Audits@illinois.gov