State of Illinois
Illinois Department of Transportation

Engineering Prequalification and Agreement System

Instruction Manual

Illinois Department of Transportation

0450-16, 02/16

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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

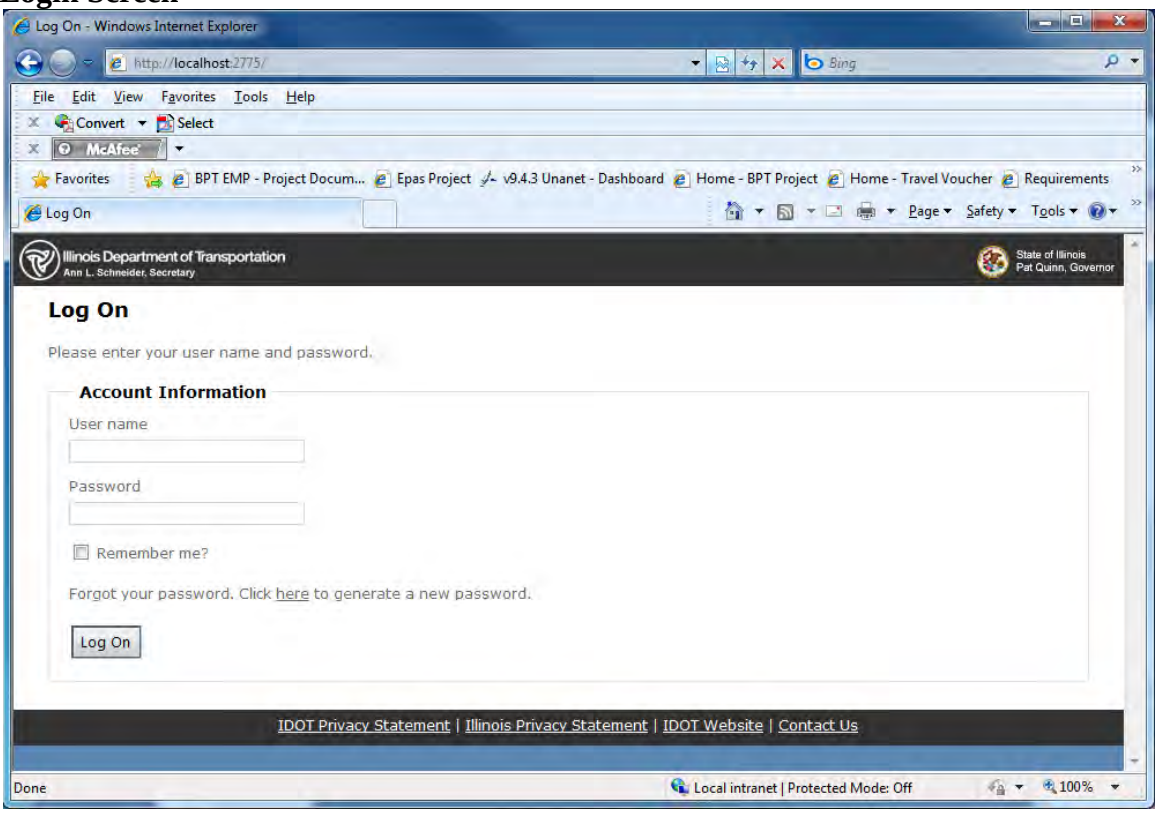
- Must have Broadband Internet Connection
- Must have Internet Explorer(IE) browser (see below setting requirements for IE)
- Must have XP or higher operating system
- Must have at least a 2GB or higher main memory
- Must be running on screen resolution of 1024 x768 or higher

3.2 Software requirements

- EPAS application will only run on Internet Explorer version 7 or higher. If you don't have IE version 7 or higher please download and install it before running the EPAS solution
- 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 IE 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 have to customize your Internet security settings, follow these steps:
     a. Select **Custom Level**.
     b. In the **Security Settings – Internet Zone** dialog box, Select **Enable** for **Active Scripting** in the **Scripting** section.
  5. Select the **Back** button to return to the previous page, and then Select the **Refresh** button to run scripts.
  6. Help Is available: Once Logged on, in the upper right corner select the Help Button. https://apps.dot.illinois.gov/EPAS/Home/Instructions

4 Logging On To EPAS

Login Screen



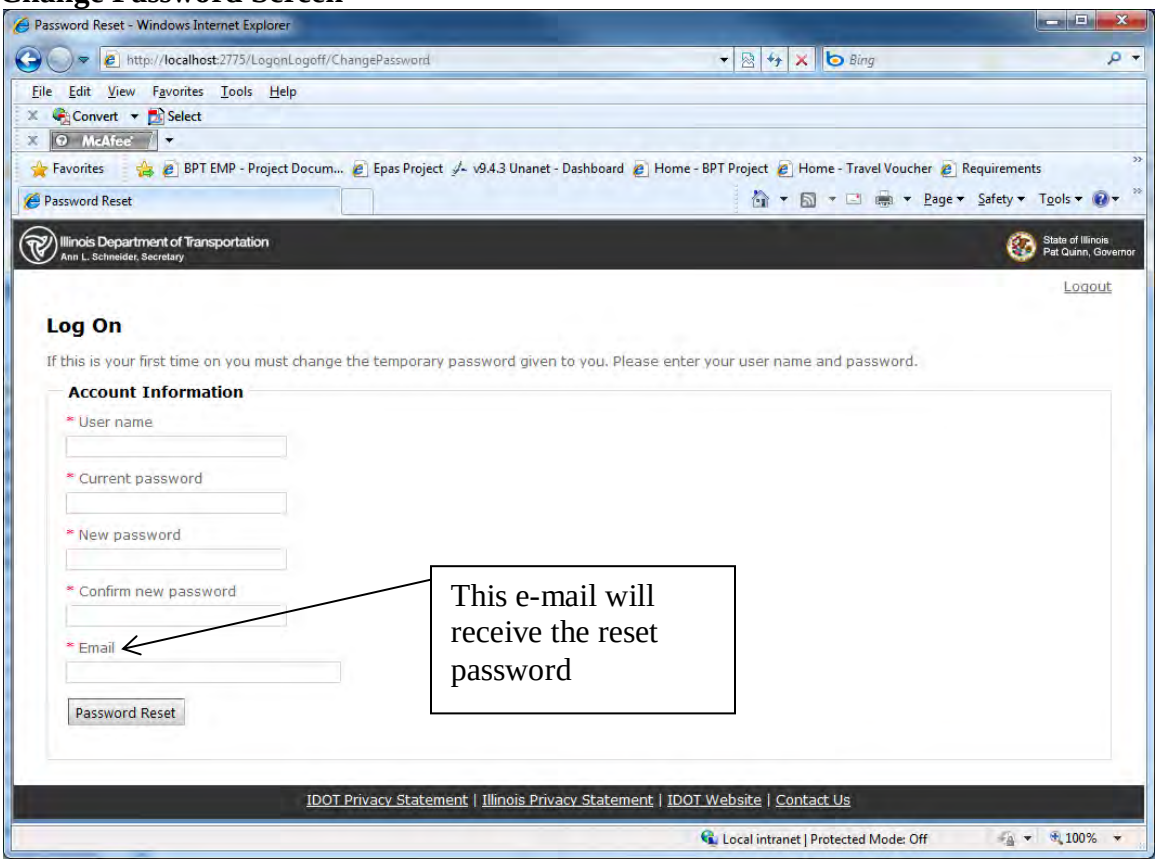
Firms that are new to prequalification with IDOT are required to request an account. Review the description and minimum requirements (see IDOT website) to determine which categories the firm would be qualified to do. Once a firm determines that it does want to become prequalified, e-mail DOT.ConsultantServices@illinois.gov and indicate your interest in becoming a prequalified engineering consultant, and attach the Federal Form, W-9. Once your account has been established the following procedure can be used to log in.

- User Name : Your TIN # (FEIN) (do not use spaces or dashes)
- Password: Welcome (Initial password if new to EPAS System).
    - Firms currently prequalified will use the TIN or additional user name(s) established by your firm and the password created by your firm.
- Select the Log On button.

* If you become locked out, e-mail DOT.ConsultantServices@illinois.gov and include the User Name. 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



- Enter your User Name – This will be the same user name that you entered in the above screen (if you entered your TIN #, then reenter the TIN #).
- Enter the current password – This will be ***Welcome*** for the first time.
- Enter your new password and confirm your new password.
- Enter your Email address. This email will be utilized by IDOT to send you password reset notification if your account is locked out due to 3 unsuccessful login failures.
    - Note for security, reset passwords must be sent to the e-mail listed. It is important to keep this e-mail current.
    - If locked out send an e-mail requesting the password be reset and include the User ID to DOT.ConsultantServices@Illinois.gov
- 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);

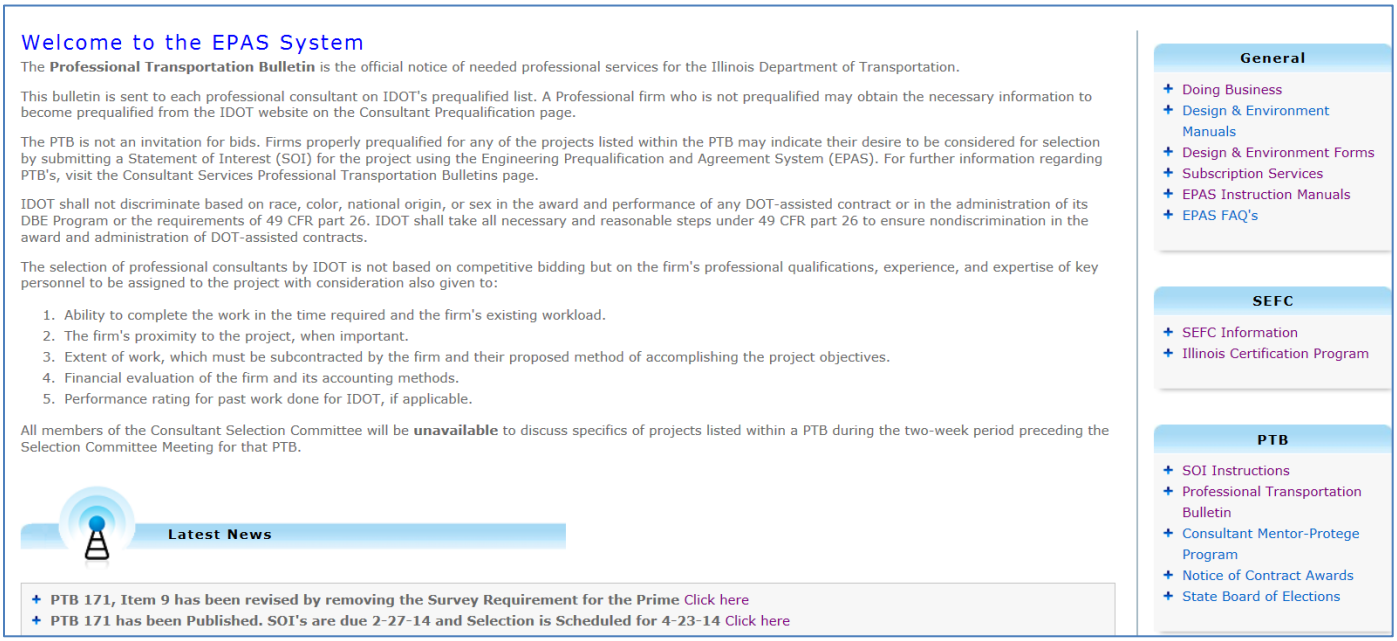
Non-alphabetic characters (!, $, #, %, @, &, *, ~)

5 EPAS Home Screen & Navigation

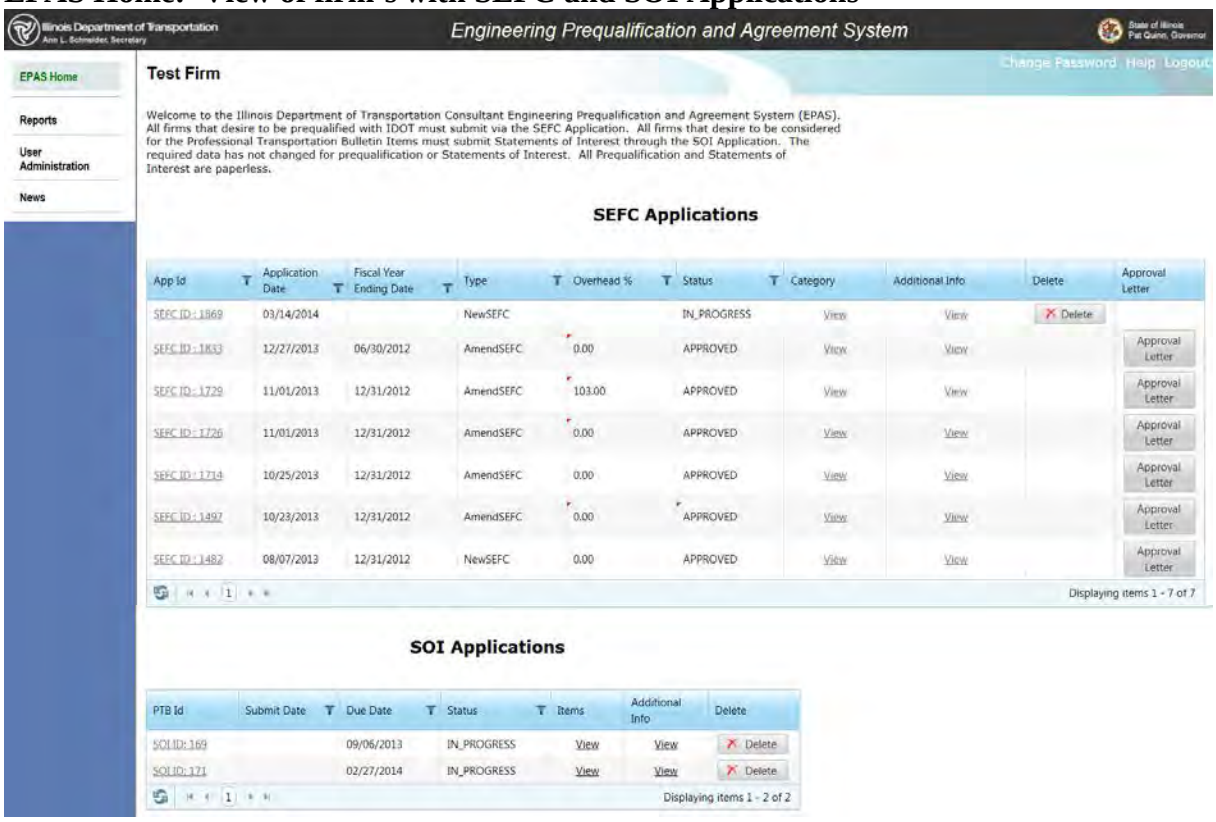
Select News, in the **Red** box, for information regarding consultants. Information regarding Professional Transportation Bulletins, processes etc. are posted here.

To change your password, select "Change Password" in the Blue box.

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



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

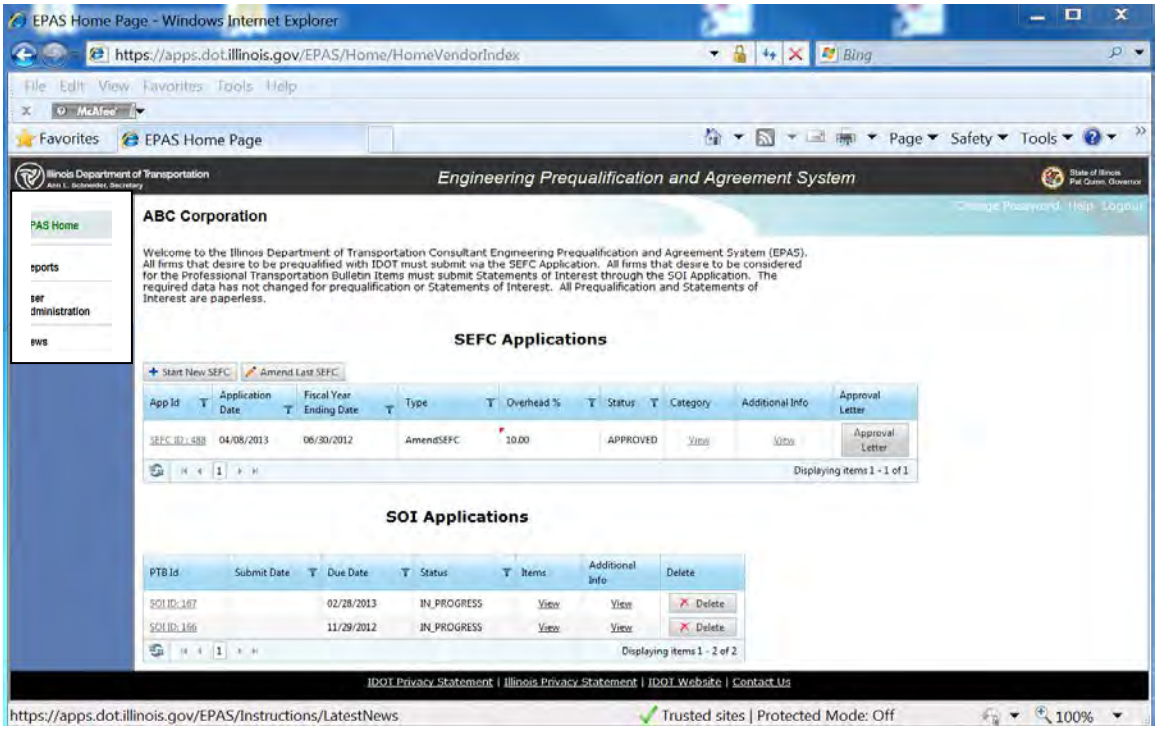


- The above screen will list all the Firm's SEFCs submitted (If this is your first time using the EPAS system, you will not see any SEFCs – see **SEFC List** without any SEFC application and all the SOIs which you have submitted.
- If you select the View link in the Category column (SEFC Applications grid), it will display all prequalification categories applied for, category qualification status, and comments from IDOT related to the category.
- If you select the View link in the Items column (SOI Applications grid), it will display all items applied for in the particular PTB, the items status and any comments from IDOT related to the item.
- 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 information is kept even after the additional information is received).
- If you Select the SEFC ID: link in the App Id column, the system will display the Corporate Profile page if your application status is IN_PROGRESS. Otherwise, the system will display a READ ONLY copy of the SEFC application in a different Internet Explorer window.
- 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.

- **IN_PROGRESS means the application is in the firms work queue. IDOT does not have access to your application at this time**.

6 SEFC Entry

SEFC List



- The above screen will list all the SEFCs that have been submitted. (If the firm has not applied for prequalification before the SEFC Application will be empty.
- If you Select the View on the Category column, the system will display all the Categories that you have applied for and if you are qualified for the category. If you have been denied prequalification in a category, it will tell you why.
- If you Select the view on the Additional Info column, it will display all the information that was requested by IDOT, this stays with the application even after the additional information has been received.
- If you select the SEFC ID: # link on 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 SEFC application in a different window.

6.1 SEFC Status Column

Once an application has been submitted it will go through several "Status Stages:
In Progress: The firm is working on an application. IDOT does NOT have the application & does not have access to the application until the firm submits.

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

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

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

> Firms have two weeks to revise the application and resubmit or they can me marked as NOT APPROVED. The application has to be submitted again, making the changes does not mean the application is back in the IDOT work queue. If the firm is able to make changes then IDOT doesn't have the application in the IDOT work queue. It must say submitted again.

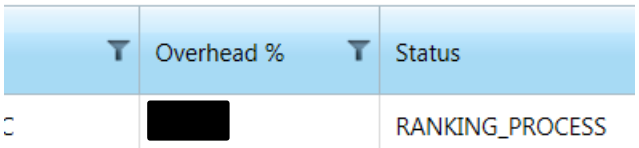
Initial Review Approved: This means the correct data is in the application and the application can be reviewed in its entirety by the required IDOT staff.

Ranking Process: The Requested Prequalification Categories are being reviewed.

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

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

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



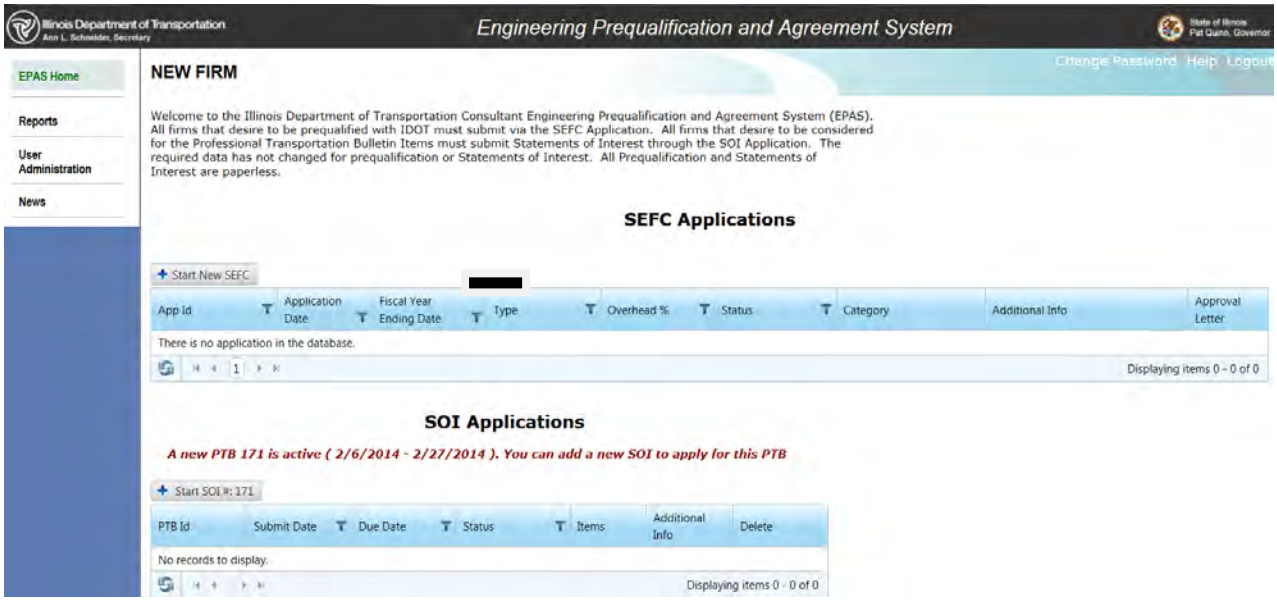
When the application has been reviewed in its entirety, the firm's status will be marked as either **Approved** or as **Not Approved**.
Once the application shows either approved or not approved, the firm can create another application.

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

A firm shown as Not Approved is required to do a New SEFC application and is not considered prequalified until IDOT completes the review.

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

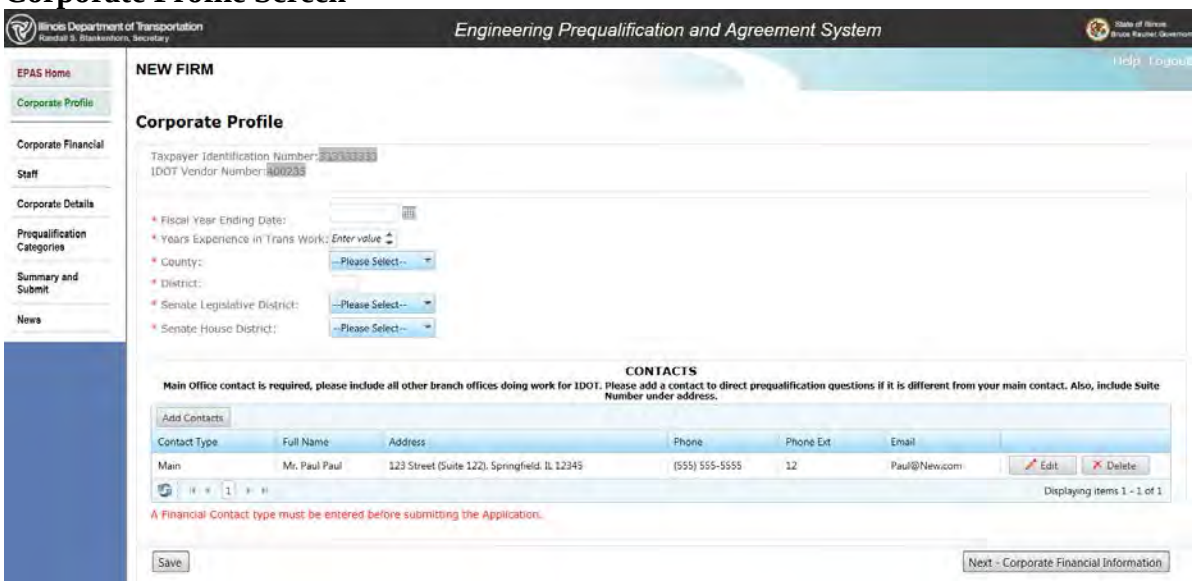
SEFC List shown when there has not been a SEFC submitted.



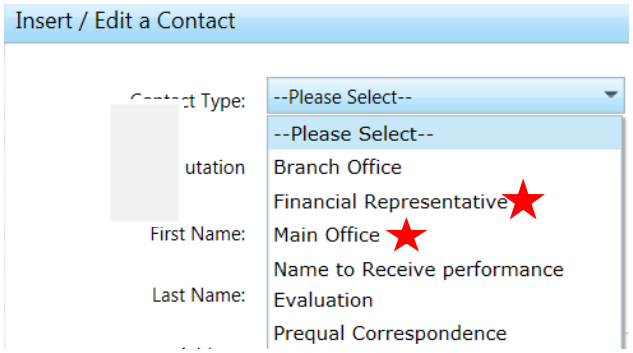
- Select the *Start New SEFC* button to create a SEFC to be submitted to IDOT. This is used for first time applicants, and every third year when the firm's Entire SEFC is due.
- The following screen will be displayed.

6.2 Corporate Profile Screen

Corporate Profile Screen



- This is the Corporate Profile Screen, which shows your TIN and your IDOT vendor number. All required fields are marked with *. The system will let you bypass required fields initially. The required fields must be completed before the system will allow you to submit to IDOT.
- Fiscal year end date is specific for the firm and is the FY data of the financial information submitted not the date submitting.
- **Note for Out of State Company**: If you are an out of state company select *Out of State* from the county dropdown and the next 3 fields; District, Senate Legislative District, and Senate House District will not be shown.
- **Note for Contacts**: A main contact and a financial contact are mandatory. Include all branches doing work with IDOT. Please add a contact to direct prequalification questions if it is different from your main contact and a performance contact if different from Main.

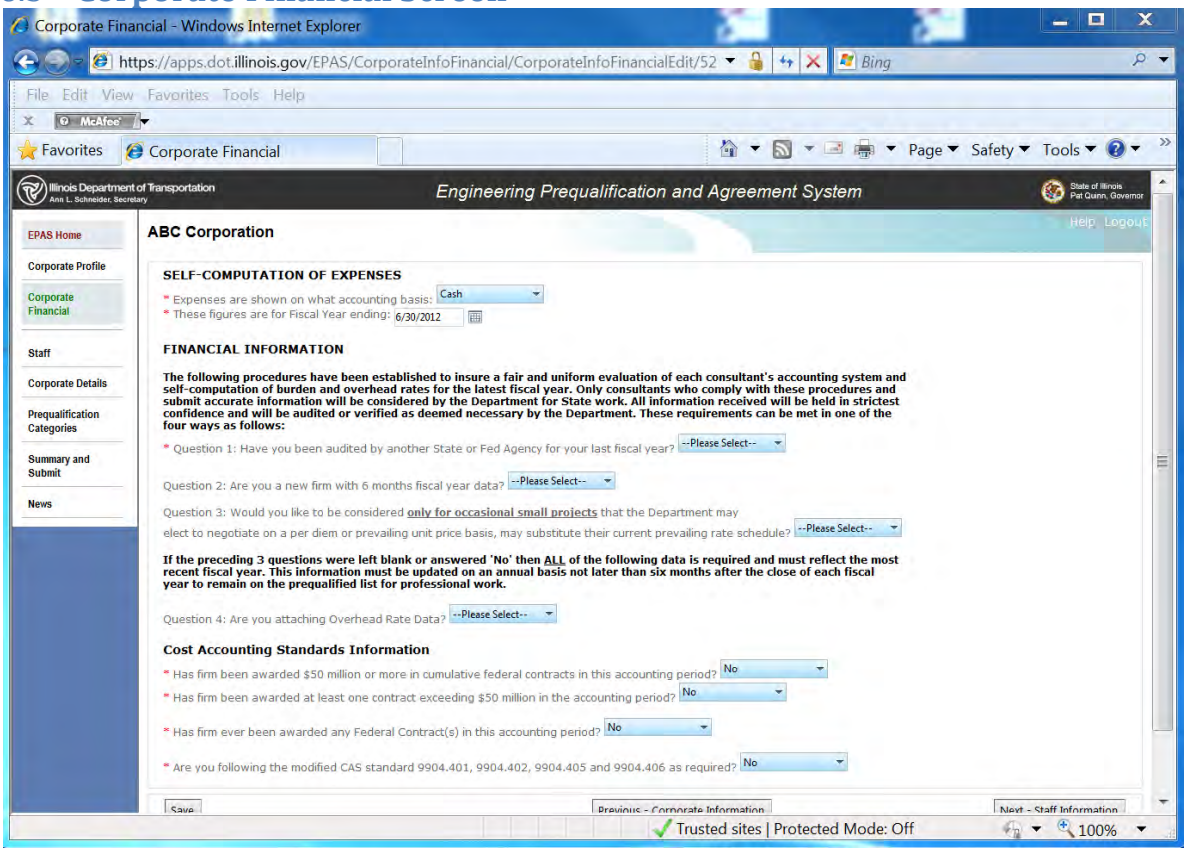


Include **COMPLETE** address, street, suite, city, state, zip, etc.

- *Save button* - This button will save the information and remain on the same page.
- You can Select *Next*- This button will save the information and navigate you to the next page – Corporate Financials.

Select *Next* and the following screen opens.

6.3 Corporate Financial Screen



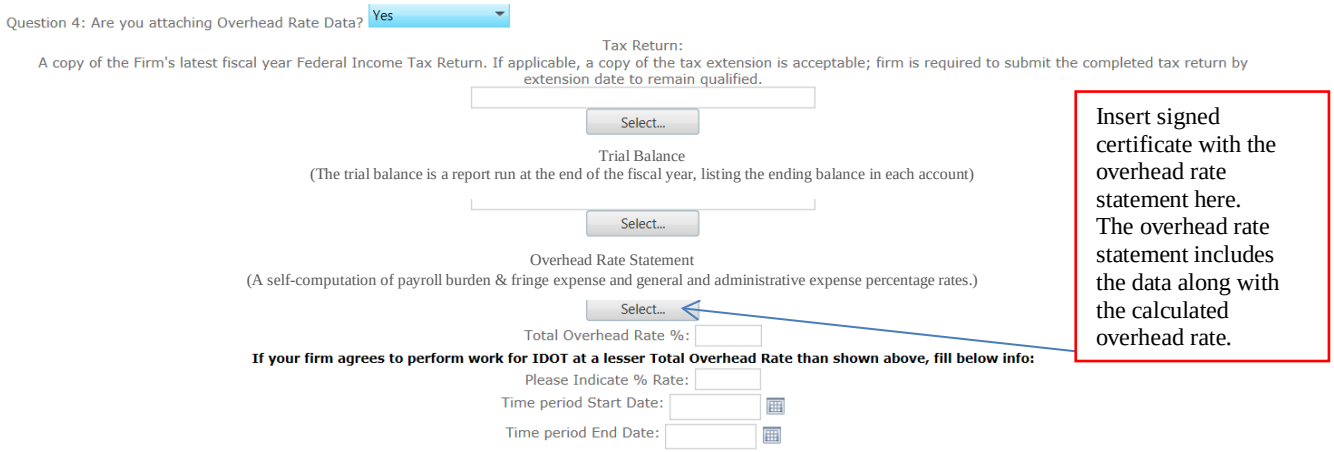
- This is the Corporate Financial Screen. This screen is only accessible by a user that has access to your company's financial data (See here to see instructions on adding users to the company with Financial or non-financial roles). All attachments must be attached in the proper space, or applications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

  - Question 1 – (must answer yes or no) If yes, then attach your Cognizant audit by a State or Federal Agency. A Private company or independent CPA audit **is not** accepted as a State or Federal Agency Audit.

  - Question 2 – If yes, then attach your financial data for the 6, or more months, and our auditors will give you an overhead rate. If not answered as yes leave as Please Select.

  - Question 3 – If yes, attach your Prevailing Rate Schedule. If not answered as yes leave as Please Select.

- Question 4 – If yes, you must attach
  - your last fiscal year taxes, or 6 month tax extension if your taxes have not yet been completed;
  - Trial Balance (The trial balance is a report run at the end of the fiscal year, listing the ending balance in each account)
  - And the overhead rate statement, which are the self-computation/calculations (See example below) and a signed Certification of Final Indirect Costs (see example below, this can be used or something similar)
  - If not answered as a yes or no then leave as Please Select.



Insert signed certificate with trial balance here.

If you choose to do the calculations in the chart, then attach the signed certificate of final indirect costs (example below) with the trial balance.

Question 4: Are you attaching Overhead Rate Data? No

Tax Return:

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 CALCULATION CHART:

Add new record

Tax Return or Audited Statement Acct Desc	Balance	Direct Cost	Unallowable per Sec. 286	Payroll Burden	Indirect Overhead
No records to display.					

Displaying items 0 - 0 of 0

DIRECT LABOR CALCULATION

The base figure for the computation of the rate is computed as follows:

Total Direct Payroll - including overtime (Section 2.86):

Deduct from above the premium portion of overtime paid:-

Total Direct Labor: 0

Computation of Rates

Payroll Burden and Fringe Expense Rate =
(Total Payroll Burden / Total Direct Labor) * 100 0

General and Administrative Expense Percentage Rate =
(Total Indirect Overhead / Total Direct Labor) * 100 + 0

Total Overhead Rate %: 0

If your firm agrees to perform work for IDOT at a lesser Total Overhead Rate than computed above, fill below info:

Please Indicate % Rate:

Time period Start Date:

Time period End Date:

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:_____

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

The AASHTO website for the NCM. http://audit.transportation.org/Pages/default.aspx
See page 40 for an example (also below) and AASHTO Chapter 8 for assistance.

Note: IDOT applies two bonus analyses. First, a listing of all employees receiving bonuses is required. A determination of the percentage of each bonus to salary is completed. The highest bonus percentage for a non-owner is determined and then the owners are held to that limit for their bonuses. Anything over that percentage for owners is not used and deemed as unreasonable. ***IF*** the consultant has less than **$2.5 million** in direct labor, IDOT allows any owner with less than 5% ownership to be treated as a non-owner

After IDOT makes the appropriate adjustments based on the method above, IDOT applies the national compensation matrix.

Excerpt from Page 40 of the AASHTO Guided:

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, 201x

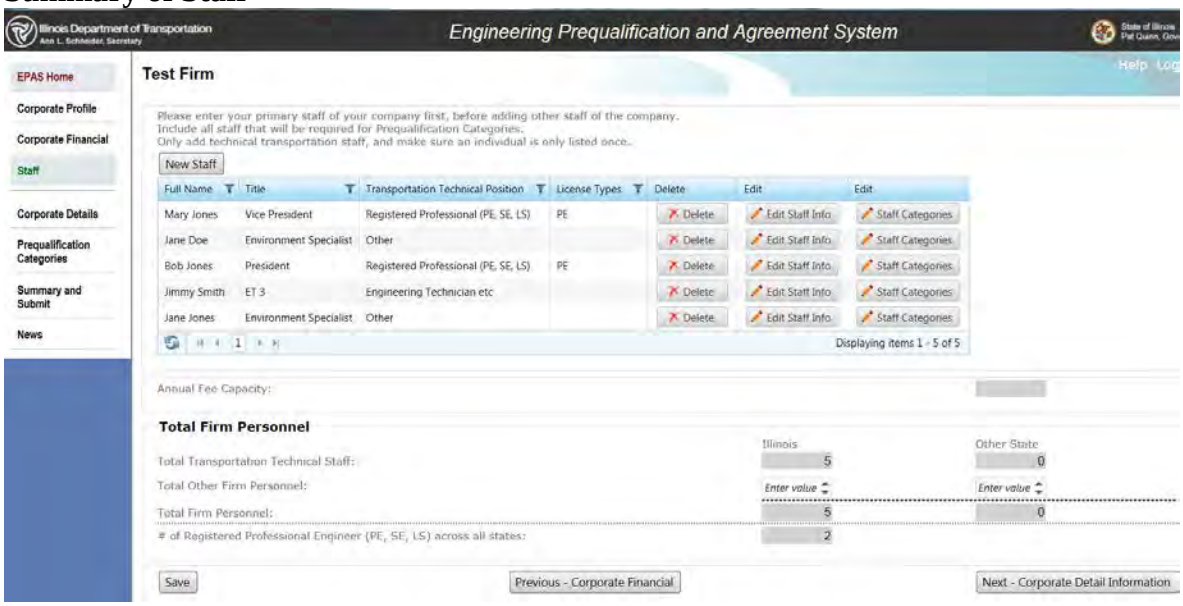
Account Number & Description	General Ledger Account Balance	Direct Costs	Disallowed Costs		Proposed Company Wide	ALLOCATIONS Proposed Home Office	ALLOCATIONS Proposed Field Office		Percent to Field Office
DIRECT LABOR	$ 1,950,501	$ 1,950,501	$ -		$ 1,950,501	$ 1,826,853	$ 123,648	(n)	6.34%
INDIRECT COSTS:									
FRINGE BENEFITS									
6300 Benefits: Bonuses	$ 234,060	$ -	$ (28,560)	(a)	$ 205,500	$ 193,000	$ 12,500	(n)	
6310 Benefits: 401(k)	97,525	-	-		97,525	91,255	6,270	(n)	
6320 Benefits: PTO (vac., sick, and holiday)	253,565	-	-		253,565	241,421	12,144	(n)	
6820 Insurance: Disability	58,515	-	-		58,515	54,806	3,709		6.34%
6830 Insurance: Life	21,846	-	(800)	(b)	21,046	19,711	1,334		6.34%
6840 Insurance: Medical	136,535	-	-		136,535	127,880	8,655		6.34%
6850 Insurance: Workers' Comp	15,799	-	-		15,799	14,798	1,002		6.34%
7500 Payroll Taxes: FICA and Med	180,421	-	-		180,421	168,984	11,437		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	$ 984,928	$ 61,998		
GENERAL OVERHEAD									
6700 Indirect Labor (G&A and support allocation)	$ 741,190	$ -	$ (3,300)	(c)	$ 737,890	$ 680,506	$ 38,736	(c)	5.25%
6700 Indirect Labor (field labor allocation)	-	-	-		-	-	18,648	(n)	
5010 Direct: Lodging, Meals, and Travel	122,101	(122,101)	-	(d)	-	-	-		5.25%
5020 Direct: Employee Mileage Reimbursements	159,941	(159,941)	-	(d)	-	-	-		5.25%
5030 Direct: Rentals and Supplies	21,651	(21,651)	-	(d)	-	-	-		5.25%
5040 Direct: Subconsultants	44,862	(44,862)	-	(d)	-	-	-		5.25%
6000 Advertising and Marketing	23,991	-	(6,750)	(e)	17,241	16,336	905		5.25%
6100 Automobile Expense	68,268	-	(13,580)	(f)	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)	(g)	-	-	-		5.25%
6500 Depreciation Expense	117,030	-	-		117,030	117,030	-	(p)	
6600 Dues and Subscriptions	16,189	-	(350)	(h)	15,839	15,008	831		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)	(i)	-	-	-		5.25%
7000 Licenses and Permits	21,456	-	-		21,456	20,329	1,126		5.25%
7100 Maintenance and Repairs	97,135	-	-		97,135	92,036	5,099		5.25%
7200 Meals & Entertainment	19,310	-	(1,050)	(j)	18,260	17,301	959		5.25%
7300 Misc. Fees, Fines, Penalties	6,827	-	(6,827)	(k)	-	-	-		5.25%
7400 Office Expense: Cleaning	8,192	-	-		8,192	8,192	-	(p)	
7410 Office Expense: Postage and Delivery	4,486	-	-		4,486	4,486	-	(p)	
7420 Office Expense: Office Supplies	32,183	-	-		32,183	32,183	-	(p)	
7430 Office Expense: Other Office Expense	35,889	-	-		35,889	35,889	-	(p)	
7600 Personal Property Tax	42,911	-	-		42,911	42,911	-	(p)	
7700 Prof Fees: Accounting and Legal	30,428	-	-		30,428	28,830	1,597		5.25%
7800 Rent	180,049	-	(2,400)	(l)	177,649	177,649	-	(p)	
7900 Telephone	60,466	-	-		60,466	57,291	3,174		5.25%
8000 Utilities	29,472	-	-		29,472	29,472	-	(p)	
Credit for Internal Allocations	-	-	(107,278)	(m)	(107,278)	(107,278)	-	(p)	
TOTAL GENERAL OVERHEAD	$ 1,983,306	$ (348,555)	$ (192,247)		$ 1,442,505	$ 1,366,008	$ 76,497		
TOTAL INDIRECT COSTS	$ 3,059,593	$ (348,555)	$ (221,607)		$ 2,489,431	$ 2,350,936	$ 138,495		
OVERHEAD RATES (as percentages of direct labor cost)					127.63% Company Wide	128.69% Home Office	112.01% Field Office		

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

Select *Next* and the following screen opens.

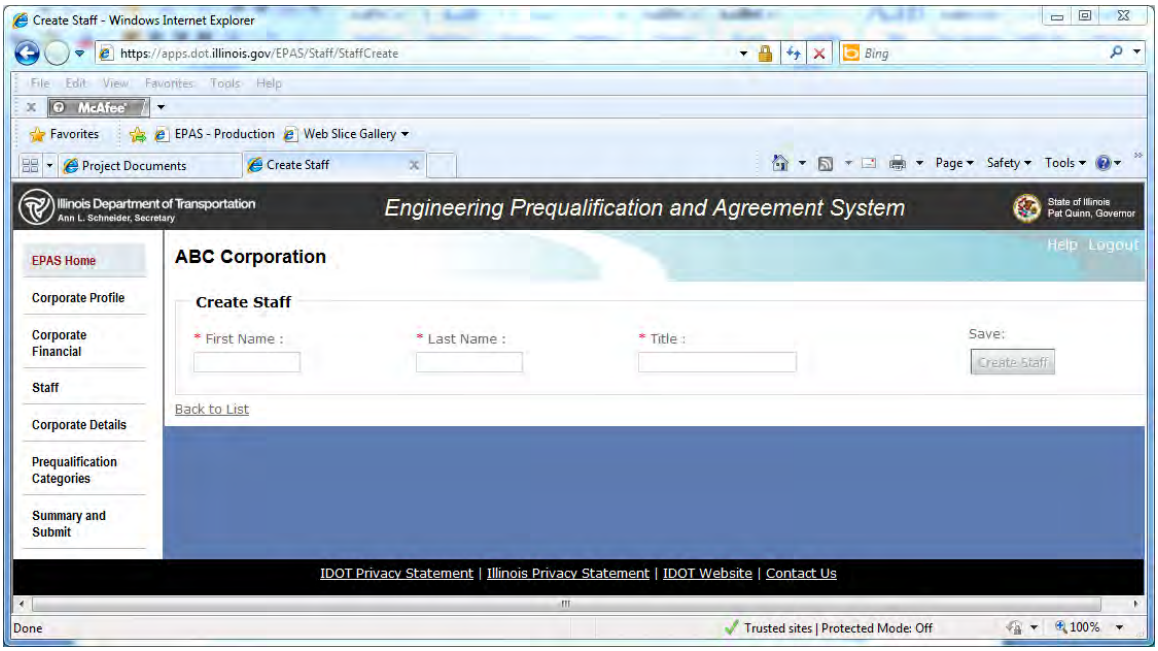
6.4 Staffing Screens

Summary of Staff



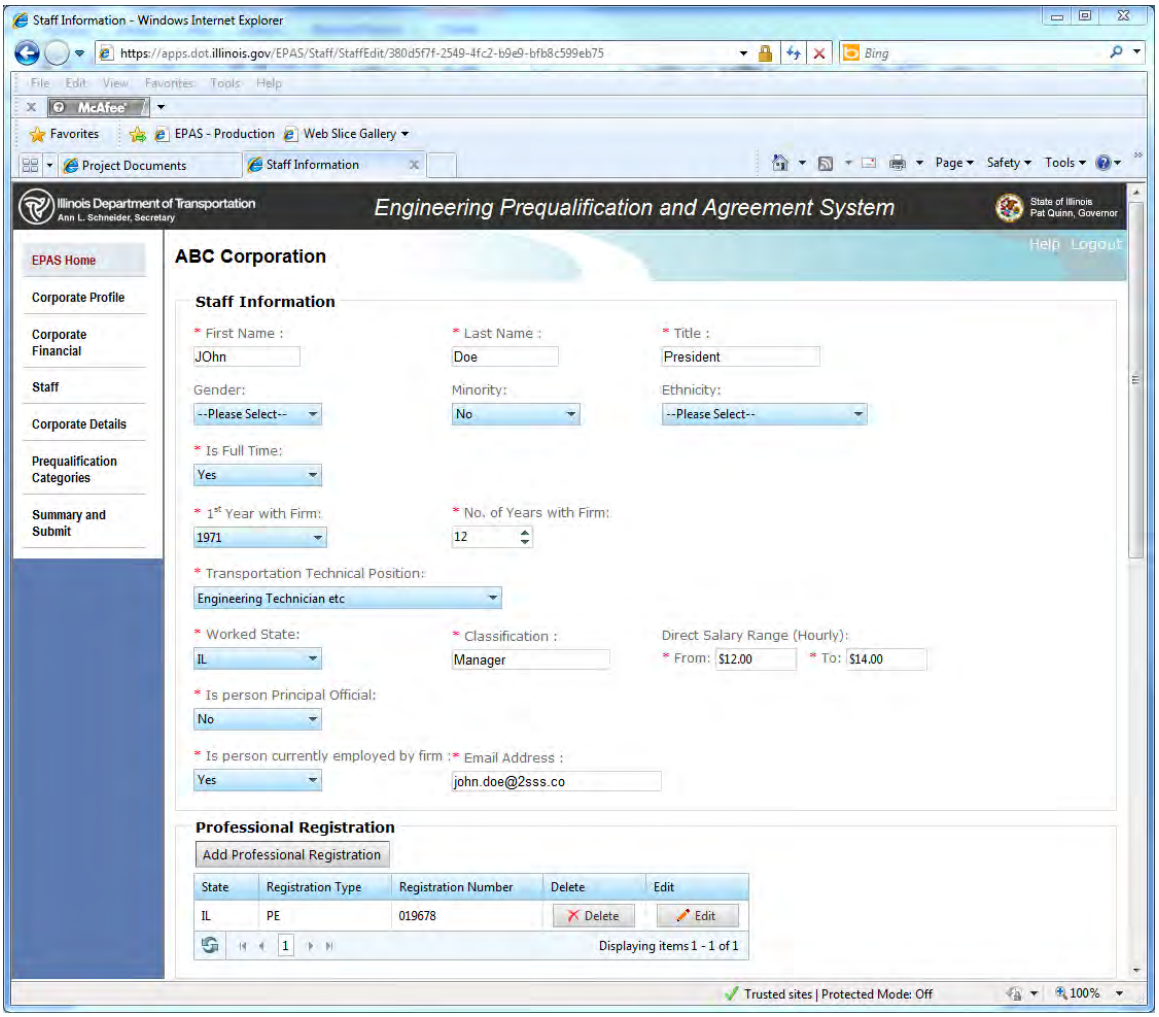
- This is the Staff Summary Screen. It should contain all of the firm's **transportation** staff. To add Staff, Select the *New Staff* button.
- **Note**: Please include all transportation staff that will be required/used for Prequalification Categories, leads and support staff. The questionnaires for prequalification will draw from the staff entered here. (review the environment section contained in this manual for Subconsultant Staff entry (used only for EA & EIS categories.)
- Select the *New Staff* button and the following screen is displayed.

Create Staff Screen



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

Staff Detail Screen



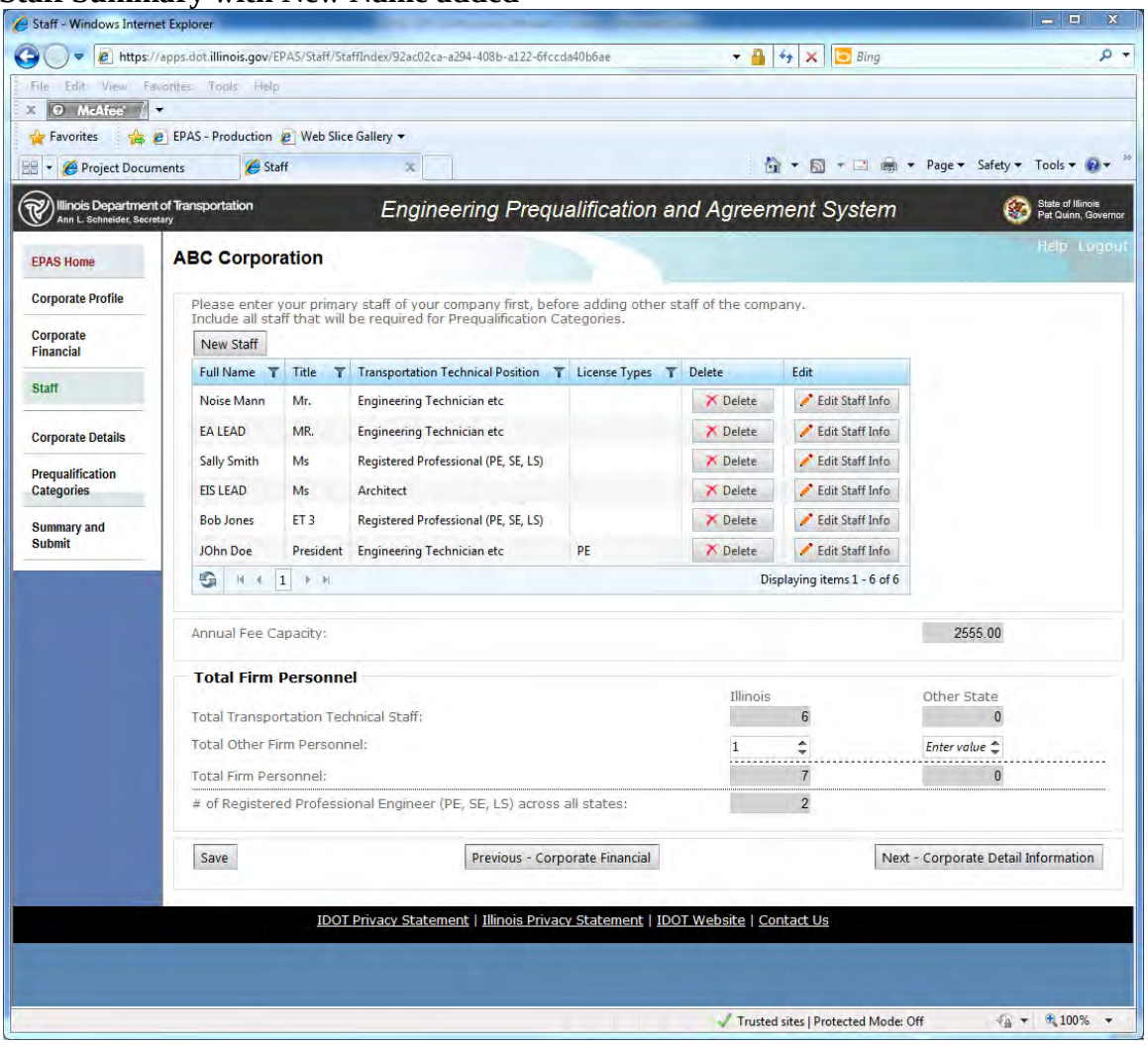
- Enter all the required fields. The system will let you bypass the required fields for now. The required fields must be entered before you submit the SEFC to IDOT. The system will not allow submittal until they are completed. Select *Save and return to Staff* button and you will see the new staff displayed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

Note: Classification is based on the company naming conventions, and the salary is a range for the classification, not the person's specific salary.

For example:
Classification: Technician- Level A, $11 to $30
or
Classification: Technician Level C, $25 to $45

- Select Save *and return to Staff* and the following screen is displayed.

Staff Summary with New Name added

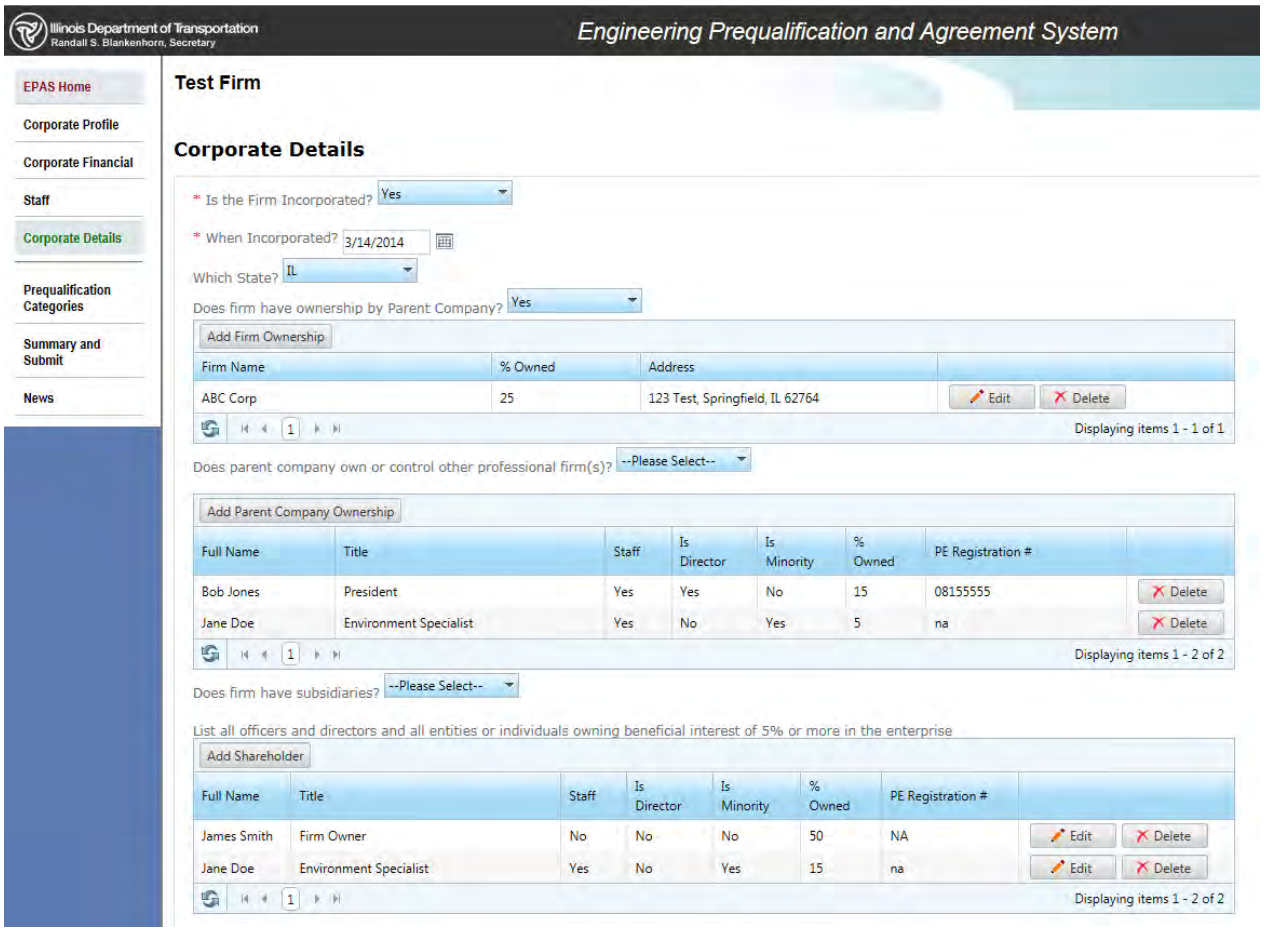


- You can Select *Save* - This button will save the information and remain on the same page.
- You can Select *Next* - This button will save the information and navigate you to the next page – Corporate Detail Page.
- You can Select *Previous* – This button will Save the information and navigate you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

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. The Design and Environment Manual Chapter 8-Section 2.02 Prequalification of Consultants addresses the AFC calculation: http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Illinois%20BDE%20Manual.pdf

Select *Next* and the following screen is displayed.

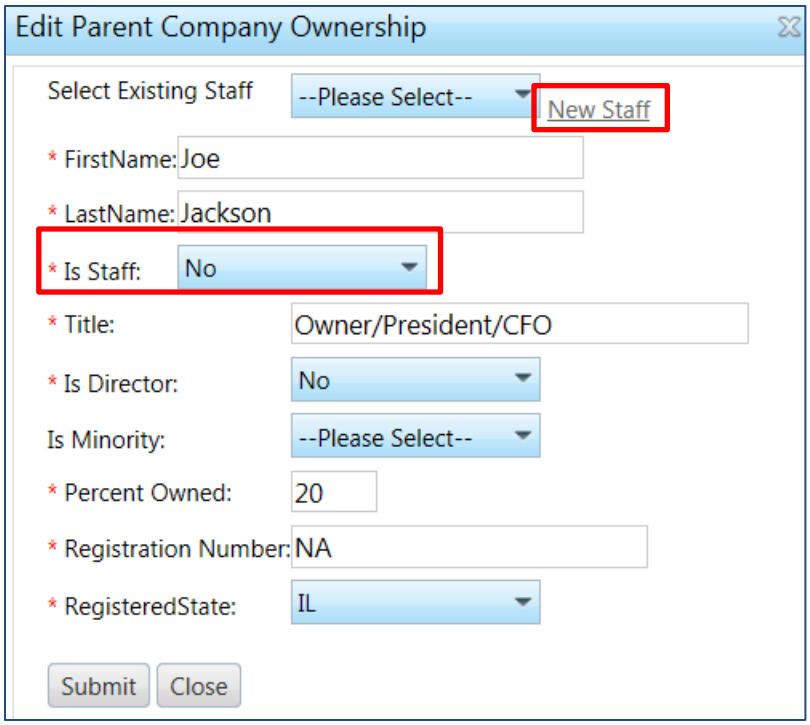
6.5 Corporate Detail Screens



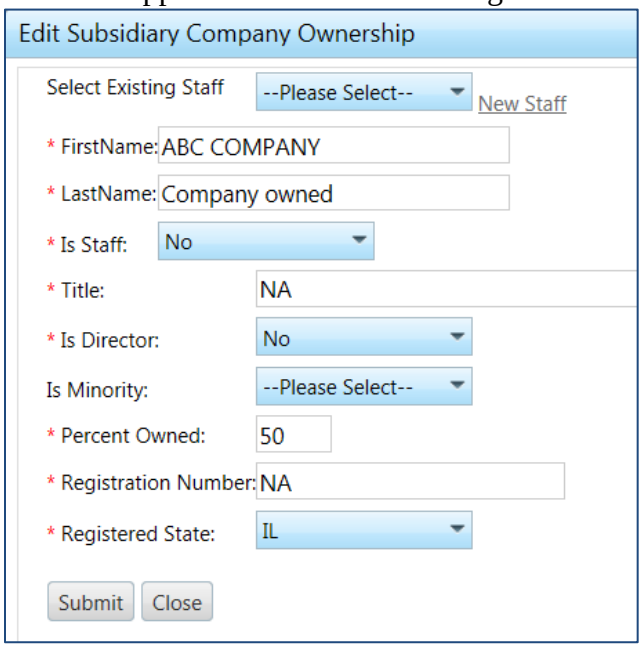
This is the Corporate Details Screen
At Bottom of Page:

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

For entering persons not listed on staffing page (people that will not be transportation staff), but are owners or other staff not doing transportation work, Select New Staff and when it asks if they are staff, say no. The question is asking if they are transportation staff. This can also be used if the firm is owned by another entity:

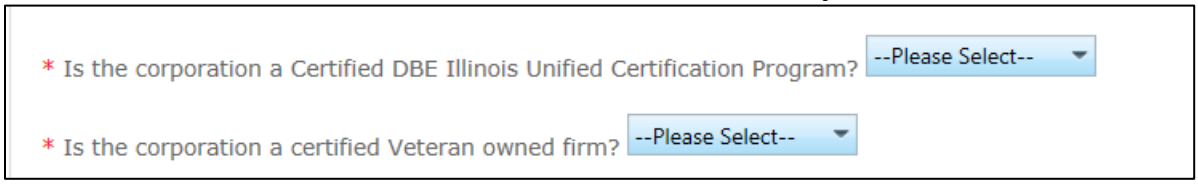


For instances of the firm being owned by another firm, under Share Holders, Subsidiary etc., wherever applicable include something similar to:

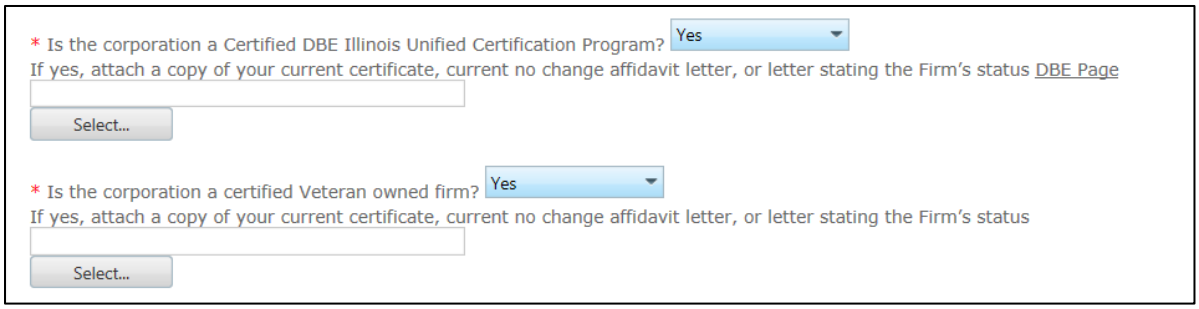


Select *Next* and the following screen is displayed.

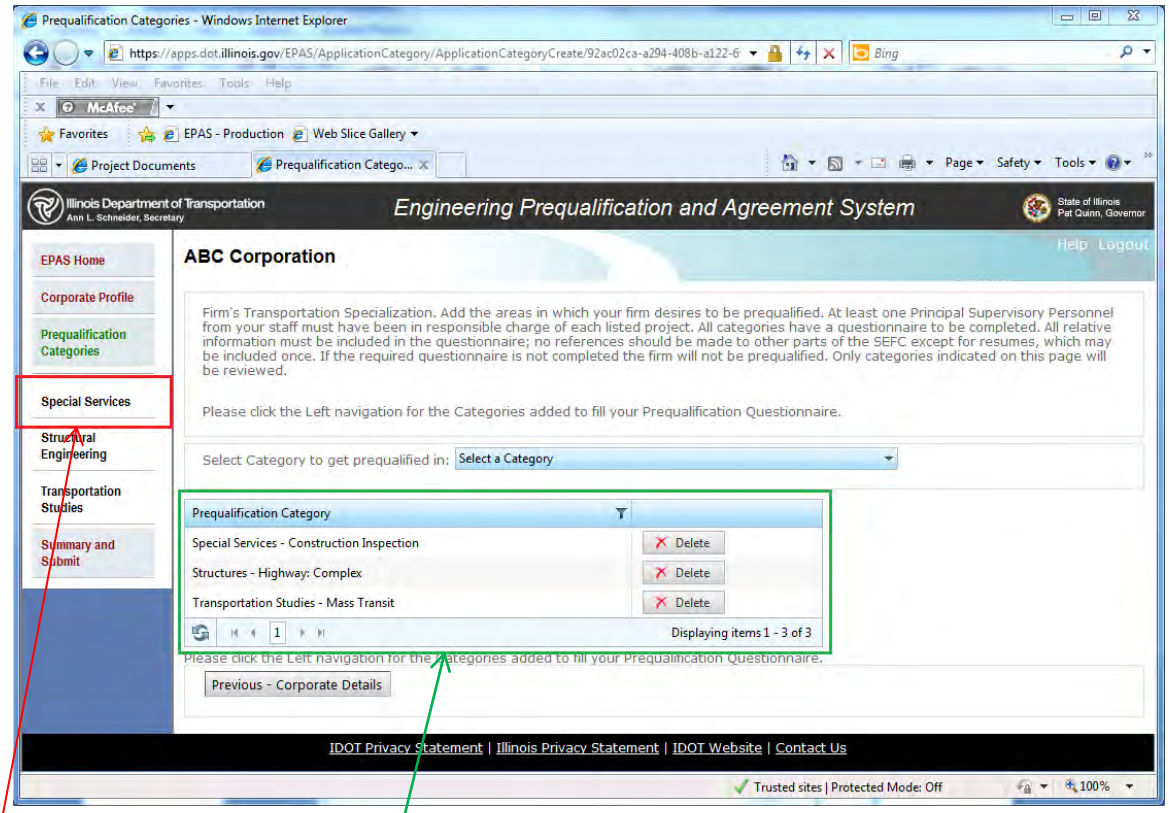
The corporate detail section also requests the firm to verify if it is a certified Disadvantaged Business and/or if it is a certified Veteran owned firm. Answer yes or no.



If the answer is yes, attach the current certificate.

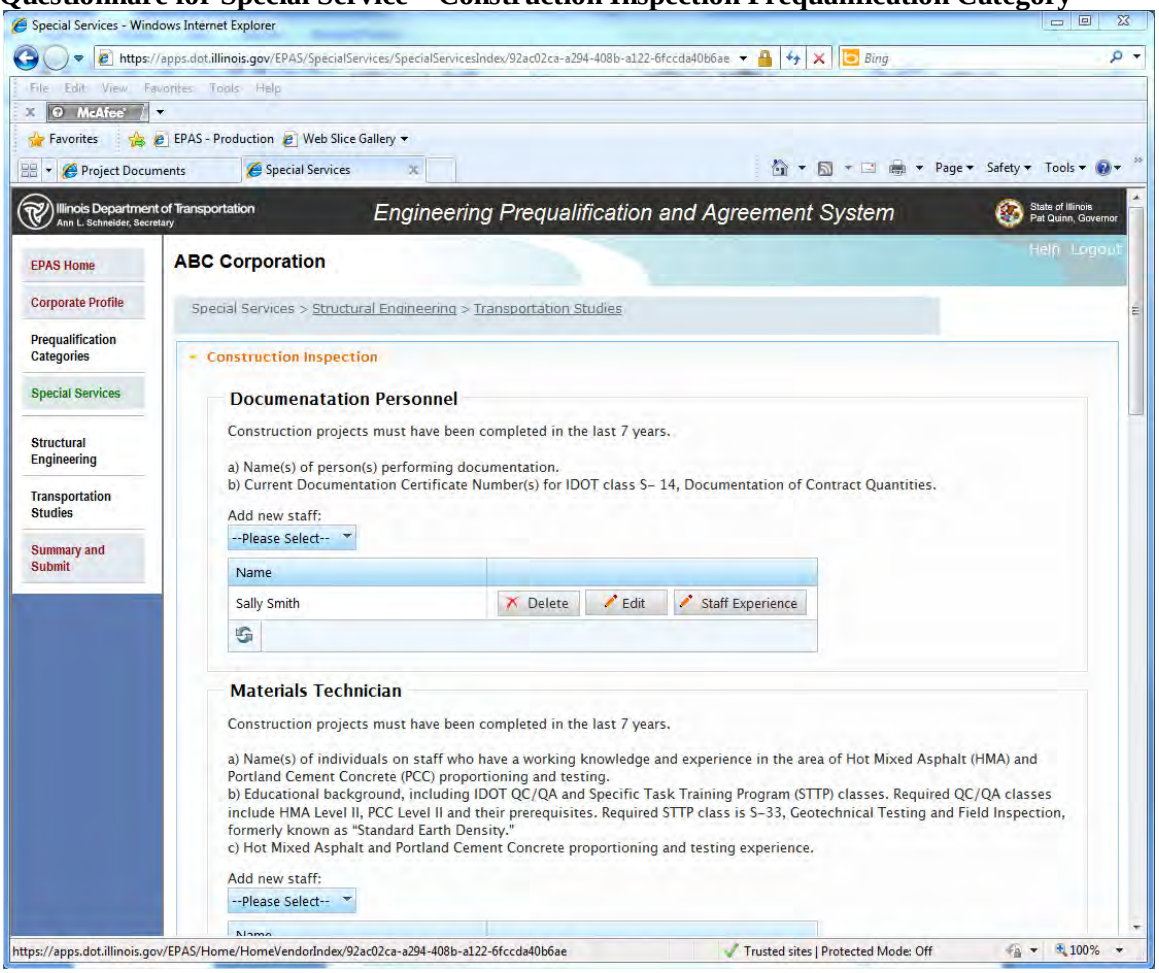


6.6 Prequalification Category Screen



- This is the Prequalification Category page. Select the Prequalification category and Select the *Add Category* button. The added Category will appear in the table (highlighted in **Green Box**).
- The Menu item for the category you added will be displayed on the Left Menu. (See **Red Box** above.)
- Select the general category from the Left Menu and the Questionnaire for the categories under the heading will be displayed as depicted below.

Questionnare for Special Service – Construction Inspection Prequalification Category

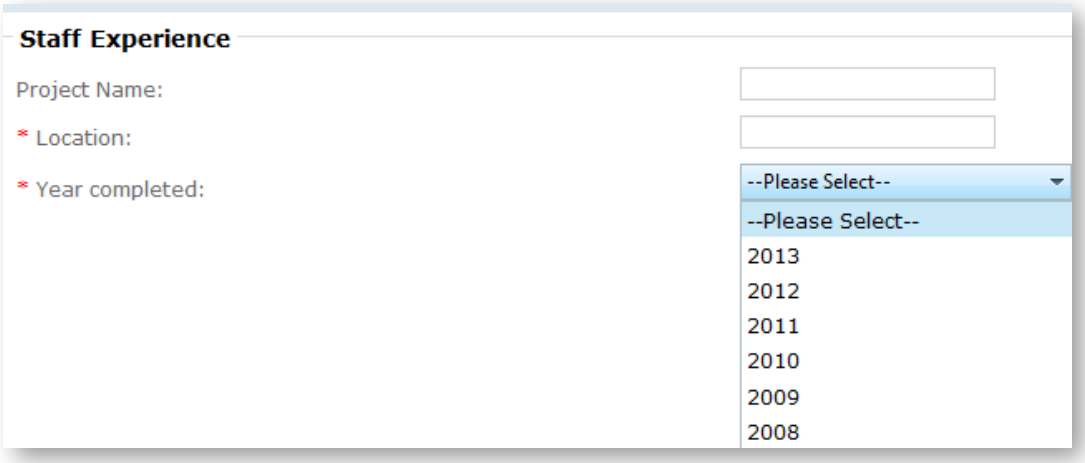


Other categories under the heading appear at the bottom of the page:

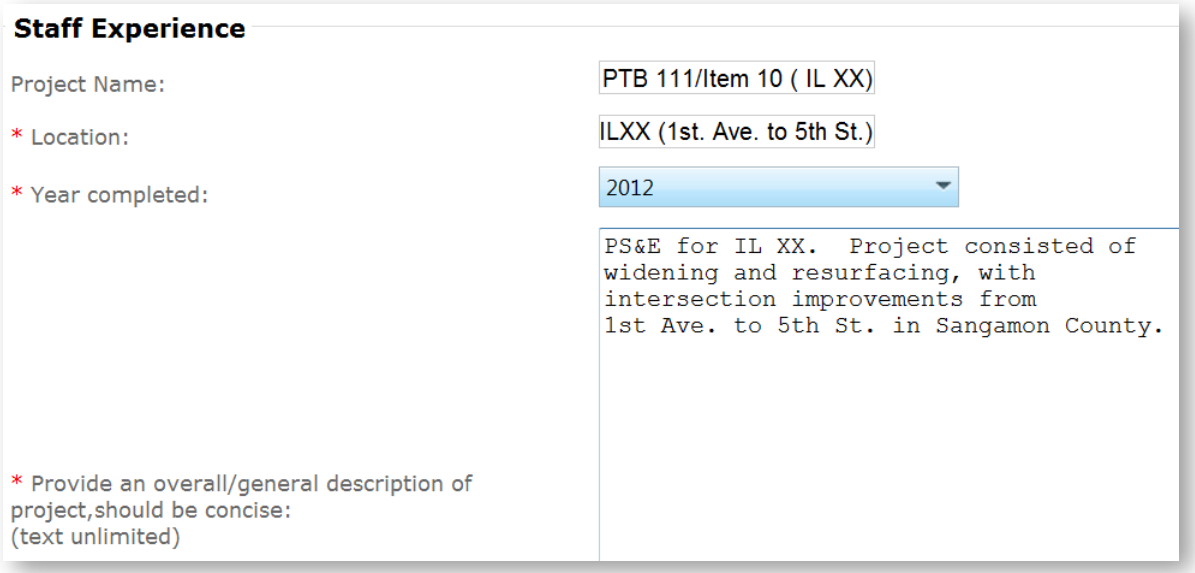
Completing Questionnaires

- 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.

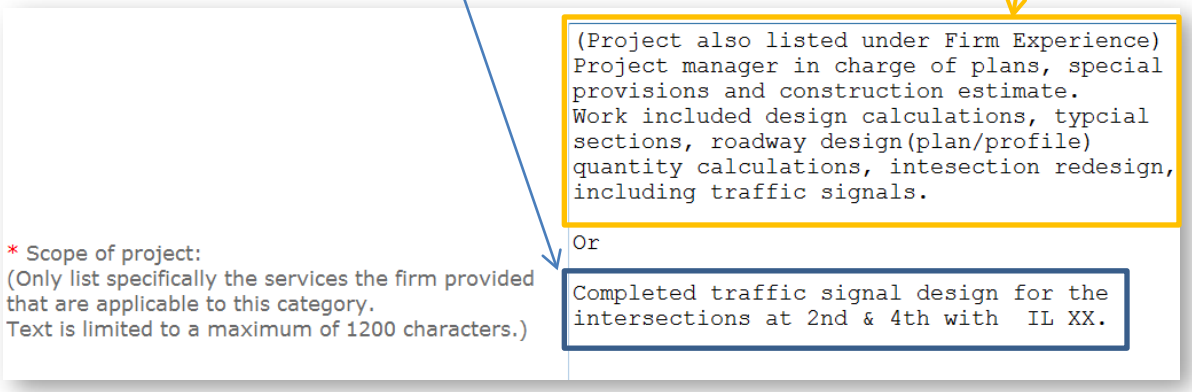
Each of the categories has a drop down listing the acceptable years of completion. ON GOING PROJECTS ARE NOT CONSIDERED. Completion is for the category being completed, for example, Roads & Streets is considered complete when the project plans are ready to go to letting. Survey when the survey is complete. Location Design Studies when the Project Report is complete.



Overall general description:



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

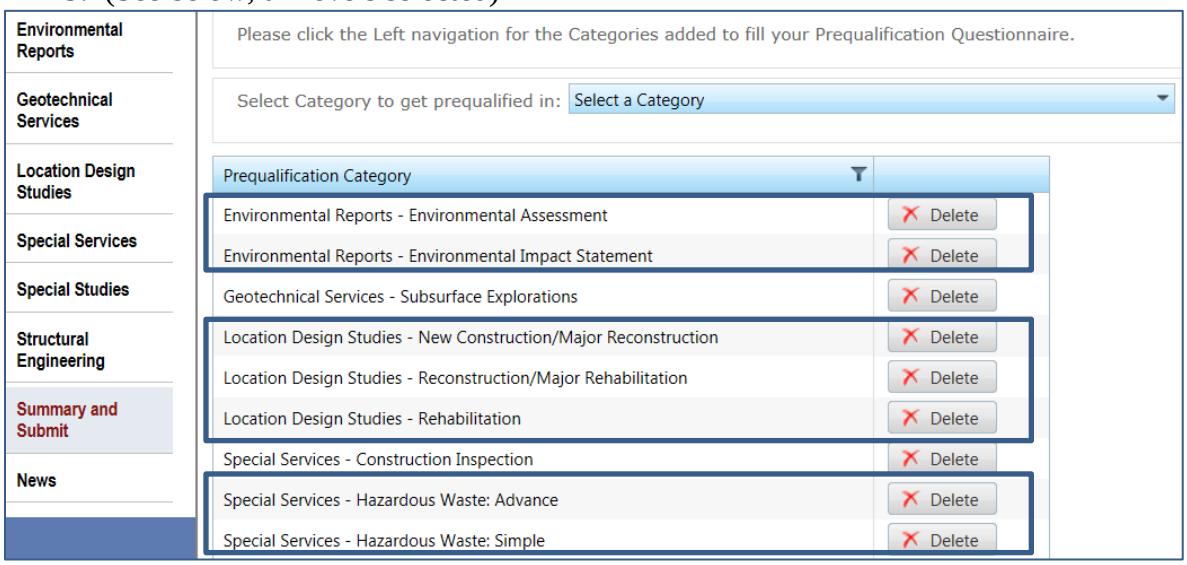


There are projects in which the staff and firm experience would be the same. If this is the case under the general description for the category, it can be referenced to something similar to this:

- This project is also listed under Joe Smith's experience
- For Staff, this project is also listed under firm experience

For categories that do build on each other, for example Location Design Studies, rehabilitation, reconstruction and then new construction Or Hazardous Waste Simple/Advanced.

Each category the firm is interested in being considered to do would have to be selected in EPAS. (See below, all levels selected)

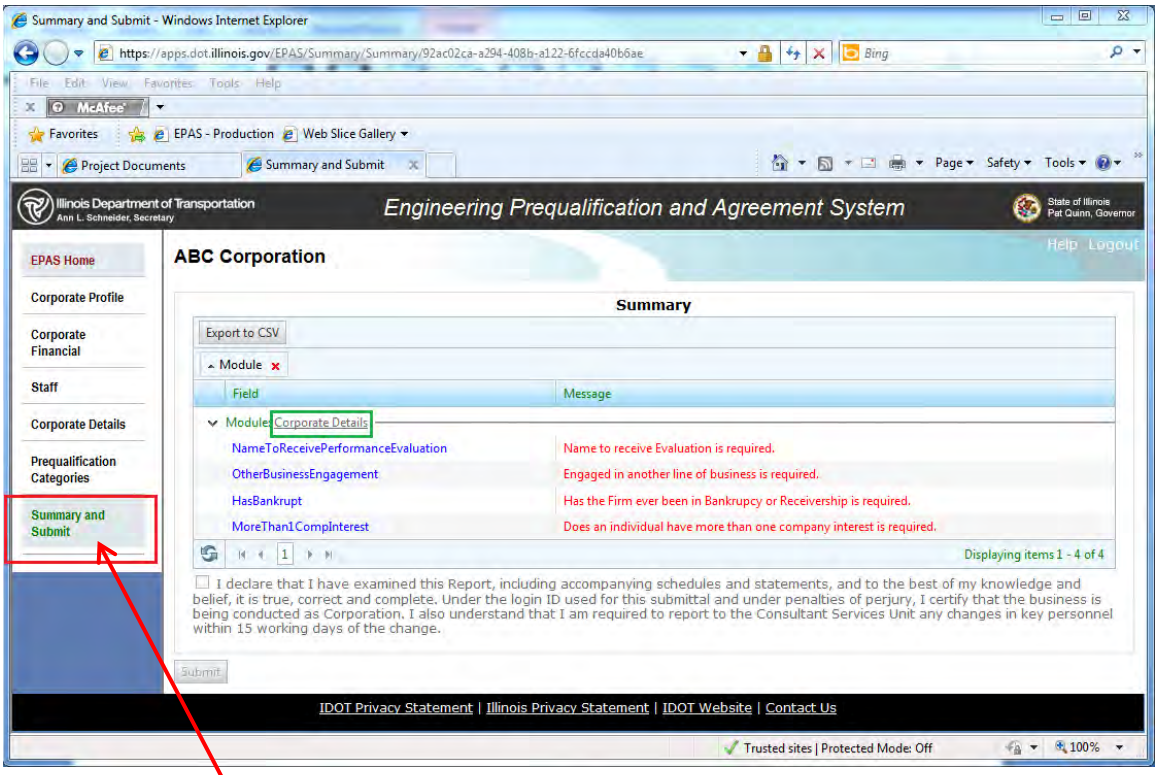


If applying for all three, under Rehabilitation and under Reconstruction/Major Rehabilitation note under the questionnaires that the data is listed under the New Construction questionnaire. Include under Highest Level of Complexity for the category.

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.

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.) This screen will display all required information that has not been answered and is required by IDOT in order for you to submit.
- 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.
- Select the *Submit* button to submit your application to IDOT. 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.

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 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.

Amend SEFC is used anytime there are changes that need to be made to a previous submittal. Following are a few examples of an Amend SEFC:

- Contact information changes, phone, e-mail, addresses
- Staffing changes that affect firms prequalification and/or annual fee capacity(When deleting staff, the staff must first be deleted from questionnaires before being deleted from Staff area)
- Updating Insurance
- If an extension was used in supplying tax information and the completed tax return needs to be entered.
- Requesting additional and/or re-applying for a prequalification categories.

New SEFC is a complete submittal. All information is updated and all categories reviewed. (This is every three years). For firms currently prequalified most data is carried over into the new application.

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

Important! If staffing and categories updates are needed they should be done through an amend option not at the renewal time because the system doesn't recognize these changes.

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

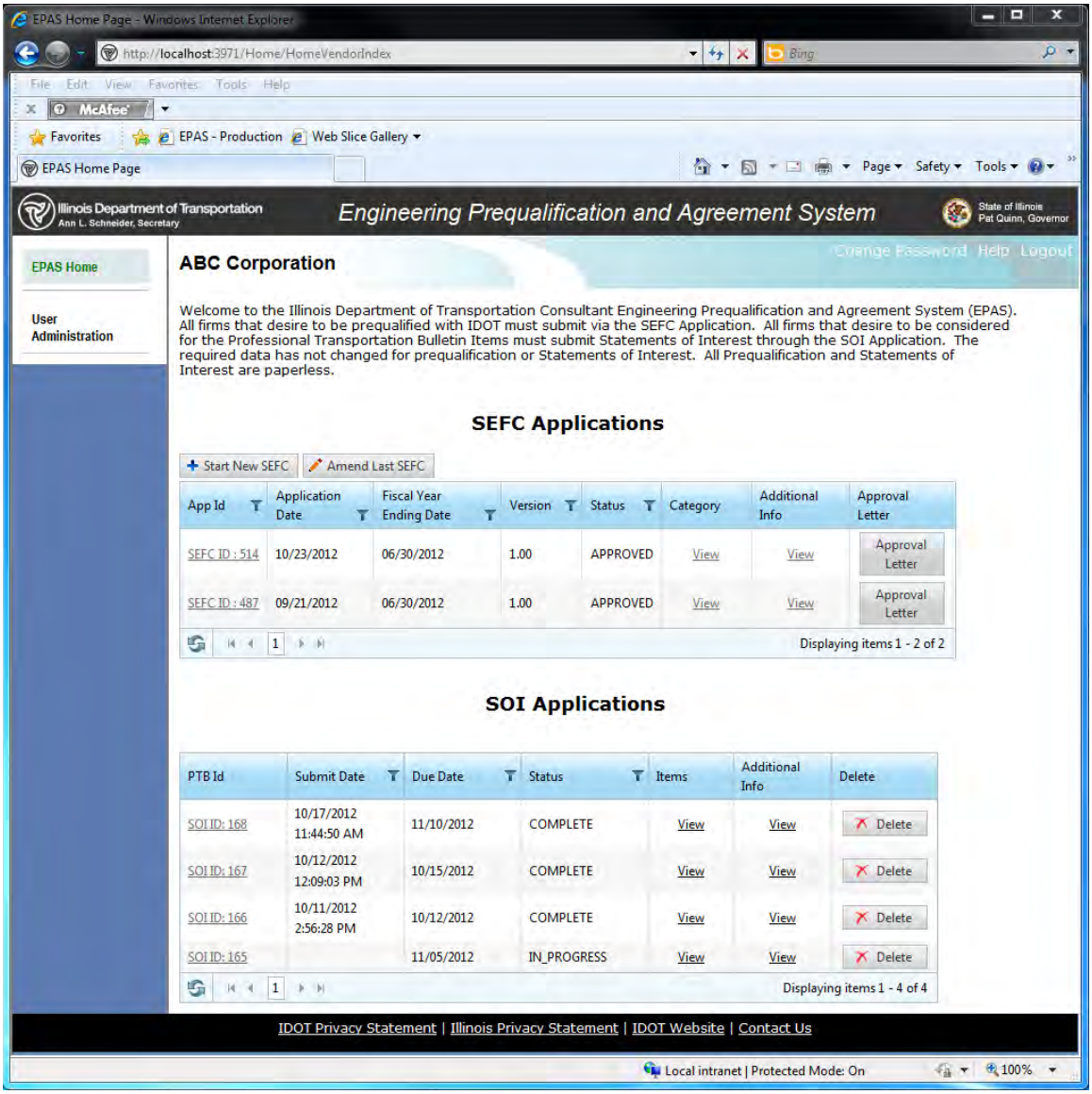
Before submitting, make sure the following are correct:

- Fiscal Year Ending Date
- Financial data is for the correct Fiscal Year
- Secretary of State Certificate, or form showing the firm is in good standing, must be less than 1 year old.

- Firms Illinois Professional License – This must be current (not expired), and must be an actual copy of the license. No other documentation is accepted.
- DBE Certificates or No Change Letter affidavits must be less than 1 year old.
- Veteran Owned Certificate must be less than 1 year old.
- Insurance Certificates must be current.

If any of the above attachments are not correct, your submittal will be returned. The information can then be updated, then select summary submit to send back to IDOT. If status is In Progress then it is in the firm's work queue. Status will indicate submitted when in IDOT work queue.

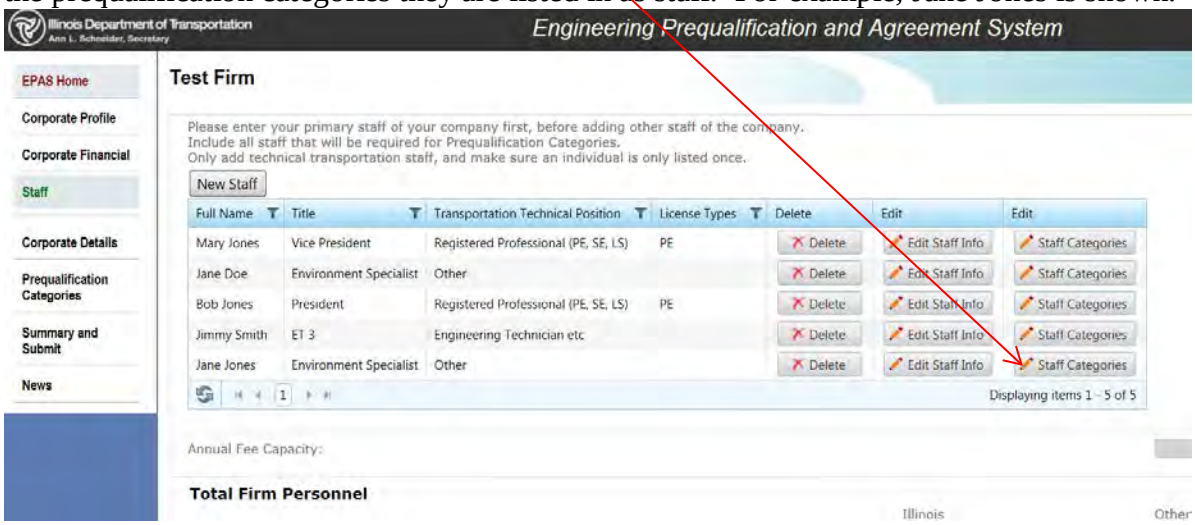
8 Start New SEFC

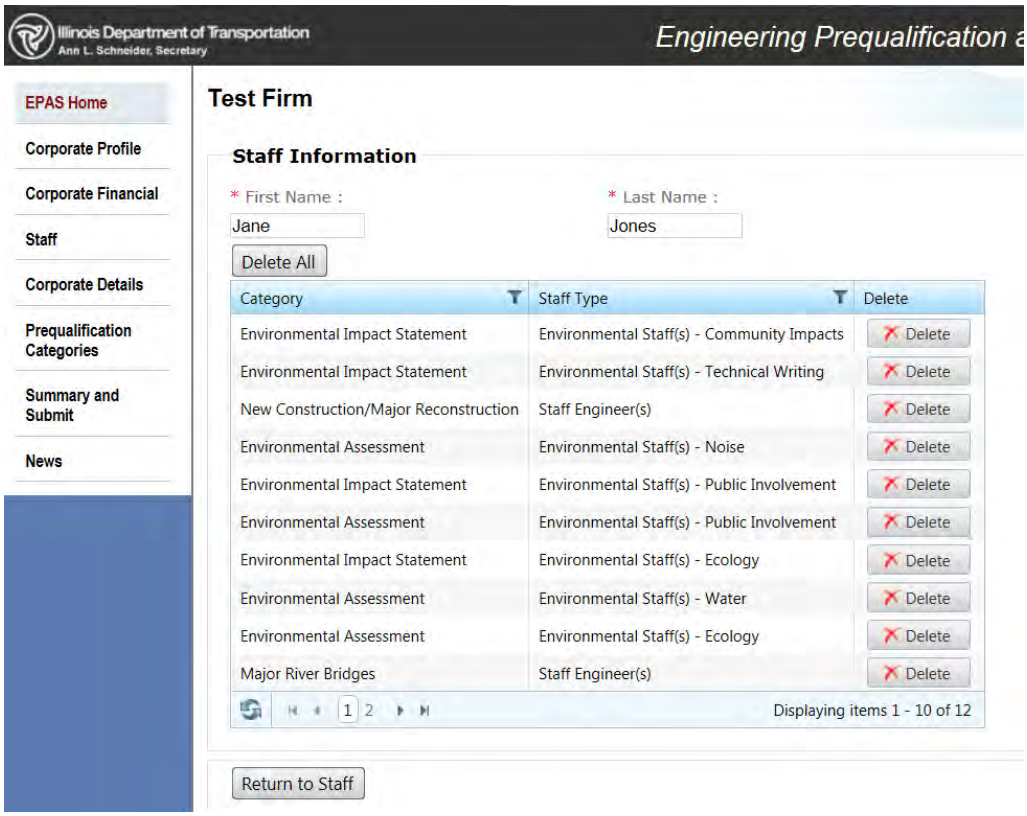


- Select the Start New SEFC button

- 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
- Update questionnaires by adding jobs that have been completed since last submittal and remove all jobs that are outside of the allowable time-frame. 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, you first must remove that individual from any questionnaires the individual was used for prequalification. When removed from the questionnaires, the person can be deleted from the Staffing section.

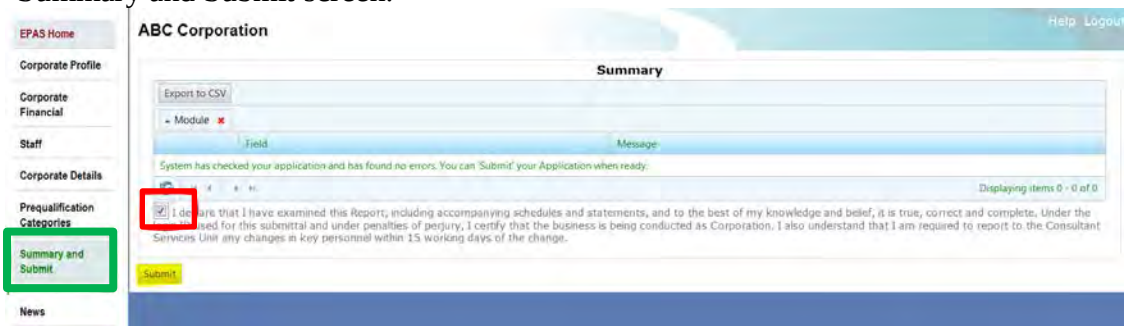
By selecting the last column, Staff Categories, it will display for that individual all the prequalification categories they are listed in as staff. For example, Jane Jones is shown.





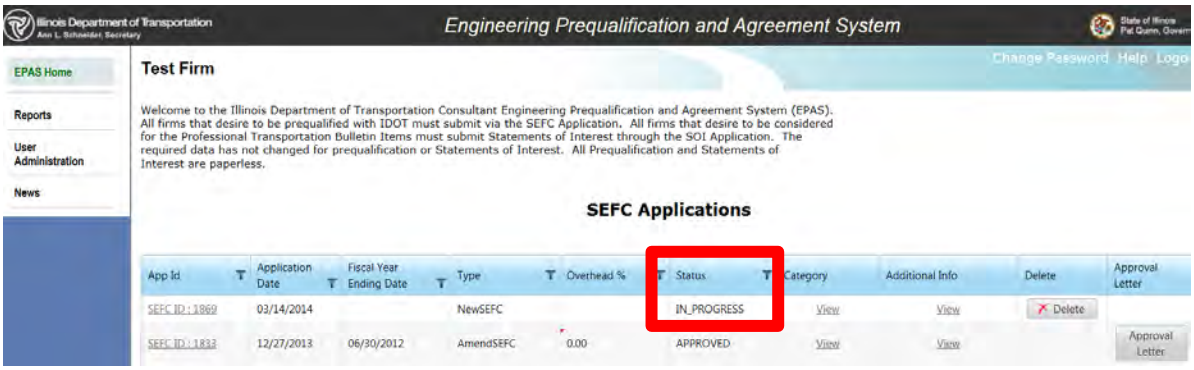
- At the Summary and Submit page, make sure to check the box and hit the submit button. Saving it does not submit the application. If the status says in progress, it is in the firm's work queue. When the status says submitted it is in IDOT's work queue and the firm will not have access to the application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

Summary and Submit screen:

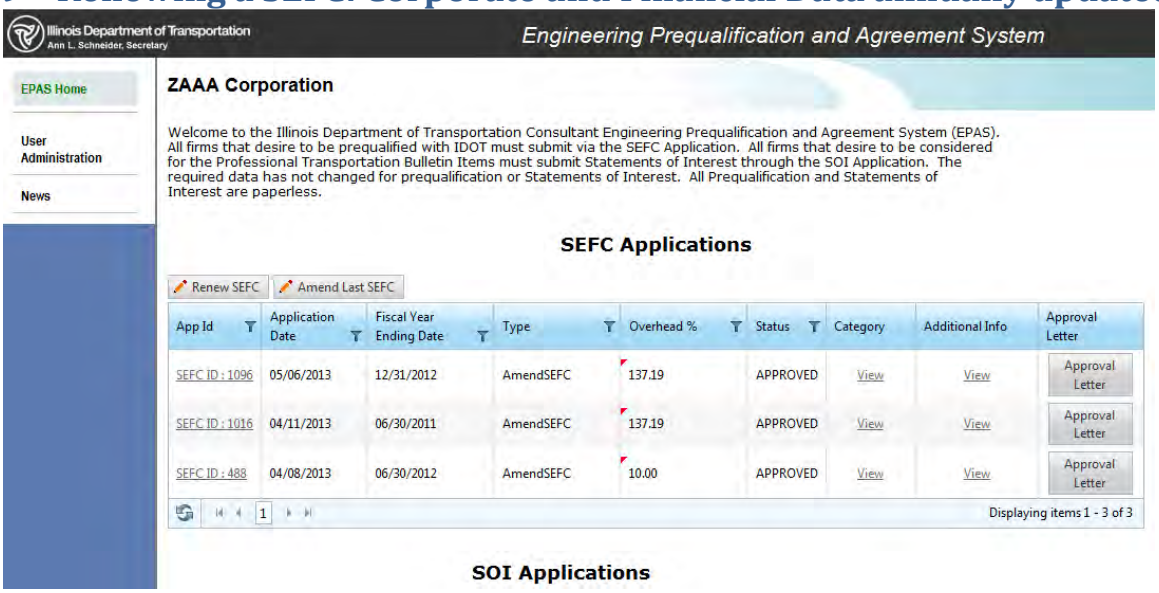


Screen shot of view when Not submitted to IDOT

IN_PROGRESS means the application is in the firms work queue. IDOT does not have access to your application at this time.



9 Renewing a SEFC: Corporate and Financial Data annually updated.

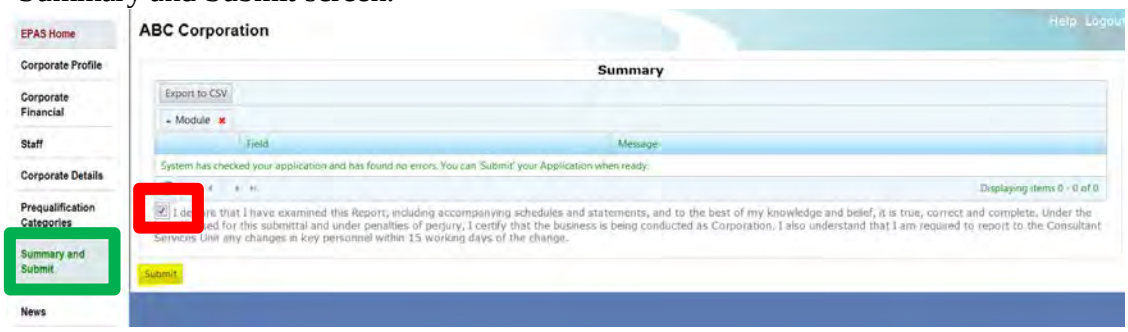


- Select the *Renew SEFC* button. This is used annually when only the Corporate and Financial portion of the SEFC is required.
- Progress through entire application and fill in required information.
- Renew is for the corporate and financial data, such as the firm's licensing, insurance, and overhead rate data. The Categories and staffing are **not** reviewed during the Renewal submittal.

- **Important!** If staffing and categories updates are needed they should be done through an amend option not at the renewal time. The system doesn't recognize those changes and staff is not aware of the changes to review. (we are reviewing this issue in house)

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

Summary and Submit screen:



Screen shot of view when Not submitted to IDOT

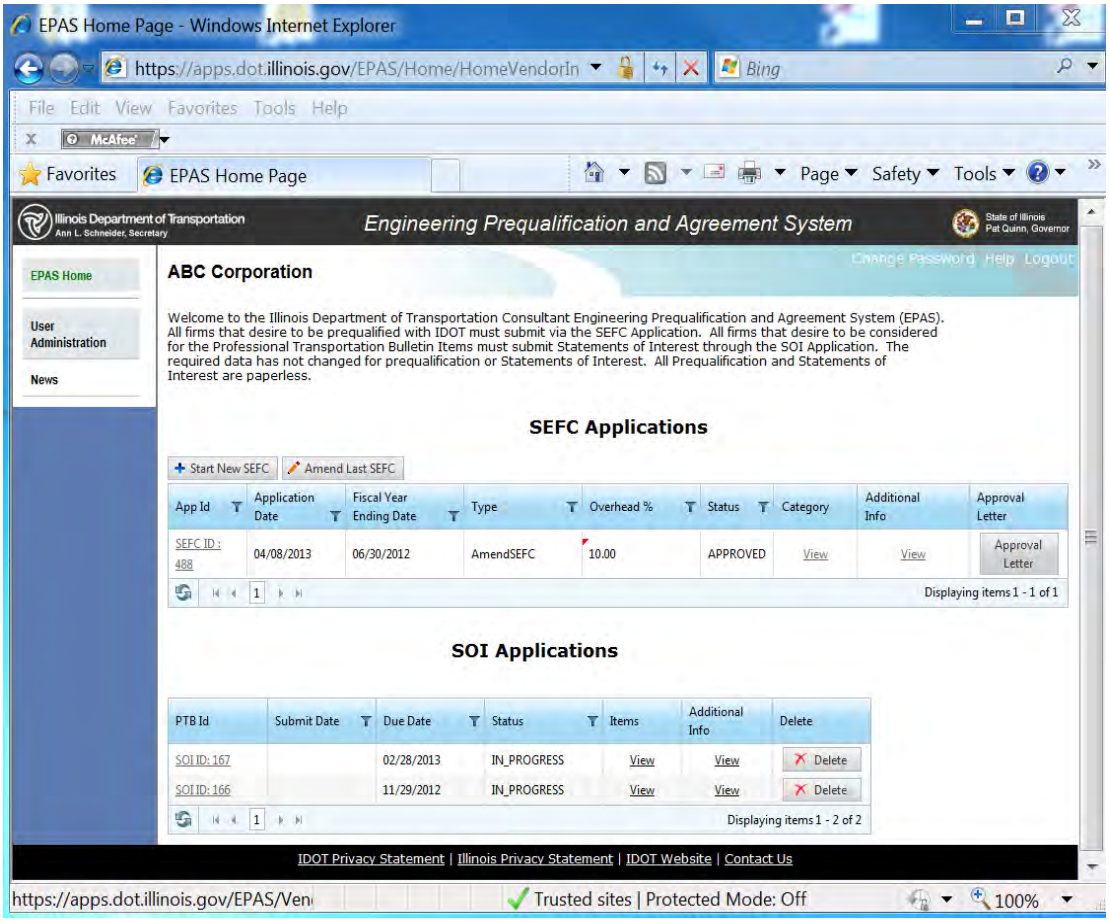
ABC Corporation

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

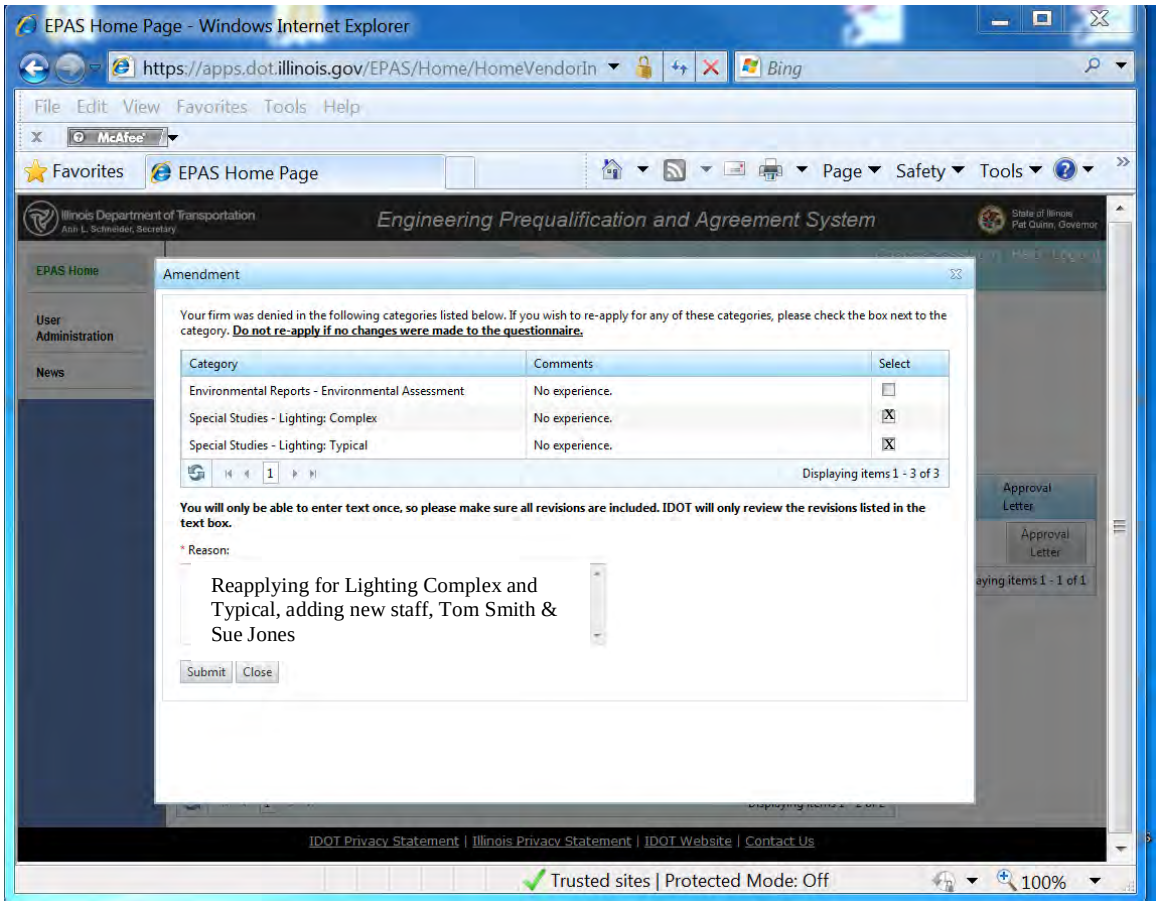
SEFC Applications

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

10 Amending a SEFC



- 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…
- The screen below will be displayed

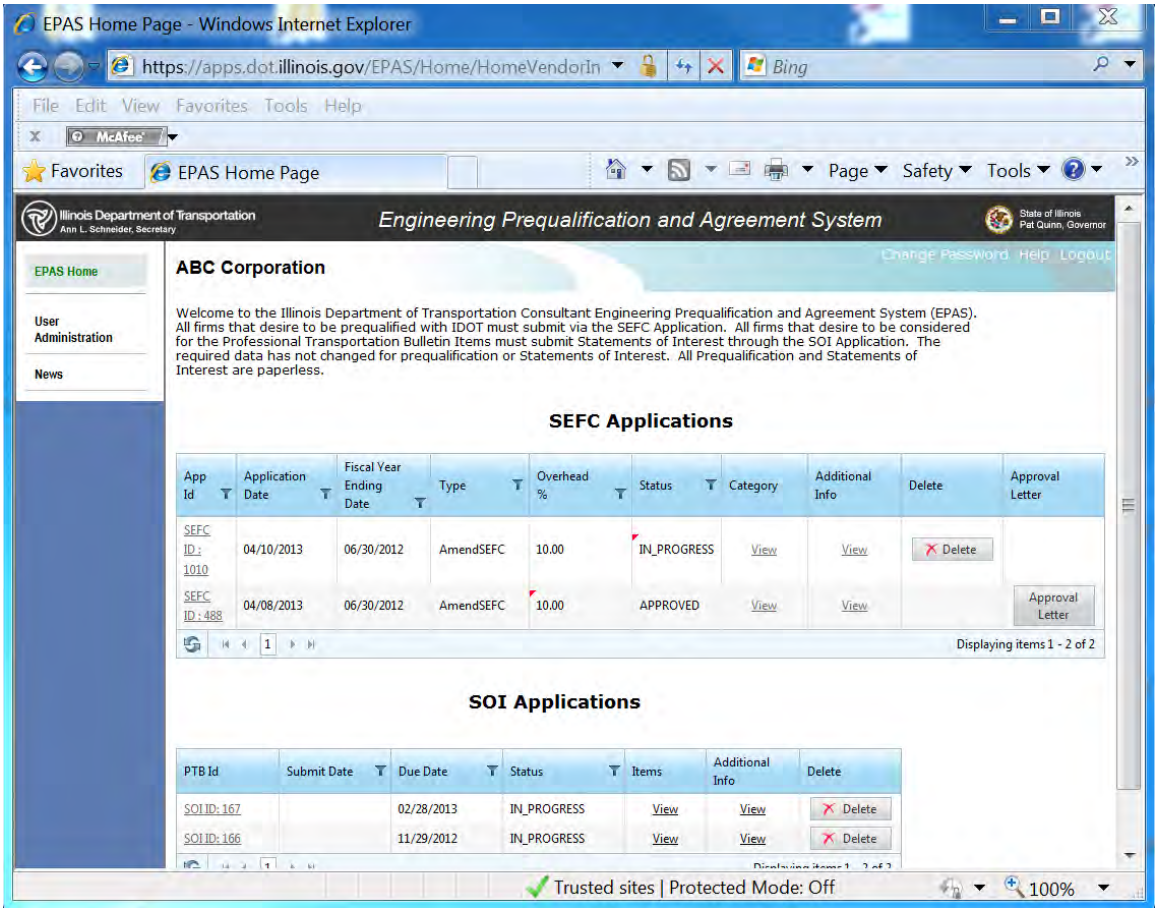


- If you were previously denied prequalification in a category, it will show that category, and ask if you want to re-apply.

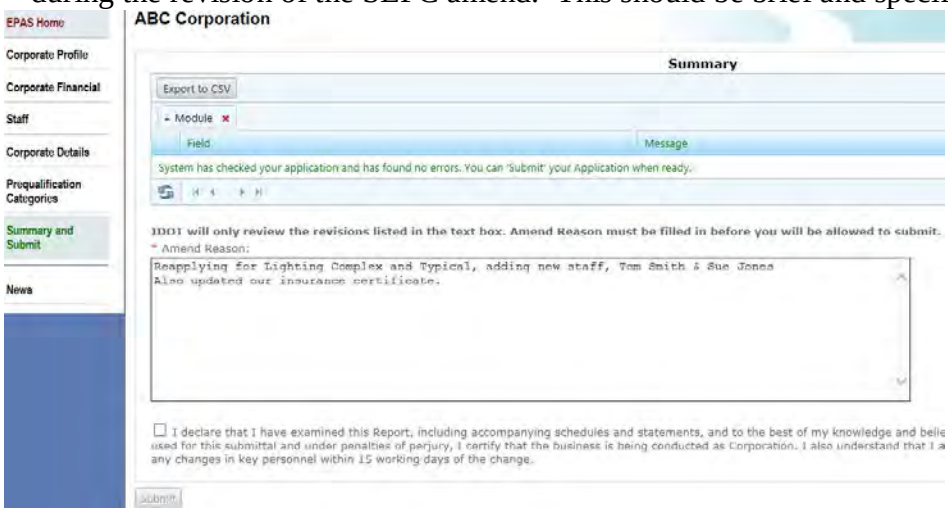
- If you want to re-apply, check the box next to that Category. If you do wish to reapply then that information will be retained for you to revise. If you do not wish to reapply then those category questionnaires will be deleted.

- 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.

- Select the submit button and the screen below will be displayed.

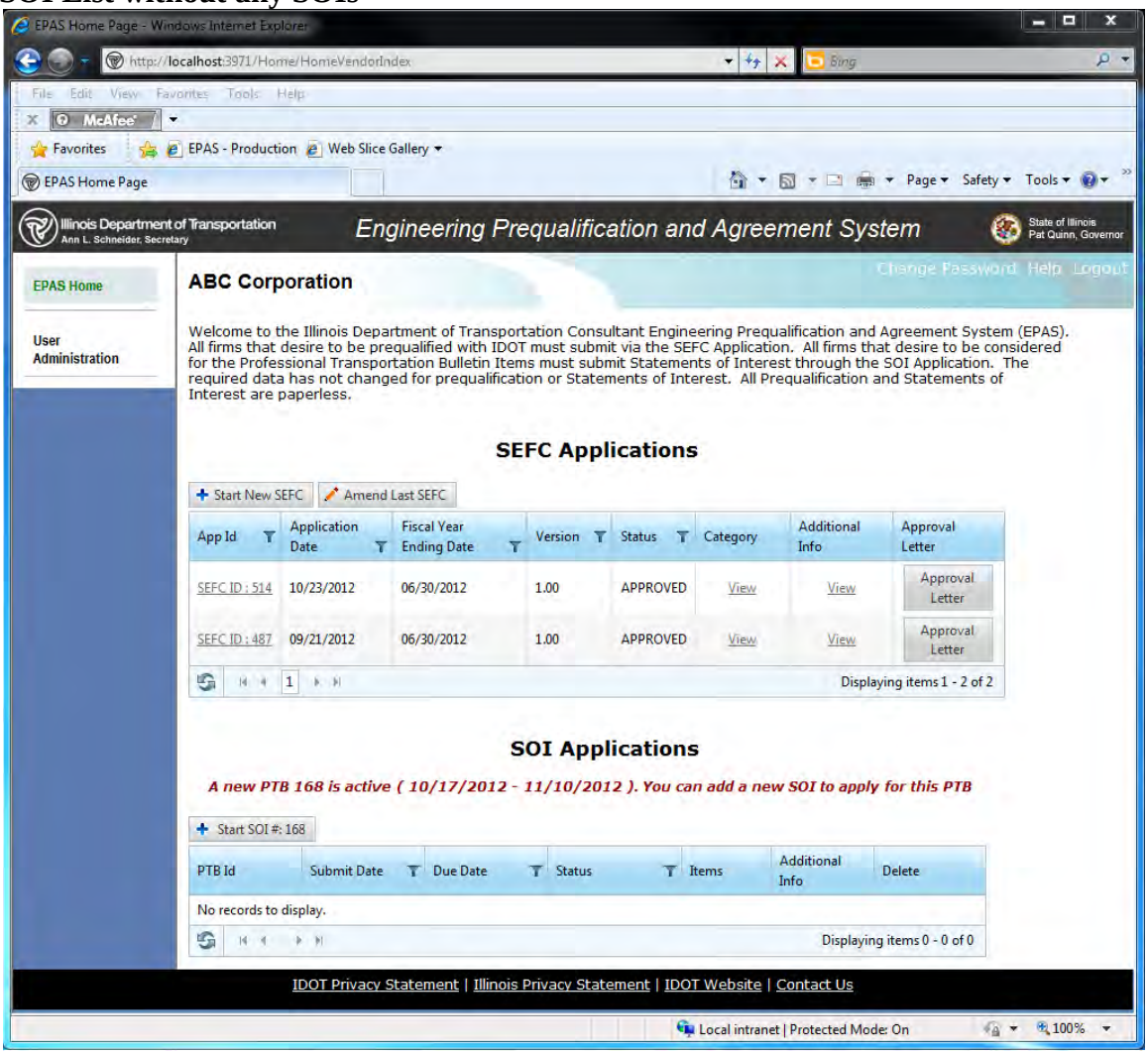


- To make the changes, select the SEFC ID with the "In Progress Status."
- When all changes have been made, go to Summary and Submit as you would with Start New SEFC, check box and hit the submit button. Selecting Save only will not submit the application.
- The text box is shown again to allow the firm to include any other changes completed during the revision of the SEFC amend. This should be brief and specific.



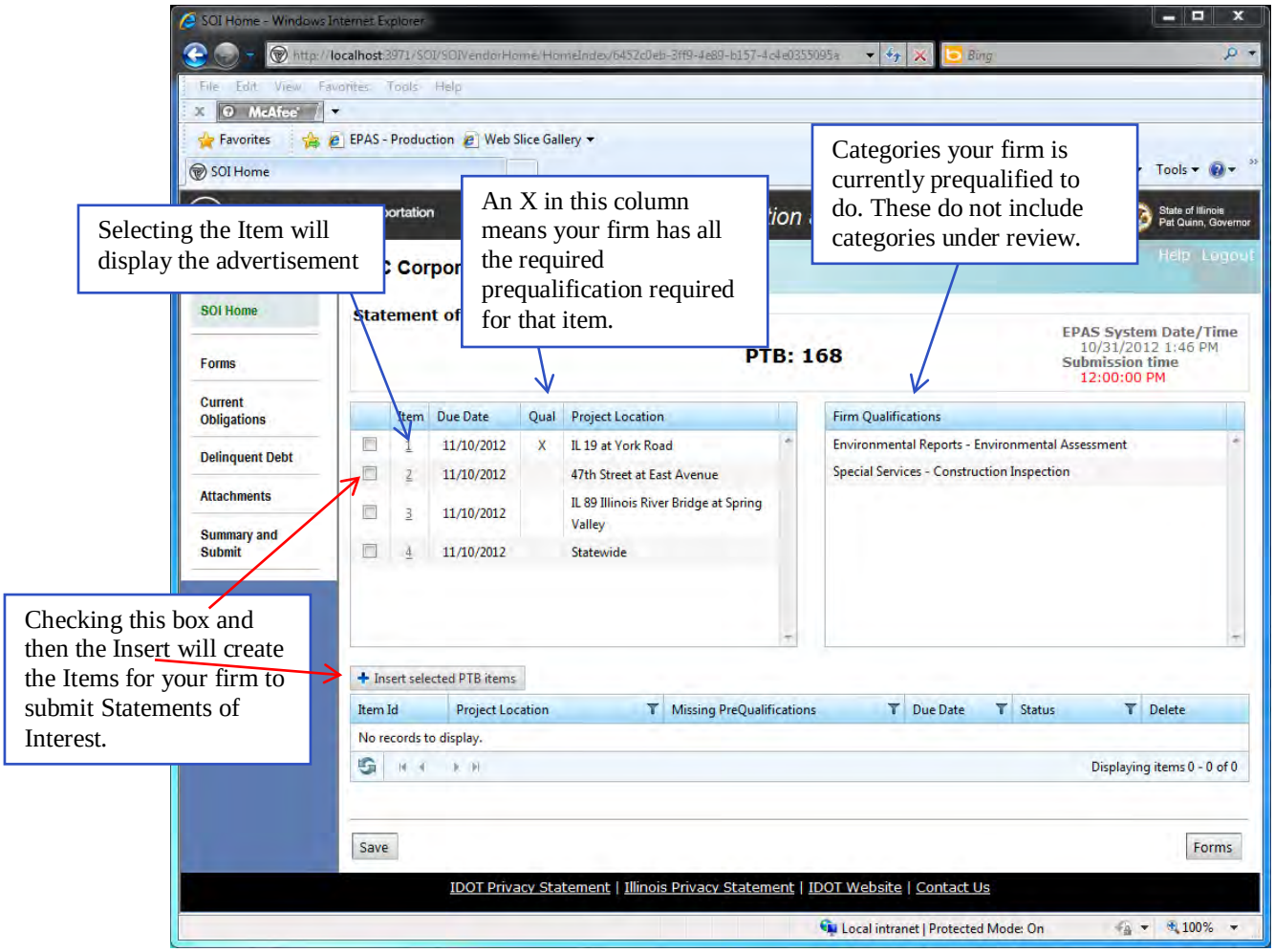
11 SOI Entry

SOI List without any SOIs



- Select the ***Start SOI #:*** button (buttons(s) are available for only active PTBs) to create a SOI to be submitted to IDOT.
- Note all signatures are required to be actual signatures. Print document, sign, convert to an adobe pdf document and then attach.
- The screen below will be displayed (SOI Home Screen).

SOI Home Screen



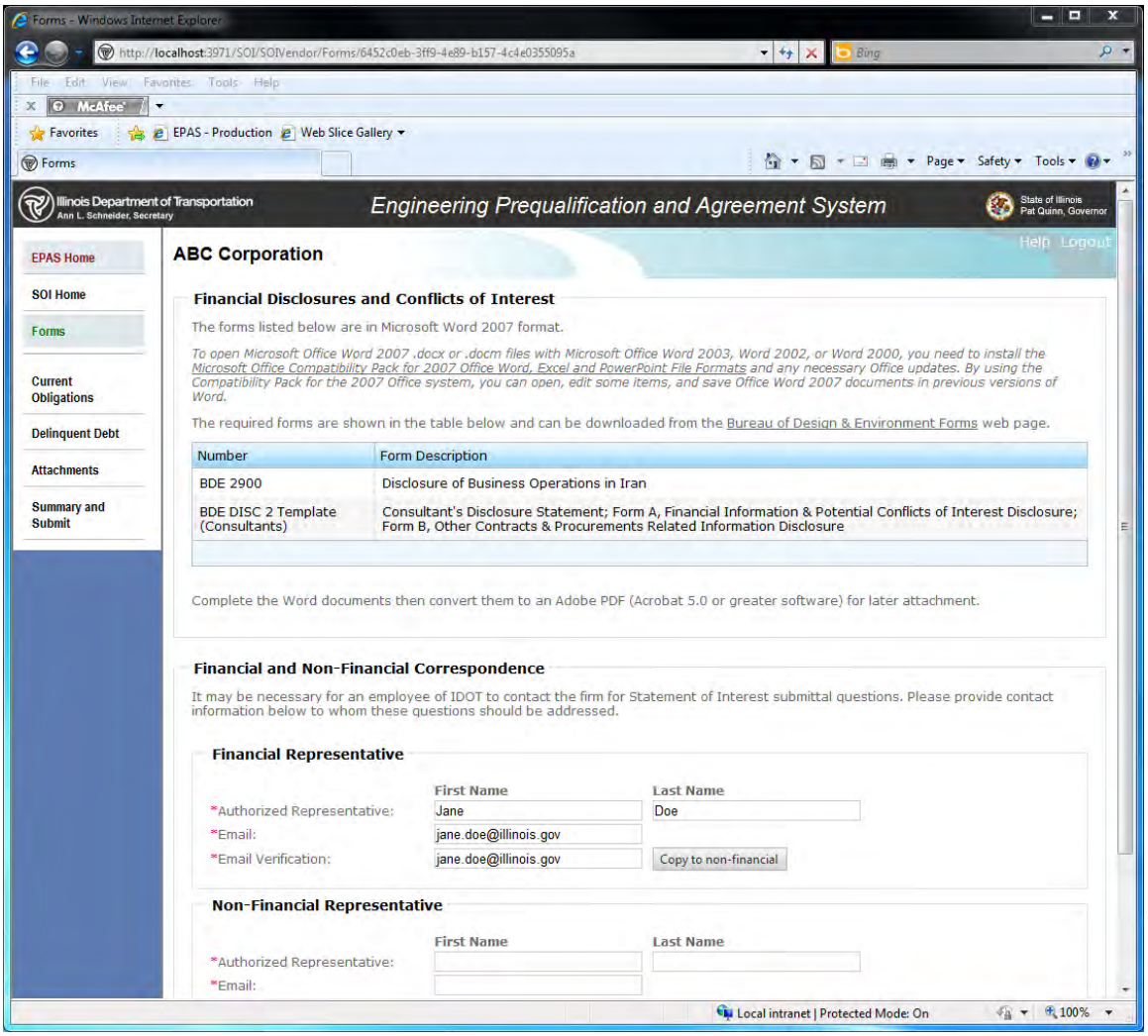
- This is the Statement of Interest (SOI) Home screen. From here you can fill out and download various PTB related forms, select and apply for specific items and submit the entire SOI when complete.
- **IMPORTANT NOTE:** The current EPAS Server date and time is displayed in the upper right hand corner. The time listed will be accurate **within 45 seconds** of the actual EPAS Server time. Once the EPAS System Date/Time has surpassed the SOI Due Date + Submission time, you **will no longer be able to submit** the SOI for this item. It is the firms' responsibility to make certain everything is submitted by the due date, **NO EXCEPTIONS** will be made.
- **Note:** 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.
- **Note Current Obligations:** Link is only accessible by a user that has access to your company's financial data (Click here for instructions to add user(s) to your company with Financial or Non-Financial roles). (Important ENTER in 000's, if you enter actual amount system will add the 000's and it will appear the firm has more work.

- **Note**: 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.
- **Note**: For your convenience, a listing of your firm's current prequalifications is displayed in the Firm Qualifications grid.
- You can Select Save (this button will save the information and remain on the same page).
- You can Select Forms (this button will save the information and navigate you to the next screen – Forms.
- If you 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.

11.1 SOI Screens

- The SOI Screens listed below must be completed in their entirety for the SOI. These screens only need to be filled out one time for each SOI.
- **Note**: Part of the Forms, the entire Current Obligations and part of the Attachments screen is only accessible by a user that has access to your company's financial data (See here to add users to your company with Financial or Non-Financial roles).
- **IMPORTANT NOTE**: Please make certain you have applied for all items and have them completed in their entirety before printing the Delinquent Debt Certification on the Attachments page.

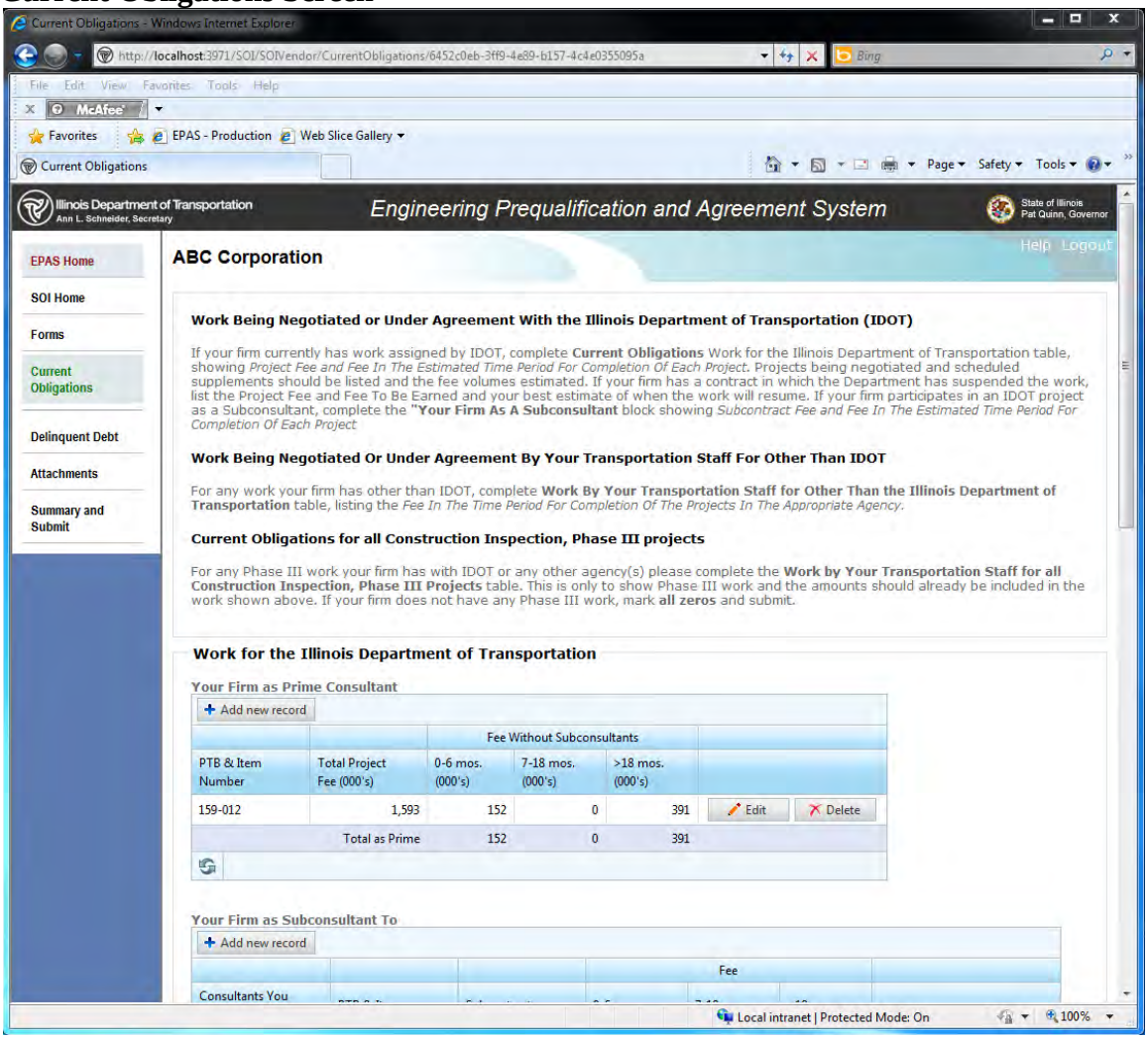
Forms Screen



- The Forms screen provides links to various forms the firm will be required to fill out. The firm will also 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.
- If your Financial and Non-Financial representatives in the office are the same individual, you can Select the Copy to non-financial button.
- **Note**: The Financial Representative section is only accessible by a user that has access to your company's financial data (See here to add user to your company with Financial or Non-Financial roles).
- You can Select Save – this button will save the information and remain on the same page.
- You can Select SOI Home – this button will save the information and navigate you to the previous screen – SOI Home Screen.

- **Special Note:** Based on your current user role (Financial or Non-Financial) you will see one of the two buttons below.
- You can Select Current Obligations – this button will save the information and navigate you to the next screen – Current Obligations. Note: You will only see the Current Obligations button on this screen if you are a Financial User.
- You can Select Delinquent Debt – this button will save the information and navigate you to the next screen – Delinquent Debt. Note: You will only see the Delinquent Debt button on this screen if you are a Non-Financial User.
- The screen below will be displayed if you Select Current Obligations button (if available based on role), otherwise Select Delinquent Debt and skip to the Delinquent Debt section below.

Current Obligations Screen

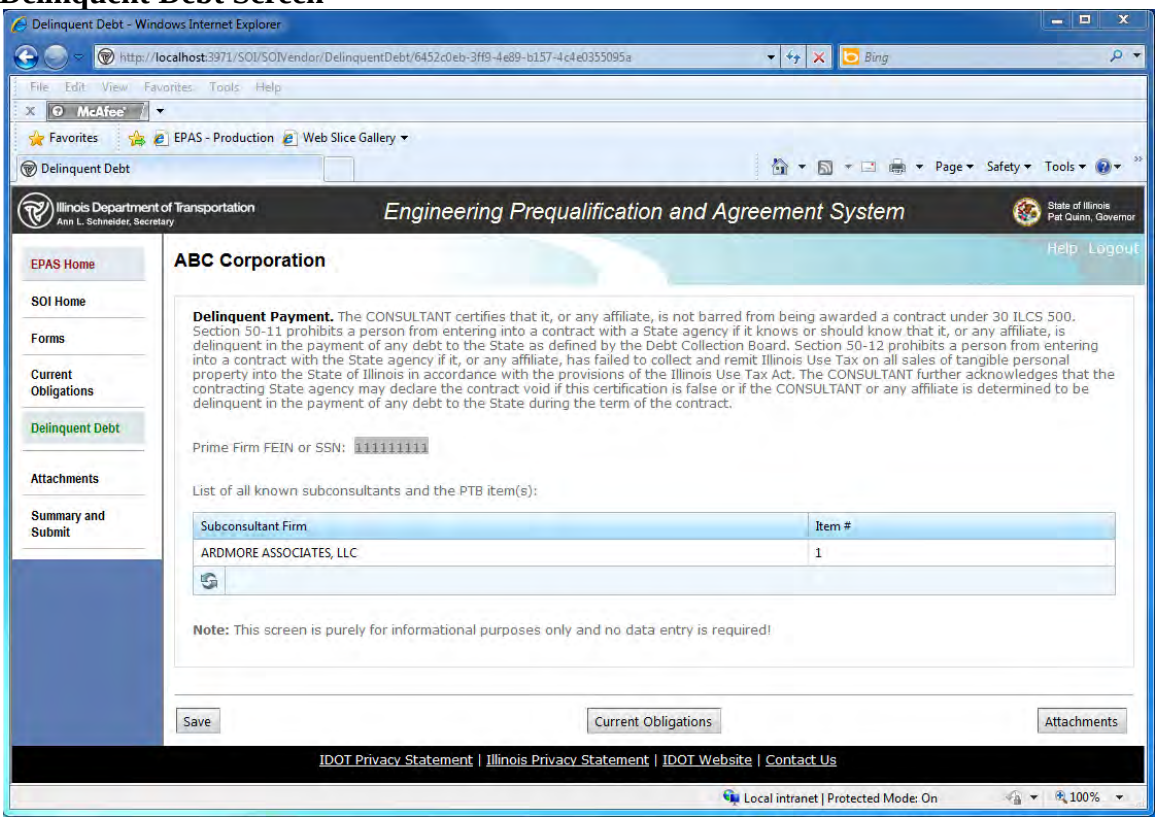


- This is the Current Obligations screen, which allows the firm to enter all current IDOT work, all work by your firm for other than IDOT and any Phase III work.

These are entered as 000's. Entering in the entire number carries over into reports the selection committee uses. **If it's one million, enter in 1000 not 1,000,000.**

- **Note**: The Current Obligations Screen is only accessible by a user that has access to your company's financial data (See here to add user to your company with Financial or Non-Financial roles).
- You can Select Save – this button will save the information and remain on the same page.
- You can Select Forms – this button will save the information and navigate you to the previous screen – Forms.
- You can 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.

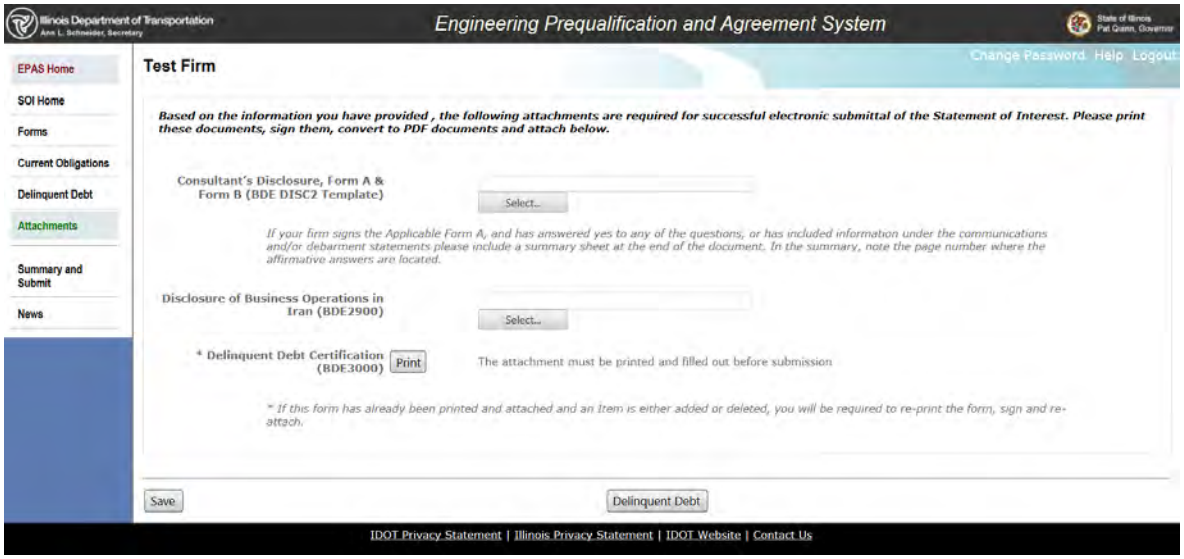
Delinquent Debt Screen



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

- **Note**: As you add a subconsultant firm on the Exhibit A screen for an item, they will be listed then on this screen. This screen is a running total of all the subconsultant firms used, in all items you have applied for, and which item numbers you used those firms with.
- You can Select [Save] – this button will save the information and remain on the same page.
- **Special Note:** 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 previous screen – Current Obligations. Note: You will only see the Current Obligations button on this screen if you are a Financial User.
- You can Select [Forms] – this button will save the information and navigate you to the previous screen – Forms. Note: You will only see the Forms button on this screen if you are a Non-Financial User.
- You can 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.

Attachments Screen



- This is the Attachments screen, which allows the firm to attach all required forms related to the Statement of Interest. Note: Exhibit A is attached within each item on the Project Experience screen.
- **Note**: Consultant's Disclosure, Form A & Form B (BDE DISC2 Template) form is only accessible by a user that has access to your company's financial data (See here to add user to your company with Financial or Non-Financial roles). Form BDE DISC2 Template needs to be completed, scanned, and attached as one form (PDF). If

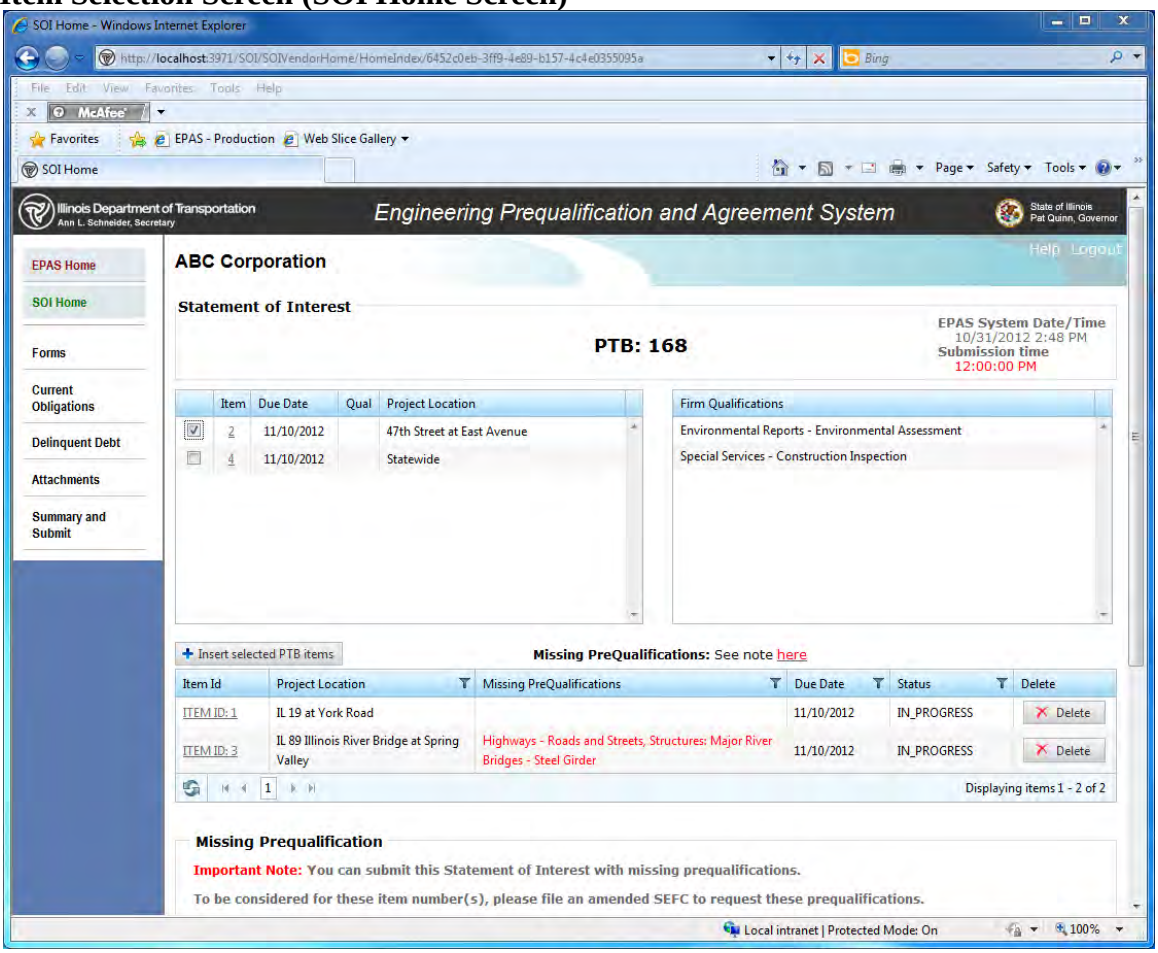
a firm has a potential conflict, the last page should summarize the finding(s) and include the page number(s).

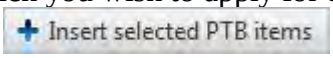
- You can Select Save – this button will save the information and remain on the same page.
- You can Select Delinquent Debt – this button will save the information and navigate you to the previous screen – Delinquent Debt.
- This concludes all the required screens for SOI specific documents.
- Please Select the SOI Home on the left hand navigation menu.

11.2 Applying for an Item

- 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.

Item Selection Screen (SOI Home Screen)



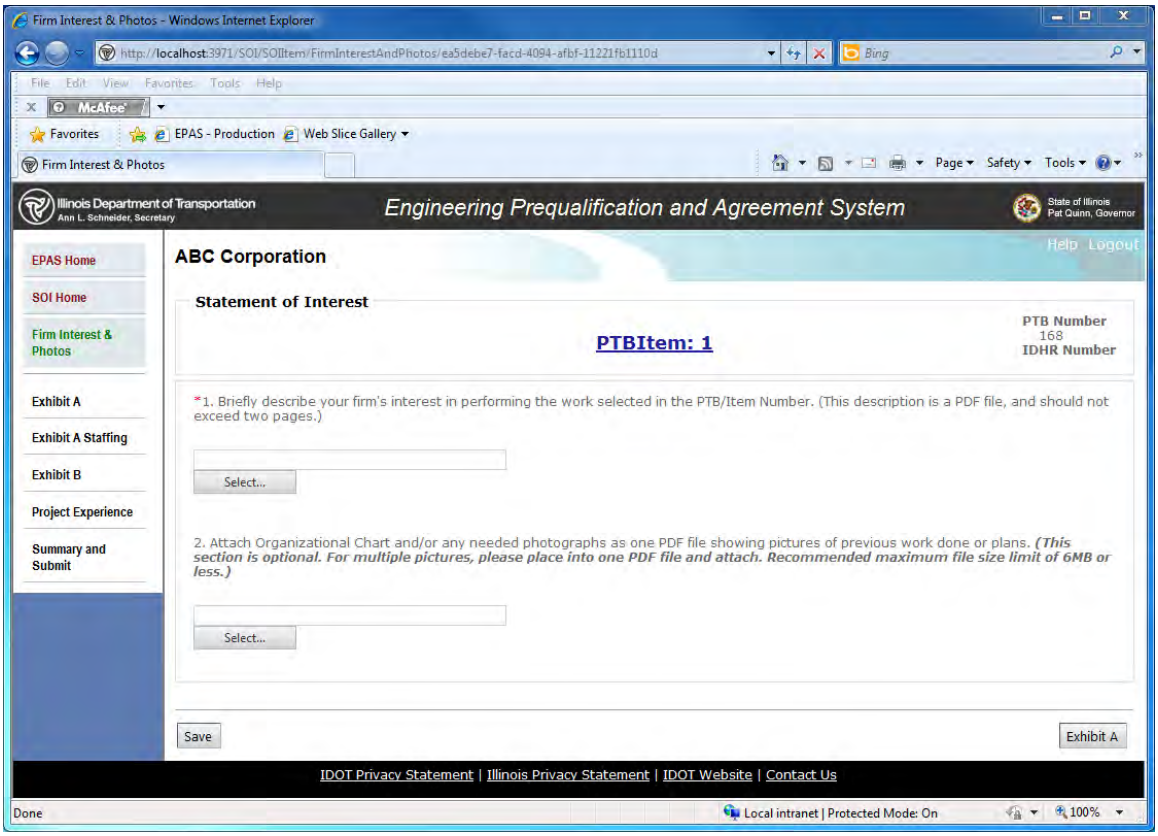
- This is the Item selection screen (also known as the SOI Home Screen). This screen will allow you to select the Items from the PTB publication, which your firm wishes to apply for consideration. You can add Items one at a time or multiples at once. You may also delete an Item if you are no longer interested in applying for it.
- Select the items which you wish to apply for by placing a checkmark in each box. and then Select the 

button. The item(s) are now displayed in the bottom grid.
- Select an <u>ITEM ID:</u> link in the Item Id column to enter into the Item specific screens for that Item number. The link will take you to the Firm Interest and Photos screen to begin entering Item related information.

11.3 SOI Item Screens

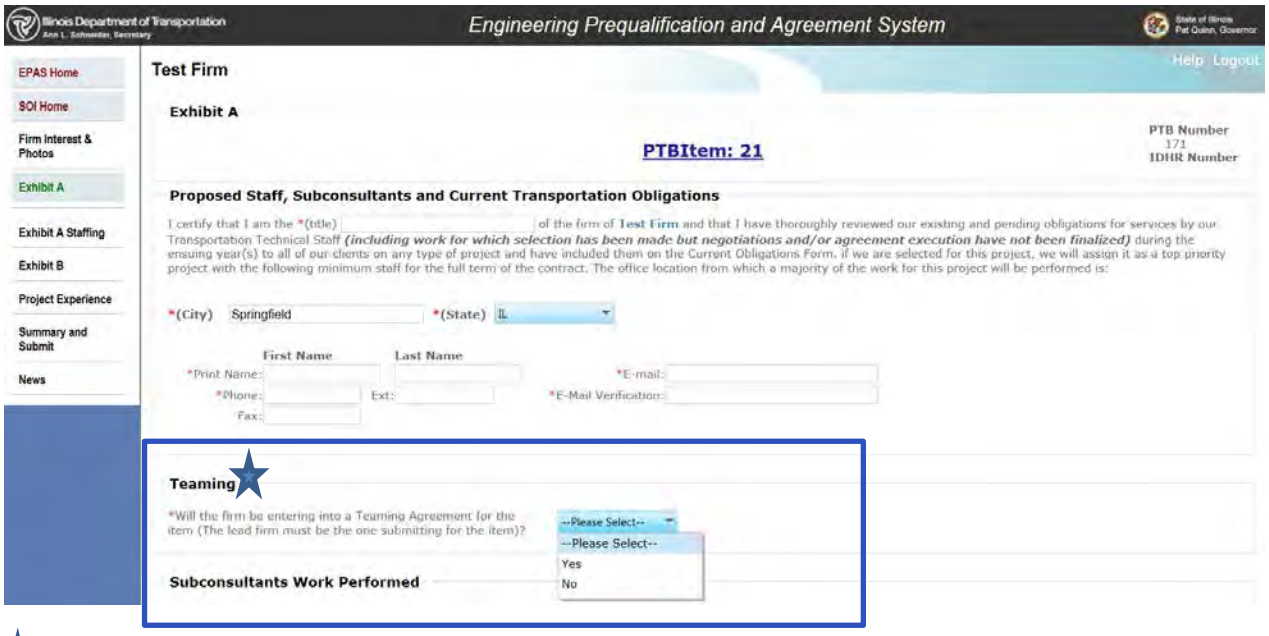
- The SOI Item Screens listed below must be completed in their entirety for each item the firm wishes to apply for. You **will not be allowed** to submit the application multiple times, so be certain you apply for all items you are interested in before final submission.

Firm Interest & Photos Screen



- 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 PTBItem: link in the Statement of Interest header, the system will display the text from the actual advertisement in a different Internet Explorer window.
- You can Select Save – this button will save the information and remain on the same page.
- You can 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.

Exhibit A Screen:
After contact and location information, the option of Teaming is shown.



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.

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 prequalifications of the Team are 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. The Team Agreement is signed by all parties and must be included with the Statement of Interest.

The Team entity will have the sum of the individual firms' prequalification, capacity and evaluation history. IDOT **DOES NOT** have a form for Team agreements. The firms submitting as a Team are required to obtain and submit the Team agreement.

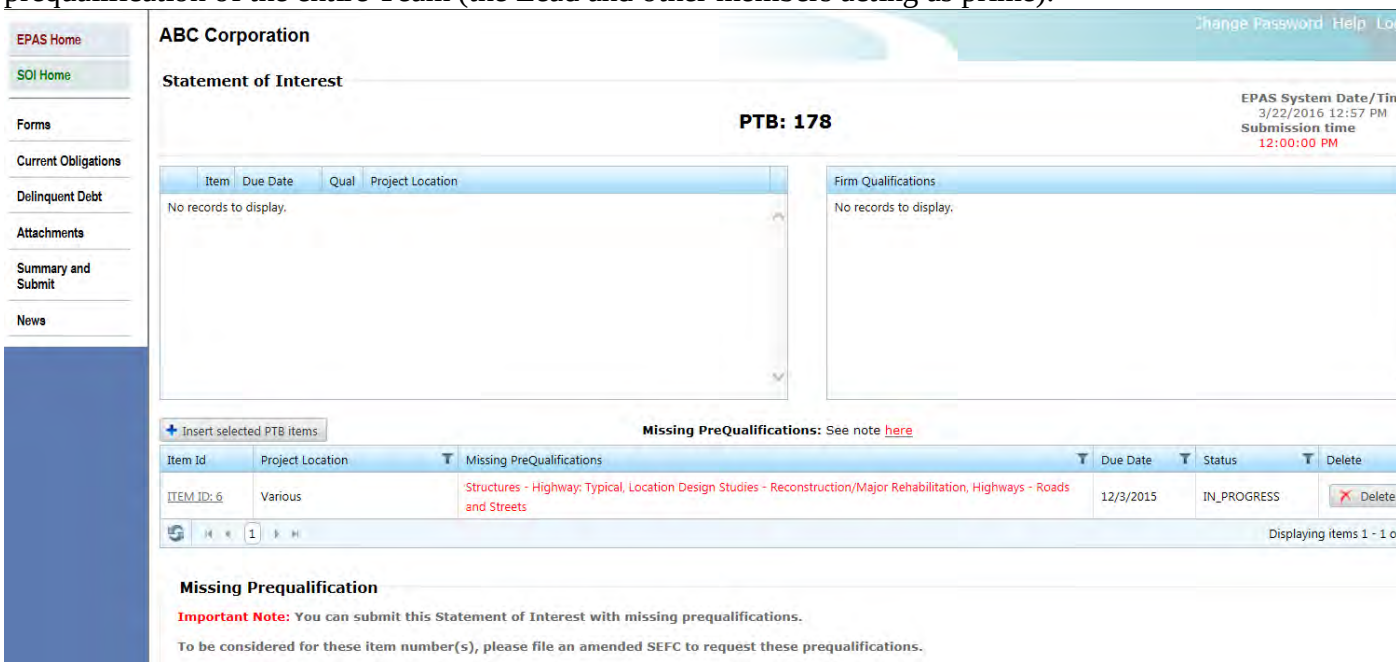
If a firm is submitting as part of a Team, then the firm may not submit as a prime alone or as part of another Team on the same Item. The required insurance coverage applies to the

Team entity. 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 Team entity will submit one Statement of Interest with the following specified:

- Name the firm managing the Team/Project, i.e. the Lead firm;
- Name the firm invoicing (typically the Lead 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.

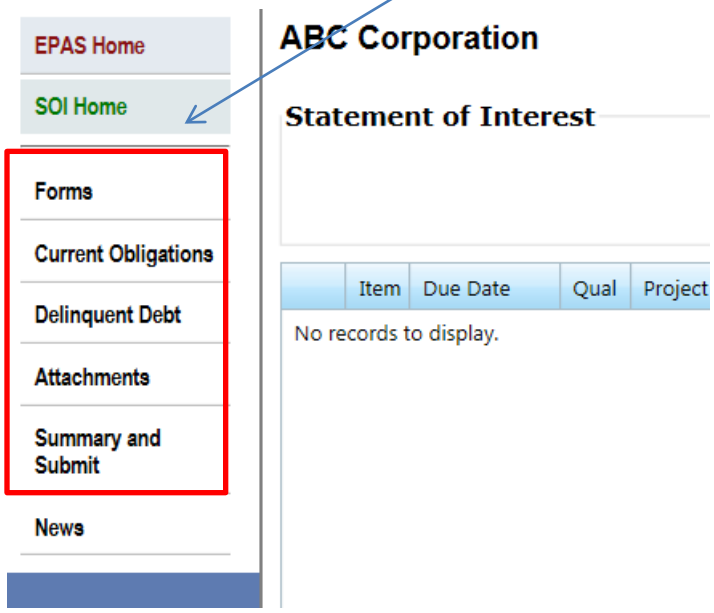
Team's Statements of Interest are submitted through EPAS. The firms interested in performing as a Team must coordinate with each other and submit through EPAS. The Lead firm submits the Team Agreement and the Team entities must submit the required forms.

To submit on an Item as a Team:
First screen: SOI Home.
Select the Item the Lead firm is going to submit STATEMENTS OF INTEREST on, including those as a prime alone and where the firm will be the Lead firm on a Teaming project.
The Team Members (the firms which are not the Lead) DO NOT SELECT the Item they are Teaming on with the LEAD. In this case the Team Member(s) WOULD NOT select Item 6. This example shows the Lead firm selected Item 6. The system only recognizes the Lead's prequalification. 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).

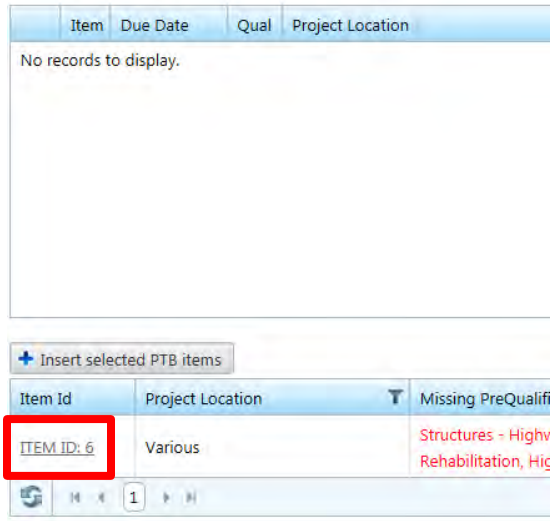


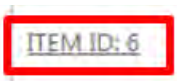
If Team Members are not submitting as a Lead on any items the Team Member would select Forms, Current Obligations, and include the Attachements (Disclosure Forms A & B, Iran Disclosure, and Delinquent Debt) The Lead does sumbit the delinquent Debt for all Team Members, the Team Member should submit their firms delinquent debt. (SEE PAGE 10 for additional details)

If a Team Member is also submitting on other Items as a prime, then there are not additional forms required. By submitting as a prime the required documents will be required as part the submittal for the other item(s).

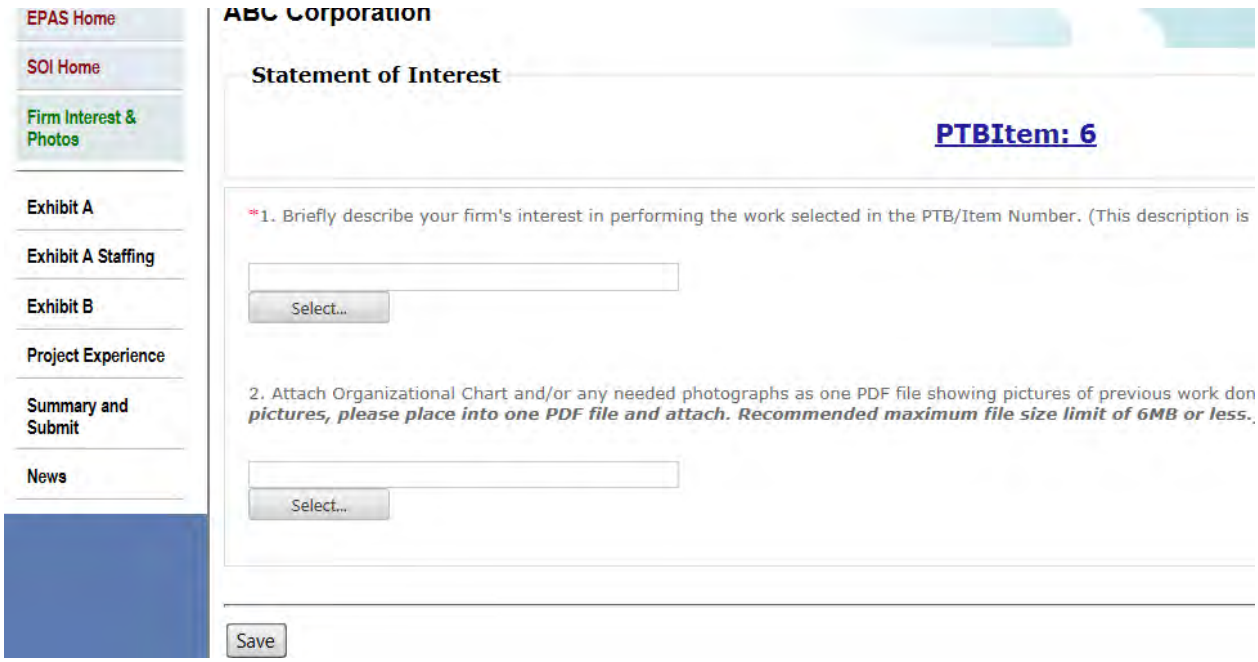


The Lead firm would select Item 6 on the SOI home page:

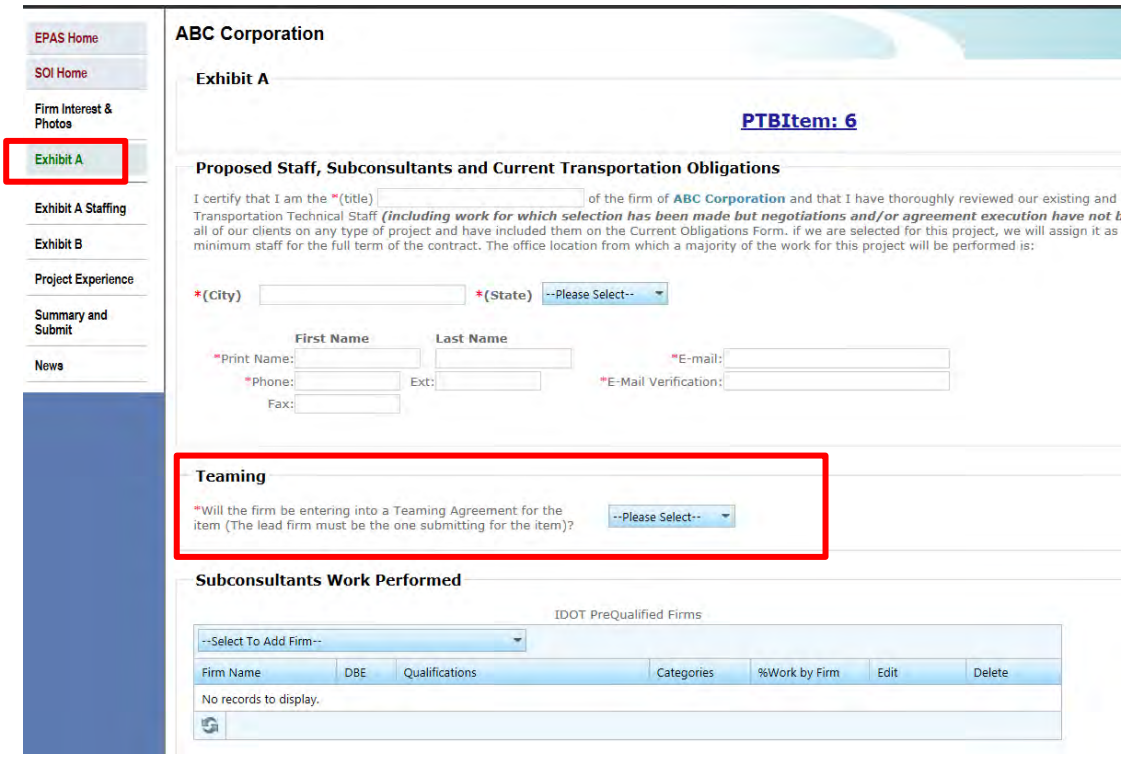


Select 

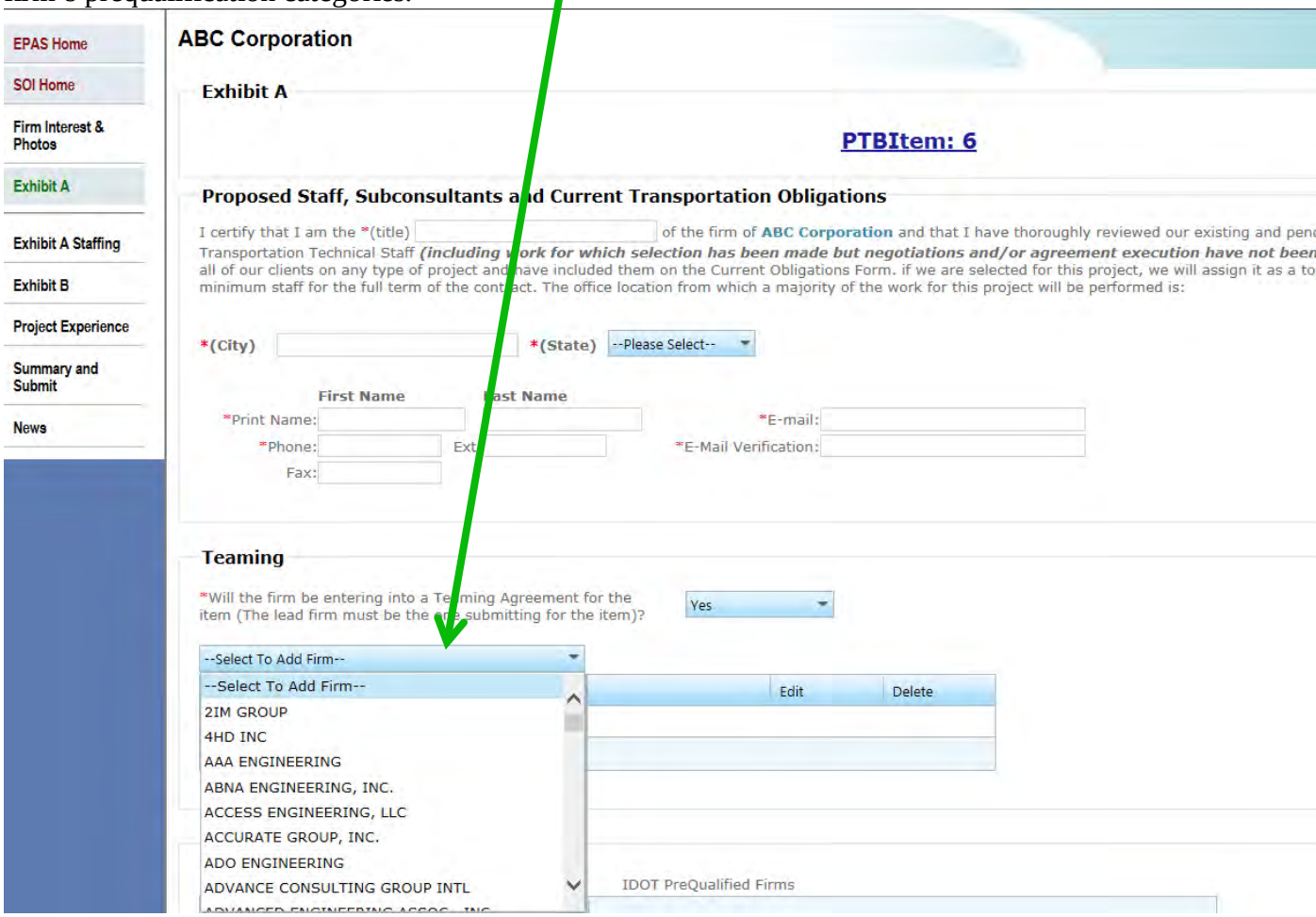
and the following opens:



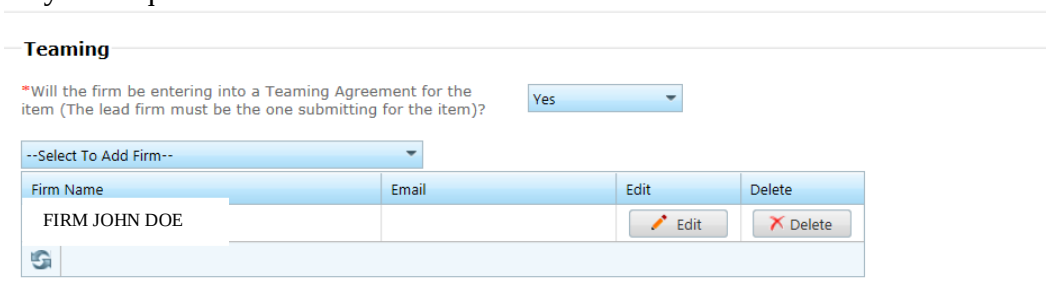
To do a Teaming Agreement go to Exhibit A, and select Yes for Teaming.

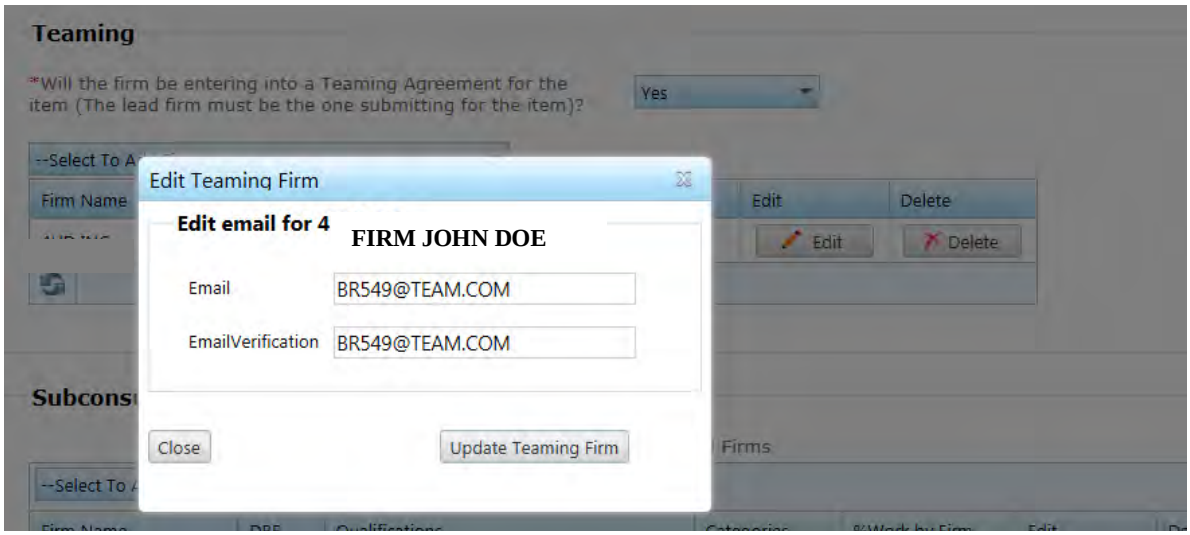


Once "Yes" is selected, there is a drop down list of prequalified firms. The Team must determine if they meet the required qualifications together. EPAS only recognizes the Lead firm's prequalification categories.

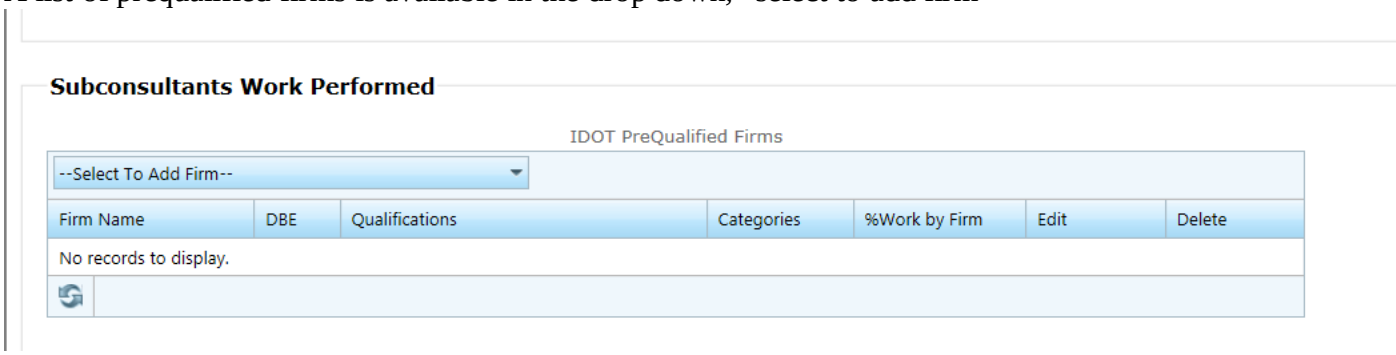


After the firm is selected, the system prompts for an e-mail address. This is used to ALERT the Team Member when the Lead firm submits. When Firm ABC does SUMMARY and SUBMIT and e-mail goes to the Team Members. The e-mail says FIRM ABC has submitted on PTB 178, Item 6 your firm is required to submit the required forms. 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.

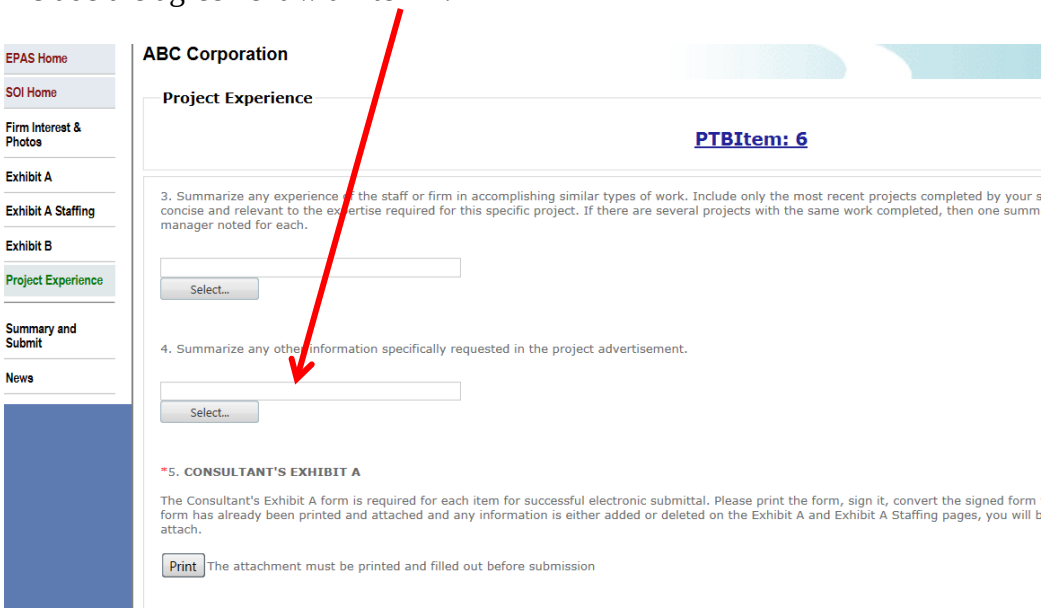




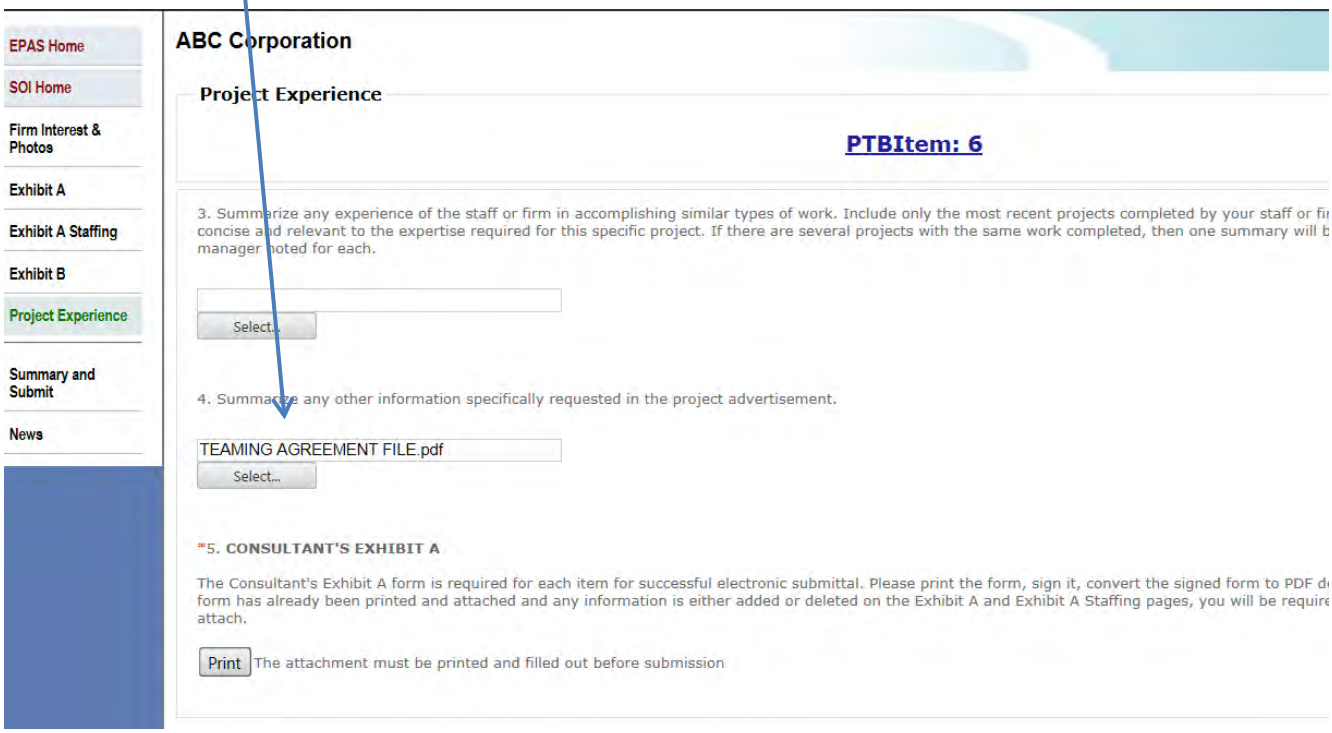
Once the Teaming Members are entered, then firms acting as a Subconsultant can be added. A list of prequalified firms is available in the drop down, "select to add firm"



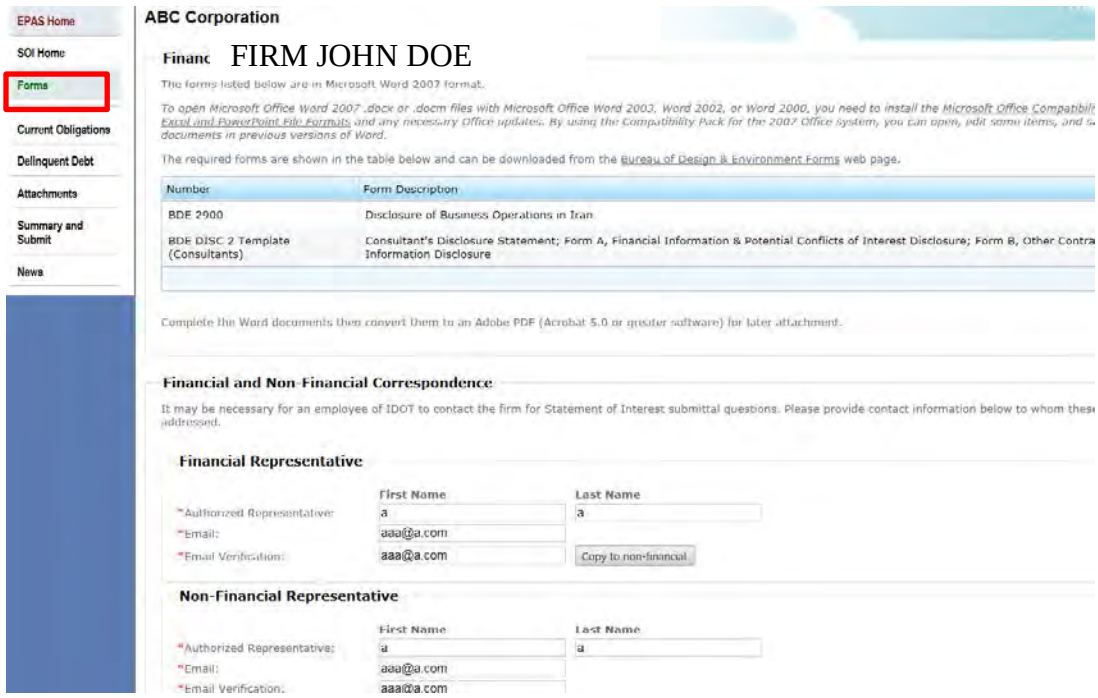
Firms doing Teaming Agreements are required to submit a Teaming Agreement, signed by all Team Members as part of the SOI; IDOT does not have a form for Teaming Agreements. Include the agreement with Item 4.



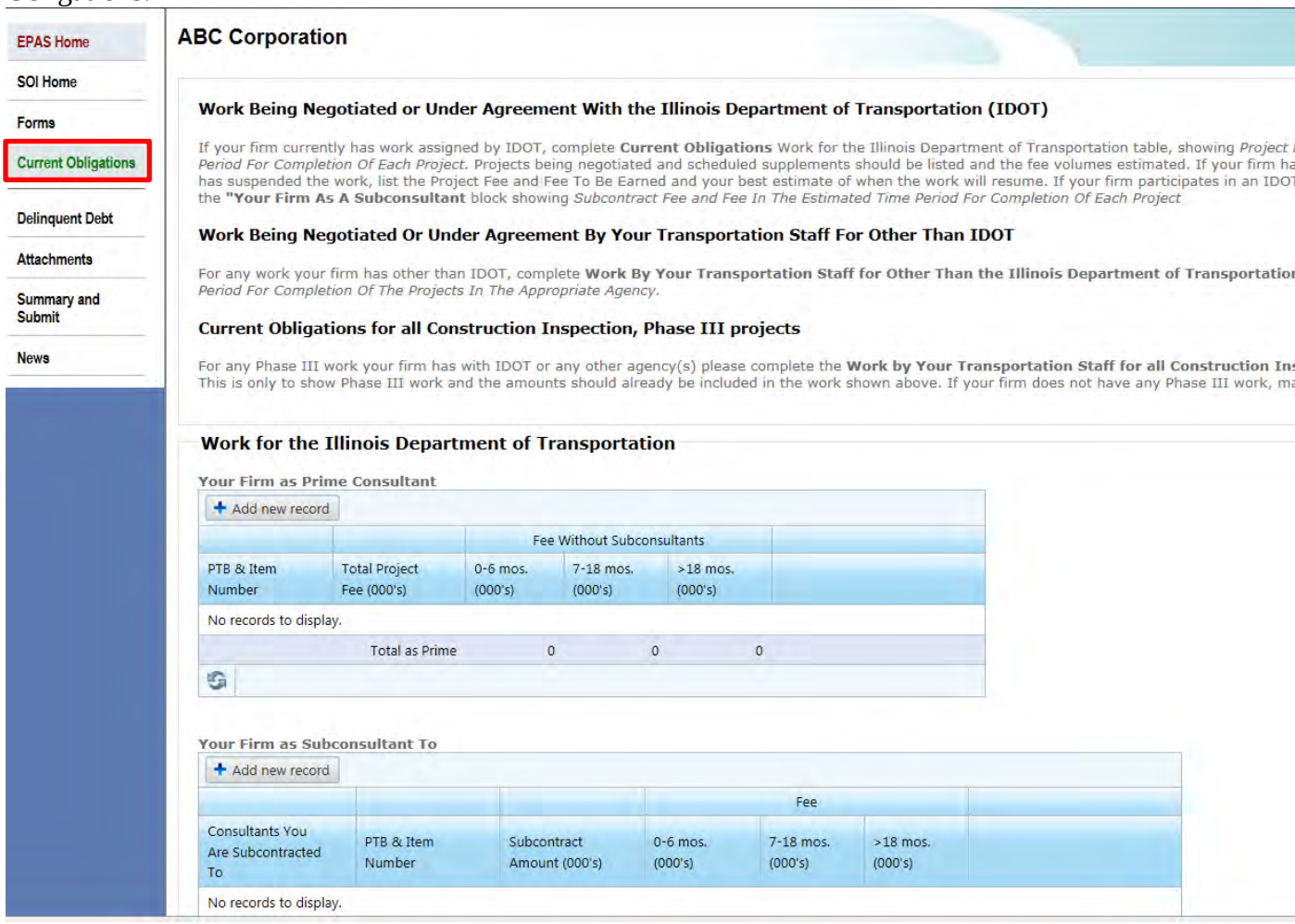
If other data is required in the advertisement, include with the Teaming Agreement as a single PDF under 4 shown below.



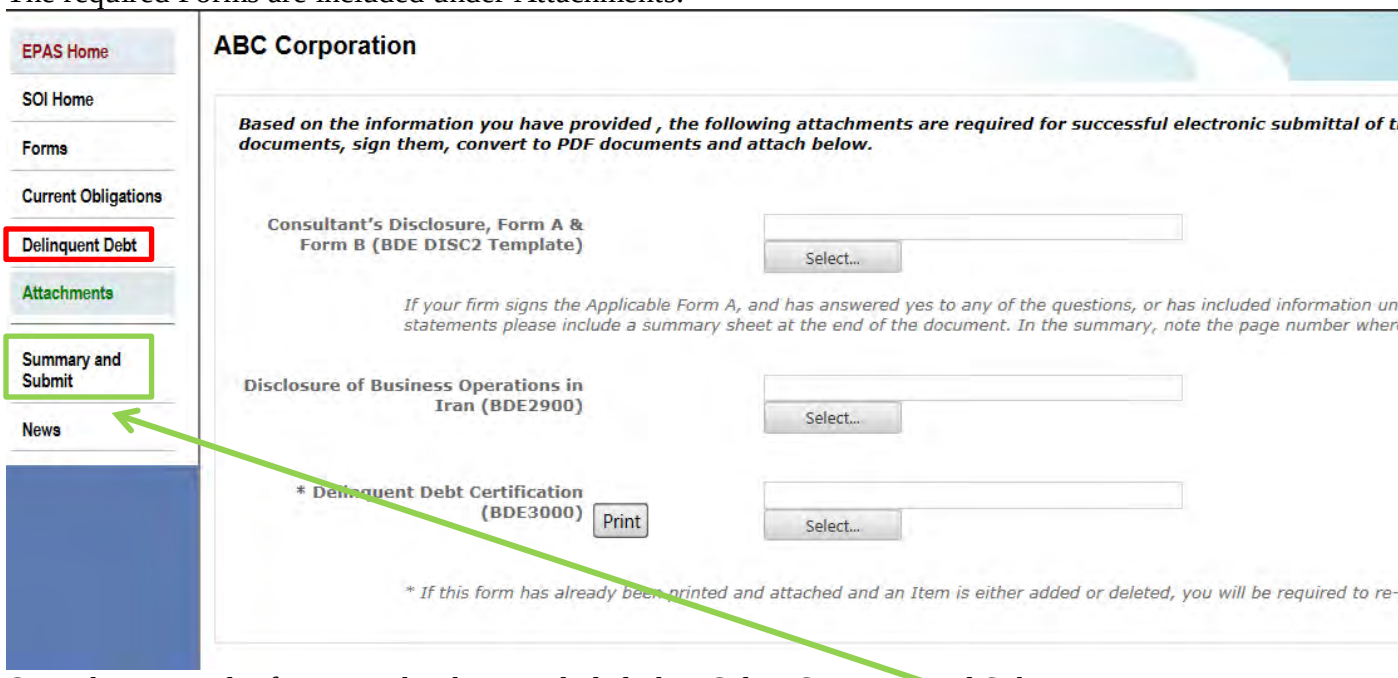
Details as to TEAM MEMBERS required data. As noted earlier, the Team Members are required to submit the following information. This is for contact information:



The amount of transportation work by the Team Member is included in the Current Obligations:



The required Forms are included under Attachments.



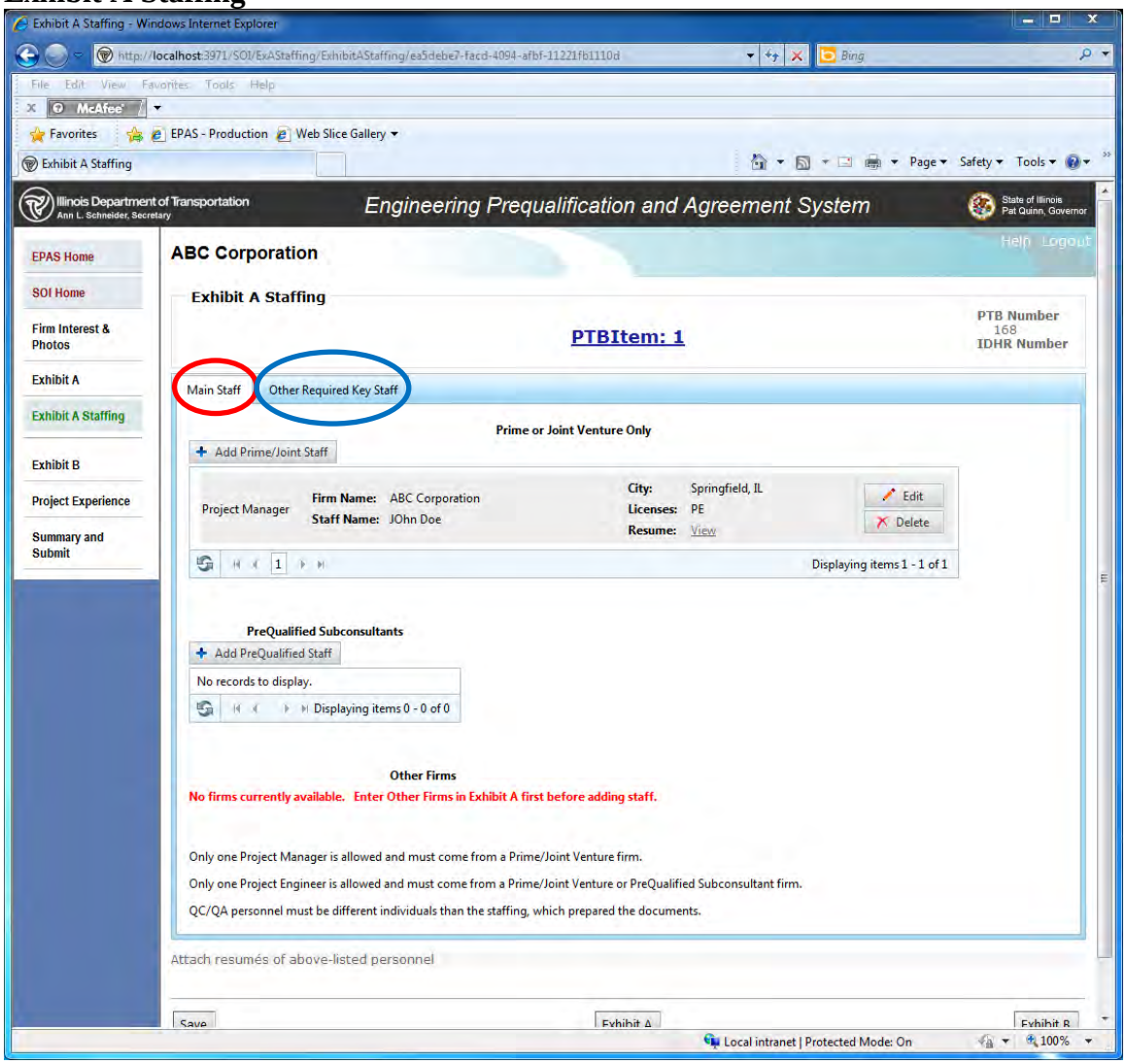
Once the required information has been included, then Select Summary and Submit.
NOTE: If a firm is already submitting on other Items as a prime, the data is already included and does not have to be resubmitted.

Mentor-Protégé

- Note: When selecting a Mentor-Protégé firm from the –Select New Protégé Firm– drop down box, the firm **must be** a DBE and **must** have already been selected in the IDOT PreQualified Firms grid. If both of the above criteria have not been met, the firm will not appear in the drop down box.
- You can **Select** Save – this button will save the information and remain on the same page.
- You can **Select** Firm Interest & Photos – this button will save the information and navigate you to the previous screen – Firm Interest & Photos.
- You can **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.

Exhibit A Staffing

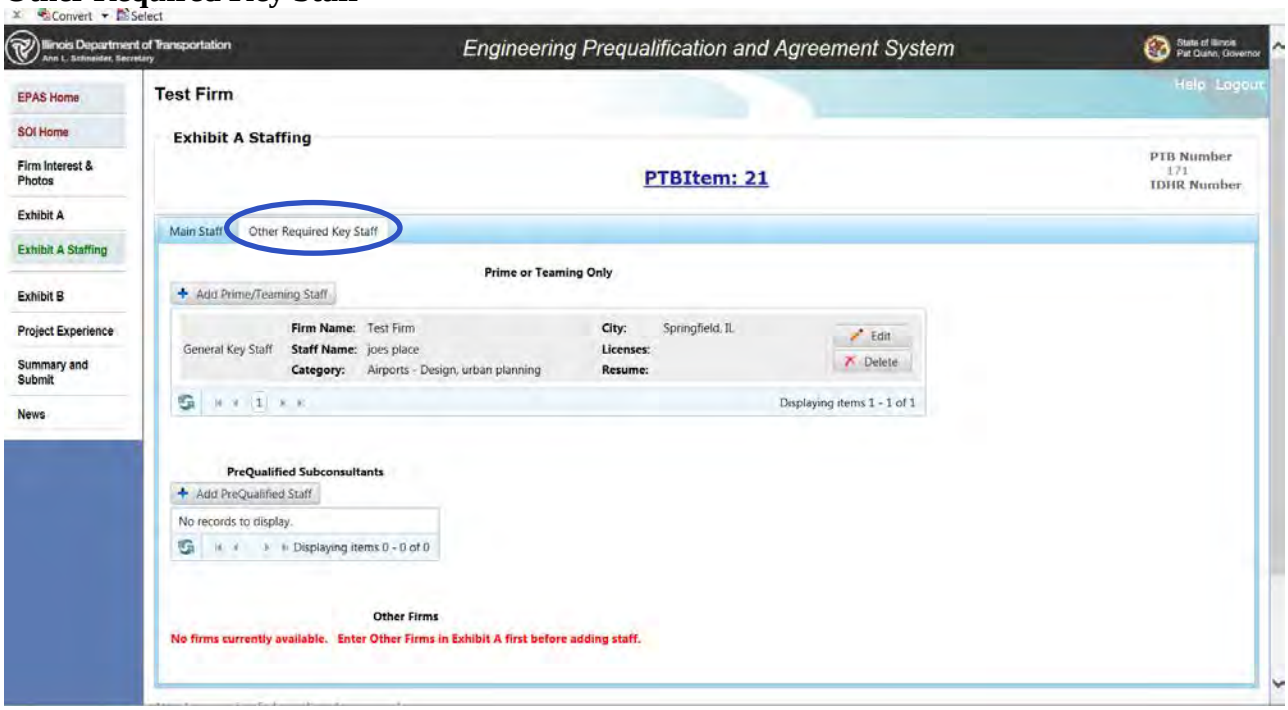


- This is the Exhibit A Staffing Screen **Main Staff tab**. This screen contains two tabs which allow you to enter all staff which you intend to use on this item. The Main Staff screen allows you to enter the following personnel (Project Manager, Project Engineer, QC/QA Roadway and QC/QA Structures) needed for 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.
- 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.
- **Note:** The Prime or Team Only grids will allow you to select and assign staff from your most current approved SEFC. Do to confidentiality reasons, IDOT cannot show staff members from any subconsultant firms you use.
- **Note:** 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.

- **Note:** A Project Manager is required (only one 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. This requirement must be completed before the system will allow you to submit to IDOT.
- **Note**: 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.
- You can Select the View link next to the Resume field to display the attached resume of the individual.
- You can Select Save – this button will save the information and remain on the same page.
- You can Select Exhibit A – this button will save the information and navigate you to the previous screen – Exhibit A.
- You can 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 Other Required Key Staff tab.

Other Required Key Staff

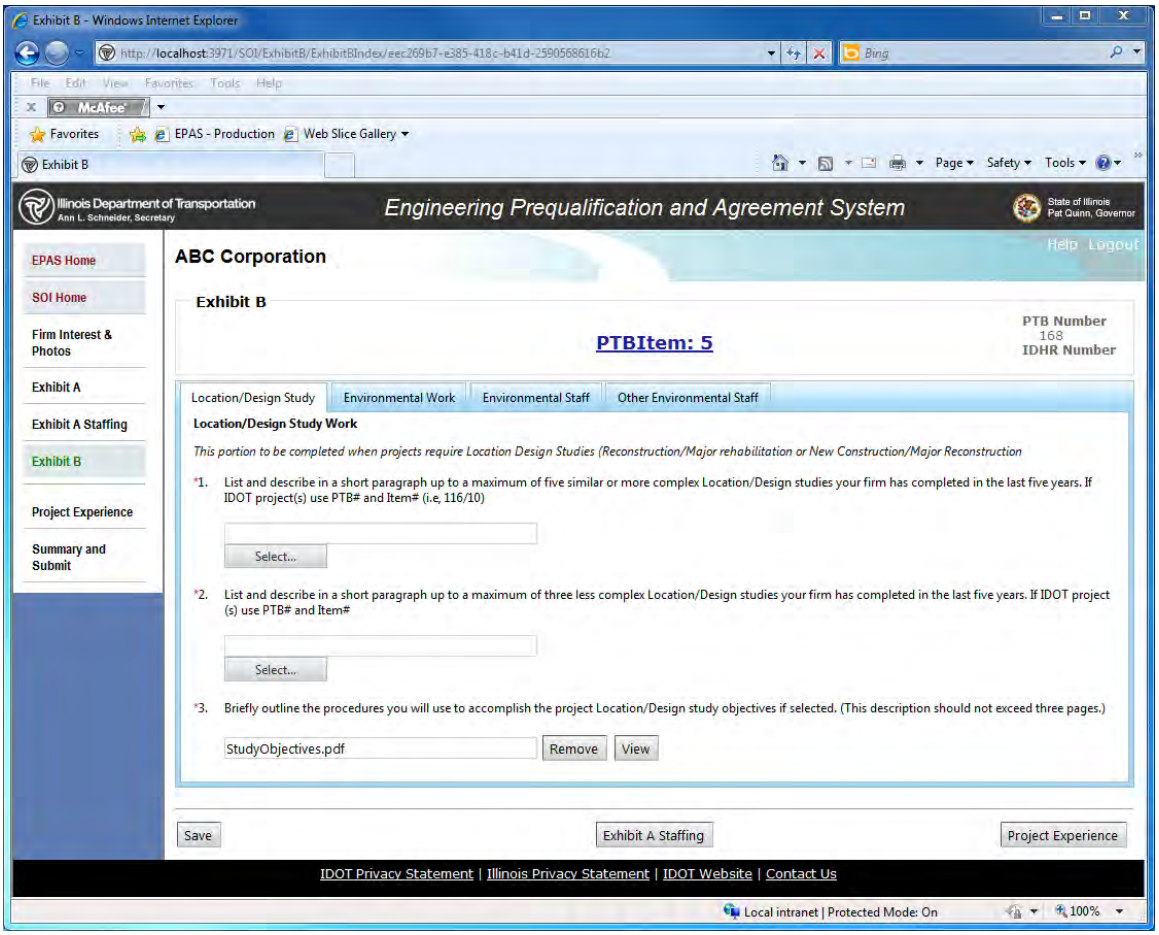


- This is the Exhibit A Staffing Screen **Other Required Key Staff tab**. This screen allows you to enter all remaining staff you will use on the item. All required fields are marked with *. The system will not allow you to bypass certain required fields on pop-up windows within this screen. The required fields must be completed before the system will allow you to submit to IDOT.

- **Note:** The Prime or Team Only grids will allow you to select and assign staff from your most current approved SEFC. Do to confidentiality reasons, IDOT cannot show staff members from any subconsultant firms you use.
- **Note:** 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.
- **Note**: 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.
- You can Select the View link next to the Resume field to display the attached resume of the individual.
- You can Select Save – this button will save the information and remain on the same page.
- You can Select Exhibit A – this button will save the information and navigate you to the previous screen – Exhibit A.
- You can 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 Exhibit B button.
Exhibit B will only display when required. If not shown it is not required.

Exhibit B



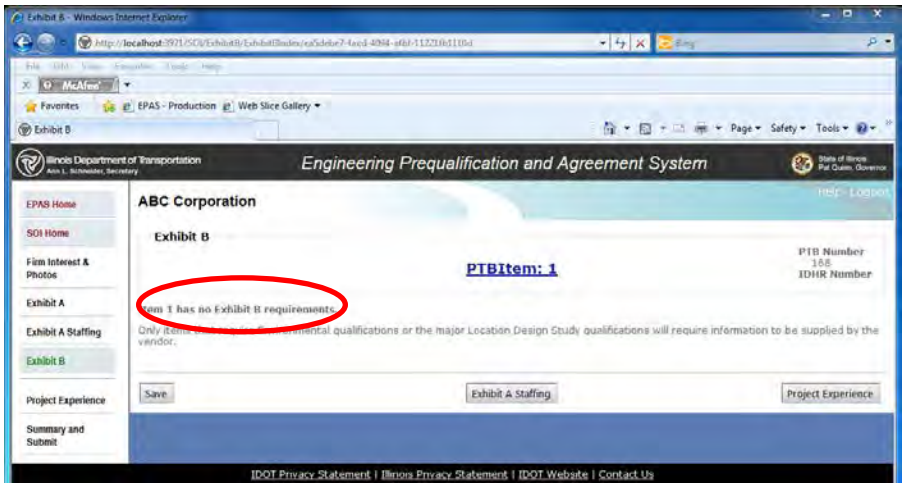
- This is the Exhibit B Screen, which is comprised of four tabs (Location/Design Study, Environmental Work, Environmental Staff and Other Environmental Staff). This screen, and certain tabs, is only accessible if the item requires Location Design Studies (Reconstruction/Major Rehabilitation or New Construction/Major Reconstruction) or Environmental Reports (Environmental Assessment or Environmental Impact Statements). This system is intelligent and will only display the required tabs, which need to be completed for the item.
- The above is the Exhibit B Screen 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.
- **Note**: If the project doesn't contain Location Design Studies or Environmental Reports the following screen below will appear.
- You can Select [Save] – this button will save the information and remain on the same page.
- You can Select [Exhibit A Staffing] – this button will save the information and navigate you to the previous screen – Exhibit A Staffing.

The screen below will be displayed if you Select [Environmental Work] tab (See Environmental Work section).

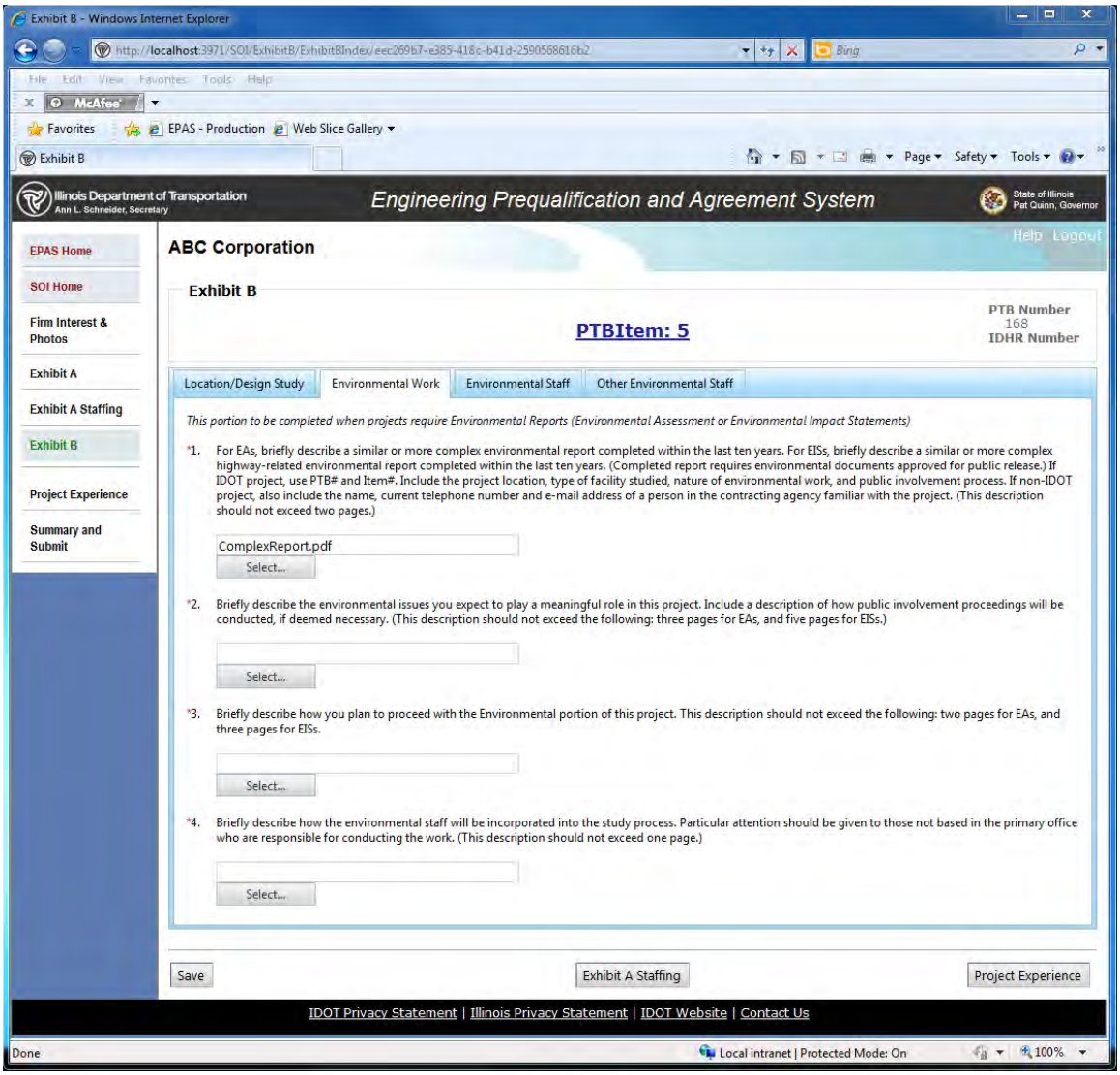
Exhibit B

Exhibit B is required when Environmental Assessment, Environmental Impact Statements, Reconstruction/Major Rehabilitation, and/or New Construction/Major Reconstruction are required as a prequalification category. If these categories are not required, Exhibit B is not required and it is so indicated in EPAS. The Exhibit B will not show as an option.

Exhibit B Not Required

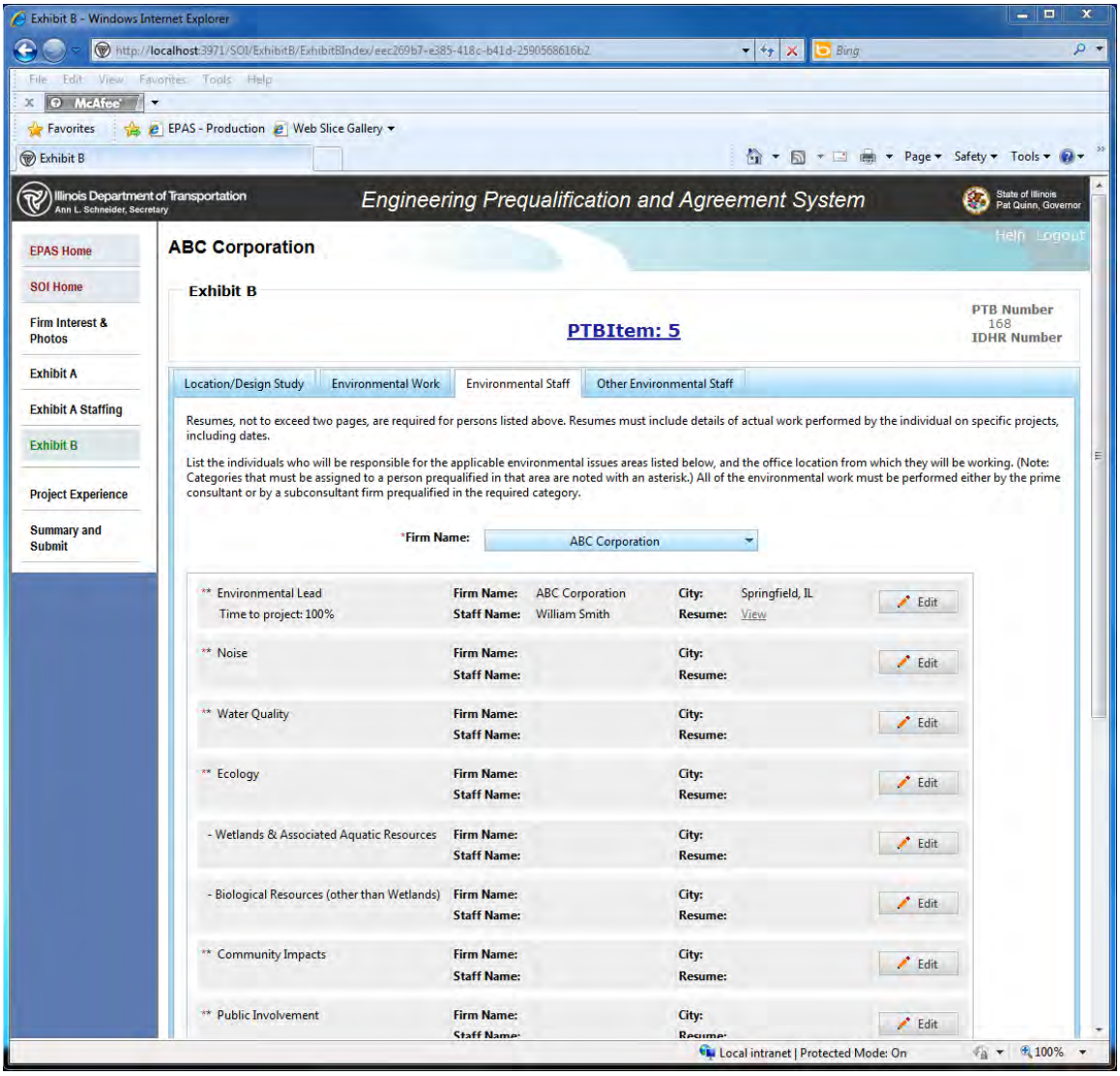


Environmental Work Screen in Exhibit B



- 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).
- You can Select Save – this button will save the information and remain on the same page.
- You can Select Exhibit A Staffing – this button will save the information and navigate you to the previous screen – Exhibit A Staffing.
- The screen below will be displayed if you Select Environmental Staff tab.

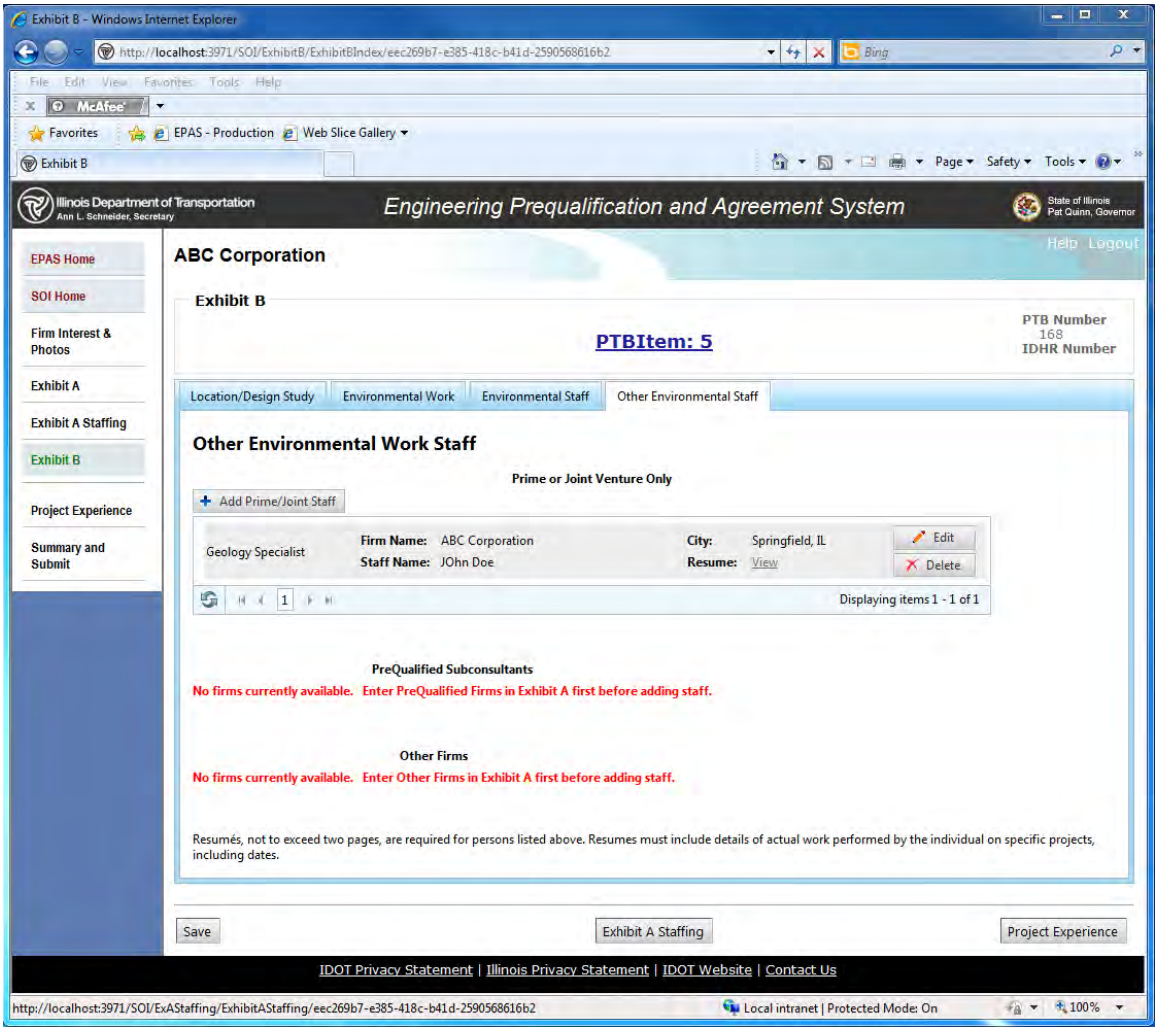
Environmental Staff Screen



- 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.
- You can Select the View link next to the Resume field to display the attached resume of the individual.
- **Note**: This screen will only appear if the item applied for contains Environmental Reports (EA or EIS).
- **Note**: 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.
- You can Select Save – this button will save the information and remain on the same page.

- You can Select Exhibit A Staffing – this button will save the information and navigate you to the previous screen – Exhibit A Staffing.
- The screen below will be displayed if you Select Other Environmental Staff tab.

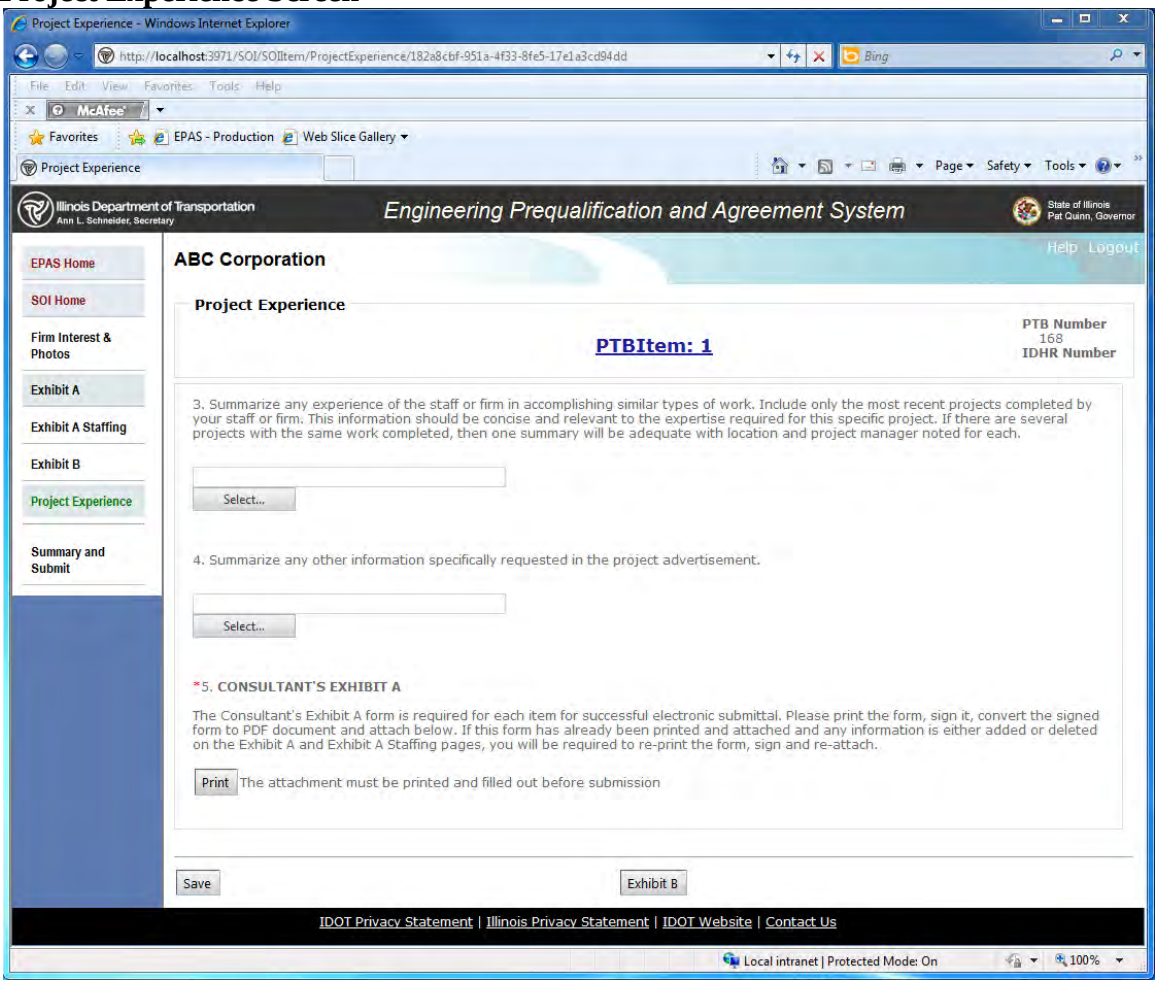
Other Environmental Staff



- 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 and Special Waste). 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.
- You can Select the View link next to the Resume field to display the attached resume of the individual.
- **Note**: This screen will only appear if the item applied for contains Environmental Reports (EA or EIS).

- You can Select Save – this button will save the information and remain on the same page.
- You can Select Exhibit A Staffing – this button will save the information and navigate you to the previous screen – Exhibit A Staffing.
- You can 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.

Project Experience Screen



- This is the Project Experience Screen. This screen will allow you to attach a summary of staff experience, a summary of additional requested information in the project advertisement and a signed copy of the Consultant's Exhibit A. 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:** 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

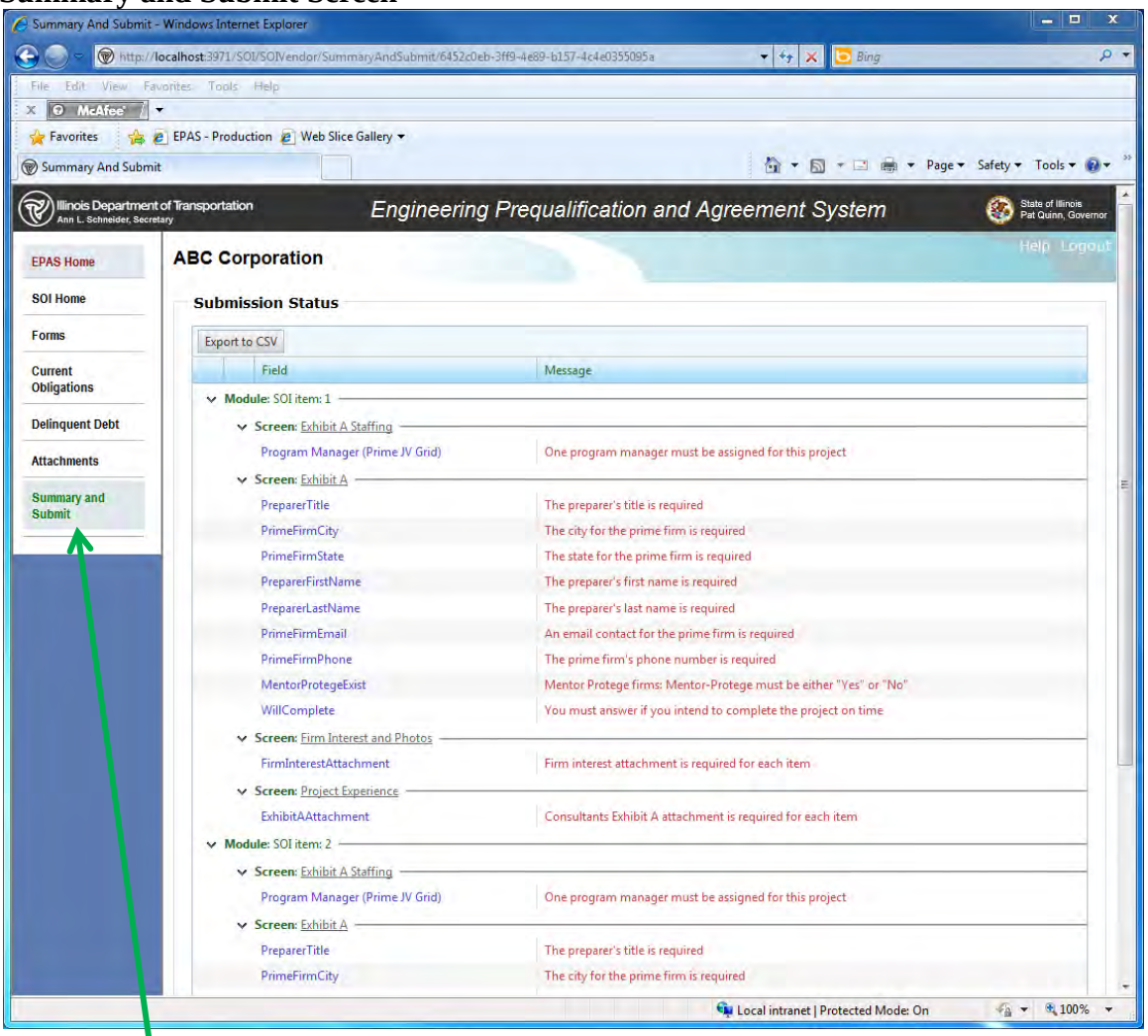
certain to sign the form and then convert the signed form to an Adobe Acrobat PDF file for attachment.

- You can Select Save – this button will save the information and remain on the same page.
- You can 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 and select the next item for which you are applying and complete the screens again.
- Please Select the SOI Home on the left hand navigation menu.

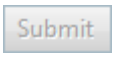
11.4 Summary and Submit

- **IMPORTANT NOTE**: 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 submitted by the due date, **NO EXCEPTIONS** will be made.

Summary and Submit Screen



- If you are ready to submit your SOI application to IDOT, 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 in order 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.

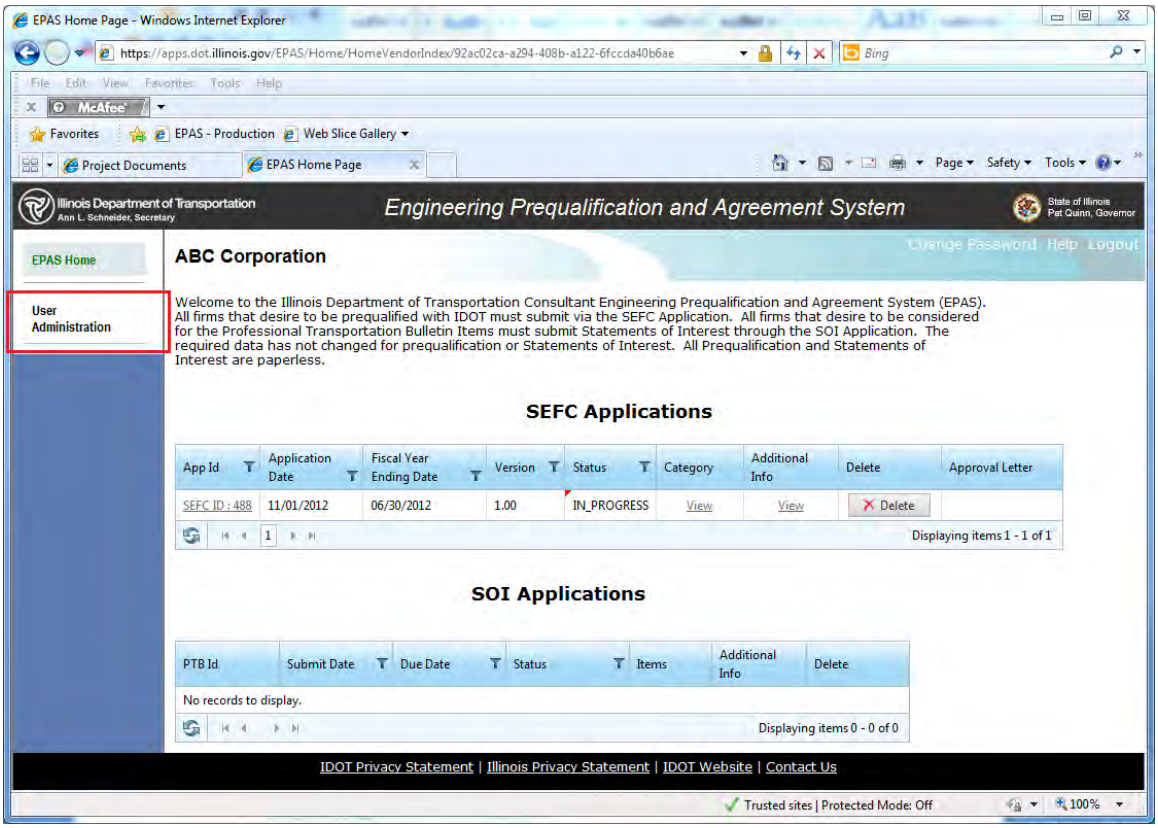
- Select the 

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. 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. The firm will only be able to revise and resubmit the information requested. If a signature is missing on Exhibit A, a missing Delinquent Debt form for a subconsultant or the Disclosure Form A and B were not completed in their entirety only that document can be revised and resubmitted.

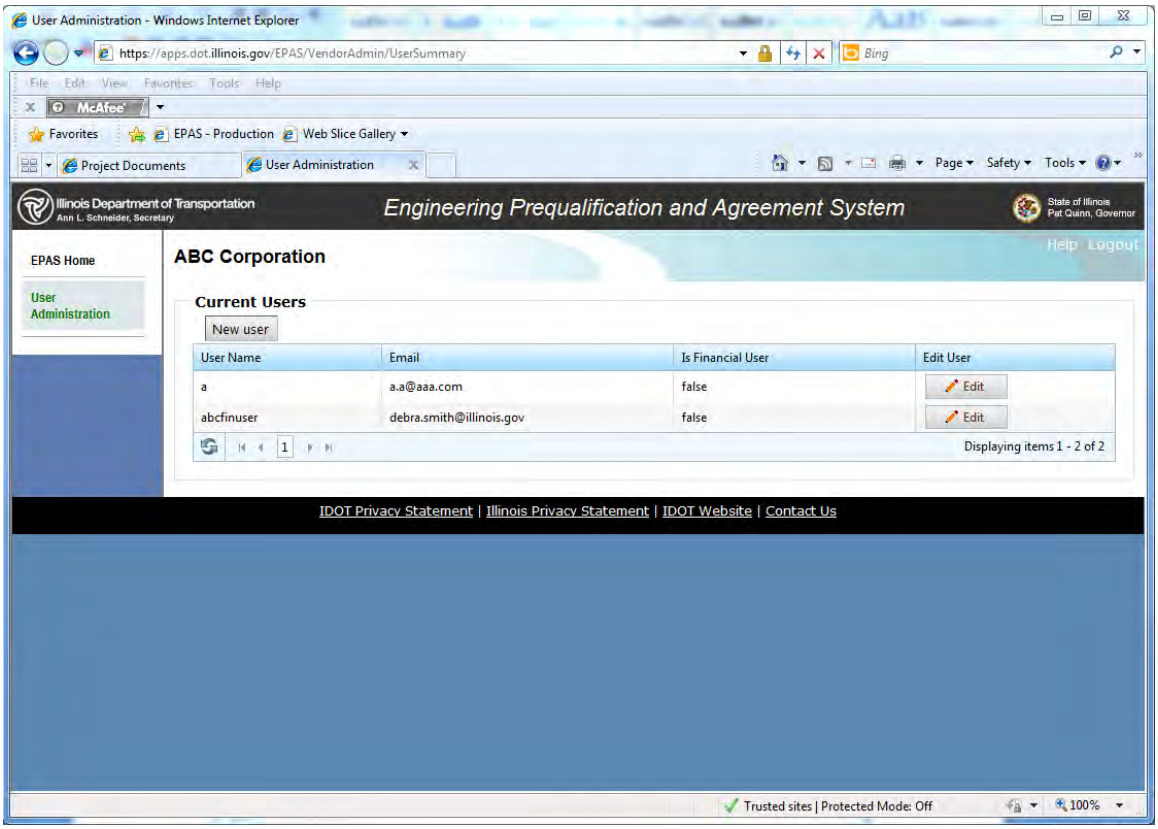
12 Adding Multiple User(s) to your Company

User Administration



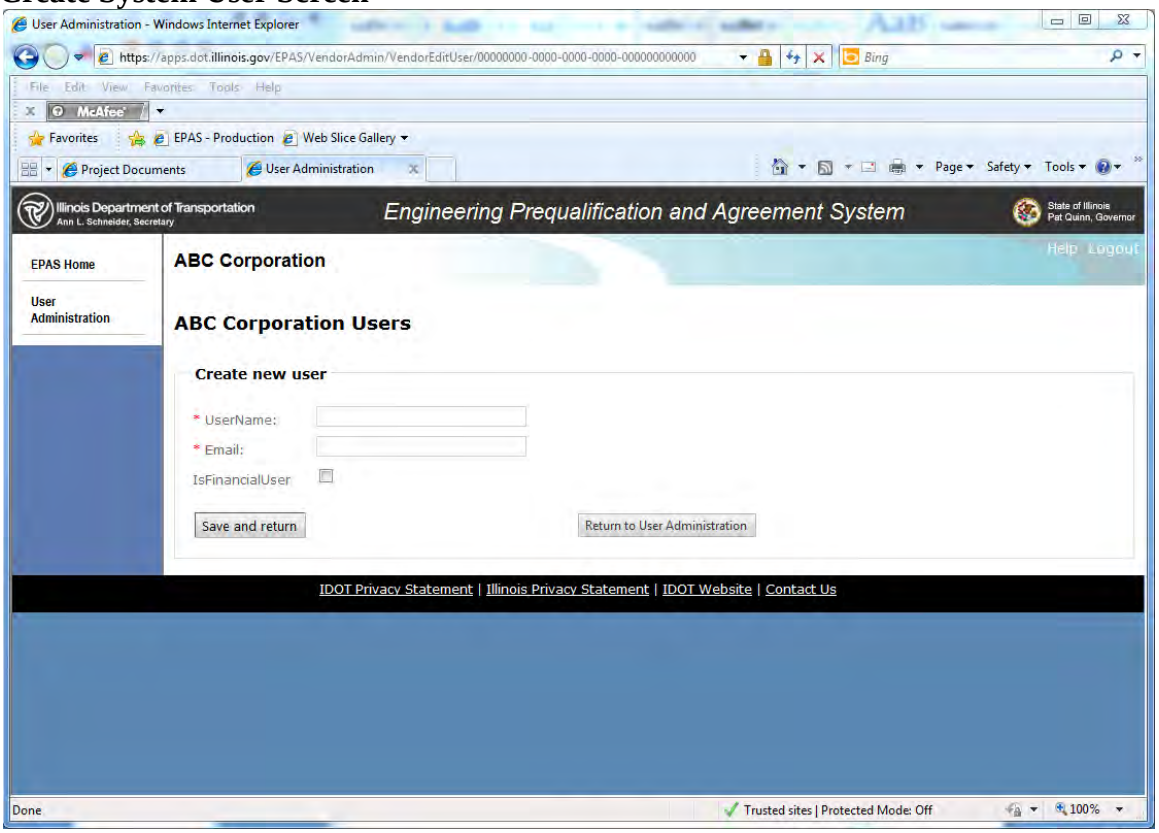
- IDOT creates ***one*** user name based on the firm name and TIN. The firm is responsible for all other users created and IDOT cannot modify these. It is the firm's responsibility to maintain users created by the firm. IDOT will only reset passwords.
- You will be able to add multiple users within your company to enter data into the SEFC application.
- Select the *User Administration* menu depicted in the red box in the screen above.
- The following screen will be displayed.

User Administration Screen



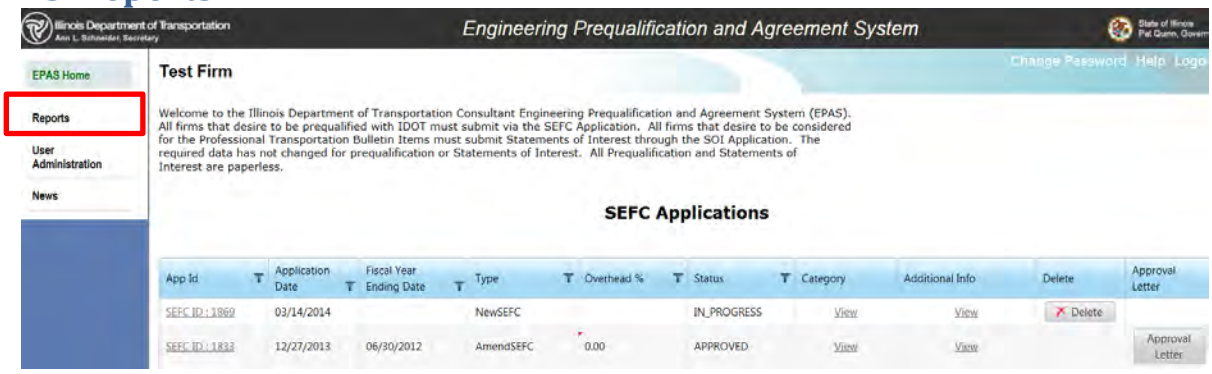
- Select the *New User* button and the screen below will be displayed.

Create System User Screen

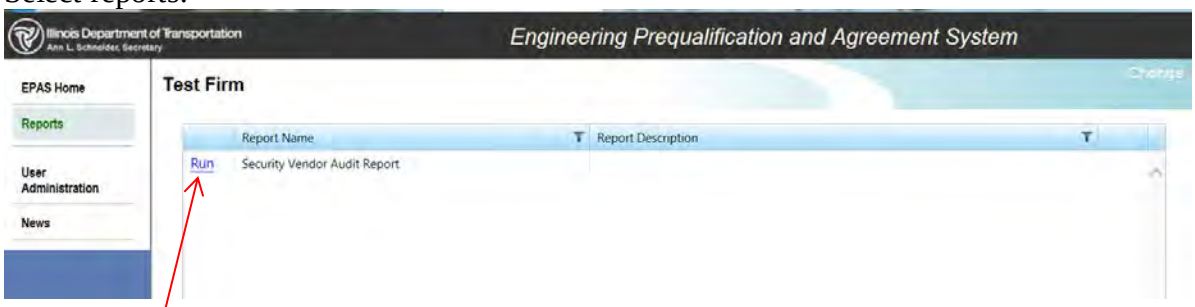


- To create a user that can view financial data – check the *IsFinancialUser* check box. If the checkbox is not checked, the user created will not be able to see the financial data of the company.
- Select *Save and return* button. This will display the list of users that you have added.
- Select the *Return to User Administration* button if you don't want to save your changes and return to the list of users.

13 Reports



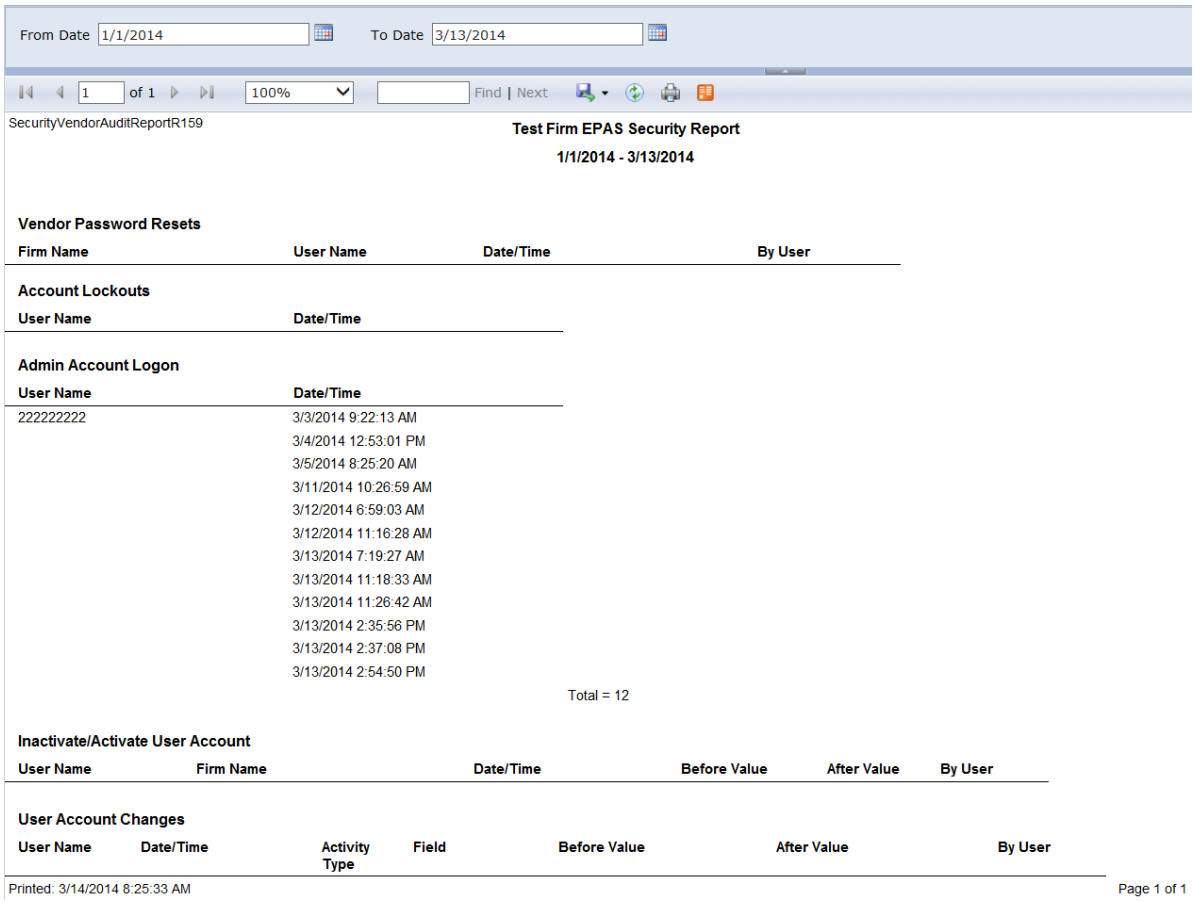
Select reports:



- Select Run

- Insert Dates and Select View Report:

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



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

1 of 1 100% Find | Next

SecurityVendorAuditReportR159

Test Firm EPAS Security Report

1/1/2014 - 3/13/2014

Vendor Password Resets

Firm Name	User Name	Date/Time	By User

Account Lockouts

User Name	Date/Time

Admin Account Logon

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

Total = 12

Inactivate/Activate User Account

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

User Account Changes

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

Printed: 3/14/2014 8:25:33 AM

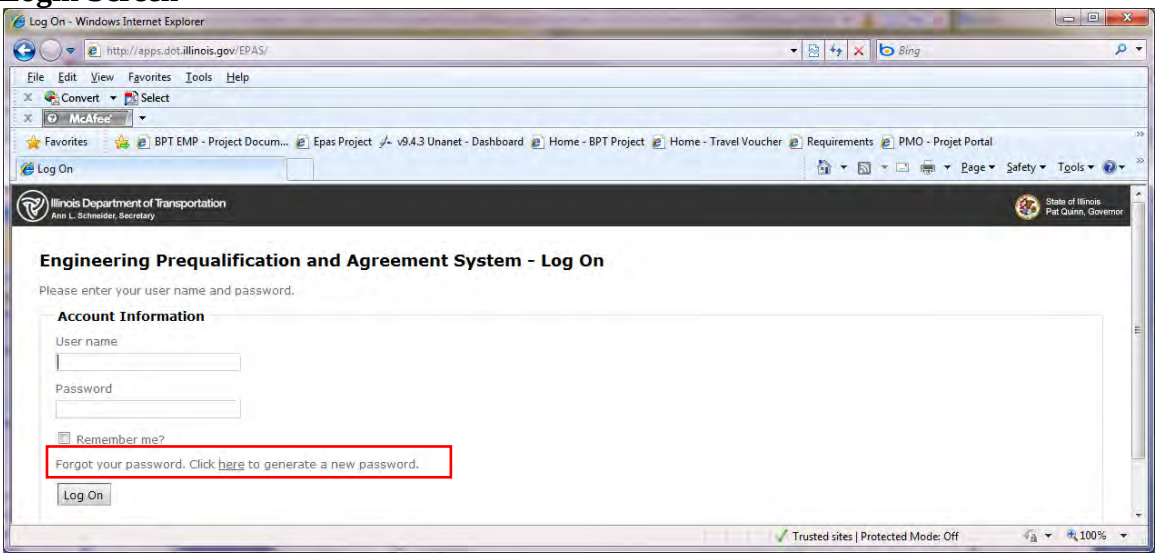
Page 1 of 1

14 Password Security

14.1 Forgot Password

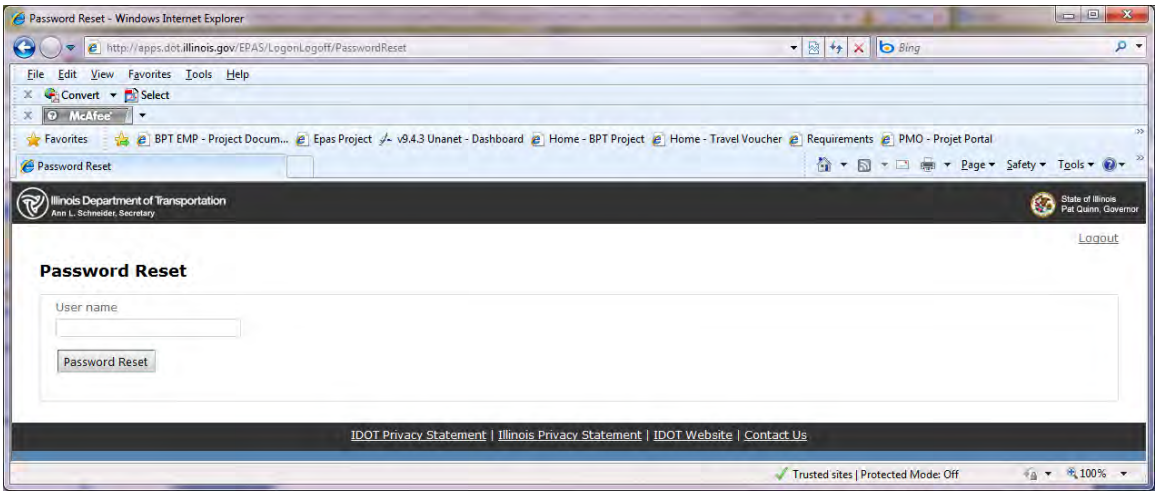
*If you forg*et your password, follow the instructions below.

Login Screen



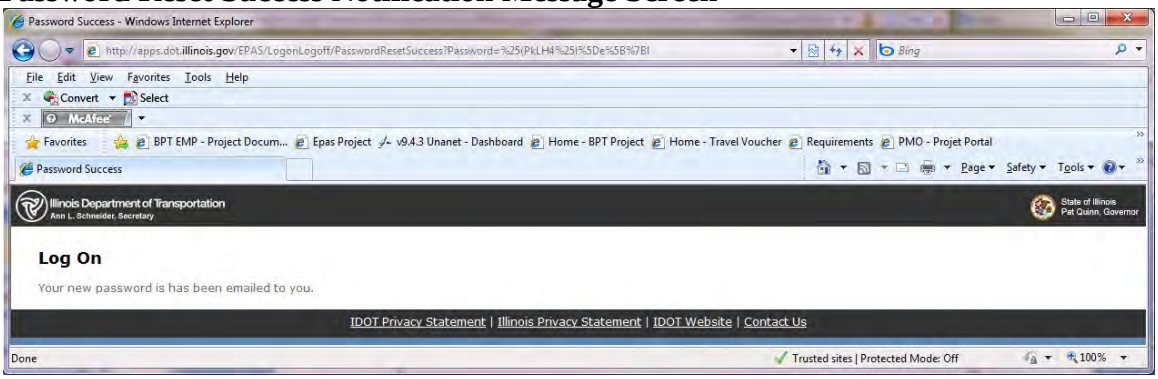
- Select the *here* link as depicted on the red box highlighted above.
- The following screen will be displayed.

Password Reset Screen



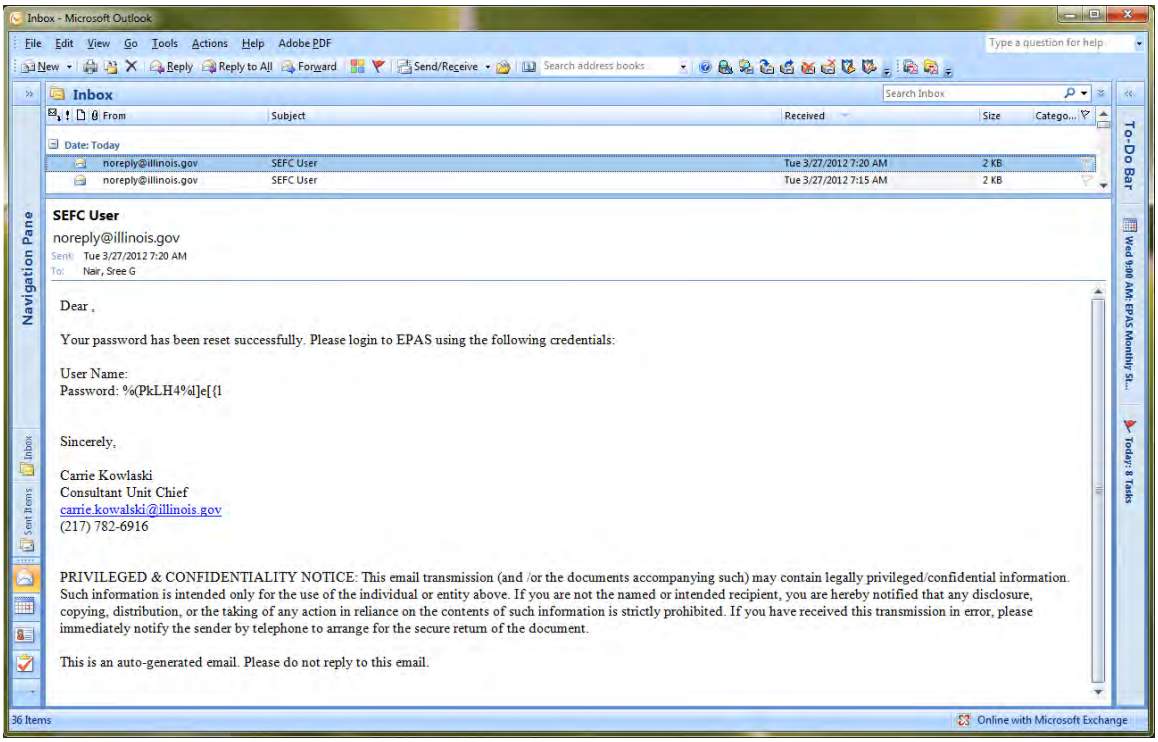
- Enter your user name.
- Select the *Password Reset* button.
- The following screen will be displayed.

Password Reset Success Notification Message Screen



- An email will be sent to you as depicted below.
- Logon to the system using the new password.

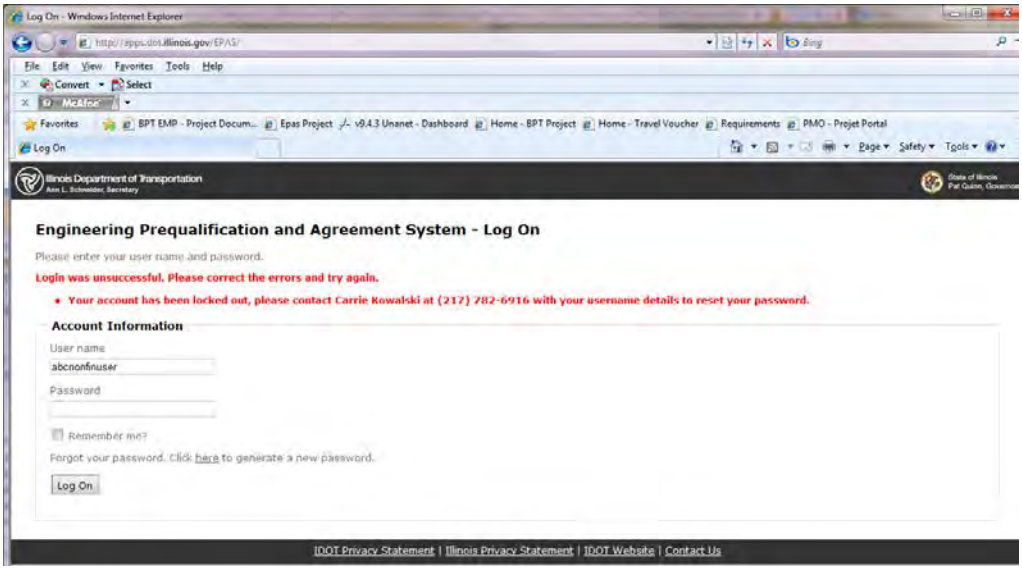
Reset Email



14.2 Login Failure

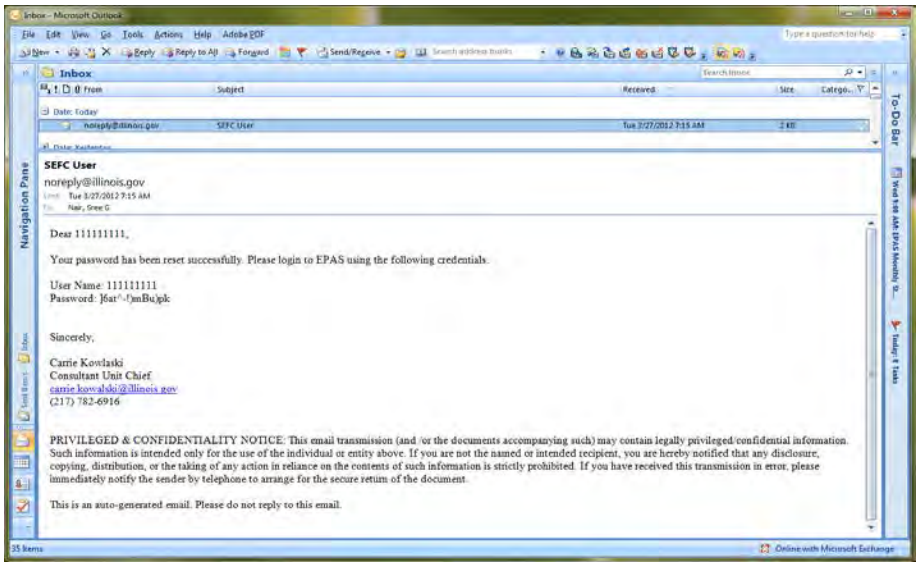
You will be locked out from the system if you have 3 consecutive login failures. To reset your password follow the instructions below.

Password Lock-Out Screen



- The above screen will appear.
- Call the contact information stated on the screen and provide the user name that you use to log in to EPAS as well as the company name. The TIN number may also be required so please have this handy. You can also e-mail DOT.ConsultantServices@illinois.gov with company name and user ID that needs the password reset.
- The contact person will reset your password and you will receive an email similar to the one below. IDOT cannot give passwords to anyone other than to the e-mail address provided by the firm in the system.

Reset Email

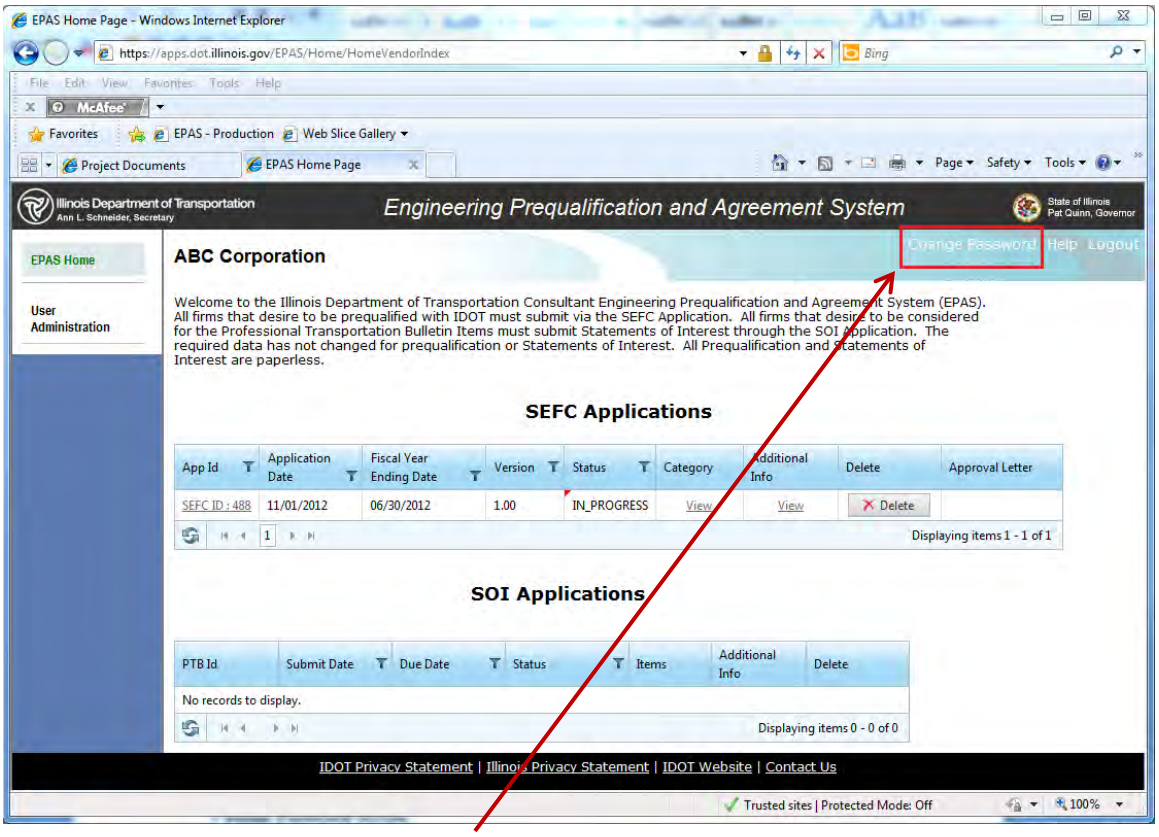


- Login to the EPAS system with your user name and the new password supplied in the email. Copying and pasting the e-mail is suggested.

14.3 Change Password

To change your password, follow the instructions below.

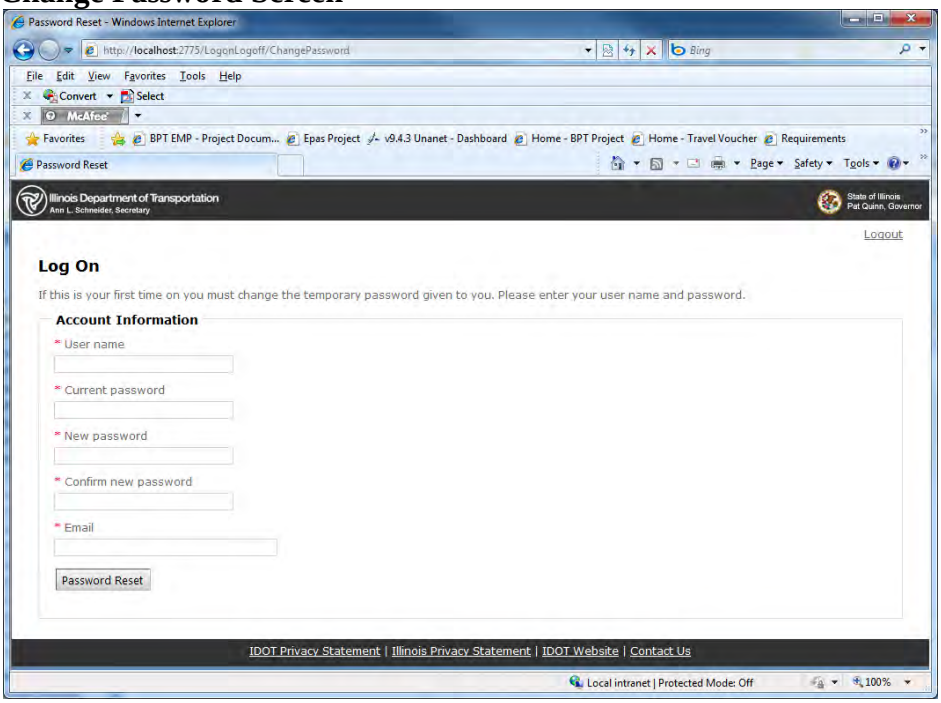
SEFC List Screen



- Select the Change Password link on the EPAS Home screen, after you first log in.

- The following screen will appear.

Change Password Screen



- Enter your User Name – This will be the same user name that you entered in the login screen (if you entered your TIN #, then reenter the TIN #)
- Enter the current password – This will be the password you entered on the login page
- Enter your New password and Confirm your new password.
- 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.

15 Environmental Prequalification Instructions

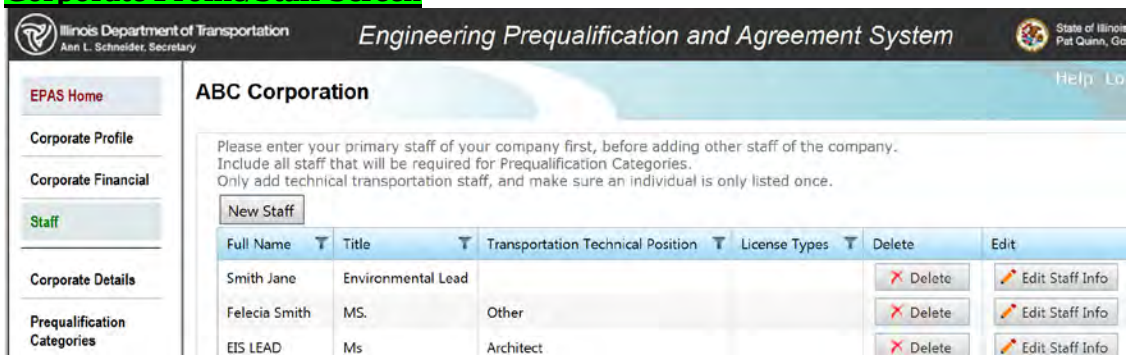
Review the Description and Minimum Requirements for current applicable criteria for prequalification in **Environmental Assessment (EA)** and **Environmental Impact Statements (EIS)**: http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20and%20Minimum%20Requirements.pdf

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.

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.) Data entered in these fields must be correct in order for EPAS and IDOT staff to recognize an individual as a subconsultant to your firm. ***Failure to supply accurate data in these specific fields for any subconsultant your firm plans to use(even if noted elsewhere in you submittal) will result in your firm being denied in the EA and/or EIS categories.***

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

Corporate Profile/Staff Screen

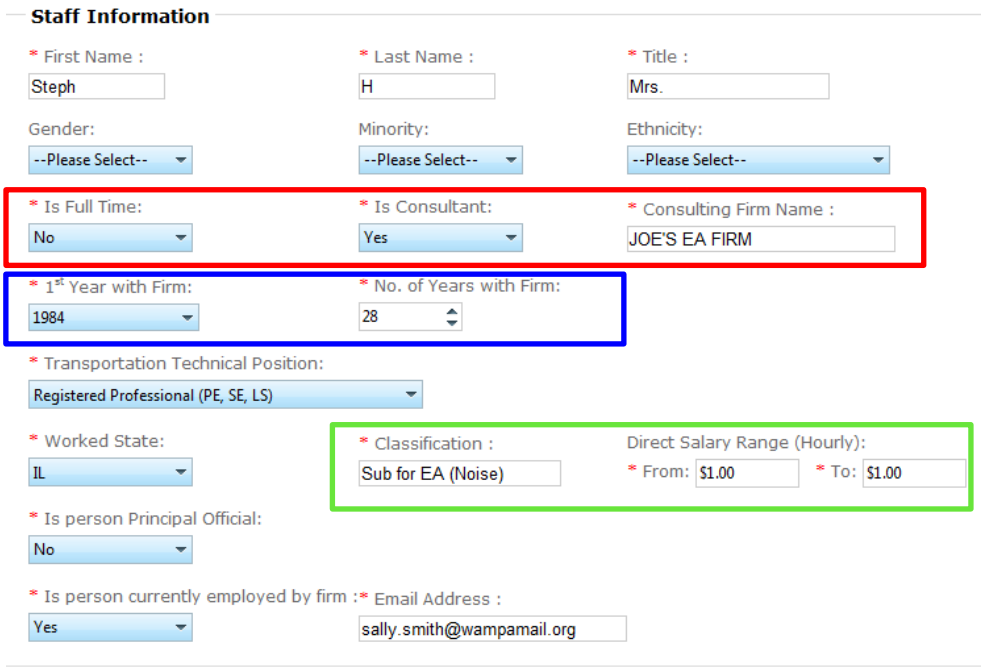


Staff Information Screen

For in house staff, enter all Staff Information as shown in this Manual under “Create Staffing.”

For Environmental Staffing being used from another firm.

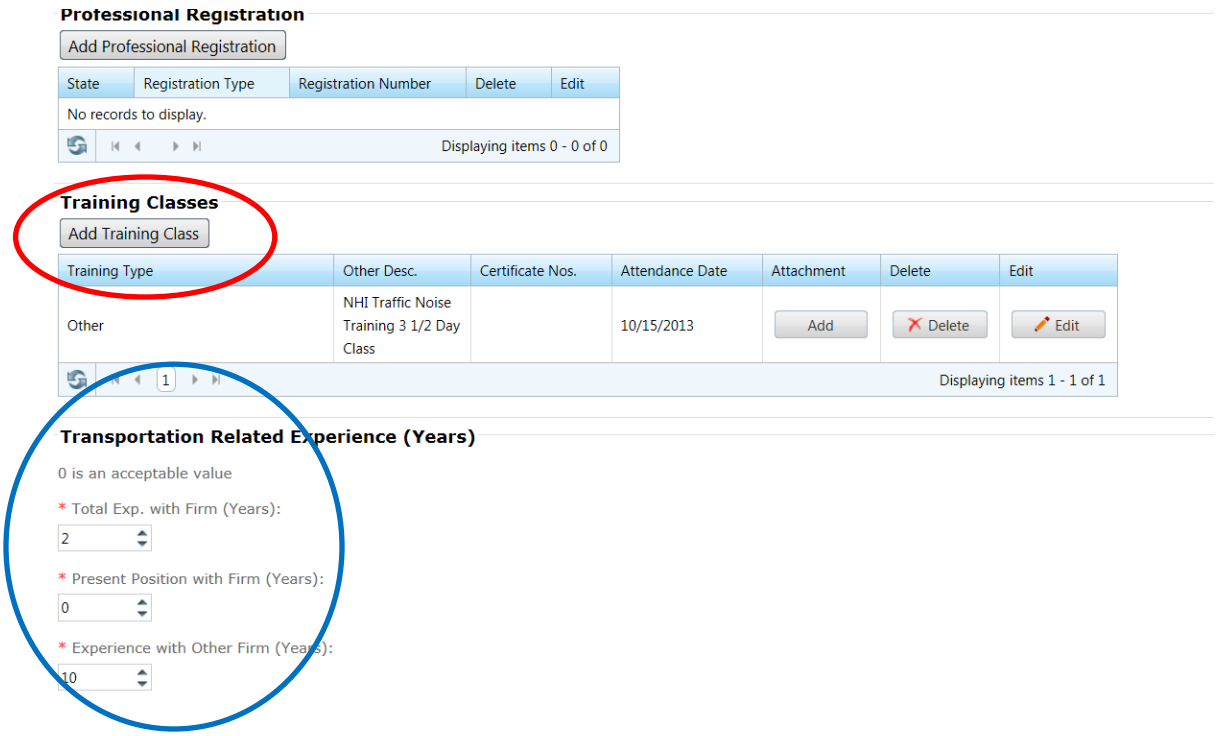
If you intend to use one or more **subconsultants** to meet the required environmental disciplines, the Staff Information for each of these persons MUST be completed as shown next. Failure to answer the question "Is Consultant" Yes and properly include the CONSULTING FIRM NAME (their employing firm's name) for any subconsultants will result in your submittal being denied.



Responses to the 3 boxes above outlined in **RED** 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 at this location in EPAS, even if it is mentioned elsewhere in your submittal, your firm will be DENIED prequalification for EA and/or EIS.

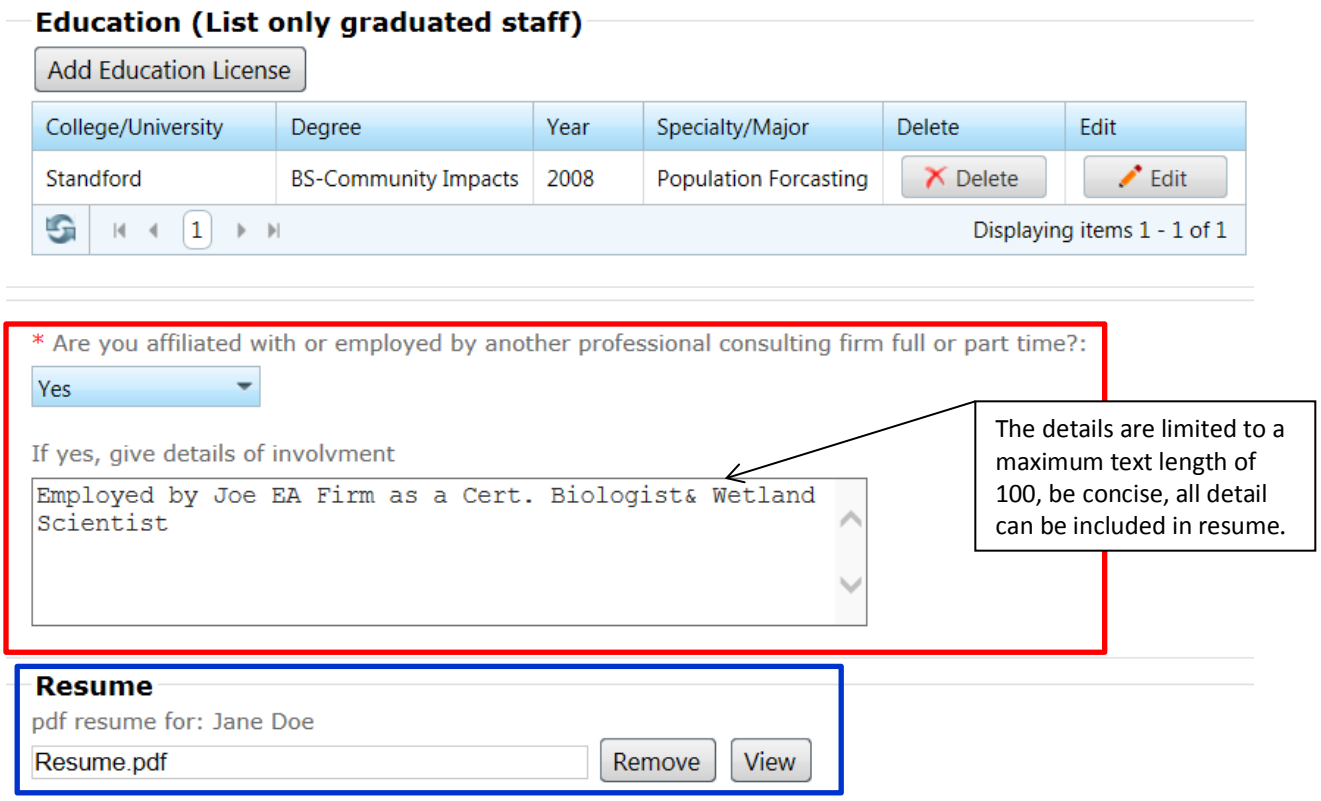
The portion outlined in **Blue** refers to the first year and total number of years this person has been employed by their current firm.

If the person's specific job classification and salary range are known, they should be included in the **Green** portion; otherwise, complete as shown above.



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: http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20and%20Minimum%20Requirements.pdf .) Certificates of Completion MUST be attached in order to receive credit for training classes (i.e., documentation of required Noise training is mandatory for all persons requesting prequalification for that discipline).

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



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

Resumes

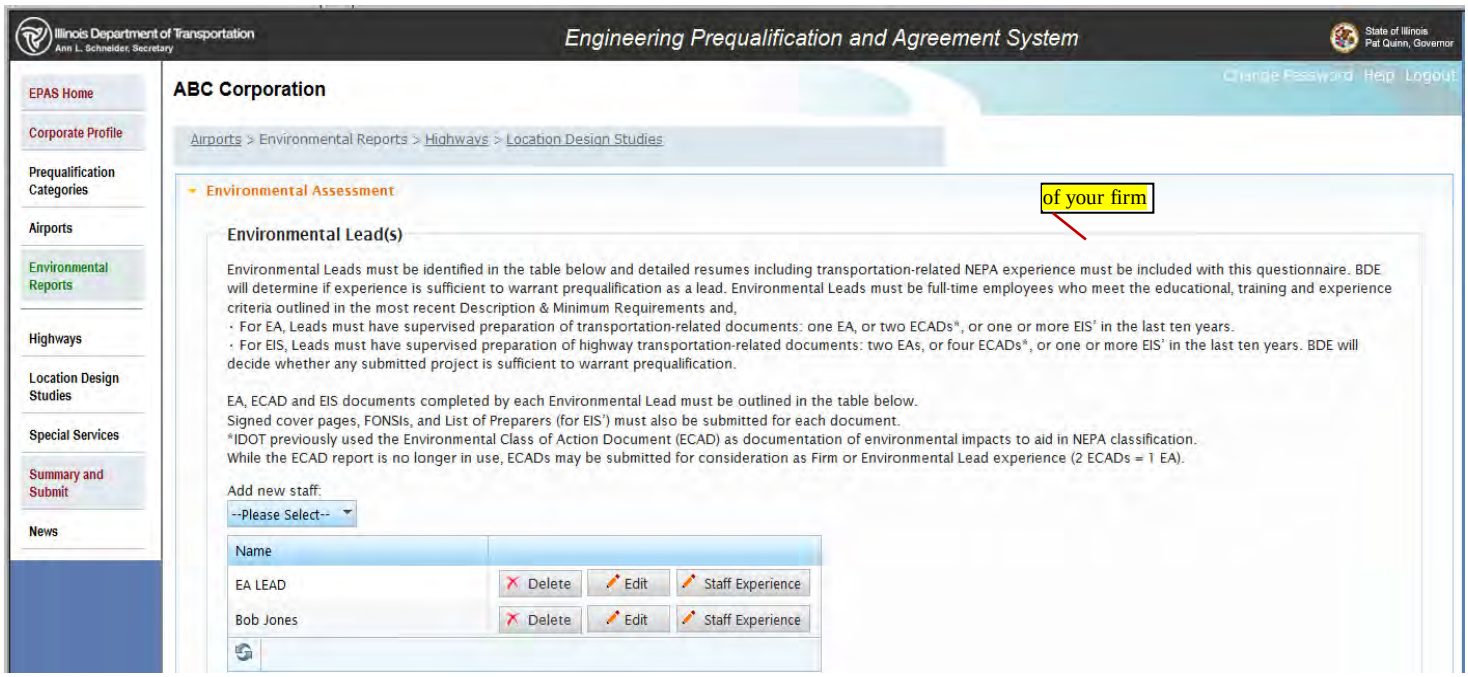
Information supplied in a person's **Resume** (in **Blue**) will be analyzed by IDOT environmental specialists to determine if it reflects all requirements for the person's assigned discipline(s). In addition, a higher level of NEPA experience is required to be prequalified at the EIS level.

It is essential that resumes for all persons requesting Environmental prequalification in any capacity and for any assignment thoroughly detail their educational background, training and experience RELATIVE TO THEIR DESIGNATED ENVIRONMENTAL DISCIPLINE(S) OR ASSIGNMENTS. To demonstrate their level of expertise, all highway-related NEPA experience should be specified. (Example: A Noise specialist's resume should thoroughly explain their highway noise-related assignments and identify specific projects on which they worked. Certificates of Completion for required Highway Traffic Noise Fundamentals & TNM Computer Modeling courses must be attached.)

After all, NEW STAFF (including subconsultants') names have been entered and their Staff Information is completed, you may begin the **Environmental Questionnaire** shown below. (Note: Your EPAS submittal must indicate if you are requesting prequalification for **EA only** or for **BOTH EA and EIS.** If requesting **BOTH** categories, you must complete both the EA and EIS Questionnaires.)

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

Environmental Questionnaire



Environmental Lead(s)

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

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

Staff Experience

* Year completed:	--Please Select--
* Route/Location:	
Project Name	
[redacted] Employing Firm for this project:	
NEPA Document Type:	
Sponsoring Agency:	
County/State:	
Contact Person at Sponsoring Agency (Name/phone/Email):	
Date Document Signed by FHWA:	

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

Description of Project:

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

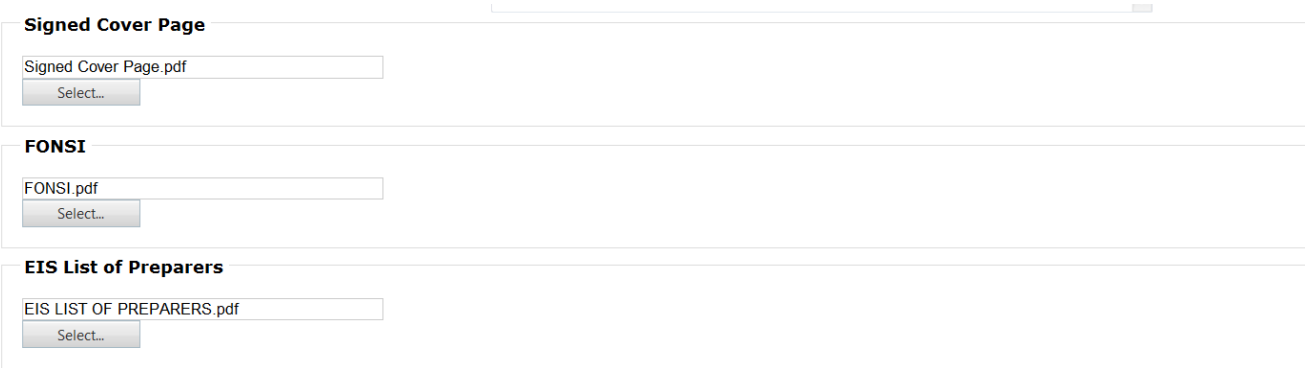
*(Note: This project is also included under Firm Experience.)

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

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

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

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.)



Finally, attach required signature page, FONSI or List of Preparers for the document. Repeat this process for each document completed by this Environmental Lead in the past 10 years and for any other Environmental Leads being proposed.

Environmental Staff(s) – Community Impacts

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

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.

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.

Firm Experience:

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

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

Firm Experience for Environmental Consultants

* Year completed: --Please Select--

Project Name

PTB Item #/Project Name:

Client:

Environmental Lead for this project:

NEPA Document Type:

Sponsoring Agency:

* Route/Location:

County/State:

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

Date Document Signed by FHWA:

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

Description of project:

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

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

Sample of firm experience filled out: Informational purposes only.

Firm Experience for Environmental Consultants

* Year completed:	2011
Project Name	IL Route XX
PTB Item #/Project Name:	New Route XX
Client:	Lake City
Environmental Lead for this project:	Bob Roberts
NEPA Document Type:	EA
Sponsoring Agency:	Lake City
* Route/Location:	IL XX
County/State:	Lilly Pond
Contact Person at Sponsoring Agency (Name/phone/Email):	TOM TTOM@LAKE.COM
Date Document Signed by FHWA:	11/29/2011
	Note: This project is also listed under Mr. Jones' Environmental Lead Experience and Mr. Smith's Staff Experience.
Description of project:	Proposed realignnment of IL XX on exisitng and new alignment, with proposed bike path and drainage corrections. Firm was responsbile 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.

16 FAQ

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

Q. How do I access the new EPAS application?

A. The EPAS system link will be accessible the same place where you used to access the Statement of Experience and Financial Condition form. The following link (http://www.idot.illinois.gov/Assets/uploads/files/Doing-Business/Manuals-Guides-&-Handbooks/Highways/Design-and-Environment/Description%20and%20Minimum%20Requirements.pdf) will take you to the Consultant Prequalification page on the IDOT Internet. From this page you will see the Engineering Prequalification and Agreement System (EPAS) link. Selecting the EPAS link will display the EPAS Login page. Enter your user name and password to access the system.

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, and the BDE Consultant Subscription Server is used for mass e-mailing consultant firms, choose the Stay Connected Tab at: http://www.idot.illinois.gov/doing-business/procurements/engineering-architectural-professional-services/index

Q. Can I print my application?

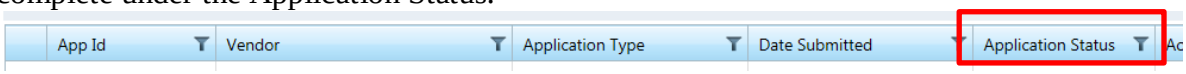
A. There is **not** a print option for the application. You can do screen prints.

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 page 6 of the manual) NOTE: all firms are required to 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. An e-mail is sent to the firm (e-mail used is in the password creation (page 5) notifying them that a New SEFC is required and that the firm is not approved.

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.



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.

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

A.

- 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.

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.

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

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

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.

Q. What does it mean when I get the following message?
"We regret that this error occurred. In order 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.

Q. Do we receive emails from the EPAS System?
A. Yes. The emails that you receive from EPAS will originate from noreply@illinois.gov. Please do not ignore this email. You will receive email from this address for the following reasons: Password Reset, Additional Information Required for SEFC, New EPAS Account Information. **Please do not respond to these emails.**

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 (!, $, #, %, @, &, *, ~)

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 of time – 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

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

Q. What is the AFC field?

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

17 Contact

17.1 Business Policy Related Questions

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

Email: DOT.ConsultantServices@Illinois.gov

17.2 EPAS System Related Questions

If you encounter a failure in the EPAS system, 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.

Email: dot.epas@illinois.gov