

## Most common reasons why ECS may disapprove a Prequalification Application

ECS requires a minimum of 10 business days to process a prequalification application. When a prequalification application is submitted and disapproved, the resubmittal processing can take another 10 days. For this reason, firms are encouraged to submit their prequalification application early AND to review the resources available on the ECS Prequalification webpage at <http://www.azdot.gov/ECS/prequal> before submitting their prequalification application.

**The issues below represent the most common reasons why an online prequalification application may not be approved on the initial submittal:**

- **Legal name is NOT correct in the Prequalification system**
  - The firm name in our system doesn't match the name the firm registered with the Arizona Corporation Commission (ACC). **The names must match EXACTLY.** Check your firm's ACC profile at the following website: <http://starpas.azcc.gov/scripts/cgiip.exe/WService=wsbroker1/connect.p?app=names-report.p>  
Note: Firms with existing ECS contracts will need to complete a Name Change with ECS. For more information on this process, refer to Information Bulletin #2012-006 at the following website: <http://www.azdot.gov/docs/default-source/businesslibraries/12-06.pdf>
- **UTRACS**
  - The UTRACS name must match the name in the prequalification system and the ACC website. Firms should be able to make name changes in the UTRACS system themselves. For assistance with a name change in UTRACS or updating a UTRACS registration, email: [adot@dbesystem.com](mailto:adot@dbesystem.com). ECS CANNOT provide support for the UTRACS system
  - The firm didn't provide a valid and current UTRACS registration number. Firms can search at <https://adot.dbesystem.com/FrontEnd/VendorSearchRegistry.asp?TN=adot&XID=4643> to see if their firm is properly registered and to get their UTRACS/"System Vendor Number" and to see when the registration expires. If a firm doesn't show up on this search screen, then the UTRACS registration doesn't exist or is expired.
- **ARIZONA CORPORATION COMMISSION (ACC)**
  - The firm is not registered with the ACC
  - The firm's Corporate Status is NOT "In Good Standing" with the ACC because the firm hadn't provided their most recent annual report to the ACC
  - The firm's information in the prequalification module didn't match with information on file with the ACC (The information verified with the ACC public website includes address, year established / years in business, name changes within the past 5 years, and incorrect domicile.)

**NOTE: ECS will NOT review a prequalification application any further if these conditions are not met first.**

- **FINANCIALS**
  - The firm didn't provide gross revenue for the most recent year. If the firm's 2013 fiscal year is not complete, the firm can provide an estimate and indicate in the "special circumstances" memo box that the figures are only an estimate. . Leaving a zero in the Gross Revenue field for 2013 will cause the application to be rejected.
  - The firm's financials were not audited within the past 18 months OR the firm submitted "unaudited" financials without the signature of the Fiscal officer on the documents to attest to the accuracy of the "non-audited" financials
  - Firm didn't indicate that they are familiar with and adhere to the regulations in FAR 31
  - The firm applied for contracts utilizing all compensation types, but didn't correctly answer the questions about having a compliant accounting system. The firm has three acceptable options in regards to answering the compliant accounting system (when applying for all compensation types):
    - Say "yes" to all five questions
    - Say "yes" to the last question, expressing a willingness to get a compliant accounting system upon contract award and "no" to the other questions, since the firm doesn't yet have a compliant accounting system
    - Say "yes" to the first four questions, and "no" to the last one, since their system is already compliant

**Note: Firms unable to meet these requirements, can opt to apply for contracts utilizing the Specific Rates or Cost per Unit Work which doesn't require a compliant accounting system or the need to get one.**
- **OTHER ISSUES**
  - **LOCATION** - The firm didn't enter the number of employees for every location
  - **PROJECTS** - The firm failed to provide at least one project completed by the firm over the past 1-5 years. Indicate if you were the prime or the subconsultant. Firms may include projects that aren't complete, but must indicate the projects aren't complete in the "Explain any extenuating circumstances" memo field located on the final Submittal page.
  - **LICENSING** - The firm didn't have the proper BTS license and/or employee(s) with proper licensing for certain work types, such as Civil Engineering, etc.
  - **ATTACHMENTS**
    - Firms failed to provide the correct information in the attachments as specified in the ECS Prequalification Training Manual
    - Attachments are in a file type other than .pdf that cannot be opened by ECS
    - Transmittal letter is NOT on letterhead or is missing part of the required verbiage

**NOTE: Consultants should reference the [Prequalification Application Instruction Manual](#) for more information.**