

State of Illinois Illinois Department of Transportation

Engineering Prequalification and Agreement System Instruction Manual



Engineering Prequalification and Agreement System (EPAS) Manual

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Individuals who choose to print a copy of the manual are responsible for ensuring use of the most current version.

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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. <u>https://apps.dot.illinois.gov/EPAS/Home/Instructions</u>

4 LOGGING ON TO EPAS

Login Screen:

	🔄 🔻 🔊 👻 🖶 🖶 🗕 Page 🕶 Safety 🕶 Tools 🕶 🕢 🎽
Willinois Department of Transportation	State of Illinois Pat Quinn, Governor
Log On	
Please enter your user name and password.	
Account Information	
User name	
Password	
Remember me?	
Forgot your password. Click <u>here</u> to generate a new password.	
Log On	
IDOT Privacy Statement Illinois Privacy Statement IDO	OT Website Contact Us

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

Review the description and minimum requirements (see <u>IDOT website</u>) to determine which categories the firm would be qualified to do. Once a firm decides to become prequalified, e-mail <u>DOT.ConsultantServices@illinois.gov</u> 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. <u>Username</u>: Your TIN # (FEIN) (do **NOT** use spaces or dashes)
- 2. **<u>Password</u>**: 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 <u>DOT.ConsultantServices@illinois.gov</u> 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

0-		Logo
og On		
	the temporary password given to you. Please enter your user name and passwo	ord.
Account Information		
* User name		
Current as coverd		
* Current password		
* New password		
	This e-mail will	
* Confirm new password		
	receive the reset	
* Email	password	
	F	
Password Reset		

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 <u>DOT.ConsultantServices@Illinois.gov</u>
- 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

	Illinois Department of Transportation Ann L. Schneider, Secretary		Engineering Prequalification and Agreement System	State of Illinois Pat Quinn, Governor					
	EPAS Home	Test Firm		4. Change Password Help Logout					
1.	Reports	Welcome to the Illinois Department of Transportat All firms that desire to be prequalified with IDOT n	5.						
2.	User Administration		Professional Transportation Bulletin Items must submit Statements of Interest through the SOI Application. The ed data has not changed for prequalification or Statements of Interest. All Prequalification and Statements of t are paperless.						
3.	News	SEFC Applications							
			SEI C Applications						

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. <u>News</u>

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:

Welcome to the EPAS System	
The Professional Transportation Bulletin is the official notice of needed professional services for the Illinois Department of Transportation.	General
This bulletin is sent to each professional consultant on IDOT's prequalified list. A Professional firm who is not prequalified may obtain the necessary information to become prequalified from the IDOT website on the Consultant Prequalification page.	 Doing Business Design & Environment
The PTB is not an invitation for bids. Firms properly prequalified for any of the projects listed within the PTB may indicate their desire to be considered for selection y submitting a Statement of Interest (SOI) for the project using the Engineering Prequalification and Agreement System (EPAS). For further information regarding TPS, visit the Consultant Services Professional Transportation Bulletins page.	Manuals Design & Environment Forms Subscription Services
DOT shall not discriminate based on race, color, national origin, or sex in the award and performance of any DOT-assisted contract or in the administration of its DEC Program or the requirements of 49 CFR part 26. IDOT shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts.	 EPAS Instruction Manuals EPAS FAQ's
The selection of professional consultants by IDOT is not based on competitive bidding but on the firm's professional qualifications, experience, and expertise of key personnel to be assigned to the project with consideration also given to:	
1. Ability to complete the work in the time required and the firm's existing workload.	SEFC
2. The firm's proximity to the project, when important.	+ SEFC Information
3. Extent of work, which must be subcontracted by the firm and their proposed method of accomplishing the project objectives.	+ Illinois Certification Program
4. Financial evaluation of the firm and its accounting methods.	
5. Performance rating for past work done for IDOT, if applicable.	
All members of the Consultant Selection Committee will be unavailable to discuss specifics of projects listed within a PTB during the two-week period preceding the selection Committee Meeting for that PTB.	РТВ
Latest News	SOI Instructions Professional Transportation Bulletin Consultant Mentor-Protege Program Notice of Contract Awards

ome	ABC													
stration	All firms for the P required	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.												
	Interest	are pape	11655.											
							S	EFC A	Applica	ations				
				Fiscal										
	App Id T	Date Submit	ted T		Туре Т	, Overhead %	Ŧ	Status	Т	Category/Comme	nts	Additional Info	Delete	Approval Letter
	<u>SEFC</u> <u>ID :</u> <u>7312</u>	04/03/2	2020		NewSEFC			IN_PRC	GRESS	View		View	× Delete	
	<u>SEFC</u> ID : 4925	06/15/2	2019	12/31/2018	8 RenewSEFC	110.00		NOT_A	PPROVED	View		View		
	<u>SEFC</u> <u>ID :</u> <u>3949</u>	03/29/2	2018	12/31/2017	7 NewSEFC	0.00		APPRO	VED	View		View		Appro
	S •	(← 1	$\models \exists H$										Displayi	ng items 1 -
					s	ОІ Арј	olica	ation	s					
	PTB Id		Submit	Date T	Due Date	▼ Status		Т	ltems	Additional Info	Delet	e		
	SOI ID:	195			02/27/2020	IN_PRO	OGRES	s	View	View	×	Delete		
	SOI ID:	194			12/05/2019	IN_PRO	DGRES	s	View	View	×	Delete		
	SOI ID:	193			08/22/2019	IN_PRO	DGRES	S	View	View	×	Delete		
	SOI ID:	192			05/23/2019	IN_PRO	OGRES	S	<u>View</u>	View	×	Delete		
	SOI ID:	<u>191</u>			02/28/2019	IN_PRO	DGRES	s	<u>View</u>	View	×	Delete		
	SOI ID:	190			11/29/2018	IN_PRO	OGRES	S	<u>View</u>	View	×	Delete		
	SOI ID:	189			08/23/2018	IN_PRO	OGRES	s	<u>View</u>	View	×	Delete		
	SOI ID:	188			05/24/2018	IN_PRO	OGRES	s	<u>View</u>	View	×	Delete		
	SOI ID:	187			02/22/2018	IN_PRO	OGRES	s	View	View	×	Delete		
	SOI ID:	186			11/30/2017	IN_PRO	OGRES	s	View	View	×	Delete		

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

- <u>App Id</u>: If you Select the <u>SEFC ID (#):</u> 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.
- **<u>Submit Date</u>**: 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 gualification 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

EPAS Home ABC Corp. 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. Reports User Administration News SEFC Applications Fiscal App Id Date Year Overhead Additional Approval T Status т T Category/Comments Delete Туре T Т Ending Submitted Info Letter Date T <u>SEFC</u> ID : 04/03/2020 NewSEFC IN PROGRESS View View 🗡 Delete 7312 <u>SEFC</u> 06/15/2019 12/31/2018 RenewSEFC 110.00 NOT_APPROVED ID : View View <u>4925</u> <u>SEFC</u> Approval 12/31/2017 NewSEFC 0.00 APPROVED 03/29/2018 ID : View View Letter 3949 G H ≪ 1 → H Displaying items 1 - 3 of 3 SOI Applications Additional T Items PTB Id Submit Date T Due Date T Status Delete Info SOI ID: 195 02/27/2020 IN_PROGRESS View View 🗡 Delete IN_PROGRESS SOI ID: 194 12/05/2019 View View X Delete SOI ID: 193 08/22/2019 IN_PROGRESS View View 🗡 Delete SOI ID: 192 05/23/2019 IN_PROGRESS View <u>View</u> 🗡 Delete G - H 4 **1**23 ▶ H Displaying items 1 - 10 of 30 IDOT Privacy Statement | Illinois Privacy Statement | IDOT Website | Contact Us Version:1.2.51.0

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.

Minois Department	of Transportation			Engineering	g Prequ	ıalificati	on and Agree	ement System	8	State of Illinois Pat Quinn, Governor
EPAS Home	NEW FIRM									Help Logout
Reports User Administration	Welcome to the Illinoi All firms that desire to for the Professional Tr required data has not Interest are paperless	be prequalified ansportation Bi changed for pr	d with IDOT must ulletin Items mus	submit via the SEFC t submit Statements	Applicatio of Interest	 All firms through the 	that desire to be co SOI Application. T	nsidered		
News	SEFC Applications									
	+ Start New SEFC									
	App Id T	Date Submitted T	Fiscal Year Ending Date	т Туре	T Overhe	ad % T	Status	Category	Additional Info	Approval Letter
	There is no application	in the database.								
	S H ← 1 → 1	el.							Displaying	items 0 - 0 of 0
	SOI Applications A new PTB 171 is active (2/6/2014 - 2/27/2014). You can add a new SOI to apply for this PTB									
	+ Start SOI #: 171 PTB Id Subr	mit Date 👅 🛙	Due Date T	Status T	items	Additional Info	Delete			
	No records to display.									
	🗐 н к 🕨 н					Displ	aying items 0 - 0 of 0			

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. <u>In Progress</u>: 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. <u>Submitted</u>: 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. <u>Initial Review:</u> 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.
- <u>ADDITIONAL INFO REQUIRED</u>: 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 T	Date Submitted	т	Fiscal Year Ending Date	Туре Т	Overhead %	Status T	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. **<u>Ranking Process</u>**: The requested Prequalification Categories are being reviewed.
- <u>Ranking Complete:</u> 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 <u>RED</u> 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.

07/07/2014 . Approved Submitted	- Approved
	RANKING_PROCESS

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

Т	Overhead %	Status
C		RANKING_PROCESS

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 **<u>Approved</u>** or as **<u>Not Approved</u>**.

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

EPAS Home	ABC Corp.						
Corporate Profile							
Corporate Financial	Corporate Profile						
Staff	Taxpayer Identification Nur IDOT Vendor Number: 3633						
Corporate Details							
Prequalification Categories	 Fiscal Year Ending Date: Years Experience in Trans County: 						
Summary and Submit	County.	-riease select-					
News	Main Office contact is requ	ired, please include all other bran	ch offices doing work for IDOT.	CONTACTS Please add a contact to Number under address	direct prequalification que	estions if it is different from ye	our main contact. Also, include Suite
	Add Contacts						
	Contact Type	Full Name	Address	Phone	Phone Ext	Email	
	No records to display.						
	No records to display.						Displaying items 0 - 0 of 0
							Displaying items 0 - 0 of 0

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 **Q** 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.
- **W** 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.
- **WOTE 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.

Insert / Edit a Contact	
Contact Type:	Please Select
	Please Select
Salutation	Branch Office
	Financial Representative
First Name:	Main Office ★
	Name to Receive performance
Last Name:	Evaluation
	Prequal Correspondence

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

EPAS Home	ABC Corp.	Help Logou
Corporate Profile		
Corporate Financial	Corporate Financial	
Staff	Financial Computation	
Corporate Details	fiscal year. Only consultants who comply with these procedures and submit accurate inform	each consultant's accounting system and self-computation of burden and overhead rates for the latest nation will be considered by the Department for State work. All information received will be held in
Prequalification Categories	strictest confidence and will be audited or verified as deemed necessary by the Departmen This information must be updated on an annual basis no later than <u>six</u> months aft	t. ter the close of each fiscal year to remain on the prequalified list for professional work.
Summary and Submit	* Question 1: Have you been audited by another State or Fed Agency for your last fiscal you	ear?Please Select 🔻
News	* Question 2: Are you a new firm with 6 months fiscal year data?	Please Select
	* Question 3: Are you attaching Overhead Rate Data?	Please Select
	* Question 4: Does your firm have multiple rates?	Please Select 💌
	In-House Direct Costs/Rates	
	Firms are to include a listing of all in-house direct costs/rates they are using. Rates* are to	be accompanied by supporting documentation calculated on actual costs only.
	* Excluding mileage, daily vehicle expense, and any travel costs based on State Travel Reg	gulations.
	* Attach in-house direct costs/rates Select	
	Cost Accounting Standards Information	
	* Question 1: Has firm been awarded \$50 million or more in cumulative federal contracts	in this accounting period?
	* Question 2: Has firm been awarded at least one contract exceeding \$50 million in the a	accounting period?Please Select 🔻
	* Question 3: Has firm ever been awarded any Federal Contract(s) in this accounting per	iod?Please Select 🔻
	* Question 4: Are you following the modified CAS standard 9904.401, 9904.402, 9904.40	05 and 9904.406 as required?Please Select
	Save	Previous - Corporate Information Next - Staff Information

This is the Corporate Financial Screen. This screen is only accessible by a user that has access to your company's financial data (See <u>here</u> 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 **I** NOTES when filling out the Corporate Financial Screen:

• **<u>*Question 1</u>**: (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 1: Have you been audited by another State of	or Fed Agency for your last fiscal year? Yes	-
If yes, attach Audit Copy with Audit Report Total Overhead Rate %:	Select	
If your firm agrees to perform work for IDOT a	t a lesser Total Overhead Rate than shown above, fill b	elow info:
Please Indicate % Rate:		
Time period Start Date:		
Time period End Date:		

- *Question 2: (must answer yes or no) If yes, then attach a justification, and our auditors will give you an overhead rate.
 * Question 2: Are you a new firm with 6 months fiscal year data?
 Yes
 If yes, attach justification explaining firm status
- <u>*Question 3:</u> (must answer yes or no) If yes, you must attach the following:
 - <u>Tax Return</u>: 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 <u>Amended SEFC</u>.
 - <u>Trial Balance</u>: The trial balance is a report run at the end of the fiscal year, listing the ending balance in each account, <u>see example</u> on next page. The trial balance should include ALL accounts, not just expenses.
 - AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers: Include the completed questionnaire, the link to the questionnaire is here: <u>https://audit.transportation.org/wp-content/uploads/sites/14/2018/07/Appd-B-ICQ-FINAL-updated-to-reference-2016-Guide-1.doc</u>

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

- 4. <u>Overhead rate</u>: 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 <u>6.3.1 Overhead Data</u>.
 - 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.

If your firm agrees to perform work for IDOT at	a lesser Tota	l Overhead Rate than shown above, fill below info:
Please Indicate % Rate:		
Time period Start Date:		III
Time period End Date:		

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

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

6. <u>Compensation Analysis:</u> 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. <u>See example</u> on next page. Please see <u>6.3.1 Overhead Data</u>.

7. <u>Bonus Data</u>: 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 <u>6.3.1 Overhead Data</u>.

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 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. AcSHTO 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 Report. 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 Report. Select. Compensation Analysis: The salaries, bonuses, deferred compensation, and any other compensation is broken out by each executive. Select. Compensation Analysis: The salaries, bonuses, deferred company along with their total salary and wages. Select. Select. Select. Compensation Analysis: The salaries from your "Overhead Rate attachment."	tion 3: Are you attaching Overhead Rate Data?	Yes 👻
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 Report. 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 Report. Select		Federal Income Tax Return. If applicable, a copy of the tax extension is acceptable; firm is required to submit the completed tax return by extensio
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 Report. 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 Report. Select		
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 Report. Select 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	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 Report. 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 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 Report. Select	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 Report. Select	AASHTO Internal Control Questionnaire (ICQ) for Consulting Engineers: Include the completed questionnaire, the link to the form is in the EPAS Manual.
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 Report. Select	Select	
Report. Select Certificate of Final Indirect Costs: Include Signed Certificate of Final Indirect Costs. Select Select Select Bonus Data All bonuses paid to each individual at the company along with their total salary and wages. Select	Select	
Certificate of Final Indirect Costs: Include Signed Certificate of Final Indirect Costs. Select Select Bonus Data All bonuses paid to each individual at the company along with their total salary and wages. Select		pped, of payroll burden and fringe expense and general and administrative expense percentage rates. If you include a CPA Audit, please include the
Select Select Select Select	Select	
Compensation Analysis: The salaries, bonuses, deferred compensation, and any other compensation is broken out by each executive. Select Select Select	Certificate of Final Indirect Costs: Include Sign	red Certificate of Final Indirect Costs.
Compensation Analysis: The salaries, bonuses, deferred compensation, and any other compensation is broken out by each executive. Select Select Select	Select	
Bonus Data All bonuses paid to each individual at the company along with their total salary and wages. Select		deferred compensation, and any other compensation is broken out by each executive.
Bonus Data All bonuses paid to each individual at the company along with their total salary and wages. Select		
Select	Select	
	Bonus Data All bonuses paid to each individual a	the company along with their total salary and wages.
Total Overhead Rate %: Provide the Overhead Rate from your "Overhead Rate attachment."	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.
- <u>*Question 4:</u> (must answer yes or no) If yes, you must supply <u>at least two</u> different types of rates as well as answering YES to Question 3.

+ Add new record			
Rate Type	% Rate		
Field	120.00%	🥒 Edit	🗙 Delete
Office	115.65%	/ Edit	× Delete

Examples are on the next page...

2:38 PM	Rock Castle Cor	nst	ruction					
12/15/07	Trial Bala	no	e					
Accrual Basis	As of November 30, 2007							
			Nov	30.	07			
		۰ -	Debit	0	Credit	•		
	Checking		88,361.48					
	Savings		49,368.42					
	Accounts Receivable		40,943.48	(
	Tools & Equipment		5,000.00	i				
	Inventory Asset		29,653.20	i.				
	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	i				
	Furniture		7,325.00	i -				
	Accumulated Depreciation				121,887.78	3		
	Pre-paid Insurance		1,716.85					
	Accounts Payable				75,804.61	1		
	QuickBooks Credit Card				70.00	5		
	CalOil Card				5,111.80	D		
	Payroll Liabilities				7,100.58	З		
	Sales Tax Payable				5,774.91	1		
	Bank of Anycity Loan				19,932.65	5		
	Equipment Loan				3,911.32	2		
	Note Payable				18,440.83	3		
	Truck Loan				49,354.57	7		
	Opening Bal Equity				612,970.25	5		
	Owner's Equity:Owner's Contribution				25,000.00	D		

SAMPLE TRIAL BALANCE:

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:

				Sam	ple NCM Co	ompliance 9	Schedule					
Company name Date prepared For costs incurred during fi Gross revenue from engine	iscal year ended					ABC Company 5/16/2019 12/31/2018 \$20,000,000	,					
(Steps 1& 2)	eening, and related, serv	noes			(Step 1)	\$20,000,000		l (Ste	p 3)	(Step 4)	(Step	5)
	Name or Employee ID Number	Relate d Party? (y/n)	Salary	Bonus	Deferred	Other Compensatio n	Total Compensatio n	Adjustment for Unallowable Activities & Unallowable Forms of Compensation	Compensati on Subject to Reasonable- ness Test	Amount (use numbers from NCM	Adjustment: Amount in Excess of NCM	Total Require Adjustmen
CEO/President Chief Financial Officer	John Doe Jane Doe	y n	\$ 300,000 250,000	\$ 120,000 75,000	\$ 5,000 4,000	\$ - - - - - - - - -	\$ 425,000 329,000 - - - - - - - -		\$ 422,998 329,000 - - - - - - - - -	\$ 525,000 289,018		\$ (2,00 \$ (39,98
TOTALS				<u>\$ 195,000</u>		<u>\$ -</u>	\$ 754,000	<u>\$ (2,002</u>)	<u>\$ 751,998</u>	<u>\$814,018</u>	<u>\$ (39,982</u>)	\$ (41,98
hereby certify that, t	o the best of my kno	owledge,	this schedul	e is comple	te and accu	rate:						
			Name and Title	(printed or typ	oed)							
			Signature									

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

Date

• <u>*In-house Direct Costs/Rates</u>: 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:

In-House Direct Costs/Rates							
Firms are to include a listing of all in-house direct costs/rates they are using. Rates* are to be accompanied by supporting documentation calculated on actual costs only.							
* Excluding mileage, daily vehicle expense, and any trave	* Excluding mileage, daily vehicle expense, and any travel costs based on State Travel Regulations.						
* Attach in-house direct costs/rates	Select						

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:

- <u>http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index</u>
- 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. <u>https://audit.transportation.org/</u> 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 <u>6.3.1.1 Bonus Policy</u> 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:

CHAPTER 5/COST ACCOUNTING

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		neral Ledger ount Balance	Di	Disallowed Costs		;	Proposed Company Wide	% of Direct Labor
DIRECT LABOR	\$	1,950,501	\$			\$	1,950,501	<u>100.00%</u>
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	Ψ	(6,750)	• •	Ψ	17.241	0.88%
6100 Automobile Expense		68,268		(13,580)	• • •		54,688	2.80%
6200 Bank Service Charges		9,753		(13,300)	(e)		9,753	0.50%
6400 Contributions and Gifts		14,629		(14,629)	(f)		0,700	0.00%
6500 Depreciation Expense		117,030		(14,023)	0		117,030	6.00%
6600 Dues and Subscriptions		16,189		(350)	(g)		15,839	0.81%
6800 Insurance: Automotive		15,409		(000)	(9)		15,409	0.79%
6810 Insurance: Business Liability		23,406		_			23,406	1.20%
6900 Interest Expense		36,084		(36,084)	(h)		25,400	0.00%
7000 Licenses and Permits		21,456		(30,004)	(0)		21,456	1.10%
7000 Elcenses and Permission 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)			18,200	0.94%
· · ·		8,192		(0,027)	0)		- 8,192	0.00%
7400 Office Expense: Cleaning		,		-			,	0.42%
7410 Office Expense: Postage and Delivery		4,486		-			4,486	1.65%
7420 Office Expense: Office Supplies		32,183		-			32,183	1.84%
7430 Office Expense: Other Office Expense		35,889		-			35,889	
7600 Personal Property Tax		42,911		-			42,911	2.20%
7700 Professional Fees: Accounting and Legal		30,428		(2,400)	<i>(</i> 14)		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		-	a)		29,472	1.51%
Direct Cost Recovery		-	_	(107,278)	(1)		(107,278)	-5.50%
TOTAL GENERAL OVERHEAD	\$	1,634,753	\$	(192,248)		\$	1,442,505	<u> 73.96%</u>
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.

(I) 31.202: Internal allocation direct cost credit.

AASHTO Uniform Audit & Accounting Guide (2016 Edition)

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CHAPTER 5/COST ACCOUNTING

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

									ALL	OCATIONS		
Description	neral Ledger ount Balance	Di	sallowed Costs	Notes		Proposed Company Wide		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		
	 		N	lote all	ocatic	n of indirect lab	or to	Home Office an	d Fiel	ld Office.		

GENERAL OVERHEAD			ote all	ocatio	n of indirect lab	ortor	Tome Office and	a Field	Office.		
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	(0)	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)	(1)		18,260		17,301		959		5.25%
7300 Miscellaneous Fees, Fines, and Penalties	6,827	(6,827)	0		-		-		-		5.25%
7400 Office Expense: Cleaning	8,192	-			8,192		8,106		86	(0)	1.05%
7410 Office Expense: Postage and Delivery	4,486	-			4,486		4,439		47	(0)	1.05%
7420 Office Expense: Office Supplies	32,183	-			32,183		31,845		338	(0)	1.05%
7430 Office Expense: Other Office Expense	35,889	-			35,889		35,512		377	(0)	1.05%
7600 Personal Property Tax	42,911	-			42,911		42,460		451	(0)	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	(0)	1.05%
7900 Telephone	60,466	-			60,466		57,292		3,174		5.25%
8000 Utilities	29,472	-			29,472		29,163		309	(0)	1.05%
Direct Cost Recovery		 (107,278)	(1)		(107,278)		(106,152)		(1,126)	(0)	1.05%
TOTAL GENERAL OVERHEAD	1,634,753	\$ (192,248)		\$	1,442,505	\$	1,363,407	\$	79,098		
TOTAL FRINGE BENEFITS AND GENERAL OVER HEAD §	2,711,039	\$ (221,608)		\$	2,489,431	\$	2,348,331	\$	141,100		

INDIRECT COST RATE AS PERCENTAGE OF DIRECT LABOR		114.11%
	Home Office	Field Office
FAD Defenses a S Neter		

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.

(f) 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.

AASHTO Uniform Audit & Accounting Guide (2016 Edition)

6.3.1.1 Bonus policy as of August 1, 2018



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,

6

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".
 - 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 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

						ngineering								
lome	A	BC Corp	-											
ate Profile														
ate Financial	S	taff												
		Please ente transportat	er your prima ion staff, and	ary staff d make s	of your com sure an indir	pany first, befo vidual is only lis	re adding other staf ted once.	of the company	y. Include a	l staff that will b	e required for	Prequalification	Categorie	s. Only add technic
ate Details		New Staff												
		Full Name		T Title	Т	Transportation T	echnical Position		Т	License Types	Т	Delete	Edit	Edit
lification ries		No records	to display.											
		Si 🛛	I ► 11											Displaying items 0 - 0
iry and														
		Annual F	ee Capac	itv										
		This is calc	-		C is comple	ted by Central (Office Rureau of De	ion and Environ	ment The	alculation is eve	lained within	the Bureau of D	ecian and	Environment Manu
		This is calc Chapter 8,	ulated once y	your SEF	C is comple ualification o	ted by Central (of Consultants.	Office, Bureau of De	ign and Environ	nment. The	alculation is exp	lained within	the <u>Bureau of D</u>	esign and	Environment Manu
		This is calc Chapter 8, Annual Fee	ulated once y Section 8-2.	your SEF	C is comple ualification c	ted by Central (f Consultants.	Office, Bureau of De	ign and Environ	nment. The	alculation is exp	lained within	the <u>Bureau of D</u>	esign and	Environment Manu
		Chapter 8,	ulated once y Section 8-2.	your SEF	C is comple ualification c	ted by Central (f Consultants.	Dffice, Bureau of De	ign and Environ	nment. The	alculation is exp	lained within	the <u>Bureau of D</u>	esign and	Environment Manu
		Chapter 8, Annual Fee	ulated once y Section 8-2.	your SEF 02 Prequ	C is comple ualification c	ted by Central (of Consultants.	Dffice, Bureau of De	ign and Environ	nment. The	calculation is exp	lained within	the <u>Bureau of D</u>	esign and	Environment Manu
		Chapter 8, Annual Fee Total Fir The "Total	ulated once y Section 8-2. Capacity: m Person Transportatio	your SEF 02 Prequ	ualification o	of Consultants.	Office, Bureau of De	-						
		Chapter 8, Annual Fee Total Fir The "Total	ulated once y Section 8-2. Capacity: m Person	your SEF 02 Prequ	ualification o	of Consultants.		-	vith the num					
	-	Chapter 8, Annual Fee Total Fir The "Total Other Firm	ulated once y Section 8-2. Capacity: m Person Transportatio	your SEF 02 Prequ Inel	ualification o	of Consultants.	lls from Staff entrie:	-	vith the num	ber of "Register				
	-	Chapter 8, Annual Fee Total Fir The "Total The "Total Trans	ulated once y Section 8-2. Capacity: m Person Transportatio Personnel".	your SEF 02 Prequ inel on Techr chnical S	ualification o	of Consultants.	lls from Staff entrie: Illinois	-	vith the num C	ber of "Register				
		Chapter 8, Annual Fee Total Fir The "Total The "Total Trans	ulated once y Section 8-2. Capacity: m Person Transportatic Personnel". portation Tee Firm Person	your SEF 02 Prequ inel on Techr chnical S	ualification o	of Consultants.	lls from Staff entrie: Illinois 0	-	vith the num C	ber of "Register ther State 0				
		Chapter 8, Annual Fee Total Fir The "Total Total Total Trans Total Other Total Firm	International Section 8-2. Capacity: International Section 8-2. Capacity: Internation 8-2. Internation 8-2. Internation 8-2. Personnel: Internation 8-2. Firm Person Personnel:	your SEF 02 Prequ on Techr chnical S nnel:	ualification of	of Consultants.	IIs from Staff entrie: Illinois Enter value 🗘 0	-	vith the num C	ber of "Register ther State 0 nter value \$				

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.

WOTE: Review the <u>Section 6.6.6 Environmental Prequalification Instructions</u> 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

Millinois Department	t of Transportation	Engineering Prequalifi	cation and Agreement Sy	/stem 🚳 State of Illinois Pat Quinn, Govi
EPAS Home	ABC Corporation			Help Log
Corporate Profile	Create Staff			
Corporate Financial	* First Name :	* Last Name :	* Title :	Save:
Staff				
Corporate Details	Back to List			

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

EPAS Home	ABC Corp.
Corporate Profile	Staff Information
Corporate Financial	* First Name : * Title :
Staff	John Doe President
Corporate Details	Gender: Minority: Ethnicity:
Prequalification	Please Select Please Select
Categories	* Is Full Time:
Summary and Submit	
News	* 1 st Year with Firm: * No. of Years with Firm: Please Select- Enter value
	* Transportation Technical Position:
	Please Select
	* Worked State: * Classification :
	GA
	* Is person Principal Official:
	Please Select 💌
	* Is person currently employed by firm :* Email Address :
	Please Select
	Professional Registration
	Add Professional Registration
	State Registration Type Registration Number Delete Edit
	No records to display.
	Training Classes
	Add Training Class
	Training Type Other Desc. Certificate Nos. Attendance Date Attachment Delete Edit No records to display. Example of the second secon
	Image: Second to deputy in
	Transportation Related Experience (Years)
	0 is an acceptable value * Total Exp. with Firm (Years):
	Enter value
	* Present Position with Firm (Years):
	Enter value 🗘
	* Experience with Other Firm (Years):
	Enter value 拿
	Education (List only graduated staff)
	Add Education License
	College/University Degree Year Specialty/Major Delete Edit
	No records to display.
	Image: Market Arrow
	* Are you affiliated with or employed by another professional consulting firm full or part time?:
	Please Select
	Resume
	pdf resume for: John Doe
	Select

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.

WOTE: Classification is based on the company naming conventions

5. Select Save and return to Staff

6.4.2 Delete Staff

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.

EPAS Home	Te	est Firm						
Corporate Profile		Please enter vo	our primary staff of you	ur company first, before adding oth	er staff of the com	pany.		
Corporate Financial		Include all staf	f that will be required f	for Prequalification Categories. ff, and make sure an individual is o				
Staff		New Staff						
		Full Name T	Title T	Transportation Technical Position	License Types T	Delete	Edit	Edit
Corporate Details		Mary Jones	Vice President	Registered Professional (PE, SE, LS)	PE	🗡 Delete	🥒 Edit Staff Inio	Staff Categories
•		Mary Jones Jane Doe	Vice President Environment Specialist	Registered Professional (PE, SE, LS) Other	PE	X Delete	 Edit Staff Info Edit Staff Info 	
Prequalification				-	PE PE			 Staff Categories Staff Categories Staff Categories
Corporate Details Prequalification Categories Summary and Submit		Jane Doe	Environment Specialist	Other		X Delete	🖍 Edit Staff Info	Staff Categories

For example, Jane Jones is shown, click Staff Categories

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

PAS Home	Test Firm		
orporate Profile	Staff Information		
orporate Financial	* First Name :	* Last Name :	
aff	Jane	Jones	
orporate Details	Delete All		
oporate Details	Category	▼ Staff Type	T Delete
equalification itegories	Environmental Impact Statement	Environmental Staff(s) - Community Impact	s 🗡 Delete
	Environmental Impact Statement	Environmental Staff(s) - Technical Writing	🗡 Delete
immary and Ibmit	New Construction/Major Reconstru	uction Staff Engineer(s)	🗡 Delete
ws	Environmental Assessment	Environmental Staff(s) - Noise	X Delete
	Environmental Impact Statement	Environmental Staff(s) - Public Involvement	🗡 Delete
	Environmental Assessment	Environmental Staff(s) - Public Involvement	🗡 Delete
	Environmental Impact Statement	Environmental Staff(s) - Ecology	🗡 Delete
	Environmental Assessment	Environmental Staff(s) - Water	🗡 Delete
	Environmental Assessment	Environmental Staff(s) - Ecology	🗡 Delete
	Major River Bridges	Staff Engineer(s)	🗡 Delete
	1 1 2 → H	Displavin	g items 1 - 10 of 12

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: <u>https://idot.illinois.gov/Assets/uploads/files/Doing-</u> <u>Business/Manuals-Guides-&-Handbooks/Highways/Design-and-</u> <u>Environment/Design%20and%20Environment%20Manual,%20Bureau%20of.pdf#page=460</u>

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 fro	om Staff entries above, along with th	ne number of "Registered Professional Engineer (PE, SE, LS). Please enter in
	Illinois	Other State
Total Transportation Technical Staff:	6	0
Total Other Firm Personnel:	Enter value 韋	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

EPAS Home AB	C Corp. Help Logout
Corporate Profile	
Corporate Financial	rporate Details
Staff	irm's Ownership Structure
Corporate Details	Is the Firm Incorporated?Please Select
Prequalification *	Question 1: Is an officer/director engaged in any other line of business?
Summary and	Question 2: Has the Firm ever been in bankruptcy or receivership?Please Select
	Question 4: Is an individual, a member of a partnership, or an officer or director of a corporation interested financially in more than one company?
	Consultant's Financial Disclosure Statement: The BDE DISC 2 Template must be filled out (both Form A and Form B). Electronic signatures are acceptable. Select Disclosure of Business Operations in Iran: The BDE 2900 must be filled out. Electronic signatures are acceptable. Select
	icenses and Certifications
	Secretary of State: Your firm must be certified by the Secretary of State to do business in Illinois. Are you certified? Yes If yes, attach current SOS Certificate, or form that shows firm is in good standing: Select Illinois Department of Human Rights: Does your Firm have more than 15 employees? Yes DHR Number:
Ill be	linois Department of Financial and Professional Regulation: Your firm must be licensed by the Illinois Department of Financial and Professional Regulation for the type of work your firm will completing. If your firm is not licensed, in the drop down please select "None". Please provide information listed below:
	II Department of Finance and Professional Regulation?Please Select Photocopy of License Select
	Add Managing Agent Activity Full Name Staff Address
	No records to display.
	Image: Model of the second
yo	Performance Evaluation: Who should receive IDOT Performance Evaluation: (From Corporate Profile / Contacts Grid - this will be your Main contact or Please Select- our optional Performance Evaluation contact) Equal Employment Opportunity: Attach Equal Employment Opportunity or Affirmative Action Program policy Select
*0	Select. Select. No No No No No No No No No N
	Veteran Owned: Is the corporation a certified Veteran owned firm? If yes, attach a copy of your current certificate, current no change affidavit letter, or letter stating the Firm's status Select.
*I Lia	Insurance: 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 ability and/or other:
Au	Select
	Add Authorized State State No records to display. Image: State in the sta
s	Previous - Staff Information Next - Prequalification Information

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.
- <u>Does firm have subsidiaries?</u> 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.

nsert /Edit Firm Ownership	X
* FirmName:	
* PercentOwned:	
* Address1:	
Address2:	
* City:	
* State:Please Select	
* Zip Code:	
Submit Close	

Edit Parent Subsidiary	23
* FirmName	
* Address1:	
Address2:	
* City:	
* State:Please Select 🔻	
* Zip Code:	
Submit Close	

 <u>* Consultant's Financial Disclosure Statement:</u> (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. <u>https://idot.illinois.gov/Assets/uploads/files/IDOT-</u> Forms/BDE/BDE%20DISC2%20TEMPLATE.docm

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

Select

<u>* Disclosure of Business Operations in Iran:</u> (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.

6.5.2 Licenses and Certifications

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

• **<u>* Secretary of State:</u>** (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:

poration/LLC Search/Certificate of Good Standing			Page 1 of 2				
ervices Publications/	Forms Department:	s News Contac		Office of the Secre	tary of State Je	sse White	
			10 at 10				
			ad Otau din	_			
	/LLC Search/Ce		od Standin	à			
Corporation	/LLC Search/Ce		od Standin	g			
Corporation Corporation File	/LLC Search/Ce		od Standin	g			

<u>* Illinois Department of Human Rights:</u> (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?					-
* IDHR Number:					
<u>* Illinois Department of Finance and Professional Regulation (IDFPR) License:</u> 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.

Registered As	Please Select		•	
Il Department * Photocopy c	of Finance and Profess If License	ional Regu	lation?Please Selec	t 👻
Select				
License #:			License Exp Date:	
Add Managin	ng Agent			
Activity	Full Name	Staff	Address	
No records to	display.			
S H H	▶ ▶		Displayi	ng items 0 - 0 of 0

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.

Registered As?	None	-

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 I	Department of Financial a	nd Profes	ssional Regulation			
Contact Contact Information						
Name				City/State/Zip		DBA
			1			•
<						>
License License Information		-				
License Number	Description	Status	First Effective Date	Effective Date	Expiration Date	Ever Disciplined
	DESIGN FIRM - LS/PE/SE				04/30/2021	
<						>
			Print Close		1 <u>2/31</u>	/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 (<u>https://idot.illinois.gov/doing-business/certifications/disadvantaged-business-enterprise-certification/il-ucp-directory/index</u>) 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?

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.

	Yes	-
*Veteran Owned: Is the corporation a certified Veteran owned firm?		
If yes, attach a copy of your current certificate, current no change affidavit letter, or letter stating the Firm's status		
Select		

• **<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. <u>https://idot.illinois.gov/Assets/uploads/files/Doing-</u> <u>Business/Directories/Agreements/Highways/Design-and-</u> <u>Environment/StandardAgreementProvisionsForConsultantServices2018.pdf</u>

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

•

<u>Authorized to Work:</u> 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

Prequeitification Firm's Transportation Specialization. Add the areas in which your firm desires to be prequeitified. At least one Principal Supervisory Personnel from your staff must have been in responsible or except for resumes, which may be included in the perequeitified. At least one Principal Supervisory Personnel from your staff must have been in responsible or except for resumes, which may be included in the perequeitified. At least one Principal Supervisory Personnel from your staff must have been in responsible or except for resumes, which may be included in the perequeitified. At least one Principal Supervisory Personnel from your staff must have been in responsible or except for resumes, which may be included once. If the required questionnaire is not completed the firm will not be prequalified. Only categories indicated on this page will be reviewed. Special Services Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire. Standard Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire. Select Category to get prequalified in: Airports - Construction Inspection Add Category Prequatification Category Telete Summary and Subient Special Services - Sanitary News Special Services - Sanitary Special Services - Surveying Delete Structures - Highway: Advanced Typical Delete Transportation Studies - Mass Transit Delete	EPAS Home	ABC Corp.			
Prequatification of each listed project. All categories have a questionnaire to be completed. All relative information must be included in the questionnaire; no references should be made to other parts of except for resumes, which may be included once. If the required questionnaire is not completed the firm will not be prequalified. Only categories indicated on this page will be reviewed. Special Services Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire. Structural Engineering Select Category to get prequalified in: Airports - Construction Inspection Irransportation Prequatification Category Submit Delete Submit Special Services - Sanitary Special Services - Surveying Delete Structures - Highway: Advanced Typical To elete Transportation Studies - Mass Transit Delete	Corporate Profile	Firm's Transportation Coorialization Add the areas in	which your firm docirac to be proqualified. At least	et and Drineinal Cunonvisony Darsonnal from us	ur staff must have been in respective of
Special Services - Sanitary Sp	Prequalification Categories	of each listed project. All categories have a guestionna	aire to be completed. All relative information mus	t be included in the questionnaire; no reference	es should be made to other parts of the
Engineering Prequalification Category T Studies Special Services - Aerial Mapping X Delete Submit Special Services - Sanitary X Delete Special Services - Sunveyring X Delete Structures - Highway: Advanced Typical X Delete Transportation Studies - Mass Transit X Delete	Special Services	Please click the Left navigation for the Categories add	ed to fill your Prequalification Questionnaire.		
Studies Prequalification Category T Special Services - Aerial Mapping X Delete Summary and Submit Special Services - Sanitary X Delete Special Services - Sunveying X Delete Structures - Highway: Advanced Typical X Delete Transportation Studies - Mass Transit X Delete	Structural Engineering	Select Category to get prequalified in: Airports - Const	uction Inspection	Add Category	
Summary and Submit Special Services - Sanitary X Delete Special Services - Surveying X Delete Structures - Highway: Advanced Typical X Delete Transportation Studies - Mass Transit X Delete	Transportation Studies	Prequalification Category	T		
News Special Services - Surveying Mete Structures - Highway: Advanced Typical Mete Transportation Studies - Mass Transit Mete	Summary and	1 11 2			
Structures - Highway: Advanced Typical Transportation Studies - Mass Transit Delete					
Transportation Studies - Mass Transit Comparison Comp	News	1 2 2			
		3 7 7			
Iransportation Studies - Kaitway Engineering		Transportation Studies - Railway Engineering	× Delete		
Set in the set of		🕼 स.च. 1 रू स	Displaying items 1 - 6 of 6		

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

Questionnare for Special Service – Construction Inspection Prequalification Category:

EPAS Home	ABC Corporation Help Logout
Corporate Profile	Special Services > <u>Structural Engineering</u> > <u>Transportation Studies</u>
Prequalification Categories	Construction Inspection
Special Services	Documenatation Personnel
Structural Engineering Transportation Studies	Construction projects must have been completed in the last 7 years. a) Name(s) of person(s) performing documentation. b) Current Documentation Certificate Number(s) for IDOT class S- 14, Documentation of Contract Quantities. Add new staff: Please Select-
Submit	Name
	Sally Smith X Delete Z Edit Z Staff Experience
	Construction projects must have been completed in the last 7 years. a) Name(s) of individuals on staff who have a working knowledge and experience in the area of Hot Mixed Asphalt (HMA) and Portland Cement Concrete (PCC) proportioning and testing. b) Educational background, including IDOT QC/QA and Specific Task Training Program (STTP) classes. Required QC/QA classes include HMA Level II, PCC Level II and their prerequisites. Required STTP class is S-33, Geotechnical Testing and Field Inspection, formerly known as "Standard Earth Density." c) Hot Mixed Asphalt and Portland Cement Concrete proportioning and testing experience. Add new staff:Please Select-

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

•	Hazardous Waste
•	Landscape Architecture
•	Electrical Engineering
+	Architecture

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:

Prequalification Category	Т
Special Services - Aerial Mapping	× Delete
Special Services - Sanitary	× Delete
Special Services - Surveying	× Delete
Structures - Highway: Advanced Typical	× Delete
Transportation Studies - Mass Transit	× Delete
Transportation Studies - Railway Engineering	× Delete
S	Displaying items 1 - 6 of 6

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

	Corporate Profile		
	Prequalification Categories	Firm's Transportation Specialization. Add the areas in which your fil of each listed project. All categories have a questionnaire to be con except for resumes, which may be included once. If the required qu	pleted. All relative information must be i
	Special Services	Please click the Left navigation for the Categories added to fill your	Prequalification Questionnaire.
-	Structural Engineering	Select Category to get prequalified in: Airports - Construction Inspection	n
	Transportation Studies	Prequalification Category	
	Summary and	Special Services - Aerial Mapping	× Delete
	Summary and Submit	Special Services - Sanitary	× Delete
	News	Special Services - Surveying	× Delete
		Structures - Highway: Advanced Typical	× Delete
		Transportation Studies - Mass Transit	× Delete

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 **<u>Renewal</u>** <u>**SEFC**</u>.

6.6.4 Completing Questionnaires

Few **WOTES** 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.

Please Select	-
Please Select	
2013	
2012	
2011	
2010	
2009	
2008	
	Please Select 2013 2012 2011 2010 2009

• Overall general description:

Staff Experience	
Project Name:	PTB 111/Item 10 (IL XX)
* Location:	ILXX (1st. Ave. to 5th St.)
* Year completed:	2012 -
	PS&E for IL XX. Project consisted of widening and resurfacing, with intersection improvements from 1st Ave. to 5th St. in Sangamon County.
* Provide an overall/general description of project,should be concise: (text unlimited)	

• 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
If you are requesting Traffic Signals, use
(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.

* 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.)

- 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.

Environmental Reports	Please click the Left navigation for the Categories added to fill yo	ur Prequalification Questionna
Geotechnical Services	Select Category to get prequalified in: Select a Category	
Location Design Studies	Prequalification Category	T
	Environmental Reports - Environmental Assessment	🗡 Delete
Special Services	Environmental Reports - Environmental Impact Statement	🗡 Delete
Special Studies	Geotechnical Services - Subsurface Explorations	× Delete
Structural	Location Design Studies - New Construction/Major Reconstruction	🗡 Delete
Engineering	Location Design Studies - Reconstruction/Major Rehabilitation	🗡 Delete
Summary and Submit	Location Design Studies - Rehabilitation	🗡 Delete
Neur	Special Services - Construction Inspection	🗡 Delete
News	Special Services - Hazardous Waste: Advance	🗡 Delete
	Special Services - Hazardous Waste: Simple	🗡 Delete

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%20Prequalific ation.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:

- 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).
- 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. <u>Failure to supply accurate data in these specific fields for any subconsultant</u> 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.)

Illinois Department of Transportation Engineering Pregualification and Agreement System State of Pat Quin **ABC Corporation** EPAS Home Corporate Profile Please enter your primary staff of your company first, before adding other staff of the company. Include all staff that will be required for Prequalification Categories. Only add technical transportation staff, and make sure an individual is only listed once. **Corporate Financial** New Staff Staff Full Name T Title Transportation Technical Position T License Types T Delete Edit Smith Jane Environmental Lead 🗡 Delete 🧨 Edit Staff Info Corporate Details Othe Felecia Smith MS. 🗡 Delete 🧨 Edit Staff Info Pregualification Categories 🗡 Delete 🧳 Edit Staff Info EIS LEAD Ms Architect

Corporate Profile/Staff Screen

Staff Information Screen

For in house staff, 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.

* 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
* 1 st Year with Firm: 1984 -	* No. of Years with Firm:	
* Transportation Technical Posi Registered Professional (PE, SE, LS)	tion:	_
* Worked State:	* Classification : Sub for EA (Noise)	Direct Salary Range (Hourly): * From: \$1.00 * To: \$1.00
* Is person Principal Official: No T		
* Is person currently employed	by firm :* 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

dd Profe	ssional Registration						
State	Registration Type	Registration Number	Delete Ed	lit			
No records	to display.						
9 H 4		Dis	splaying items 0 - (0 of 0			
	Classes						
Add Traini	ing Class						
Training Typ	pe	Other Desc.	Certificate Nos	Attendance Date	Attachment	Delete	Edit
		NHI Traffic Noise					
Other		Training 3 1/2 Day	·	10/15/2013	Add	🗡 Delete	🦯 Edit
		Class					
5						Display	ing items 1 - 1 of 1
	1 + F	Funerience (Vear	e)			Displayi	ing items 1 - 1 of 1
ranspo		Experience (Year	s)			Displayi	ing items 1 - 1 of 1
ranspo is an acce	eptable value		s)			Displayi	ing items 1 - 1 of 1
ranspo is an acce Total Exp	eptable value . with Firm (Years):		s)			Displayi	ing items 1 - 1 of 1
ranspo is an acce Total Exp	eptable value		s)			Displayi	ing items 1 - 1 of 1
ranspo is an acce Total Exp	eptable value . with Firm (Years):		s)			Displayi	ing items 1 - 1 of 1
Transport is an acce Total Exp Present P	eptable value . with Firm (Years): osition with Firm (Ye		s)			Displayi	ing items 1 - 1 of 1
ranspor is an acce Total Exp Present P	eptable value . with Firm (Years):	ears):	s)			Displayi	ing items 1 - 1 of 1

 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%20Prequal ification.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 <u>present firm</u>, in their <u>present position</u>, and their number of years with <u>other firms</u>. (If no previous employing firms, enter 0.)

-Education (List only graduated staff)

Add Education Licens	se				
College/University	Degree	Year	Specialty/Major	Delete	Edit
Standford	BS-Community Impacts	2008	Population Forcasting	🗡 Delete	🖍 Edit
K ← 1 → →	1			Displayin	g items 1 - 1 of 1

* Are you affiliated with or employed by another professional consulting firm full Yes	or part time?:	
If yes, give details of involvment Employed by Joe EA Firm as a Cert. Biologist& Wetland Scientist	The details are maximum text 100, be concise can be included	length of e, all detail
~		
Resume		
pdf resume for: Jane Doe Resume.pdf Remove View		

- RED Square: In the Education category, if you answer YES to the "affiliated with or employed by another firm" question (in <u>Red</u>), 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 <u>Blue</u>) 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 <u>detail their educational background, training, and experience RELATIVE TO</u> <u>THEIR DESIGNATED ENVIRONMENTAL DISCIPLINE(S) OR ASSIGNMENTS.</u>

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 <u>and</u> for EIS) is Environmental Lead(s).

Environmental Questionnaire

Illinois Department	of Transportation	Engineering Prequalification and Agreement System	State of Illinois Pat Quinn, Governor
EPAS Home	ABC Corporation	Chang	e Password Help Logout
Corporate Profile	<u>Airports</u> > Environmental Reports > <u>Highway</u>	vs > Location Design Studies	
Prequalification Categories	Environmental Assessment		
Airports	Environmental Lead(s)		
Environmental Reports	will determine if experience is sufficient	d in the table below and detailed resumes including transportation-related NEPA experience must be included with this qu It to warrant prequalification as a lead. Environmental Leads must be full-time employees who meet the educational, traini scription & Minimum Requirements and.	
Highways	For EA, Leads must have supervised For EIS, Leads must have supervised	reperation of transportation-related documents: one EA, or two ECADs*, or one or more EIS' in the last ten years. preparation of highway transportation-related documents: two EAs, or four ECADs*, or one or more EIS' in the last ten y is sufficient to warrant prequalification.	vears. BDE will
Location Design Studies	EA, ECAD and EIS documents complete	ed by each Environmental Lead must be outlined in the table below.	
Special Services	*IDOT previously used the Environmen	of Preparers (for EIS') must also be submitted for each document. Ital Class of Action Document (ECAD) as documentation of environmental impacts to aid in NEPA classification.	
Summary and Submit	Add new staff:	use, ECADs may be submitted for consideration as Firm or Environmental Lead experience (2 ECADs = 1 EA).	
News	Name		
	EA LEAD	➤ Delete ✔ Edit ✔ Staff Experience	
	Bob Jones	➤ Delete ✔ Edit ✔ Staff Experience	
	5		

(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	
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 <u>firm</u> is also eligible for credit. (If the Lead was employed by <u>another firm</u> 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.

	*(Note: This project is also included under Firm Experience.)
Description of Project:	
Provide an overall/general description of project, should be concise: (text unlimited)	
Description of YOUR responsibilities and	
involvement with this project, to illustrate your expertise in the requested category [Environmental Lead or specific discipline(s)]:	
 Stoppe of project: (Only list specificate 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 <u>same</u> Staff or Lead Experience project is also being submitted as Firm Experience, please note as indicated in the Description of Project. *

 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.)

Signed Cover Page	
Signed Cover Page.pdf	
Select	
FONSI	
FONSI.pdf Select	
EIS List of Preparers	
EIS LIST OF PREPARERS.pdf Select	

- 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 <u>firm</u>. 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 <u>Firm Experience</u> project is also being submitted as <u>Environmental Lead</u> or <u>Staff Experience</u>, 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 Consulta	nts	
-	Please Select	
* 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:	==	
Date Document signed by HWA.		
Description of project:	Note: This project is also listed unc Experience and Mr. Smith's Staff E	

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

Sample of firm experience filled out: Informational purposes only.

Firm Experience for Environmental Consulta	ints
* 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
	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.
Description of project:	Firm was responsible for the Final Environmental Assessement, 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, <u>Section 6</u> for details on completing a SEFC Application.
- 3. For staff entry, list key staff, which is the staff performing the required specialty work.

EPAS Home	Testing firm			
Corporate Profile	Please enter your primary staff of your company first, before adding other staff of the c	ompany.		
Corporate Financial	Include all staff that will be required for Prequalification Categories. Only add technical transportation staff, and make sure an individual is only listed once.			
Staff	New Staff			
	Full Name T Title T Transportation Technical Position T License Types T Delete	Edit Edit		
Corporate Details	No records to display.			
Prequalification Categories	1999 H < → H	Displaying items 0 - 0 of 0		
Summary and Submit	Annual Fee Capacity:			
	Total Firm Personnel			
News	Total Transportation Technical Staff:	Illinc	0	Other State 0
	Total Other Firm Personnel:	Ente	r value 🌲	Enter value 🌲
	Total Firm Personnel:		0	0
	# of Registered Professional Engineer (PE, SE, LS) across all states:		0	
	Save Previous - Corpor	ate Financial		Next - Corporate Detail Information

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

Please click the Left navigation for the Catego	ories added to fill your Prequalification Questionnai	e.
Select Category to get prequalified in: Specia	l Services - Specialty Firm	 Add Category
Prequalification Category	T	
No records to display.		
1 1 1 1 1 1 1 1 1 1	Displaying items 0 - 0 of 0	
Please click the Left navigation for the Categorie	s added to fill your Prequalification Questionnaire.	
Previous - Corporate Details		

5. Then Select Special Services:

EPAS Home	Testing firm		
Corporate Profile	Firm's Transportation Specialization. Add the areas in which	your firm desires to be producilified	At losst one Principal
Prequa ification Catego ies	of each listed project. All categories have a questionnaire to except for resumes, which may be included once. If the req	be completed. All relative informat	ion must be included in
Special Services	Please click the Left navigation for the Categories added to	fill your Prequalification Questionna	ire.
Summary and Submit	Select Category to get prequalified in: Select a Category		•
News	Prequalification Category	-	
	Special Services - Specialty Firm	× Delete	
		Displaying items 1 - 1 of 1	
	Please click the Left navigation for the Categories added to fill	your Prequalification Questionnaire.	
	Previous - Corporate Details		

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

EPAS Home	Testing firm	
Corporate Profile	Special Services	
Prequalification Categories	Specialty Firm	
Special Services	Specialty Firm	
Summary and Submit	Include type of 'Specialized Work' the firm provides:	^
News		
	Include 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 <u>Section 6.7 Summary and Submit Screen</u>.

WOTE: 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 <u>next page</u> 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.

Illinois Department	t of Transportation E	ngineering Prequalification and Agreement System
EPAS Home	ABC Corporation	Help Lo
Corporate Profile		Summary
Corporate Financial	Export to CSV	
Staff	Field	Message
Corporate Details	✓ Module: <u>Corporate Details</u> —	
Pregualification	NameToReceivePerformanceEv	valuation Name to receive Evaluation is required.
Categories	OtherBusinessEngagement	Engaged in another line of business is required.
Cummany and	HasBankrupt	Has the Firm ever been in Bankrupcy or Receivership is required.
Summary and Submit	MoreThan1CompInterest	Does an individual have more than one company interest is required.
	S H 4 1 → H	Displaying items 1 - 4 of 4
	belief, it is true, correct and com	ed this Report, including accompanying schedules and statements, and to the best of my knowledge and plete. Under the login ID used for this submittal and under penalties of perjury, I certify that the business is . I also understand that I am required to report to the Consultant Services Unit any changes in key personn lange.

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:

Contact : Contact information is current and up to date
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

Со	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 certificate: if applicable, is current							
	Certificate of Liability Insurance: all dates current							
	EQUALIFICATION QUESTIONNAIRE(S)							
PR	EQUALIFICATION QUESTIONNAIRE(S) Requirements: reviewed the <u>Description of Minimum Requirements</u> and complied							
PR	Requirements: reviewed the Description of Minimum Requirements and							
□ □ □	Requirements : reviewed the <u>Description of Minimum Requirements</u> and complied							
	 Requirements: reviewed the <u>Description of Minimum Requirements</u> 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 							
□ ■ ■ ■	 Requirements: reviewed the <u>Description of Minimum Requirements</u> 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 							
	 Requirements: reviewed the <u>Description of Minimum Requirements</u> 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 							

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 "<u>Corporate Profile</u>" screen.

The email will be from the following address: <u>noreply@illinois.gov</u>. 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	
N noreply@illinois.gov $\bigstar \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc \bigcirc $	••• 9:31 AM
02/09/2022 Subject: PRELIMINARY ENGINEERING Consultant Unit	
Dear and a second s	
The review of your Statement of Experience and Financial Condition for SEFC ID:# the bas been completed. Login to the firm's EPAS account to view the results. To print your prequalification letter category sheet click the Approval Letter button next to the above SEFC ID#.	r and
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. <u>New SEFC</u> *: 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.

<u>Renew SEFC</u> *: 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.

WIMPORTANT: 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. <u>Amend SEFC</u>: 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				
0 - 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

Ann L. Schneider, Secre	t of Transportation ^{stary}	Eng	gine	eering Pre	equa	alifice	ation ar	ia Agree	ement Sys		State of II Pat Quinr	n, Gov
AS Home	ABC Corp	oration										
ser dministration	All firms that of for the Profes	lesire to be pre sional Transpor has not chang	quali tatio	ified with IDOT n Bulletin Iten	r must ns mu	t submit st subm	t via the SE nit Stateme	EFC Application	ion. All firms th est through th	l Agreement Syste hat desire to be co e SOI Application. and Statements o	nsidered The	
				SE	FC	Appli	cation	s				
	+ Start New SE	FC 🖍 Amend	Last SI	EFC	_						_	
	App Id T	Date Submitted T		al Year ing Date 🏾 🍸	Vers	ion T	Status T	Category	Additional Info	Approval Letter		
	<u>SEFC ID : 514</u>	10/23/2012	06/3	30/2012	1.00		APPROVED	View	View	Approval Letter		
	<u>SEFC ID : 487</u>	09/21/2012	06/3	/30/2012			APPROVED	View	View	Approval Letter		
	S H 4	1 ▶ ₩							Displ	aying items 1 - 2 of 2		
				S	OI .	Appli	ication	S				
	PTB Id	Submit Date	Т	Due Date	T S	tatus	Т	Items	Additional Info	Delete		
	SOI ID: 168	10/17/2012 11:44:50 AM		11/10/2012	C	COMPLET	E	<u>View</u>	<u>View</u>	🗡 Delete		
	SOI ID: 167	10/12/2012 12:09:03 PM		10/15/2012	C	COMPLET	E	<u>View</u>	View	🗙 Delete		
	SOI ID: 166	10/11/2012 2:56:28 PM		10/12/2012	C	OMPLET	E	<u>View</u>	View	🗙 Delete		
	SOI ID: 165			11/05/2012	I	N_PROGE	RESS	View	View	🗡 Delete		
	S K K	1 ▶ ₩							Displayi	ng items 1 - 4 of 4		

- 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

EPAS Home	ABC Corporation Help Logou
Corporate Profile	Summary
Corporate	Export to CSV
Financial	A Module X
Staff	Field Message
Corporate Details	System has checked your application and has found no errors. You can 'Submit' your Application when ready.
Prequalification Categories	Displaying items 0 - 0 of 0 Displaying items 0 - 0 of 0 Displa
Summary and Submit	Service one any changes in key personale while 12 working usys of the change.
News	

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

Illinois Department	of Transportation				Engineerir	ng l	Prequalifica	ation and J	Agree	ment Syst	em	6	State of Illinois Pat Quinn, Govern
EPAS Home	Test Firm											Change Passwor	d Help Logo
Reports	Welcome to the Illi All firms that desire												
User Administration	for the Professional required data has r Interest are paperle	ot changed for								The			
News		SEFC Applications											
	App Id T	Date Submitted	Fiscal Year Ending Dat	eτ	Туре	Т	Overhead %	Status	т	ategory	Additional Info	Delete	Approval Letter
	SEFC ID : 1869	03/14/2014			NewSEFC			IN_PROGRES	ss	View	View	🗡 Delete	
	SEFC ID : 1833	12/27/2013	06/30/2012		AmendSEFC		0.00	APPROVED		View	View		Approval Letter

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

Millinois Departm	ent of Transportation Engineering Prequalification and Agreement System									
EPAS Home	ZAAA Corporation									
User Administration	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									
News	required data has not changed for prequalification or Statements of Interest. All Prequalification and Statements of Interest are paperless.									
	SEFC Applications									
	Renew SEFC Amend Last SEFC									
	App Id Date Fiscal Year Type Overhead % Status Category Additional Info Approval Letter									

- 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.

WIMPORTANT: 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

EPAS Home	ABC Corporation Help Logou
Corporate Profile	Summary
Corporate	Export to CSV
Financial	A Module X
Staff	Field Message
Corporate Details	System has checked your application and has found no errors. You can 'Submit' your Application when ready.
Prequalification Categories	Cisplaying items 0 - 0 of 0
Submit News	Submit.

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 T Date Submitted T	Fiscal Year Ending Date T	Туре 🛛 🔻	Overhead %	Status T	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

Illinois Departm Ann L. Schneider, Si	ent of Transportation Engineering Prequalification and Agreement System 🚳 State of Illinois exercises
EPAS Home	ABC Corporation Change Password Help Logo
User Administration	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 Texms must submit Statements of Integreet through the SOI Application. The
News	required data has not changed for prequalification or Statements of Interest. All Prequalification and Statements of Interest are paperless.
	SEFC Applications
	+ Start New SEFC
	App Id T Date Fiscal Year Type T Overhead % T Status T Additional Info Approval Letter
	SEFCID: 488 04/08/2013 06/30/2012 AmendSEFC 10.00 APPROVED View View Approval Letter

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:

Ann L. Schneider, Sec	nt of Transportation Engineering Prequalification and Agreement	it System	State of Illinois Pat Quinn, Governor
EPAS Home	Amendment	Change Pass X	word Help Logout
User Administration	Your firm was denied in the following categories listed below. If you wish to re-apply for any of these categories, ple category. <u>Do not re-apply if no changes were made to the questionnaire</u> .	ease check the box next to the	
News	Category Comments	Select	
	Environmental Reports - Environmental Assessment No experience.		
	Special Studies - Lighting: Complex No experience.	X	
	Special Studies - Lighting: Typical No experience.	X	
	S K < 1 → N	Displaying items 1 - 3 of 3	Approval
	You will only be able to enter text once, so please make sure all revisions are included. IDOT will only review t text box. * Reason:	he revisions listed in the	Letter Approval Letter
	Reapplying for Lighting Complex and Typical, adding new staff, Tom Smith & Sue Jones		aying items 1 - 1 of 1
	Submit Close		
		ng (CIII) 1 2 012	
	IDOT Privacy Statement Illinois Privacy Statement IDOT Website Contac	t Us	

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:

Millinois Department	of Transporta	ation		Engin	eering Pre	equalificatio	on and Ag	greement	System	6	State of Illinois Pat Quinn, Governo		
EPAS Home	ABC C	ABC Corporation Change Password Help Logout											
User Administration News	All firms t for the P required	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											
						ЭЕГС Ар	plication	5					
	App Id T	Date Submitted	7	Fiscal Year Ending Date T	Туре Т	Overhead % T	Status T	Category	Additional Info	Delete	Approval Letter		
	SEFC ID : 1010	04/10/2013	(06/30/2012	AmendSEFC	10.00	IN_PROGRESS	View	View	× Delete			
	<u>SEFC</u> <u>ID : 488</u>	04/08/2013	(06/30/2012	AmendSEFC	10.00	APPROVED	View	View		Approval Letter		
	S •	$\langle 1 \rangle \rightarrow$								Displayi	ng items 1 - 2 of 2		

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

EPAS Home						iu Agree	ement Sys		State of Illini Pat Quinn, C				
	ABC Corpo	oration											
User Administration	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.												
			SE	FC Appl	ication	IS							
	+ Start New SE	FC 🧪 Amend	Last SEFC										
	App Id 🛛	Date Submitted T	Fiscal Year Ending Date T	Version T	Status	Category	Additional Info	Approval Letter					
	SEFC ID : 514	10/23/2012	06/30/2012	1.00	APPROVED	D <u>View</u>	View	Approval Letter					
	SEFC ID : 487	09/21/2012	06/30/2012	1.00	APPROVED	D <u>View</u>	View	Approval Letter					
	<u>Б</u> н н 1	▶ ▶					Displa	ying items 1 - 2 of 2					
	SOI Applications A new PTB 168 is active (10/17/2012 - 11/10/2012). You can add a new SOI to apply for this PTB												
	+ Start SOI #: 1	.68											
	PTB Id	Submit Date	T Due Date	▼ Status	Ŧ	Items	Additional Info	Delete					
	No records to d	isplay.											
	S R R	▶ ►					Displayin	g items 0 - 0 of 0					

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 <u>Standard Agreement Provisions for Consultant</u> <u>Services</u>)

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

Millinois Department of Ann L. Schneider, Secreta		ortatior	י <i>E</i>	Engi	neering Pı	requalificatio	n a	nd Agre	ement	Sys	tem	8	State of Illinois Pat Quinn, Governor
EPAS Home	ABC	Cor	poration										
SOI Home	State	emen	t of Intere	st							E		m Date/Time
Forms		2		3.		PTB	: 16	⁵⁸ 4.			S	10/31/20 ubmission 12:00:00	
Current Obligations		Item	Due Date	Qual	Project Location			Firm Qualific	ations				
Delinguent Debt	. 🗙	1	11/10/2012	Х	IL 19 at York Roa	id 🍵		Environmen	tal Reports - I	Enviror	nmental As	sessment	
		2	11/10/2012		47th Street at Ea	st Avenue		Special Servi	ces - Constru	iction I	nspection		
Attachmer		3	11/10/2012		IL 89 Illinois Rive Valley	r Bridge at Spring							
Supait		<u>4</u>	11/10/2012		Statewide								
	+ Ins	ert sele	cted PTB items				,						
	Item I	d	Project Loc	ation	Т	Missing PreQualificat	tions	т	Due Date	T	Status	Ŧ	Delete
	No re	cords t	o display.										
	5	14	► H									Displayin	g items 0 - 0 of 0
	Save												Forms

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 T	Missing PreQualifications	Due Date	Т	Status	т	Delete
ITEM ID: 1	IL 9 at York Road						🗡 Delete
S K 4 1	▶ ₩					Displayin	g 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 righthand 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 **WOTES** 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 <u>here</u> 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.

WOTE: 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 Delinguent 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.

Financial and Non-Financi	al Correspondence		
It may be necessary for an employ addressed.	ee of IDOT to contact the fi	rm for Statement of Interest submittal qu	estions. Please provide contact information below to whom these questions should be
Financial Representative	e		
*Authorized Representative: *Email: *Email Verification:	First Name	Last Name	
Non-Financial Represen	tative		
*Authorized Representative: *Email: *Email Verification:	First Name	Last Name	
Save		SOI Home	Current Obligations

Save

rent Obligatior

A few **Q** 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 vour 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.

WPORTANT: 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 <u>this</u> 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 <u>this</u> 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.

Millinois Departme	ent of Transportation cretary	Engin	eering Pi	requalifica	tion and ,	Agreement System	State of Illinois Pat Quinn, Governor
EPAS Home	ABC Corporatio	'n					Help Logout
SOI Home							
Forms			2		•	nent of Transportation (ID	
Current Obligations	showing Project Fe supplements shou list the Project Fee as a Subconsultan	e and Fee In The Es Id be listed and the and Fee To Be Ea It, complete the " Y	stimated Time e fee volumes irned and you	Period For Con estimated. If r best estimated	pletion Of Each your firm has a e of when the	h Project. Projects being nego a contract in which the Depart work will resume. If your firm	ment of Transportation table, tiated and scheduled tment has suspended the work, participates in an IDOT project of <i>The Estimated Time Period For</i>
Delinquent Debt	Completion Of Each	Project					
Attachments	Work Being Neg	otiated Or Under	Agreement	t By Your Tra	nsportation	Staff For Other Than IDOT	r
Summary and						rtation Staff for Other Than rojects In The Appropriate Ager	
Submit	Current Obligati	ions for all Const	ruction Insp	pection, Phas	e III project	5	
	Construction Insp work shown above	ection, Phase III I e. If your firm does Ilinois Departme	Projects table not have any	e. This is only t / Phase III wor	o show Phase		Transportation Staff for all tould already be included in the
	Your Firm as Prin	ne Consultant					
			Fee V	Without Subconsu	ltants		-
	PTB & Item Number	Total Project Fee (000's)	0-6 mos. (000's)	7-18 mos. (000's)	>18 mos. (000's)		
	159-012	1,593	152	0	391	🖍 Edit 🛛 🗡 Delete	
		Total as Prime	152	0	391		
	5						
	Your Firm as Sub	consultant To					
	+ Add new record						
						Fee	
	Consultants You	DTD O T					1ode: On ≪ 🔍 💌 🔍 100% 💌

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. <u>The firm will appear as being</u> 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 <u>here</u> 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

EPAS Home	ABC Corp. Change Password Help Logou
SOI Home	
Forms	Delinquent Payment. The CONSULTANT certifies that it, or any affiliate, is not barred from being awarded a contract under 30 ILCS 500. Section 50-11 prohibits a person from entering into a contract with a State agency if it knows or should know that it, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. Section 50-12 prohibits a person from entering
Current Obligations	into a contract with the State agency if it, or any affiliate, has failed to collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act. The CONSULTANT further acknowledges that
Delinquent Debt	the contracting State agency may declare the contract void if this certification is false or if the CONSULTANT or any affiliate is determined to be delinquent in the payment of any debt to the State during the term of the contract.
Attachments	Prime Firm FEIN or SSN: 111111111
Summary and Submit	List of all known subconsultants and the PTB item(s):
News	Subconsultant Firm Item #
	No records to display.
	5
	Note: This screen is purely for informational purposes only and no data entry is required!
	Save Current Obligations Attachments

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.
- **Q** 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 <u>this</u> screen if you are a Financial User.
 - Select *Forms*: this button will save the information and navigate you to the previous screen Forms. **Q** NOTE: You will only see the Forms button on <u>this</u> 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.

EPAS Home	ABC Corp. Change Password Help Logout
SOI Home	
Forms	Based on the information you have provided , the following attachments are required for successful electronic submittal of the Statement of Interest. Please print these documents, sign them, convert to PDF documents and attach below.
Current Obligations	Consultant's Disclosure, Form A &
Delinquent Debt	Form B (BDE DISC2 Template) our Firm's Statement of Experience and Financial Condition (SEFC) is updated and accurate. If there are changes, I will notify Bureau of Design and Environment.
Attachments	Disclosure of Business Operations in Iran (BDE2900) I certify that the Disclosure of Business Operations in Iran that was submitted through our Firm's Statement of Experience and Financial Condition (SEFC) is updated and accurate. If there are changes, I will notify Bureau of Design and Environment.
Summary and Submit	* Delinquent Debt Certification (BDE3000) The attachment must be printed and filled out before submission
News	* If this form has already been printed and attached and an Item is either added or deleted, you will be required to re-print the form, sign and re-attach.
	Save Delinquent Debt

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.

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

8.3.1 Firm Interest & Photos

EPAS Home	ABC Corp.					Help Logou
SOI Home	Statement of Interest					
Firm Interest & Photos			PTBItem: :	L		PTB Number 206 IDHR Number
Exhibit A Exhibit A Staffing	 Briefly describe your firm's interestive pages. Submittals exceeding two 			m Number. (This descr	iption is a PDF file	, and <u>shall not</u> not exceed
Exhibit B Project Experience	Select					
Summary and Submit	*2. Attach a <u>one</u> page Organizationa	al Chart (no resumes).				
News	If the advertisement requests a Proje exceed 5 pages.	ect Understanding and Ap	pprocah to be provided, in	nclude here behind the	required organiza	ational chart, this should not
	Select					
	Save					Exhibit A

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.

WOTE: 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
- <u>Submitting as the Secondary Prime</u>

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:

Ann L. Schneider, Secre	of Transportation Engineering Prequalification and Agreement System	State of Illinois Pat Quinn, Governor
EPAS Home	Test Firm	
SOI Home	Exhibit A	
Firm Interest & Photos	PTBItem: 21	PTB Number 171 IDHR Number
Exhibit A	Proposed Staff, Subconsultants and Current Transportation Obligations	
Exhibit A Staffing	I certify that I am the *(title) of the firm of Test Firm and that I have thoroughly reviewed our existing and pending obligat Transportation Technical Staff (including work for which selection has been made but negotiations and/or agreement execution have not been fin	nalized) during the
Exhibit B	ensuing year(s) to all of our clients on any type of project and have included them on the Current Obligations Form. if we are selected for this project, we will project with the following minimum staff for the full term of the contract. The office location from which a majority of the work for this project will be performed	
Project Experience	*(City) Springfield *(State) IL	
Summary and Submit	First Name Last Name	
News	*Print Name: *E-mail: *Phone: Ext: *E-Mail Verification: Fax:	
	Teaming *Will the firm be entering into a Teaming Agreement for the item? Please Select- Please Select- Yes Subconsultants Work Performed	

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

Teaming						
*Will the firm be entering into a Teaming Agre item (The lead firm must be the one submittir	eement for the Yes Yes	~				
Select To Add Firm	*					
Firm Name	Email	Qualifications	Categories	% Work by Firm	Edit	Delete
ABC Today, Inc.			View		🥒 Edit	🗡 Delete
5						

- 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 address, and the % of work the firm will be performing. (recommend copy and paste email address to avoid errors)

Edit Teaming Firm		23
Edit email for A	BC Today, Inc.	
Email Email Verification		
% Work by Firm		
Close	Update Teaming Firm	

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	← Reply ≪ Reply All → Forward ····
To Whom It May Concern	<u>^</u>
The firm of the fi	to enter into a Teaming Agreement. ofessional Transportation Bulletin 195.
As a Teaming firm, you are required to complete certain forms in order to be consid MUST be completed and submitted PRIOR to 12:00 PM CST, 02/27/2020. Forms, fo this deadline. Please log in to the Engineering Prequalification Agreement System a fill out and submit the following forms:	r the above stated PTB, will not be available to submit after
 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 following link:	the Illinois Department of Transportation website at the
http://www.idot.illinois.gov/doing-business/procurements/engineering-architectur	ral-professional-services/index#Bulletin
If you feel this Teaming Agreement request is in error, please contact the above sai	d firm for further information regarding this request.
Note: This is an automated message sent by the Engineering Prequalification Agreen mailbox is not monitored and all email requests will be unanswered.	ment System (EPAS). Please do not reply to this email as this

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:

EPAS Home	ABC Corp	oration								
SOI Home	Statement	of Intere	est							
Forms					PTB: 178			EPAS Sy 3/22/2 Submiss 12:00:	016 ion t	
Current Obligations	Item D	uo Dato	Qual Projec	t Location	Firm Qualifications					
Delinquent Debt	No records to c		Qual Plojec	a cocation	No records to display.					
Attachments										\sim
Summary and Submit										
News										
					~					~
	+ Insert selecte	ed PTB items			Missing PreQualifications: See note here					
	Item Id	Project Loca	ation	Т	Missing PreQualifications	T Due Date	Т	Status	T	Delete
	ITEM ID: 6	Various			Structures - Highway: Typical, Location Design Studies - Reconstruction/Major Rehabilitation, Highways - Roads and Streets	12/3/2015		IN_PROGRESS		🗙 Delete
	Б н н (1 > H						Displa	aying i	tems 1 - 1 of 1
	— Missing I	Prequalif	ication							
	-			this Stat	ement of Interest with missing prequalifications.					
	To be cons	idered for	these item i	number(s), please file an amended SEFC to request these prequalifications.					

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:

SOI Home	Project Experience
Firm Interest & Photos	PTB Number 207 IDHR Number
Exhibit A	
Exhibit A Staffing	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.
Exhibit B	Attachment <u>shall not</u> exceed <u>20</u> pages.
Project Experience	
Summary and Submit	Select
News	4. Unless additional information is required within the advertisement this field should be <u>blank</u> .
	Teaming Agreements if applicable should be included here.
	Teaming Agreement File.pdf Select

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
- 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 submitting as a lead on OTHER items:

There are no additional forms required, by submitting as a prime <u>the required</u> <u>documents (as stated above)</u> 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**

Subconsultants Work Performed						
		IDOT P	reQualified Firms			
Select To Add Firm						
Firm Name	DBE	Qualifications	Categories	%Work by Firm	Edit	Delete
No records to display.	No records to display.					
9						

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	m Name DBE Tasks to be Performed %Work by Firm Edit Delete					
No records to display.						
5						

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 Me	tor-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.						
9						

For additional information: <u>http://www.idot.illinois.gov/doing-</u> 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.

Staffing Totals

Management	Professionals		Sub-professionals
	Engineers		Technicians
	Land Surveyors		Draftsmen
	Architects		Survey Crew
	Others		Clerical
			Other
Total	Total	0	Total 0
			Total Project Staff 0

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

EPAS Home	ABC Corp.		Help Logout
SOI Home	Exhibit A Staffing		
Firm Interest & Photos		PTBItem: 1	PTB Number 206 IDHR Number
Exhibit A			
Exhibit A Staffing	Main Staff Other Required Key Staff		
Exhibit B	Prime or Teaming Only Add Prime/Teaming Staff	_	
Project Experience	No records to display.		
Summary and Submit	In the second secon		
News	PreQualified Subconsultants		
	No firms currently available. Enter PreQualified	d Firms in Exhibit A first before adding staff.	
	Other Firms No firms currently available. Enter Other Firms	s in Exhibit A first before adding staff.	
	Please note:		
		d must come from a Prime/Teaming or PreQualified Subconsultant firm. riduals than the staffing, which prepared the documents.	
	Save	Exhibit A	Exhibit B

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 **OTES** 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

Exhibit A	Main Staff Other Required Key Staff
Exhibit A Staffing	Prime or Teaming Only
Exhibit B	+ Add Prime/Teaming Staff
Project Experience Summary and Submit	Firm Name: Test Firm City: Springfield, IL General Key Staff Staff Name: joes place Licenses: Category: Airports - Design, urban planning Resume:
News	Image: How Comparison of the second secon
	PreQualified Subconsultants Add PreQualified Staff No records to display. Image: Construction of the staff Image: Construction of the staff
	Other Firms No firms currently available. Enter Other Firms in Exhibit A first before adding 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 **W**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.

of Transportation	Engineering Prequalification and Agreement System	State of Illinois Pat Quinn, Governor
ABC Corporation		Help Logout
Exhibit B		
	PTBItem: 1	PTB Number 168 IDHR Number
Item 1 has no Exhibit	B requirements.	
Only items that require vendor.	Environmental qualifications or the major Location Design Study qualifications will require info	rmation to be supplied by the
Save	Exhibit A Staffing	Project Experience

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.

EPAS Home	ABC Corp.									
SOI Home	Exhibit B									
Firm Interest & Photos				E	TBItem:	<u>6</u>				PTB Number 206 IDHR Number
Exhibit A										
Exhibit A Staffing	Location Design Study	Work								
Exhibit B		ted when projects require	Location Design	n Studies (Recon	struction/Major rel	abilitation or	New Constructi	on/Major Recon	struction	
Project Experience		a short paragraph up to IDOT project(s) use PTB #		five similar or m	ore complex Loca	tion Design st	udies your firm	has completed	in the last ten y	/ears. Include
Summary and Submit	Select									
News	Sciect	1								
	*2. Briefly outline the	procedures you will use to	accomplish the	e project Locatio	on Design study ol	ojectives if sel	ected. (This des	cription should	not exceed thre	e pages.)
	Save				Exhibit A Staffing					Project Experience

8.3.4.2 Environmental Work Tab

Location Desig	Study	Environmental Work	Environmental Staff	Other Environmental Staff	
This portion to	e comple	ted when projects require	Environmental Reports (E	Environmental Assessment or En	vironmental Impact Statements)
related e PTB# and	/ironmer tem#. In	tal report completed with clude the project location	nin the last ten years. (Co , type of facility studied,	mpleted report requires enviro nature of environmental work,	en years. For EISs, briefly describe a similar or more complex highway- nmental documents approved for public release.) If IDOT project, use and public involvement process. If non-IDOT project, also include the with the project. (This description should not exceed two pages.)
L			View		
				ngful role in this project. Include the following: three pages for l	e a description of how public involvement proceedings will be EAs, and five pages for EISs.)
•			View		
*3. Briefly de pages fo		v you plan to proceed wit	h the Environmental por	tion of this project. This descrip	tion should not exceed the following: two pages for EAs, and three
. -			View		

Exhibit A Staffing

Project Experience

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

Millinois Department	of Transportation Engineering Prequalification and Agreement System 😵 🕬	f Illinois inn, Governor
EPAS Home	ABC Corporation Help	Logout
SOI Home	Exhibit B	
Firm Interest & Photos	PTB Num PTBItem: 5 IDHR Nu 168 IDHR Nu	
Exhibit A	Location/Design Study Environmental Work Environmental Staff Other Environmental Staff	
Exhibit A Staffing	Resumes, not to exceed two pages, are required for persons listed above. Resumes must include details of actual work performed by the individual on specific pre- including dates.	ojects,
Exhibit B	List the individuals who will be responsible for the applicable environmental issues areas listed below, and the office location from which they will be working. (N	
Project Experience	Categories that must be assigned to a person prequalified in that area are noted with an asterisk.) All of the environmental work must be performed either by the consultant or by a subconsultant firm prequalified in the required category.	prime
Summary and Submit	*Firm Name: ABC Corporation	
	** Environmental Lead Firm Name: ABC Corporation City: Springfield, IL Time to project: 100% Staff Name: William Smith Resume: <u>View</u> Edit	
	** Noise Firm Name: City: Staff Name: Resume:	
	** Water Quality Firm Name: City: Staff Name: Resume:	
	** Ecology Firm Name: City: Staff Name: Resume:	
	- Wetlands & Associated Aquatic Resources Firm Name: City: Staff Name: Resume:	
	- Biological Resources (other than Wetlands) Firm Name: City: Staff Name: Resume:	
	** Community Impacts Firm Name: City: Staff Name: Resume:	
	** Public Involvement Firm Name: City:	

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.

Illinois Department Ann L. Schneider, Secret	tof Transportation Engineering Prequalification and Agreeme	ent System 😵 State of Illinois Pat Quinn, Governor
EPAS Home	ABC Corporation	Help Logout
SOI Home	Exhibit B	
Firm Interest & Photos	PTBItem: 5	PTB Number 168 IDHR Number
Exhibit A	Location/Design Study Environmental Work Environmental Staff Other Environmental Staff	
Exhibit A Staffing	Other Environmental Work Staff	
Exhibit B	Other Environmental Work Starr Prime or Joint Venture Only	
Project Experience	+ Add Prime/Joint Staff	
Summary and Submit	Geology Specialist Firm Name: ABC Corporation City: Springfi Staff Name: JOhn Doe Resume: View	eld, IL Edit X Delete
	S H ← 1 → H	Displaying items 1 - 1 of 1
	PreQualified Subconsultants No firms currently available. Enter PreQualified Firms in Exhibit A first before adding staff.	
	Other Firms No firms currently available. Enter Other Firms in Exhibit A first before adding staff.	
	Resumés, not to exceed two pages, are required for persons listed above. Resumes must include details of actua including dates.	l work performed by the individual on specific projects,
	Save Exhibit A Staffing	Project Experience

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.

Q 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

Exhibit A	3. Summarize any experience of the staff or firm(s) (prime and sub work combined) in accomplishing similar types of work within the
Exhibit A Staffing	last 10 years. This information should be concise and relevant to the expertise required for this specific project.
Exhibit B	Attachment <u>shall not</u> exceed <u>20</u> pages.
Project Experience	Select
Summary and Submit	
News	4. Unless additional information is required within the advertisement this field should be blank.
	Teaming Agreements if applicable should be included here.
	Select
	*5. CONSULTANT'S EXHIBIT A
	The Consultant's Exhibit A form is required for each item. Please print the form, sign it (electronic signatures are acceptable), 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 The attachment must be printed and filled out before submission
	*6. Subconsultant Utilization Form
	The utilization form is required for item. 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 to add to the proposal package.
	Print The attachment must be printed and filled out before submission

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 <u>10</u> years. This information should be concise and relevant to the expertise required for this specific project.
Attachment <u>shall not</u> exceed <u>20</u> 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.

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. S I	ubconsultant	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: <u>http://www.idot.illinois.gov/Assets/uploads/files/Doing-</u> <u>Business/Directories/Agreements/Highways/Design-and-</u> 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.

Illinois Departme	ent of Transportation ^{scretary}	Engineering	Prequalification and Agreement System	State of Illinois Pat Quinn, Govern
EPAS Home	ABC Corporation			Help Logo
OI Home	Submission Status			
orms	Export to CSV			
irrent	Field		Message	
oligations	✓ Module: SOI item: 1 —			
linquent Debt	✓ Screen: Exhibit A	Staffing		
tachments	Program Manag	er (Prime JV Grid)	One program manager must be assigned for this project	
tacimiento	✓ Screen: Exhibit A			
ummary and ubmit	PreparerTitle		The preparer's title is required	
ionin.	PrimeFirmCity		The city for the prime firm is required	
	PrimeFirmState		The state for the prime firm is required	
	PreparerFirstNar	ne	The preparer's first name is required	
	PreparerLastNan	ne	The preparer's last name is required	
	PrimeFirmEmail		An email contact for the prime firm is required	
	PrimeFirmPhone	2	The prime firm's phone number is required	
	MentorProtegeE	xist	Mentor Protege firms: Mentor-Protege must be either "Yes" or "No"	
	WillComplete		You must answer if you intend to complete the project on time	
	✓ Screen: Firm Inter	rest and Photos		
	FirmInterestAtta	chment	Firm interest attachment is required for each item	
	✓ Screen: Project E	xperience		
	ExhibitAAttachm	ient	Consultants Exhibit A attachment is required for each item	
	✓ Module: SOI item: 2 —			
	✓ Screen: Exhibit A	Staffing		
		er (Prime JV Grid)	One program manager must be assigned for this project	
	✓ Screen: Exhibit A			
	PreparerTitle		The preparer's title is required	
	PrimeFirmCity		The city for the prime firm is required	

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.

- 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 <u>Section 10</u> below.

Blank Invoice Screen

EPAS Home	
Invoices	Firm Invoices
Reports	
User Administration	Invoices
News	New Invoice PTB Number-Item T Total Invoiced T
	No records to display.
	S IN A Displaying items 0 - 0 of 0

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:

Create Ne	w Firm Invoice		
* Invoice Nur Work Order # * Date of Inv	(if applicable):	This should be the date you have listed on the actual invoice.	
		[Back to List

- a. Invoice Number: the number from the Prime invoice
- b. Work Order # (if applicable)
- c. Date of Invoice: the date that is on the actual Prime invoice.
- 4. Click *Add New Invoice* button for the table/grid.

	New Invoice
Add New Invoice	New Firm Invoice
No records to display.	* Firm Name:
	Submit Close

- 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 <u>Jenni.LeSeure@illinois.gov.</u>

b. Invoice Amount: 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.

	PTB Number-Item			Т	Total Invoid	ed			T
4	112-001				\$0.00				
	Date of Invoice	Invoice Number	Work Order # (if applicable)	Firm Name		DBE	Invoice Amount		
	2/21/2023	123456					\$10.00	🥕 Edit	🗡 Delete
							Total Invoiced: \$10.00		
	S K (1)	► M						Displayin	g items 1 - 1 of 1

2. Make necessary changes

* Invoice Number:	123456			
Work Order # (if applicable):				
* Date of Invoice:	2/21/2023	🏢 * Thi	s should be	the date you have listed on the actual invoice
* Firm Name:			~	
* Invoice Amount:	\$10.00			

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.

	PTB Number-Item			т	Total Invoid	ed			Т
4	112-001				\$0.00				
	Date of Invoice	Invoice Number	Work Order # (if applicable)	Firm Name		DBE	Invoice Amount		
	2/21/2023	123456					\$10.00	🖍 Edit	🗙 Delete
							Total Invoiced: \$10.00		
	S K (1)	► N						Displayin	g items 1 - 1 of 1

2. A pop up message will appear and click Ok

а	appsqa.dot.illinois.gov says			ec
1	Are you sure you want to delete this record?			
1		ОК	Cancel	

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

ABC Corp.

New user						
User Name	Email	Is Financial User	Is Bonus User	Is Disclosure User	Is Invoice User	Edit User
a	DOT.ConsultantServices@illinois.gov	true	true	false	false	🦯 🖍 Edit
abcfinuser	DOT.ConsultantServices@illinois.gov	false	false	false	false	🦯 🖍 Edit
abctest	Dot.ConsultantServices@illinois.gov	false	false	false	false	🖉 🧪 Edit

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

Create System User Screen

User Administration	Create new user
News	* UserName: * Email:
	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 "FinancialComputation" 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.
	Save and return Return to User Administration

- 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.

Edit Selected Vendor					
UserName * FirmName: Email	abcfinuser ABC Corporation Abc@ABC.net				
IsActive	~				

10.2 Forgot Password

Readonly vendor administered user

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

Willinois Department of Transportation	🐼 State of Illinois Pat Guine, Governor
	Logout
Password Reset	
User name	
Password Reset	
IDOT Privacy Statement Illinois Privacy Stater	nent IDOT Website Contact Us

- 2. Enter your username.
- 3. Select the *Password Reset* button. The following screen will be displayed.

Password Reset Success Notification Message Screen

Minois Department of Transportation		State of Illinois Pat Quinn, Governor
Log On		
Your new password is has been emailed to you.		
	IDOT Privacy Statement Illinois Privacy Statement IDOT Website Contact Us	

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

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%)]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

Illinois Departme Omer Osman, Actin	ent of Transportation ng Secretary	
ngineering P	requalification and Agreement System - Log On	
gin was unsuccess	sful. Please correct the errors and try again.	
• Your account h	as been locked out, please contact Jenni LeSeure at (217) 782-6916 with your username details to reset yo	our password.
Account Inform User name 111111111 Password	nation ×	
Remember me?	rd. Click <u>here</u> to generate a new password.	

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 <u>DOT.ConsultantServices@illinois.gov</u> 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

Ann L. Schneider, Secreta			Enginee	ering	Preq	ualifica	tior	n and Ag	ireement	t System	Stat	te of Illinois Quinn, Governor
EPAS Home	ABC Corp	oration								C	hange Password He	
User Administration	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 T Application Date Fiscal Year Version T Status T Category Additional Info Delete Approval Letter											
	SEFC ID : 488	11/01/2012	06/30/2012	1.	00	IN_PROGR	RESS	View	View	🗙 Delete		
	Image: Markov All and All and Markov All and Markov All and Markov All a											
	SOI Applications											
	PTB Id	Submit Date	T Due Date	Ŧ	Status	Ŧ	Item	ns Info	ditional D	elete		
	No records to display.											
	S • •	▶ H							Displaying i	items 0 - 0 of 0		
		IDOT F	Privacy Stateme	<u>nt Illii</u>	nois Priva	acy Statem	ent	IDOT Webs	te <u>Contact</u>	<u>Us</u>		

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

Change Password Screen

Loaout Log On If this is your first time on you must change the temporary password given to you. Please enter your user name and password. Account Information User name Current password New password Confirm new password	Illinois Department of Transportation		State of Illinois Pat Quinn, Governor
If this is your first time on you must change the temporary password given to you. Please enter your user name and password. Account Information User name Current password New password			Logout
Account Information User name Current password New password	Log On		
User name Current password New password	If this is your first time on you must ch	ange the temporary password given to you. Please enter your user name and pass	sword.
Current password New password	Account Information		
* New password	• User name		
	 Current password 		
* Confirm new password	* New password		
	* Confirm new password		
* Email	* Email		
Password Reset	Password Reset		
IDOT Privacy Statement Illinois Privacy Statement IDOT Website Contact Us		DOT Brivacy Statement Illingia Brivacy Statement IDOT Website Contact Us	

- 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

		I	NVOICES FOR PTB PTB-ITEM		
voicesByPtbltemN	umberR202				
			P N	1.005	
Date of invoice	Invoice Number		Firm Name	Is DBE	Payment
		Number			Amount
				Total:	
			Total	Invoiced:	
			Total Invoiced to D	BE 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.

Illinois Dep Omer Osman	artment of Tra n, Acting Secreta	ansportation ary		State of Illinois Governor JB Pritzker
			Engineering Prequalification and Agreement Sy	rstem
EPAS Home	ABC Co	rp.		
Reports		Report Name	T Report Description	_
User	Run	Prequalified Environmental Staff	Report Description	
Administration	Run	Security Vendor Audit Report		
News				

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

Report Parameters Screen

EPAS Home	ABC Corp.		
Reports	Report Name	Report Description	т
User	Run Prequalified Environmental Staff		~
Administration	Run Security Vendor Audit Report		
News		Report Parameters	X
		Select the SEFC Id: 1732	
		Run Report Close	

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

 ₩	Do you want to open or save PrequalifiedEnvironmentalStaff.pdf (16.4 KB) from apps.dot.illinois.gov?	Open	Save 🔻	Cancel	×

6. Report will open in Adobe Acrobat.

	ols Pre	qualifiedEnviron ×						9) <u></u>
ቀ		2			Θ Θ	195% -			
			PR	EQUALIFIED	ENVIRON	MENTAL ST			
							Date: 11/06/13		
					ABC CORP				
		LEV	EL REQUESTED:	EIS		L	EVEL GRANTED: EIS		
			dividuals who meet at each person is q			ental lead(s)	and environmental disciplines, including		
	Trans	sportation Bulle					or projects advertised in Professional oported in writing to the Consultant Unit		
	Transwithin	sportation Bulle	tins. Please note the sys of the change.						
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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

Omer Osman,	W Illinois Department of Transportation Omer Osman, Acting Secretary								
				Engineering I	Prequalification and Agree	ment System			
EPAS Home	AB	C Cor	р.					Change Password Help Logout	
Reports			Report Name	T	Report Description	T			
User Administration		_	Prequalified Environmental Staff Security Vendor Audit Report				^		
News									

3. Insert Dates and Select View Report:

Ì	C http://ssrsreportsext.illinois.gov/7/DOT/EPAS/SecurityVendorAuditReportR1598rv;HeaderArea=None& - Windows Internet Explorer				X
	From Date 1/1/2014 III To Date 2/1/2014	C	View P	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.

4 4 1 o							
	f1 ▷ ▷ 1009	% ✔	Find Next	: 🖳 • 🚯 🖷	þ 🛄		
ecurityVendorAuditF	ReportR159		Test	Firm EPAS Securi	ty Report		
				1/1/2014 - 3/13/20)14		
Vendor Passwor	d Resets						
Firm Name		User Name	Date/Time	•	By Use	er	
Account Lockou	ts						
User Name		Date/Time					
Admin Account L	_ogon						
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 10:26:5	9 AM				
		3/12/2014 6:59:03	AM				
		3/12/2014 11:16:2	8 AM				
		3/13/2014 7:19:27	AM				
		3/13/2014 11:18:3	3 AM				
		3/13/2014 11:26:4	2 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	te User Account						
User Name	Firm Name		Date/Time		Before Value	After Value	By User
User Account Ch	nanges						
User Name	Date/Time	Activity Type	Field	Before Value	Afte	er Value	By User

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: <u>http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Prequalification%20</u> 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: <u>http://www.idot.illinois.gov/doing-business/procurements/engineering-</u> 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 <u>noreply@illinois.gov</u>.

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.

Change Password
* User name
* Current password
* New password
* Confirm new password
* Email
Password Reset

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 T	Application Type	Date Submitted	Application Status	Ac
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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 T	Date Submitted T	Fiscal Year Ending Date T	Туре 🛛 🝸	Overhead % T	Status T	Category/Comments	Additional Info	Approval Letter
SEFC ID:	07/31/2019		RenewSEFC	-	RANKING_COMPLETE	View	View	
SEFC ID :	05/08/2019		AmendSEFC	-	APPROVED	View	View	Approval Letter
SEFC ID :	08/07/2018		RenewSEFC	*	APPROVED	View	View	Approval Letter

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

- A. Review <u>Section 7: When and What to Submit: start New; Renew; or Amend for more information.</u>
 - **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: <u>DOT.ConsultantServices@illinois.gov</u> 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.

Α.

- 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, <u>Chapter 8 section 2.02</u> <u>Prequalification of Consultants</u> 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