

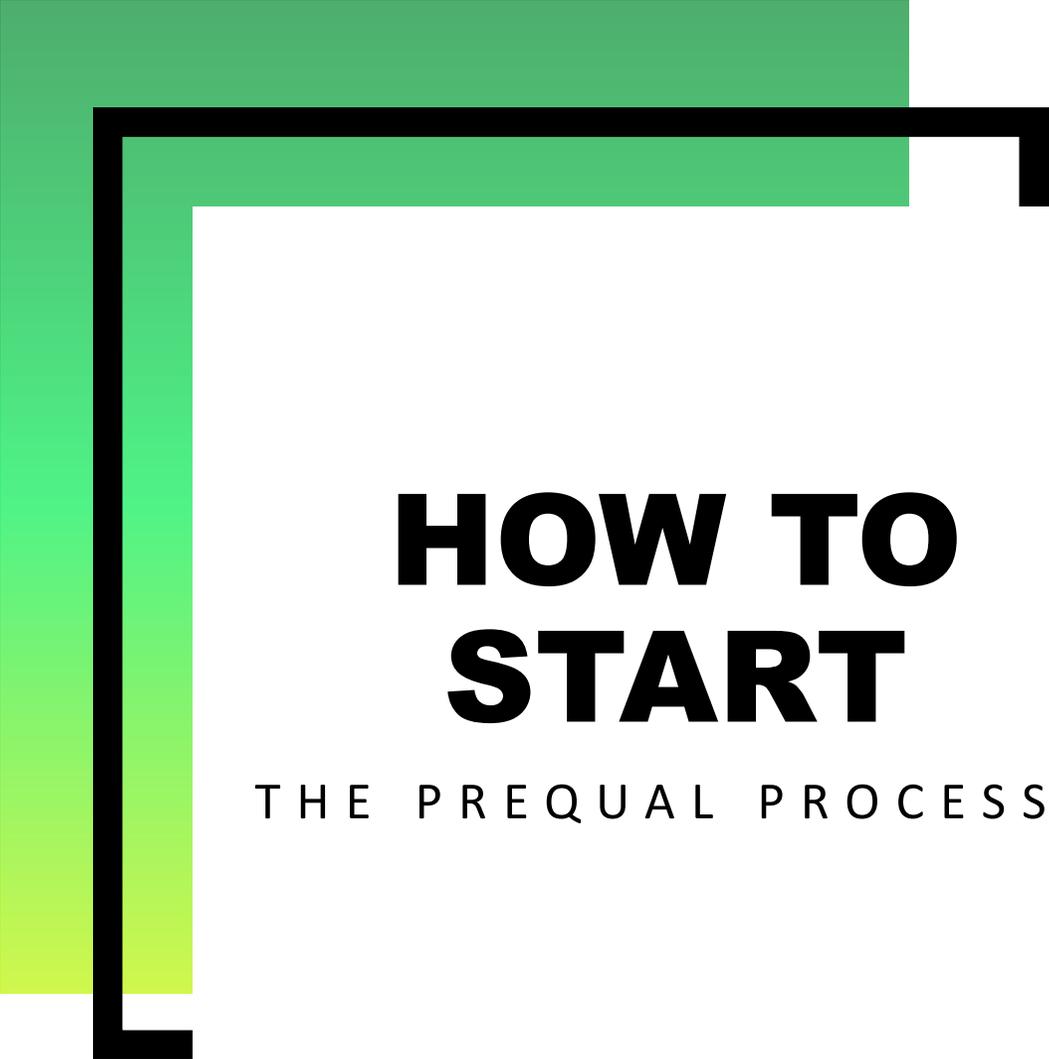


Illinois Department of Transportation

PREQUALIFICATION

FOR ENGINEERING, ARCHITECTURAL &
PROFESSIONAL SERVICES

Monday, October 21, 2019



HOW TO START

THE PREQUAL PROCESS

HOW TO START

BRAND NEW FIRM ?

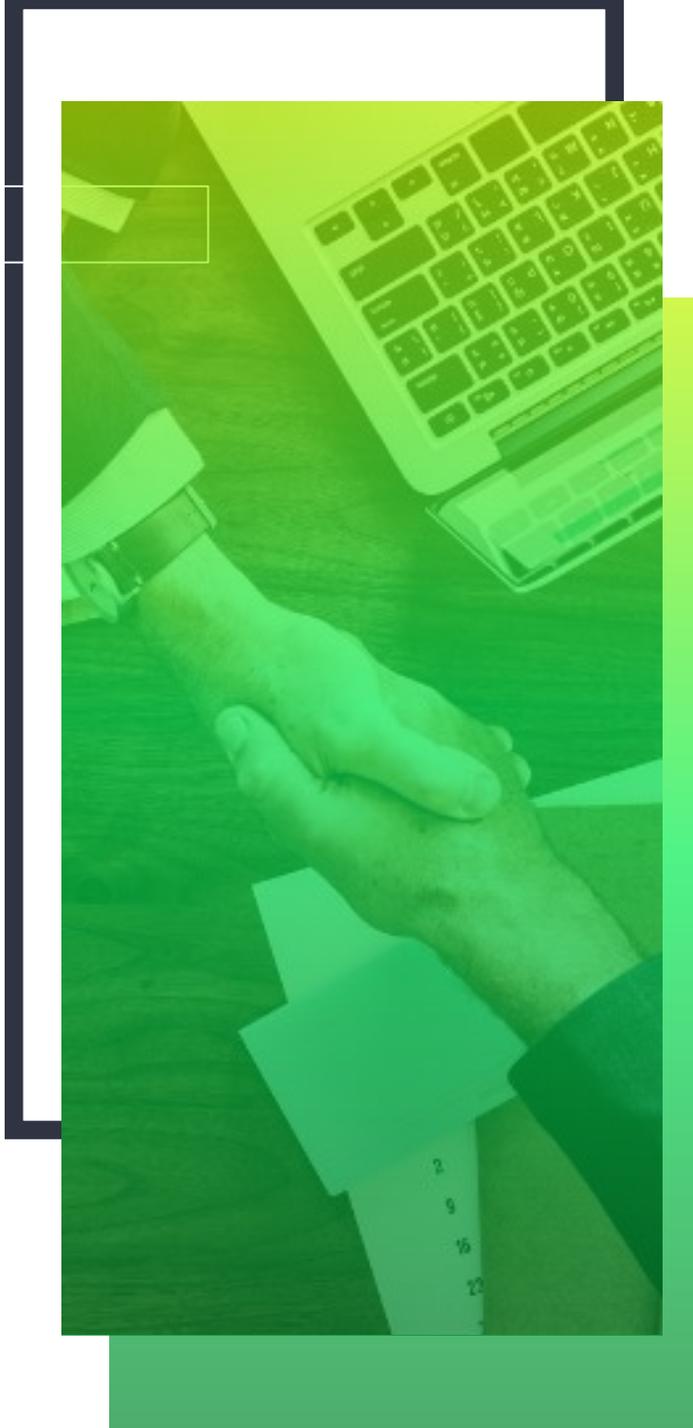
- Review Description & Minimum Requirements for Prequalification
 - <http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20and%20Minimum%20Requirements.pdf>
- Determine which category(s) best fit your firm
- Send copy of W9 to Jenni.LeSeure@Illinois.gov
- An account will be set up in EPAS (Engineering Prequalification Application System) online database
- SEFC application will be required

HOW TO START

DBE CERTIFIED vs PREQUAL

DBE CERTIFIED

- Managed by Bureau of Small Business Enterprises, Office of Business and Workforce Diversity
- DBE Certified does **NOT** mean your firm is PREQUALIFIED
- Listed on ILUCP Directory:
<http://www.idot.illinois.gov/doing-business/certifications/disadvantaged-business-enterprise-certification/ilucp-directory/index>
 - Resource:
<http://www.idot.illinois.gov/doing-business/certifications/disadvantaged-business-enterprise-certification/index>



PREQUALIFIED

- Managed by Bureau of Design and Environment – Preliminary Engineering Section (Consultant Unit)
- Prequalified does **NOT** mean your firm is DBE CERTIFIED
- Listed on List of Prequalified Firms:
<http://apps.dot.illinois.gov/eplan/desenv/epas/ConsultantsPrequalificationR080.pdf>
- Resource:
<http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index>

HOW TO START

WHAT'S A SEFC?

- SEFC = Statement of Experience and Financial Condition
 - IDOT's online application
- SEFC = firm's experience and financial information
 - Staff experience/firm experience for prequal categories
 - Financials for an approved overhead rate
- Required to submittal annually (**every** year)
 - No exceptions
 - No time extension
 - Prequalification will be at risk if fail to submit annually
 - Current work at risk if lose prequal

HOW TO START

WHAT'S A SEFC?

3 Types of SEFCs

1. Amend

- Changes to a previous submittal
- Contact info, phone, staff, insurance, request additional categories
- Notify Department within **15 days** of key personnel changes also submit an AMENDED SEFC to make change/update

2. New*

- Every 3 years required
- See schedule, by firm name

3. Renew*

- Corporate and financial data
- Staff and categories **NOT** reviewed here!

** Required annually depending on calendar year & firm name - determines type of SEFC to submit*

HOW TO START

WHAT'S A SEFC?

Section 7: When and What to Submit: Start New; Renew; or Amend (EPAS Manual):

<http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/EPAS%20Instruction%20Manual.pdf#page=34>

THE YEAR SHOW IS WHEN THE EPAS SUBMITTAL IS DUE							
Firm Name Beginning with:	2016	2017	2018	2019	2020	2021	2022
A - E	NEW	RENEW	RENEW	NEW	RENEW	RENEW	NEW
F - N	RENEW	NEW	RENEW	RENEW	NEW	RENEW	RENEW
O - Z	RENEW	RENEW	NEW	RENEW	RENEW	NEW	RENEW

HOW TO START

WHAT'S A SEFC?

Example: Firm ABC Corp.

SEFC Applications

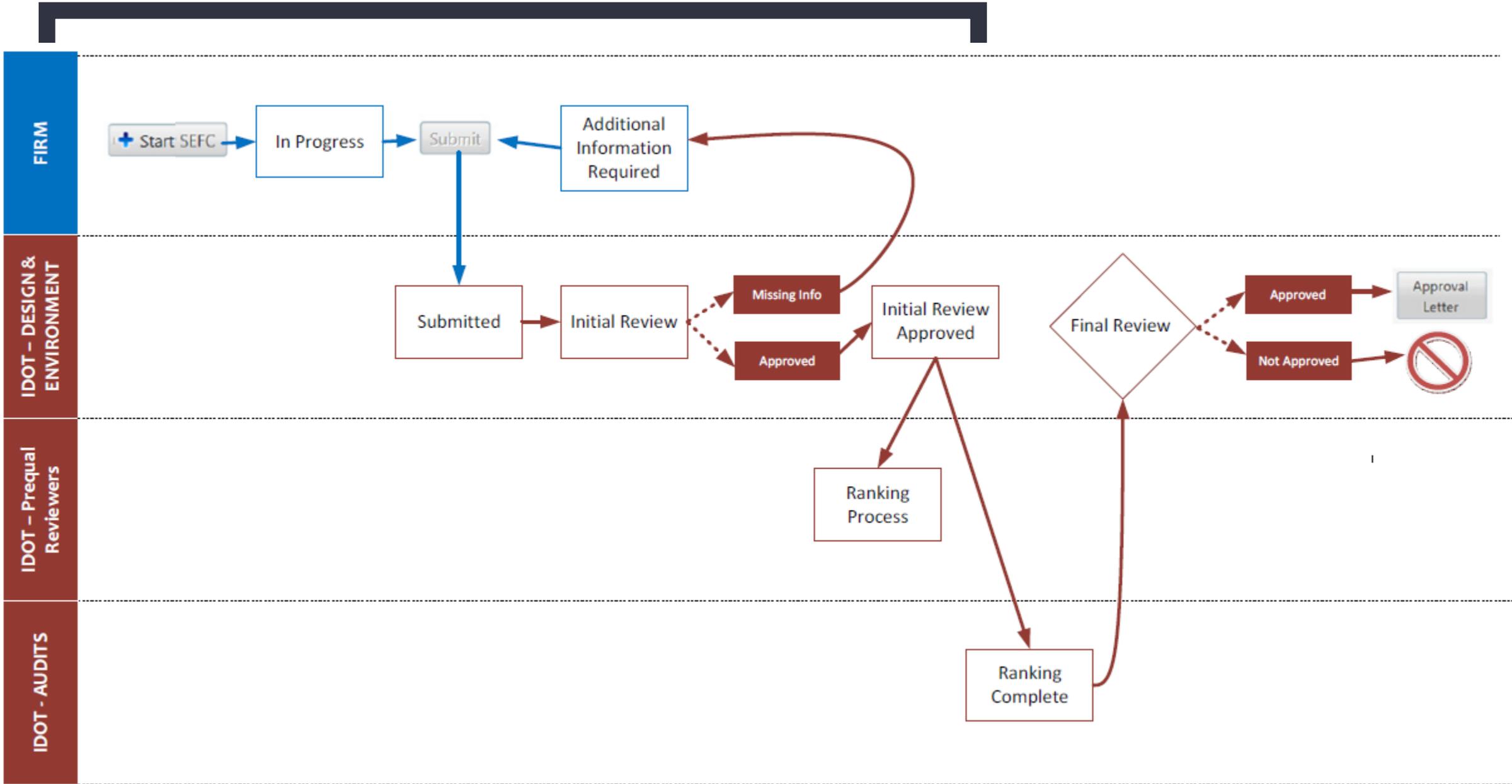
Your renew SEFC is due by 06/30/20 . Failure to submit your renew SEFC by 06/30/20 will result in loss of your prequalification status.

App Id	Application Date	Fiscal Year Ending Date	Type	Overhead %	Status	Category/Comments	Additional Info	Delete	Approval Letter
SEFC ID : 7108	05/29/2019	12/31/2018	NewSEFC		RANKING_COMPLETE	View	View	<input type="button" value="X Delete"/>	
SEFC ID : 6350	06/30/2018	12/31/2017	AmendSEFC	0.00	APPROVED	View	View		<input type="button" value="Approval Letter"/>
SEFC ID : 6349	04/15/2018	12/31/2017	RenewSEFC	0.00	APPROVED	View	View		<input type="button" value="Approval Letter"/>
SEFC ID : 6350	11/15/2017	12/31/2016	AmendSEFC	0.00	APPROVED	View	View		<input type="button" value="Approval Letter"/>
SEFC ID : 6349	06/15/2017	12/31/2016	RenewSEFC	0.00	APPROVED	View	View		<input type="button" value="Approval Letter"/>

HOW TO START

WHAT'S A SEFC?

- Statuses – Firm can check
 - Login to EPAS
- EPAS Manual **Section 6: SEFC Entry**
- <http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/EPAS%20Instruction%20Manual.pdf#page=11>



HOW TO START

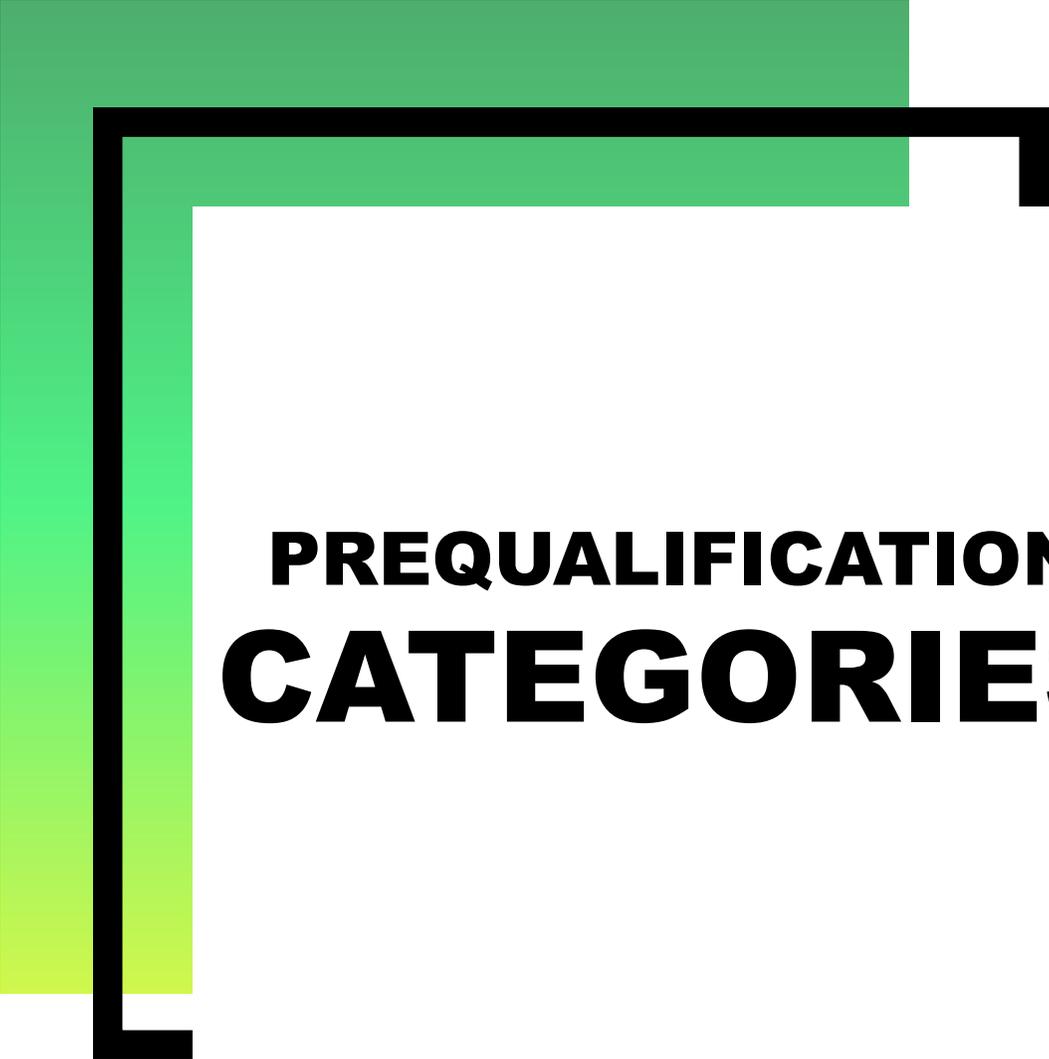
WHAT'S A SEFC?

- Common error – **NOT** submitted
- Summary & Submit section – “Submit” button

SEFC Applications

Your renew SEFC is due by 06/30/20 . Failure to submit your renew SEFC by 06/30/20 will result in loss of your prequalification status.

App Id	Application Date	Fiscal Year Ending Date	Type	Overhead %	Status	Category/Comments	Additional Info	Delete	Approval Letter
SEFC ID : 7108	05/29/2019	12/31/2018	NewSEFC		SUBMITTED	View	View	<input type="button" value="X Delete"/>	



PREQUALIFICATION CATEGORIES

CATEGORIES

THE TYPES

- Currently **49** Categories
- 11 sub categories:
 - Highways
 - Airports
 - Structures
 - Special Plans
 - Special Studies
 - Location/Design Studies
 - Hydraulic Reports
 - Geotechnical Services
 - Environmental Reports
 - Special Transportation Studies
 - Special Services
- Updating our requirements & categories

CATEGORIES

THE TYPES

- Construction Management – do **NOT** have
- Special Services-Specialty Firm reserved typically for:
 - Value Engineering
 - Underwater Bridge Inspections
 - Public Involvement*
 - Bridge Painting Inspections
 - Steel Fabrication Inspections
- IF none of the above – SEFC will likely be returned
 - Fit within our preset categories, will not accept “pieces” of categories

CATEGORIES

REQUIREMENTS

- Full time staff **ONLY**
- IF not full time staff do **NOT** include within SEFC
 - Experience will not be counted towards prequal category
 - Right to request proof/payroll
- Exception – Environmental

Where the minimum requirements indicate Illinois licensing or registration, that individual must be a full-time employee who has acted in a leadership role on pertinent projects. A full-time employee is defined as one who works for a firm 35 or more hours/week, 52 weeks/year. Part-time staff members, special consultants, subconsultants, committed or pledging individuals, or persons on retainers cannot be used to meet the minimum requirements for prequalification, except as allowed for Environmental Reports prequalification. The experience of these licensed or registered individuals must be relevant to the category of transportation work and the work must have been performed within the last ten years.

CATEGORIES

REQUIREMENTS

- Requirements vary between categories
- Only 2 categories **do NOT** require an IL PE
 - Special Services - Construction Inspection
 - Airports - Airport Planning & Special Services
- All others require a type of professional license
 - LS = Land Surveying
 - ARC = Architect
 - PE = Professional engineer
 - SE = Structural Engineer
- If you have licensed staff, you in turn need to license **your FIRM**

CATEGORIES REQUIREMENTS

- How do you License a firm?
- Through Department of Financial & Professional Regulation
- Bi-annually renew (expires April 31st on odd years)



CATEGORIES

REQUIREMENTS

- IDHR Number
- How do you Obtain?
- IL Department of Human Rights, only if you have more than **15** employees
- <https://www2.illinois.gov/dhr/Pages/default.aspx>

CATEGORIES

REQUIREMENTS

- Questionnaires need to be filled out and completed
 - Else SEFC returned/unapproved
- Select Categories under “Prequalification Categories”
 - Sub-category will appear on left navigational screen
 - Fill out questionnaire fully

CATEGORIES

REQUIREMENTS

[EPAS Home](#)

[Corporate Profile](#)

[Prequalification Categories](#)

[Highways](#)

[Hydraulic Reports](#)

[Summary and Submit](#)

[News](#)

ABC Corp.

Firm's Transportation Specialization. Add the areas in which your firm desires to be prequalified. At least one Principal : of each listed project. All categories have a questionnaire to be completed. All relative information must be included in except for resumes, which may be included once. If the required questionnaire is not completed the firm will not be pre

Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire.

Select Category to get prequalified in:

Prequalification Category	
Highways - Freeways	Delete
Highways - Roads and Streets	Delete
Hydraulic Reports - Pump Stations	Delete

« 1 » Displaying items 1 - 3 of 3

Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire.

[Previous - Corporate Details](#)

CATEGORIES

REQUIREMENTS

EPAS Home

Corporate Profile

Prequalification
Categories

Highways

Hydraulic Reports

Summary and
Submit

News

ABC Corp.

Change Password Help Logout

Highways > Hydraulic Reports

- Freeways

Year completed for Highways is when plans, specifications, and cost estimate (PS&E) are completed and ready to go to letting and bid for construction. Do not list projects that are ongoing, or are beyond the acceptable time limit (ten years old). These projects will not be considered when evaluating a firm's ability to perform PS&E, and application may not be approved. Also, in the Scope, only list what's applicable to PS&E for Freeways. Phase 1 & 3 work is irrelevant to this category.

Principal(s) in Charge

- Name of individual.
- Educational background.
- If licensed include P.E. license number and year first licensed.
- Tenure with firm
- Experience in Highway design. Include description of project and scope of highway design work in chronological order for up to ten (10) projects completed in the last ten years for Roads & Streets, or ten years for Freeways.

Add new staff:

--Please Select--

Name	
Jeff T	<input type="button" value="Delete"/> <input type="button" value="Edit"/> <input type="button" value="Staff Experience"/>
	

Staff Engineer(s)

- Name of individual.
- Educational background.

CATEGORIES

COMPLEX

- Complex – apply for highest category and get the lesser complex category(s)
- **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

CATEGORIES

COMPLEX

- IF want “complex” still need to select the lesser category(s)
- Do **NOT** have to fill out the lesser category questionnaire(s)
- Example for Freeways - fill out questionnaire
 - **ALSO** select “Roads & Streets” but not fill it out
- Reason being that way the prequal reviewer can then “accept” them for both/or all the categories they have

CATEGORIES

COMPLEX

ABC Corp.

Firm's Transportation Specialization. Add the areas in which your firm desires to be prequalified. At least one Principal of each listed project. All categories have a questionnaire to be completed. All relative information must be included except for resumes, which may be included once. If the required questionnaire is not completed the firm will not be

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Highways - Freeways	<input type="button" value="X Delete"/>
Highways - Roads and Streets 	<input type="button" value="X Delete"/>

1 | Displaying items 1 - 2 of 2

Please click the Left navigation for the Categories added to fill your Prequalification Questionnaire.

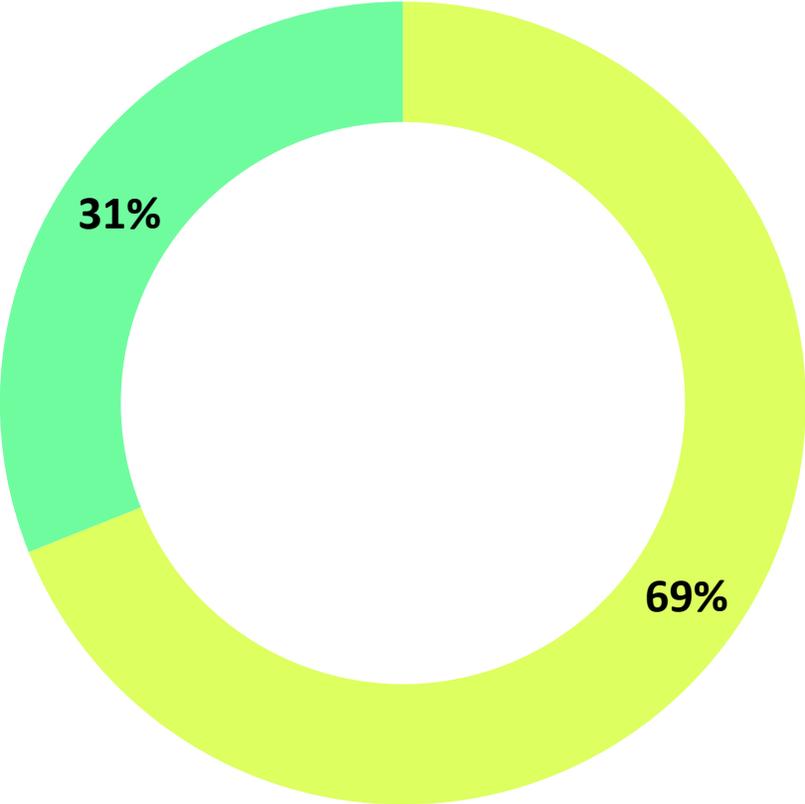


**PREQUALIFIED
FIRMS**

PREQUALIFIED FIRMS

THE NUMBERS

- TOTAL # of Firms Prequalified: **438**
- # of DBE Firms Prequalified: **136**
- Data as of 02/09/2019



■ Non DBE

■ DBE

PREQUALIFIED FIRMS

THE NUMBERS

- Firms broken down by category
- DBE Goal is established if 2+ firms prequalified in category

Special Studies - Safety	22	112
Special Studies - Signal Coordination & Timing (SCAT)	0	21
Special Studies - Traffic Signals	33	132
Special Studies - Traffic Studies	30	142
Structures - Highway: Advanced Typical	7	64
Structures - Highway: Complex	1	32
Structures - Highway: Simple	24	129
Structures - Highway: Typical	23	121
Structures - Moveable	1	19
Structures - Railroad	7	53
Structures: Major River Bridges	0	23
Transportation Studies - Mass Transit	1	25
Transportation Studies - Railway Engineering	3	33
Total:	758	3443
Total # of Firms Prequalified:	438	
Total # of DBE Firms Prequalified:	136	

Updated 2-4-19		
Prequalification Category	# of DBE Firms	# of ALL Firms
Airports - Construction Inspection	12	35
Airports - Design	9	53
Airports - Planning & Special Services	2	32
Environmental Reports - Environmental Assessment	4	39
Environmental Reports - Environmental Impact Statement	3	30
Geotechnical Services - Complex Geotech/Major Foundation	4	21
Geotechnical Services - General Geotechnical Services	20	56
Geotechnical Services - Structure Geotechnical Reports (SGR)	17	57
Geotechnical Services - Subsurface Explorations	15	35
Highways - Freeways	39	127
Highways - Roads and Streets	59	228
Hydraulic Reports - Pump Stations	10	61
Hydraulic Reports - Waterways: Complex	20	100
Hydraulic Reports - Waterways: Typical	30	146
Location Design Studies - New Construction/Major Reconstruct	10	84
Location Design Studies - Reconstruction/Major Rehabilitation	24	129
Location Design Studies - Rehabilitation	41	158
Special Services - Aerial Mapping	2	16
Special Services - Architecture	9	36
Special Services - Asbestos Abatement Surveys	4	16
Special Services - Construction Inspection	76	203
Special Services - Electrical Engineering	15	69
Special Services - Hazardous Waste: Advance	0	13
Special Services - Hazardous Waste: Simple	2	17
Special Services - Landscape Architecture	12	59
Special Services - Mechanical	13	56
Special Services - Quality Assurance HMA & Aggregate	13	22
Special Services - Quality Assurance PCC & Aggregate	13	23
Special Services - Sanitary	20	109
Special Services - Subsurface Utility Engineering	3	18
Special Services - Surveying	32	144
Special Studies - Feasibility	17	106
Special Studies - Lighting: Complex	5	12
Special Studies - Lighting: Typical	9	26
Special Studies - Location Drainage	39	158
Special Studies - Pump Stations	3	43



RESOURCES

RESOURCES

- IDOT Website (www.idot.illinois.gov)
- Doing Business > Procurements > Engineering, Architectural & Professional Services
- <http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index>

▼ Prequalification

1. Review the [Description and Minimum Requirements for Prequalification](#) to select which category or categories best matches the firm's expertise.
2. Request access to IDOT's [Engineering Prequalification and Agreement System \(EPAS\)](#)
Firms new to prequalification with IDOT must request an [EPAS](#) account. EPAS is a web-based database where Statements of Experience and Financial Condition (SEFC) and Statements of Interest (SOI) are submitted electronically to IDOT. To request an account:
Email Jenni.LeSeure@illinois.gov. Indicate your firm's interest in becoming a prequalified engineering consultant and attach the federal form, W-9.

Once an account has been established, [EPAS](#) can be accessed. The [EPAS Instruction Manual](#) is also provided to assist in the navigation of the system.
3. Submit an application: To become Prequalified, the Statement of Experience and Financial Condition (SEFC) must be completed directly in [EPAS](#) and [EPAS](#) will clarify all requirements.
4. Check status of application: Log On to [EPAS](#). Status of application will be displayed.

RESOURCES

- Description and Minimum Requirements for Prequalification
 - List of categories and requirements for each
 - <http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20and%20Minimum%20Requirements.pdf>

- EPAS Instruction Manual
 - Walkthrough of EPAS
 - Navigating EPAS
 - SEFC requirements
 - SOI requirements
 - <http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/EPAS%20Instruction%20Manual.pdf>

RESOURCES

- List of Prequalified Firms
- Updated every Friday

[Prequalification](#) [Bulletin](#) [Statement of Interest](#) [Compliance & Admin](#) [Stay Connected](#)

Prequalification

All engineering, land surveying and architectural consultants interested in providing services to IDOT, whether as a prime or subconsultant, must be prequalified with the department. IDOT prequalifies architectural/engineering consultants in multiple transportation categories of service. Prequalification is based on the firm's and the individual's professional experience and qualification. Annual updates to statements of experience and financial condition must be completed to maintain prequalification status. The process is governed by state Statute ([30 ILCS 535/1](#)).

There are approximately 400 firms prequalified with IDOT that are able to submit interest on engineering, land surveying and architectural project advertisements. Updated every Friday, the [List of Prequalified Consultants](#), [List of Prequalified DBE Consultants](#) and [List of Prequalification Categories without a DBE firm](#), provides the firm name, address, DBE status, contact person, phone number, fax number and prequalified IDOT category or categories. The list posted is from the firms last approved Statement of Experience and Financial Condition. Firms with information in for review may have additional prequalification categories or may not have all the prequalification categories listed. Firms can track the progress of their Statement of Experience and Financial Condition review by viewing Status Column

RESOURCES

- “Stay Connected” – subscribe to our subscription list
- Prepare & send an email to subscribe-dot-ptb@lists.illinois.gov
- Confirmation email will be sent to the subscriber with instructions
- Instructions also posted on IDOT Website:
<http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index#Connect>



QUESTIONS?

THANK YOU

Jenni LeSeure

Consultant Services Unit Chief

Bureau of Design and Environment

Illinois Department of Transportation

Jenni.LeSeure@Illinois.gov

(217) 782-6916

OR DOT.ConsultantServices@Illinois.gov