ADOT

Engineering Consultants Services

Online Prequalification Application Training Manual

eCMS Prequalification Module Training Manual
Table of Contents

Introduction to the online Prequalification Application Module	Page 2
Part 1 – General Information Tab	Page 3
Part 2 – Technical Capabilities	Page 8
Part 3 – Licenses & Registrations	Page 11
Part 4 – Financial Information	Page 13
Part 5 – Required Attachments	Page 15
Part 6 – Submit Application	Page 18
Part 7 – The Approval Process	Page 19
Part 8 – Disqualification	Page 20

Introduction

The online Prequalification Application is integrated as an online submission module of the electronic Contract Management System (**eCMS**). This online web application allows consultants to submit a Prequalification Application in order to become eligible to submit Statement of Qualification (SOQ) proposals for future work with ADOT. A firm's submittal of a prequalification application notifies ECS of the firm's interest in performing consulting work with ADOT, indicates the type of work the firm is offering and demonstrates the firm's qualifications and capacity to undertake such work.

The prequalification period covers a two-calendar year timeframe from January 1, 2016 through December 31, 2017. There is no deadline for prequalifying, so a firm may submit a Prequalification application online at any time throughout the prequalification timeframe. An SOQ proposal cannot be submitted until a firm's prequalification application has been approved. When a firm submits an online prequalification application, ECS is immediately notified and the firm's prequalification submitter will receive an email receipt confirming that the application was received. It generally takes 10 business days from the day the application was submitted, for ECS to provide an approval or disapproval of the application and for an email notification of the application status to be sent to the prequalification submitter of the firm. If the application is not approved because of missing information, the consultant can make the requested revisions to the application and resubmit the application to ECS. If the application is not approved, but the condition of the disapproval changes down the road, a consultant can reapply at a later time. Applications can be submitted until December 16, 2017, when there is no longer time for a consultant to be approved for an SOQ in the current timeframe.

Once a firm's application is approved, the firm's primary contact will be added to the ECS e-distribution list to receive courtesy email notification from ECS for Informational Bulletins, roles changes, etc. The ECS Prequalification list will not be used to send notification of future contract solicitations. Firms should not solely rely on these notifications. Consultants are primarily responsible for regularly checking newspapers and/or visiting the ECS website Advertisements page or up-to-date information on SOQ solicitations.

Consultants are encouraged to read the Prequalification Preparation checklist to ensure they have all of the required information gathered together to complete the prequalification application. Go to Consultant Prequalification for resources to help make your prequalification experience easier.

Prime consultants are required to be prequalified. **Subconsultants are not required to be pre-qualified, but are encouraged to do so. If applying as a Subconsultant, please make note of this in the comments box on the submittal page.**

TECHNICAL NOTES: The Prequalification Module was designed for Microsoft Internet Explorer (8.0 and 9.0). While it may work in other browsers, you may encounter some minor functionality issues. For this reason, ECS strongly recommends that you complete your prequalification application utilizing Internet Explorer rather than other popular browsers. The ECS Prequalification webpage has a "Prequalification Known Technical Issues" document to help us communicate any technical issues, should they arise. to Prequalification Known Technical Issues

Getting Started – New Consultants
New Consultants, who have not applied for prequalification in the past, will be given the option to apply for either the current prequalification period or the new prequalification period. Once approved for the current period, the firm can apply for the upcoming prequalification period also. Information from the previous prequalification period is copied over to the new prequalification application and just needs to be updated.

Note: *If you intend to apply for both prequalification periods, make sure you apply for the previous period first. If you apply for the upcoming period first, you will NOT be able to apply for the previous period, without having to reapply for the new period also.*

Getting Started

Consultants who prequalified in the current period will have their data transferred to the new prequalification application automatically to simplify the prequalification process. Consultants will need to update existing information as well as add any newly required information. Information to be updated will include updating contact information, removing employees who are no longer with the firm, etc. New information to add will include adding projects from the past two years, adding financial information from the past two years, etc. A new version of each of the required documents is also required.

Please be aware that the first time you access the new prequalification application, it may take a few minutes to launch because the information is being copied from your existing application to the new one. DO NOT try to restart the webpage or hit the "Back" button to return to the previous webpage, because you could cause issues with the data transfer. If data doesn't transfer it will need to be manually entered again.

General Information Tab

Part 1 – Step 1:

The General Information Tab has four possible sections to be completed: 1) The main "General Information" section, which displays the firm name, 2) the "Firm Other Names" section (which only appears if you indicate your firm used a different name in the past 5 years), 3) the "Contacts" Tab, and 4) the "Locations" Tab.

Based on your CRYPTOCard or Password access, the Consultant name will be prepopulated. This name MUST match the name you have registered with the Arizona Corporation Commission. If the name in our system doesn't match, your firm's prequalification application will be rejected without any further review. If your name needs to be updated, please contact ECS. Your firm MUST be in "good standing" with the Arizona Corporation Commission at the time your prequalification is submitted. (This applies to out-of-state firms too.) Your firm's Arizona Corporation Commission profile will also be used to confirm the following: the year your firm was established, the Type of Ownership, and if your firm is an Arizona Owned firm or Out of State firm. Note: if your Firm was established prior to 1900, enter 1900 as the year.

Enter your firm's ADOT UTRACS Registration number. To search for your firm's UTRACS number, or for more information on how to obtain a UTRACS Registration number, go to http://azdot.gov/VendorRegistration or call the Business Engagement and Compliance Office (BECO) for more information at (602)712-7761. ECS will not answer questions about UTRACS registrations.

Enter the remainder of the questions on the entry form, making sure to answer every question.

Note: Whenever, you answer "Yes", the form field next to question becomes a required field. Click the "Save General Information" button at the bottom of the page to save the information. Figure 1

Home | Instructions | General Information | Technical Capabilities | Licenses & Registrations | Financial Information | Required Attachments | Submit Application

CONSULTANT PREQUALIFICATION GENERAL INFORMATION(2016 - 2017)

Edit Consultant General Information

Firm Other Names | Contacts | Locations |

Click links to navigate to the other portions of the General Section

Firm Other Names link shows only when you answer "Yes" to "Conducted Business under other Names in Past 5 Years"

Parent Firm Submittal ◉ Subsidiary Submittal ○

Firm Name z_BARB_CONSULTING Year Established 2008

Arizona-Owned Firm ◉ Out-of-State Owned Firm ○

ADOT (UTRACS) Registration # 899028592783-9LK

Type Of Ownership Corporation

AZ Certified Small Business ◉ Yes ○ No If Yes, Small Business Certificate # 54604 6ea4f+ a6er04

Prequalified with ADOT/ECS During Last Prequal Period ◉ Yes ○ No

Ever Been Denied or Disqualified Before ○ Yes ◉ No If yes, provide details

Previously Prequalified Under Different Name ○ Yes ◉ No If yes, provide details

Conducted Business Under Other Names in Past 5 Years ◉ Yes ○ No

Current Name 80 Year(s)

Click Save General Information

Save General Information

Figure 1 – First screen of the General information Tab. All fields are required.

Part 1 - Step 2:

General Information Tab - Consultant Previous Names List. If you answered "No" to the question "Conducted Business under other names in the past 5 years", you may skip Step 2 and advance to Step 3, the "Contacts" page. If you answered "Yes" to the question "Conducted Business under other names in the past 5 years", the Firm Other Names link will appear at the left and you must provide information about the previous name(s) your firm has used. (Figure 2) When you first advance to the screen in Figure 2, the message will read "No Consultant's Previous Name(s) exist. Click the "Add New Consultant Previous Name" link to enter the information about any previous name(s) your firm has used in the past 5 years.

Home | Instructions | General Information | Technical Capabilities | Licenses & Registrations | Financial Information | Required Attachments | Submit Application

CONSULTANT PREQUALIFICATION PREVIOUS NAMES LIST (2012-2013)

Consultant Previous Names List

| General Info | Contacts | Locations |

Add New Consultant Previous Name

List of Consultant Previous Names Used Within the Past 5 Years:

Previous Consultant Name	Year of Name Change	Associated DUNS #	Action

No Consultant's Previous Name(s) exist. Click the link above to Add.

Figure 2 – General information Tab – Consultant Previous Names List. Display is empty except for message until information is entered by the firm.

On the Enter Consultant Previous Name Information screen, enter the Previous Consultant Name, the Name Change Year, and the Associated DUNS number, if applicable. Note: If you had a DUNS number associated with the name, you must provide it, even though the field is optional. Click the "Save Previous Name Information" button to complete the form. Figure 3

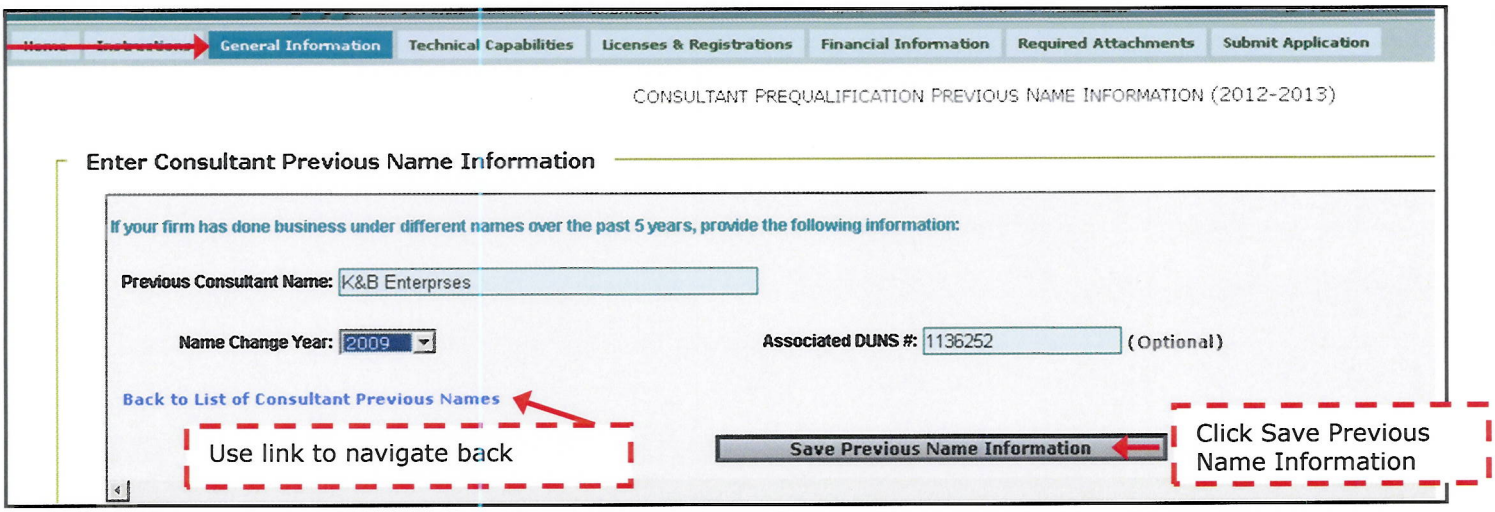


Figure 3 – Enter Consultant Previous Name Information

Once the information is added, you will be taken back to the initial screen and should see the name and other information displayed on the screen. Figure 4. You may add more than one name, if applicable. Click the "Contacts" link to advance to the next portion of the form.

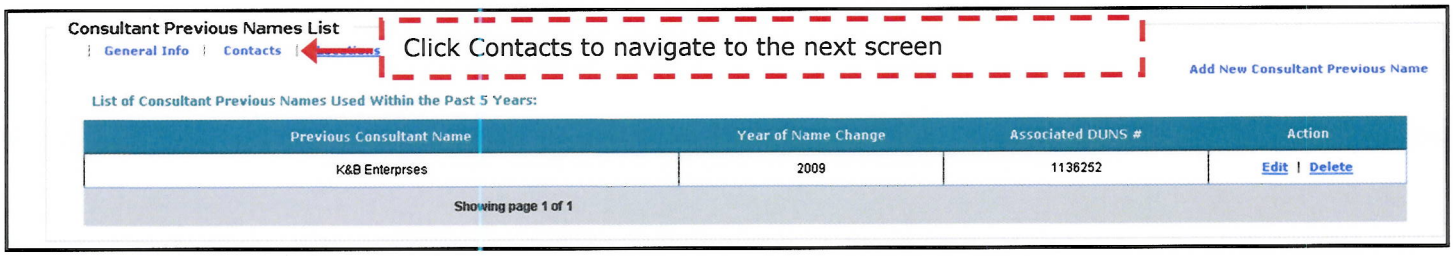


Figure 4 – Consultant Previous Names List – after name(s) have been added

Part 1 - Step 3:
General Information Tab - Consultant Contact List

When you first arrive at the Consultant Contact List, there should be no contact data displayed. Click the "Add New Consultant Contact" to add new contact information. Figure 5

Figure 5 – Consultant Contact List with no contacts added

Part 1 - Step 3:
General Information Tab - Consultant Contact List (continued)

A contact form will open and you can add a new contact. Figure 6 A valid Prequalification Application requires a minimum of one of six Contact Types, including: Owner/Principal, Officer, Fiscal Officer, Authorized SOQ Signer, Firm Primary Contact, and a Prequalification Submitter; therefore you will need to complete this form a minimum of six times. **You will not be able to submit the prequalification application unless all of the required contacts are entered.** The Insurance Contacts are appreciated, but not required.

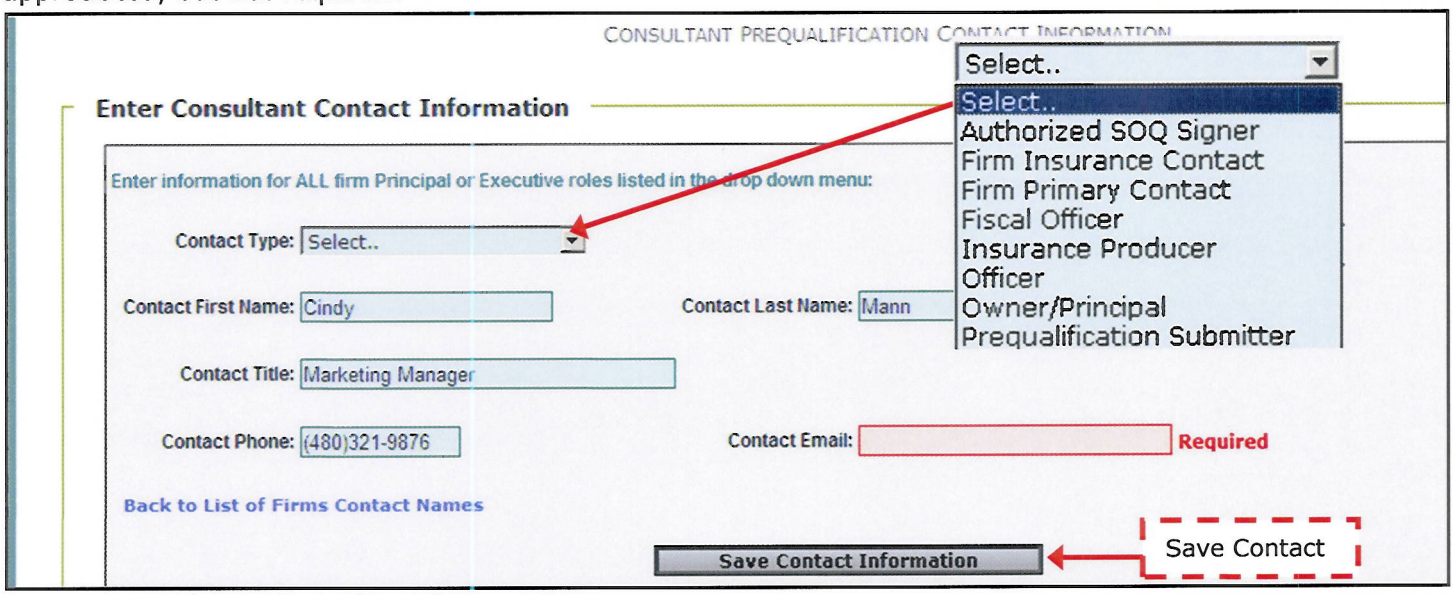


Figure 6 – Add New Consultant Contact Form

Select the contact type and enter in the requested information. Every field is required, so make sure to fill out the form completely. If you miss a field, you will be prompted that it is a required field. You may assign the same person as two different contact types if you like as well, but you will have to complete the contact information again. Only the primary contact will receive ECS notifications and will be responsible for forwarding to others in your organization. You may assign more than one person as the primary contact if this presents issues for your firm, but it is recommended that you only have one. Click Save Contact Information each time you have completed the form. You will be taken back to the Consultant Contact List page and should see the name added to the updated Consultant Contact List. Figure 7

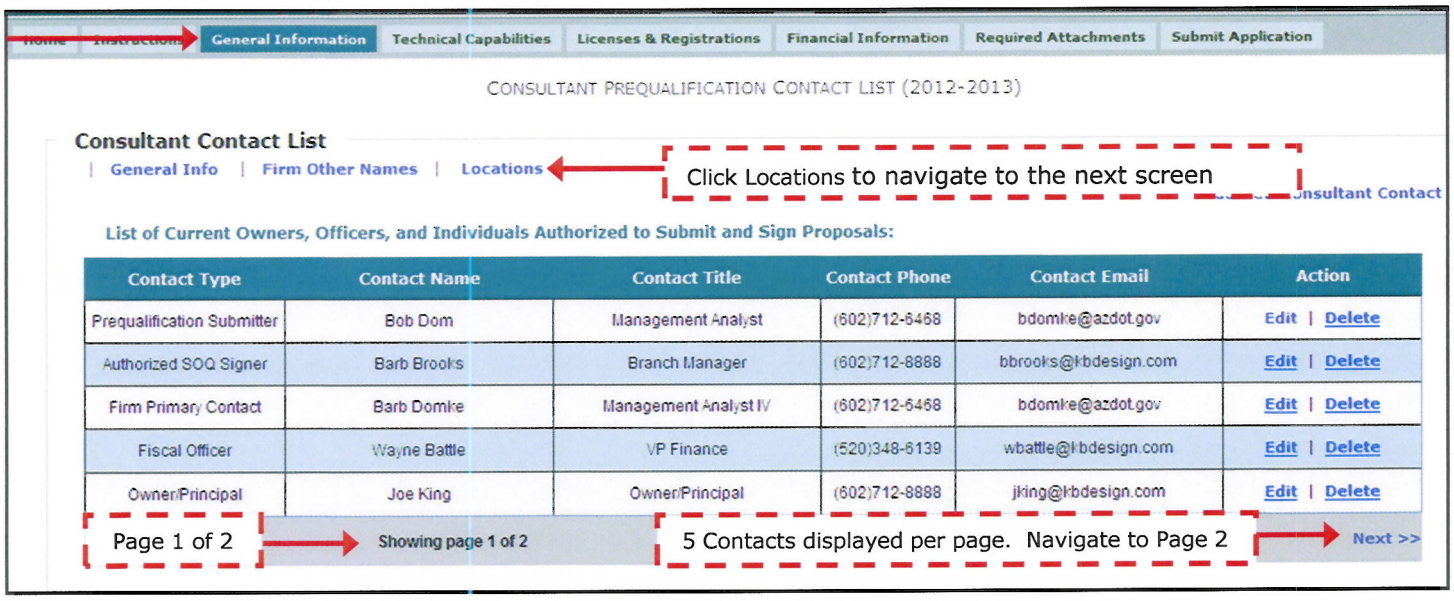


Figure 7 – Completed Consultant Contact List – (Note: only 5 contacts display on Page 1)

Part 1 - Step 3:
General Information Tab - Consultant Contact List (continued)

Note: If you prequalified in the last prequalification period, you will see the contacts from your previous prequalification and your firm can update the contact information for anything that has changed. You can add, delete, or edit existing contacts as appropriate. Also, once approved, you will not be able to make changes to your prequalification application with the exception of the contact information. At any time during the two year prequalification timeframe, firms can update their contact information, so ECS can maintain accurate information. It is the Firm's responsibility to keep this contact information accurate.

Part 1 - Step 4:
General Information Tab – Locations

IMPORTANT...
Make sure you click "Edit" for each location to enter the employee count, enter DUNS # where applicable and to identify your firm's primary location!

Consultant Addresses List

| General Info | Firm Other Names | Contacts |

Please ensure that each location specifies [Number of Employees] by c

List of firm Addresses / Locations:

Primary	Address 1	Address 2	City	State	Zip Code	Number of Employees	Action
No	1236 W. Brand St.		Peoria	Arizona	87095	45	Edit
Yes	1234 Snow Dr.		Flaggstaff	Arizona	89772	22	Edit
No	1234 E. Chandler Blvd.		Chandler	Arizona	85225	14	Edit

Showing page 1 of 1

If the address information auto-populated on this page is incorrect:

- Firms with CRYPTOCard, contact your firm's C.I.R.M. Consultant Administrator(s) [Barb Domke].
- Firms without CRYPTOCard, contact ECS to update your information.

Please ensure the information is updated before proceeding to submit the application to ECS.

CIRM ADMIN is identified

Figure 8 – Consultant Addresses (Location) List

The Consultant Addresses List of Locations is not information that you will populate in the Prequalification Application. This information comes from the address provided with your application for a username and password or for firms with CRYPTOCards, this information is entered and maintained in the Consultant Information and Role Management (CIRM). Firms with CRYPTOCards, have a designated CIRM Consultant Administrator (CIRM Admin) who can add or edit your location addresses as needed. The CIRM Admin is displayed at the bottom of the screen. If you are missing locations or need a location updated, contact the CIRM Admin and ask him or her to add or edit the location(s) in the CIRM Module.

Note: The CIRM Module can be accessed in eCMS by selecting the "My Firm Profile" link at the top of the eCMS menu. If the person can see the My Firm Profile link at the top of the eCMS menu, then they are the CIRM Consultant Administrator. (Figure 9) There are instructions for the CIRM Admin on the Consultant Resources page of the ECS website.

ADOT eCMS Online System

My Firm Profile
Prequalification
Submit Online SOQ
Cost Proposal
Contract Modifications
Task Order
Payment Reports
Evaluations

Arizona Department of Transportation
Engineering Consultants Section

Welcome to the Electronic Contract Management System (eCMS)

The purpose of eCMS is to help firms successfully conduct business with the Engineering Consultants Section (ECS) by facilitating the efficient submission, viewing and management of contracts related processes online.

eCMS has been developed to work best with Microsoft Internet Explorer, version 6 or higher. Although many consultants have also successfully submitted proposals using the Mozilla Firefox browser version 3 or higher, ADOT cannot guarantee successful submissions from firms using

Figure 9 – eCMS Home page with My Firm Profile (indicating the user is the firm's CIRM Admin)

Part 1 - Step 4:
General Information Tab - – Locations (continued)

When the Addresses list contains all of your firm's locations, you are required to "Edit" each location to enter the employee count, the DUNS # if applicable, and to identify which location is the Primary location.

Click the Edit button. The screen shows the "Editable Section" that you can add or edit data for. The Non-Editable Section is the information populated from the CIRM Module. Edit each Consultant Location with the firm's DUNS # (where applicable), the # of Employees at the location, and to indicate if the location is a Primary Location. Click Save Address Information. Figure 10

When you have edited each location, you are ready to start the Technical Capabilities section of the Prequalification Application. Click on the Technical Capabilities Tab on the Top Menu to the right of the General Information Tab.

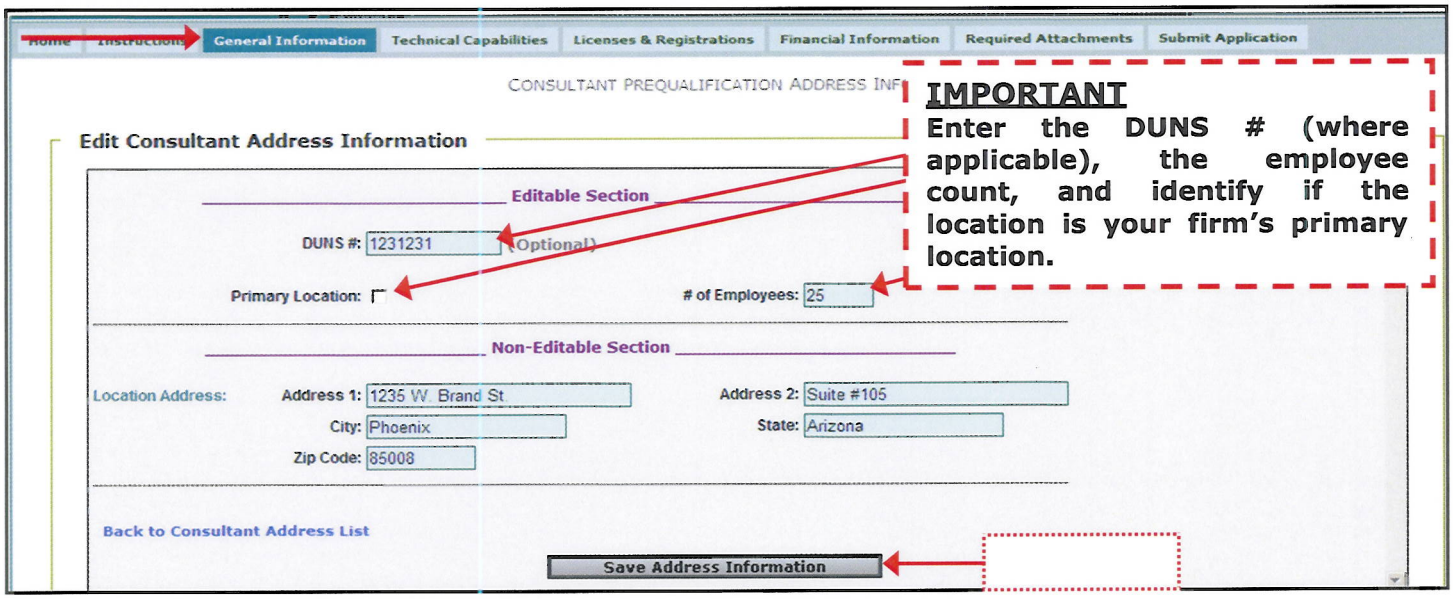


Figure 10 – Edit Consultant Address Page

Part 2 - Step 1:
Technical Capabilities – Main page

The Edit Consultant Technical Capabilities consists of 5 questions about the firms, which are all required fields. Enter the information and click Save. When you click Save, the next link will appear.

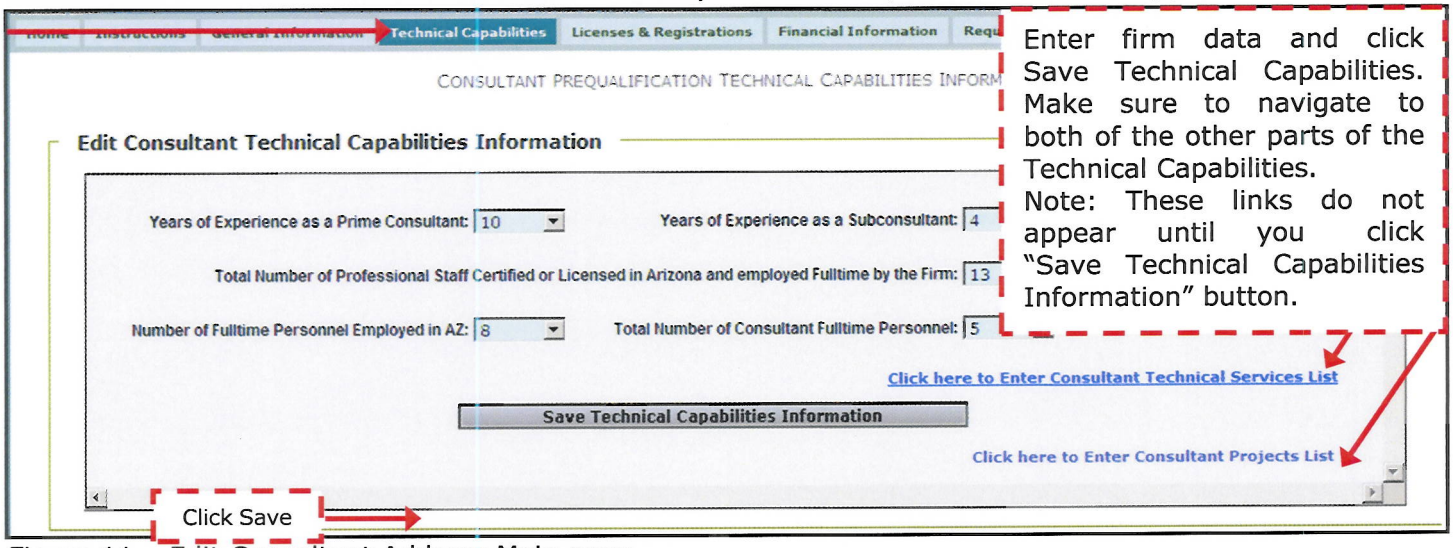


Figure 11 – Edit Consultant Address Main page

Part 2 - Step 2:
Technical Capabilities - Consultant Technical Services List

The Consultant Technical Services List will not have any data the first time you access it. Click the Add New Consultant Technical Discipline to enter the Technical Services your firm is qualified to provide. Be sure to include ALL services/disciplines the firm is qualified to perform and plans to submit SOQ proposals for in the future. Figure 12. Firms who previously submitted an online prequalification application will need to update the information using the "Edit" button.

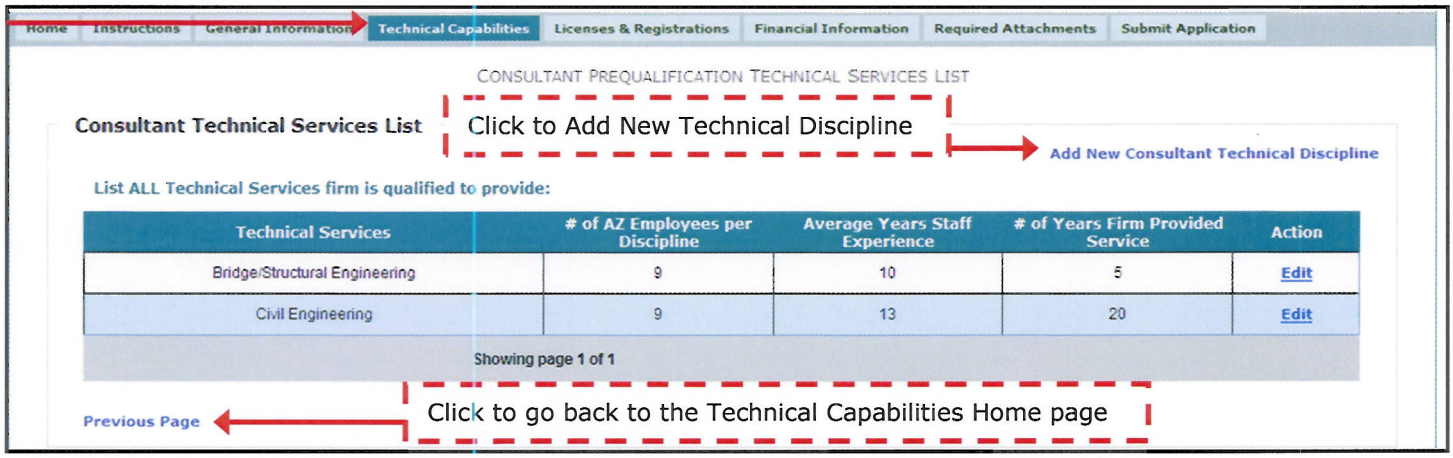


Figure 12 – Consultant Technical Services List

Add New Consultant Technical Service Information – When you click on the Add New Consultant Technical Discipline, the Enter Consultant Technical Service Information form displays. Figure 13. Be sure to complete this form as accurately as possible for each Discipline. All but one field is required, but it is recommended you complete the optional fields as well. When you click Save for a new discipline, you will be taken back to the Consultant Technical Services List and you should see the new Discipline added to the list. A maximum of 5 Disciplines will be displayed, so you may have to use the Next button to advance to the remainder of the list. When you have completed the List, click Next Page to advance to the project screen.

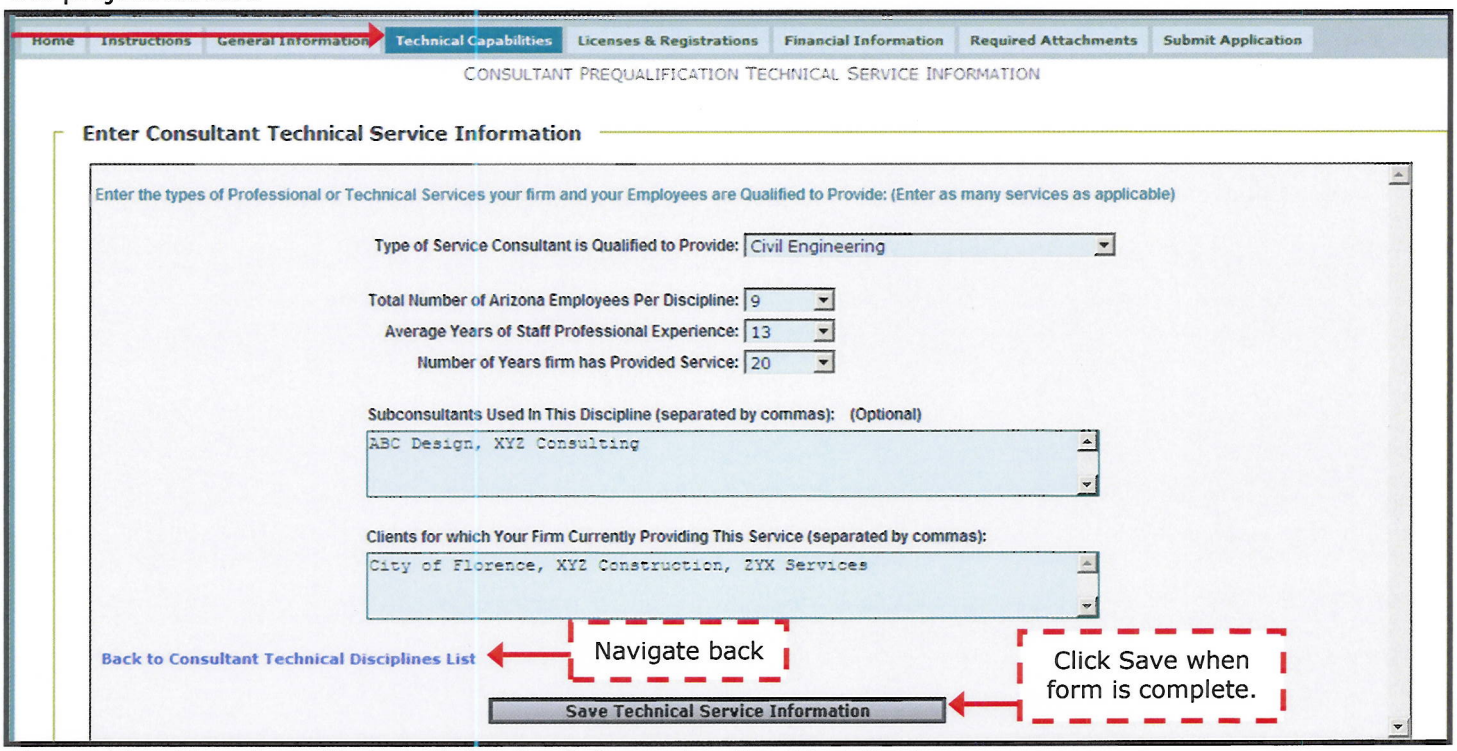


Figure 13 – Consultant Technical Service Information (by Discipline)

Part 2 - Step 2:
Technical Capabilities - Consultant Technical Services List (continued)

When you have added ALL services your firm is qualified & registered to provide, click the Next Page link to go to the Consultant Project Experience List.

Technical Capabilities - Consultant Project Experience List
The Consultant Project Experience list will not have any data the first time you access it. Click the Add New Consultant Project Experience to add Technical Services your Firm offers. (Figure 14)

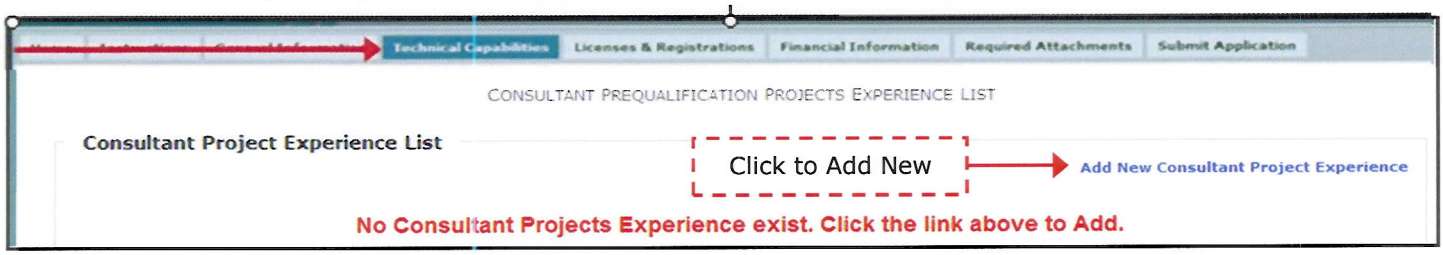


Figure 14 – Consultant Project Experience List

Enter projects *completed* by your firm within the previous 5 years. Be sure to include the Type of Work, the Client Name and a valid Contract #, the Contract Amount, the % of the job that was completed by your Firm, and indicate whether you were the Prime Consultant or a Subconsultant. You must also include reference information. Figure 15 and 16. Click Save Project information and the project should appear on the Consultant Project Experience List.

Important Notes:

ADOT prefers that you identify only completed projects. However, *if your firm does not have many completed projects to disclose or has been involved in a long term project, which is not completed just yet,* you may add the project to the Technical Capabilities project section. Please be sure to specify, under the extenuating circumstances box on the final Submittal page, that the work is not complete before you submit your application.

Sometimes your firm may have done more than one type of work on the same project. However, at this time our application is not equipped to allow you to select multiple types of work for the same project. You will need to add the project again with the other type of work selected to fully demonstrate the scope of work you have done in past projects.

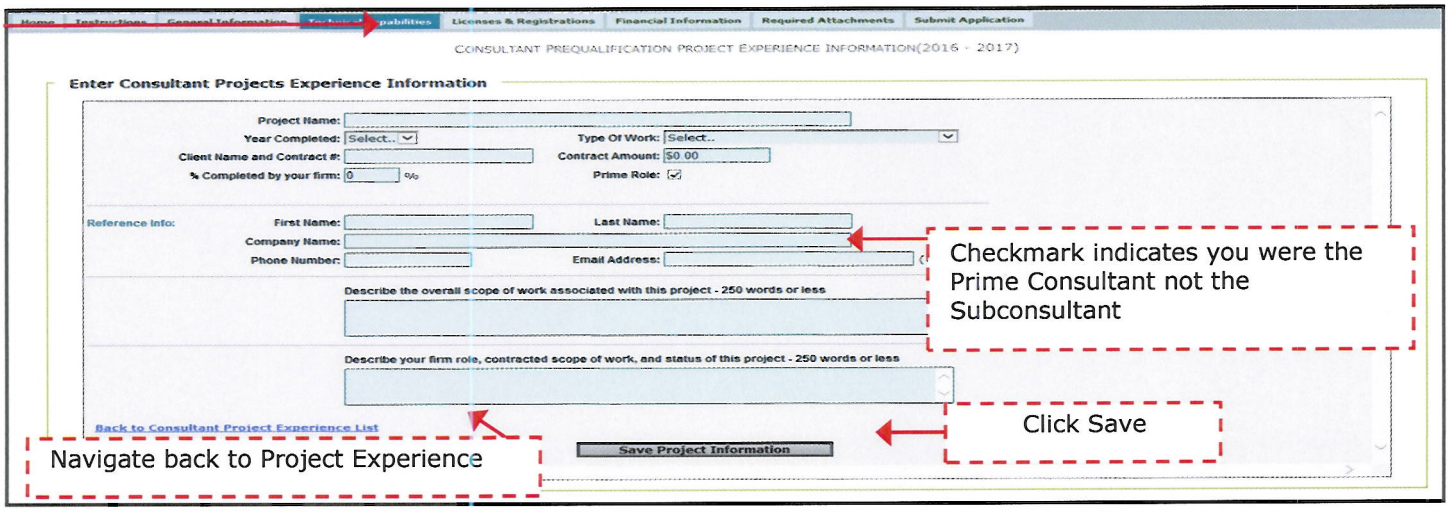


Figure 15 - The Consultant Projects Experience Information Form

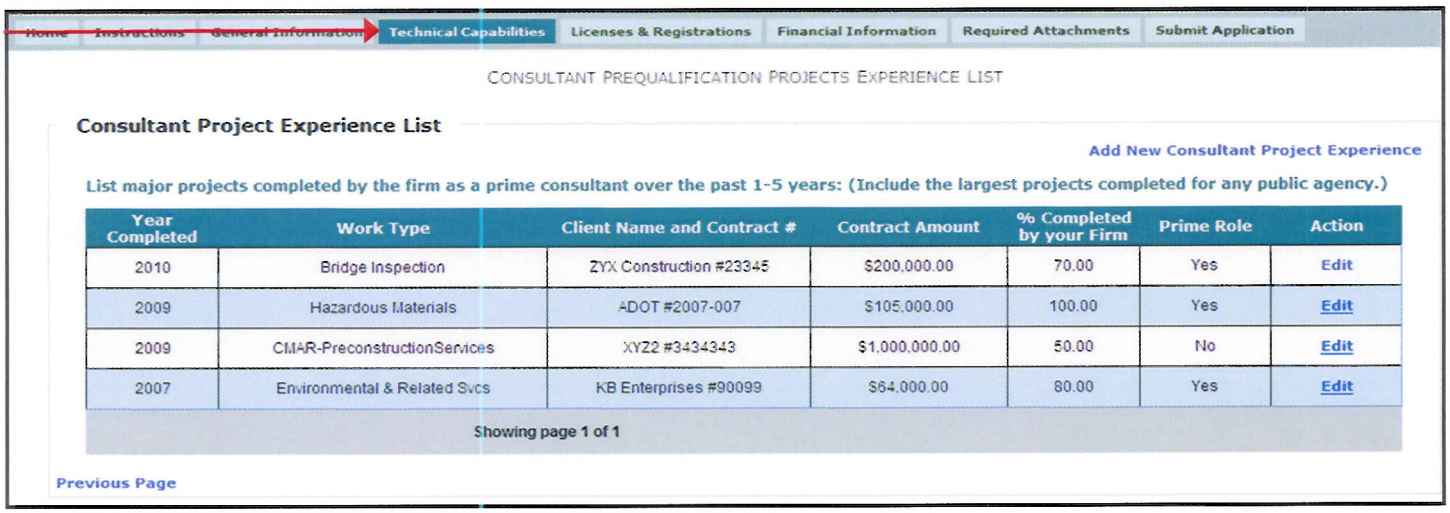


Figure 16 – Consultant Project Experience List with projects

Part 3 – Step 1
Licenses & Registrations – Consultant License / Registration Information

When you have completed the Project Experience List, you will use the Top Menu to access the Licenses & Registrations Section of the Prequalification Application. You must provide any available License & Registration numbers you can for your firm. <u>If your company has an AZ Board Of Technical Registration for more than one location, just provide the license number for the location you identified as your primary location</u>. Complete all applicable numbers that are relevant for your firm. Figure 17 **Note:** When you click the Save button, the Enter Consultant Licensed/Registered Employees Link will appear.

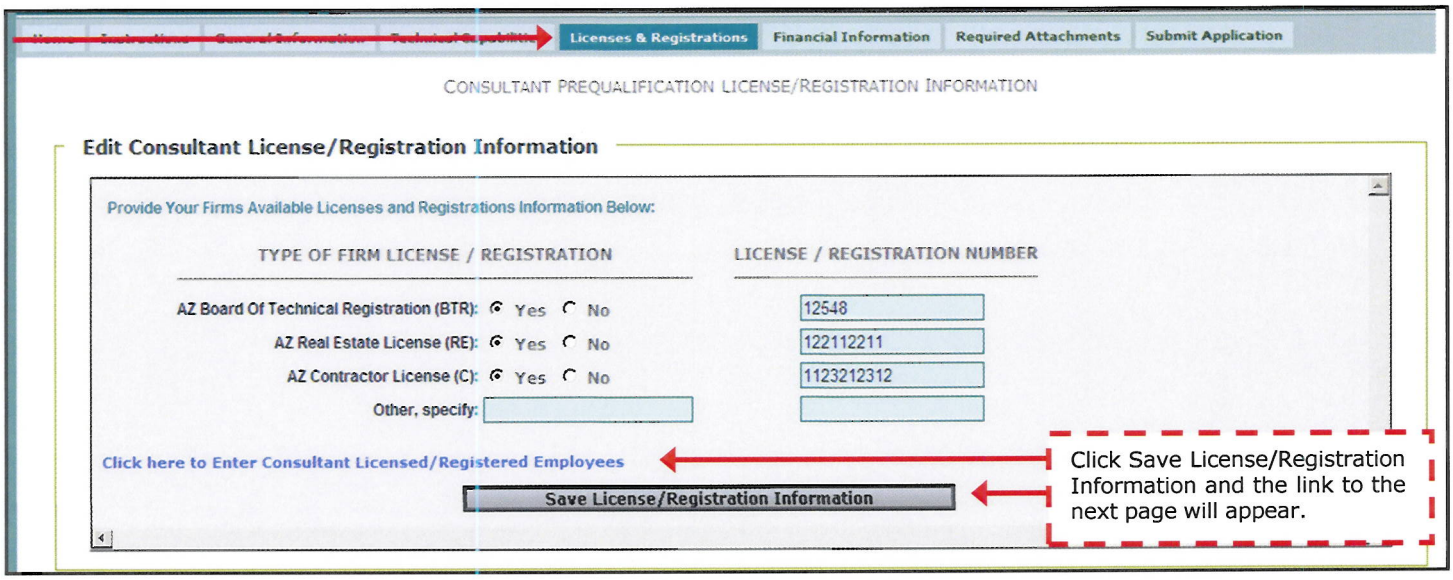


Figure 17 – Consultant Licenses & Registration Numbers for the Firm

Note: The Consultant Licensed/Registered Employee List should display EVERY employee with a license or registration in your firm who is likely to appear on a Key Personnel list. The number of employees listed here is expected to match or exceed the total number you provided for the firm in the Technical Capabilities Main Page. If you listed 12 licensed employees, you should have 12 or more employees displayed on the Employee List.

Click the Add New Consultant link, to add each employee. Figure 18

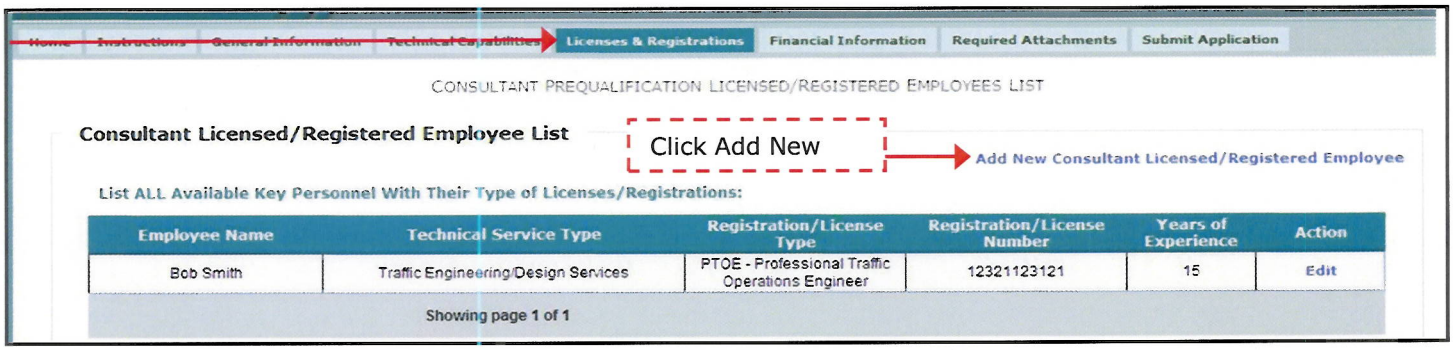


Figure 18 – Consultant Key Personnel Licenses & Registration Numbers

Part 3 – Step 2

Licenses & Registrations – Employees License / Registration Information

Complete the Consultant Employee License/Registration Information form, providing as much information as possible. All fields are required. When you click Save, the application will take you back to the Employee List. If an employee has more than one license you will need to enter them more than once indicating each license they possess. Firms who previously prequalified online will only need to update the information, using the edit button seen in Figure 18

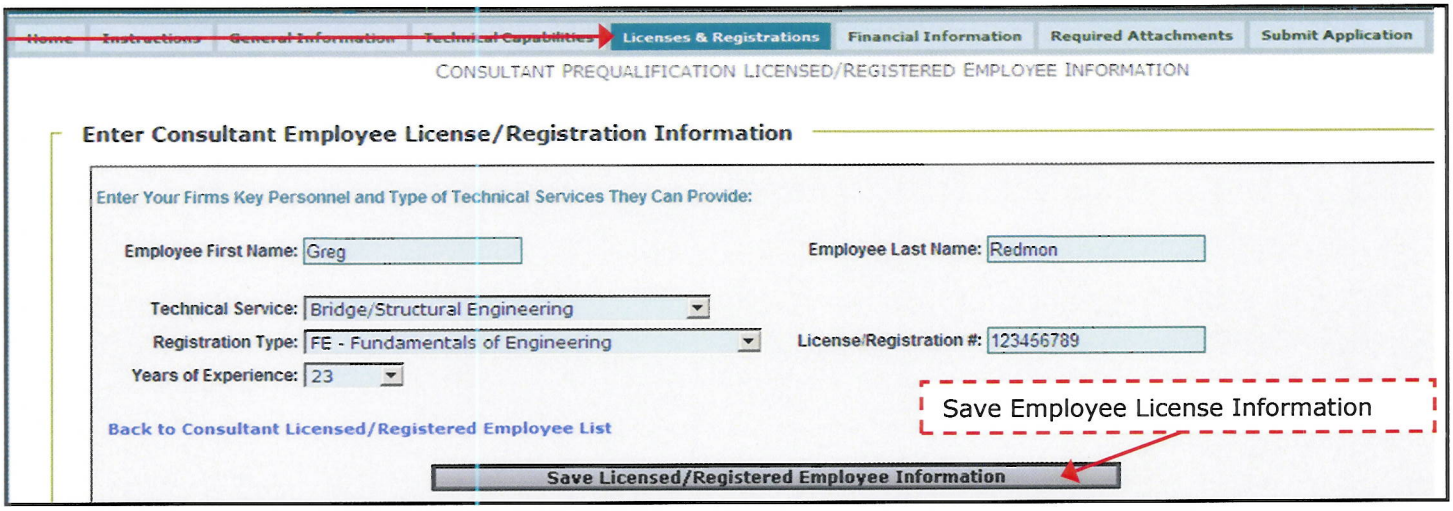


Figure 19 - Enter Consultant Employee License/Registration Information

Table 1 – Licensing Information

ADOT requires that A/E firms, as well as the principal/officer, project managers, and other key personnel, responsible for ADOT contract, be properly and currently registered to practice in the State of Arizona. Consultant shall list employee names, types of technical services an employee is qualified to provide, registration type (**BTR** - Board of Technical Registration, **RE** - Real Estate License and **C** - Contractor License) and registration number of its members registered to practice in the State of Arizona. In addition, the Consultant shall provide the number of years of experience.

For information on Technical Registration for Architects, Assayers, Engineers, Geologists, Home Inspectors, and Land Surveyors, contact the Arizona Board of Technical Registration, 1110 W. Washington Street, Suite 240, Phoenix, AZ 85007, Phone: (602) 364-4930 or visit their website (www.btr.state.az.us).

Table 1 – Licensing Information continued

For information on Real Estate Licensing, contact the Arizona Department of Real Estate, 2910 North 44th St., Phoenix, AZ 85018, Phone: (602) 771-7799 or visit their website (www.re.state.az.us).

For information on Contractor Licensing, contact the Arizona Registrar of Contractors, 3838 North Central Avenue, Suite 400, Phoenix, AZ 85012, Phone: (602) 542-1525 or visit their website (www.azroc.gov).

Part 4 – Step 1
Financial Information

The next Tab on the Top Menu is the Financial Information. Table 2 contains detailed information about the financial requirements and documents that should be provided.

Table 2 – Financial Requirements

If Consultant is to be reimbursed for final indirect costs via a compliant overhead rate, Consultant shall demonstrate its financial viability and confirm that the firm has a thorough understanding and knowledge of the components of a compliant accounting system that meets Federal Acquisition Regulation (FAR) Part 31.

Consultant shall validate its financial viability by completely and accurately completing the following information:

- Fiscal year end
- A monthly Progress Payment Report (PPR)/Invoice Due Date, which is intended to be a date each month that the firm is committing to submitting payment invoices to ADOT. This information is also included in all ECS Contracts beginning July 1, 2011. This information is important to help ensure that firms submit monthly payment reports in order to meet prompt payment requirements and federal DBE requirements. Also, ECS plans to implement an online payment module in the future that will rely on this date, so carefully select the date you intend to use as this date will be included in all of your firm's contracts with ADOT.
- Annual A/E services fees/revenues for the past five (5) years
- Annual net income for the past five (5) years
- Consultant shall list any unallowable cost categories that are generally segregated or excluded from overhead as well as explain any extenuating circumstances if the Consultant is unable to furnish audited financial statements.
- Consultant shall attach the most recent audited, reviewed or complied financial statements, prepared by a certified public accountant, including the audit opinion, if applicable, Balance Sheet, Income Statement, Statement of Cash Flows, Statement of Retained Earnings/Equity and notes to the financial statements, as well as other supplemental information (if any), related to the financial statements. **The financials shall be dated within 15 months prior to submittal of the prequalification application.**
- All firms shall provide evidence that it has a compliant accounting system in accordance with the Generally Accepted Accounting Principles (GAAP), FAR Part 31, applicable Cost Accounting Standards (CAS).
- Firms who do not wish to meet the requirements of a compliant system, may select the option for specific rates and cost per unit of work compensation types instead of applying for ALL contract compensation types.

Part 4 – Step 1
Financial Information

To access the Financial Information page, the firm must have designated a Fiscal Officer entered in the Contacts. The web form must be filled out completely. All fields are required except for the last field. Figure 20 Reference Table 1 for more information regarding the Financial requirements.

When you have completed the page, click the Save Financial Information. Note: If you indicate that your firm plans to only utilize Specific Rates or Cost Per Unit of Work compensation types, the five questions in the middle of the form, will be disabled and are not applicable. If your firm wishes to apply for contracts utilizing overhead based compensation, then you must answer the questions about your accounting system as well as agree with the terms of FAR Certification Agreement. If your system is compliant, you will be able to answer yes to the first four questions. If you say no to even one of the 4 questions, you must indicate a willingness to establish a compliant accounting system within six months of contract award. If you cannot meet these requirements, you must select the Specific Rates or Cost Per Unit of Work option instead.

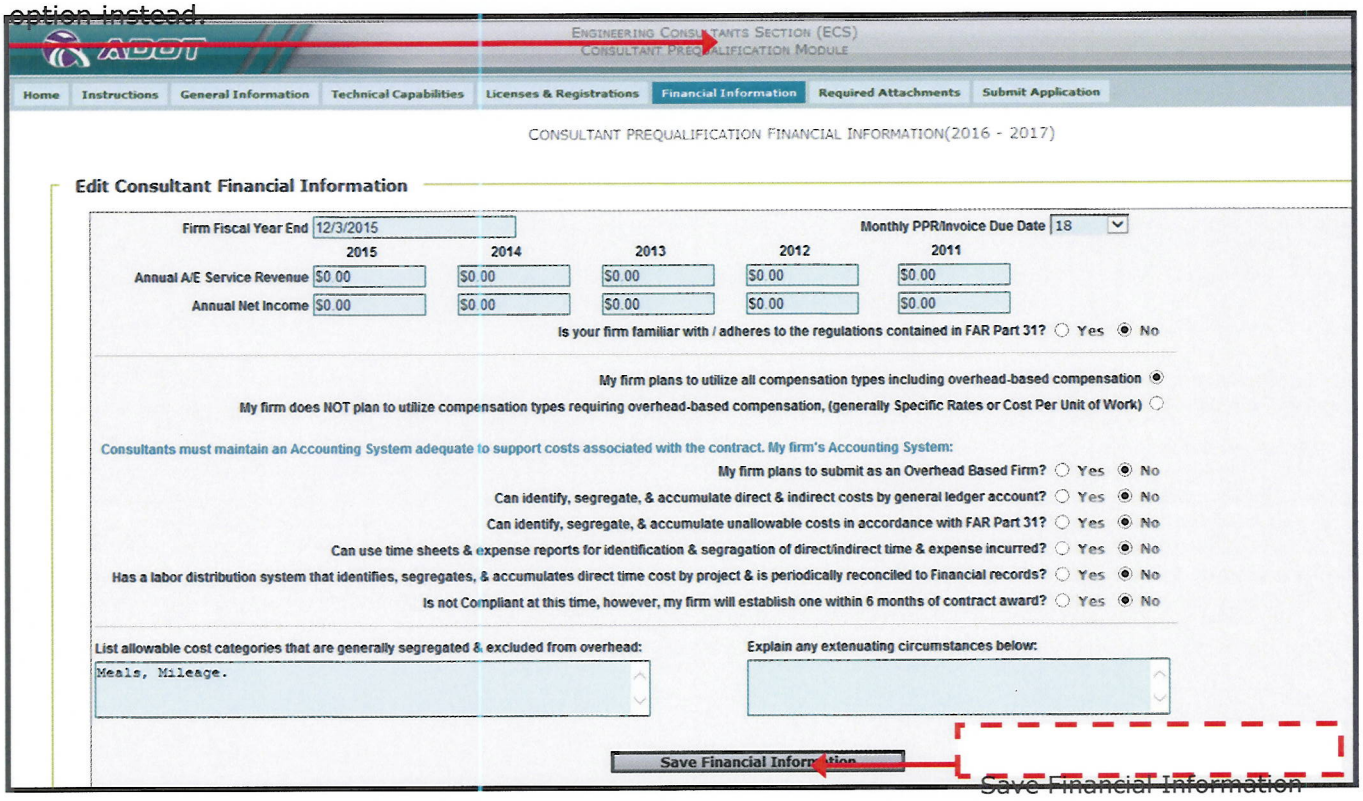


Figure 20 – Consultant Financial Information page

Part 5 – Step 1
Required Attachments

When you have completed the Financial Information, use the Top Menu to navigate to the Required Attachments Tab. When you access the Required Attachments, there will be no documents attached. Use the Upload New Required Attachment to add the required documents. Figure 22 Note: Firms who prequalified online in the past will still need to attach the required documents. Documents from the previous Prequalification period WILL NOT carry over.

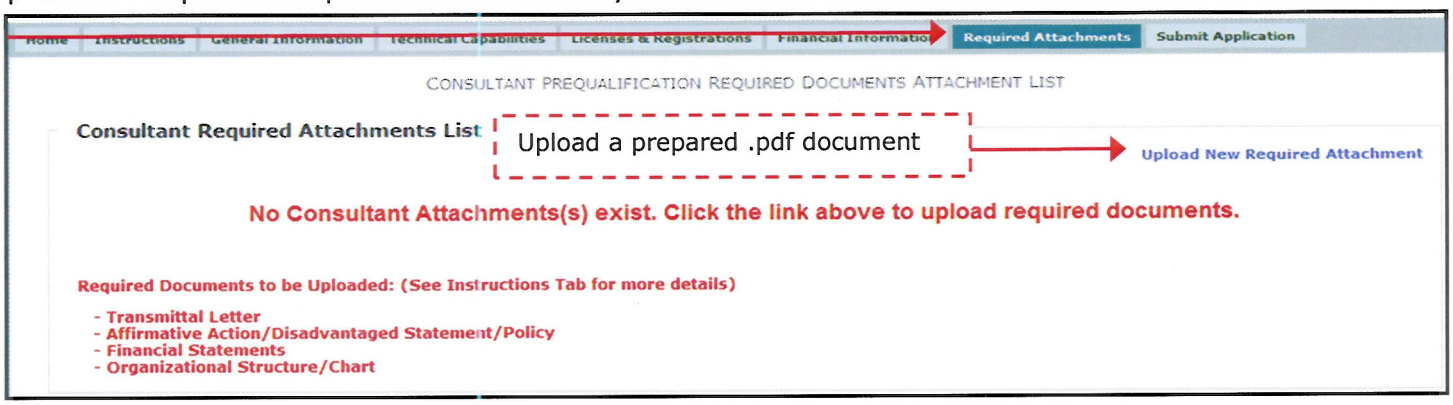


Figure 21 – Consultant Required Attachments List

The required documents include the following: An Affirmative Action/Disadvantaged Statement/Policy, a Transmittal Letter, a Financial Packet (refer to Table 1), and an Organization Structure/Chart. A word template for the Transmittal letter is available on the ECS prequalification page. For information regarding the Financial Requirements, reference Table 2 on page 13. Tables 3, 4, and 5 provide further information regarding the content requirements for these documents.

Table 3 - Affirmative Action Statement

Affirmative Action/Disadvantaged Business Enterprises: Upload a copy of Consultant's policy and/or a statement regarding Affirmative Action and use of Disadvantaged Business Enterprises (DBE). Consultant shall ensure that the following statement is incorporated in its Affirmative Action Plan:

Equal Employment Opportunity Policy Statement: *It is the policy of this company not to discriminate against any employee, or applicant for employment, because of race, color, religion, creed, national origin, sex, age, disabilities, or disabled veterans and Vietnam era veterans. Such actions shall include, but are not limited to, employment, upgrading, demotion, transfer, recruitment, or recruitment advertising; laying-off or termination; rates of pay or other compensation; and selection for training, and on-the-job training. Also, it is the company's policy to ensure and maintain a working environment free of harassment, intimidation and coercion.*

Consultant wishing to be considered as DBEs may request information from Arizona Department of Transportation, Business Engagement and Compliance Office (BECO), 1135 N. 22nd Avenue, 2nd Floor, MD 154A, Phoenix, Arizona 85009, or by calling (602) 712-7761; FAX (602) 712-8429.

Table 4 – Organizational Structure / Chart

Organizational Structure: A copy or listing of the firm's corporate organizational structure showing the parent company, subsidiaries or affiliates - firms interrelated in any manner to the firm, specifically architectural, professional engineering and construction firms. If a corporate organizational structure is not applicable, a statement to that effect shall be made (e.g., ABC Consulting is a sole proprietorship and not related to any other firms in any manner).

Do not include resumes or project samples or other documents not requested. ECS will not review any additional documents not requested.

Part 5 – Step 1 - Required Documents (continued)

Table 5 - Sample Transmittal Letter

All prequalification applications should include a transmittal letter similar to the sample below on company letterhead and must be signed by the owner/corporate officer. The letter shall include the following statements and/or certifications exactly as written below:

Your Company Letterhead

(Date)

Arizona Department of Transportation
Engineering Consultants Section
Attn: Michael DenBleyker, Manager
205 S. 17th Avenue - Mail Drop 616E
Phoenix, AZ 85007-3213

RE: 20XX-20XX Consultant Prequalification Application

Dear Mr. DenBleyker:

_____***(Company Name),*** is pleased to submit this ***new/renewal*** prequalification application to the Engineering Consultants Section (ECS) of the Arizona Department of Transportation (ADOT)._____***(Company Name)*** _____***(include information about your company that you want ADOT to know).***

_____ ***(Company Name),*** certifies that all statements and supporting documentation submitted in this application package are true and correct to the best of its knowledge as of the date of this submittal and includes all material information necessary to identify and explain the operations of said firm._____***(Company Name),*** authorizes and requests any person, agency or firm to furnish pertinent information requested by ADOT deemed necessary to verify the statements made in this application. This certification constitutes a material representation. Any misrepresentation will be grounds for denying or revoking prequalification of_____***(Company Name)*** and for initiating action under federal and state laws concerning false statements.

I,_____***(Owner/Corporate Officer)***, certify that as an officer of this firm, or pursuant to the attached letter of authorization, I am duly authorized to certify the information requested herein.

_____ ***(Company Name),*** shall comply with all state and federal equal opportunity and Non-discrimination requirements and conditions of employment in accordance with A.R.S. Title 41 Chapter 9, Article 4 and Executive Order No. 99-4 dated March 26, 1999.

_____ ***(Company Name),*** herein certifies that neither our firm nor its principals have a current or pending Federal Highway Administration (FHWA) suspension or debarment action, ineligibility, voluntary exclusion or conviction, and/or civil judgment, in accordance with FHWA Order 2000.2A: Nonprocurement suspension and debarment process.

Respectfully Submitted,

_____*(Signature)*
_____(Owner/Corporate Officer)
_____(Email Address)
_____(Phone Number)

Part 5 – Step 1 - Required Attachments - Uploading Documents

The system will accept any type of documents; however, we recommend that you convert all documents to PDF. Make sure you have no symbols in the document names, or you may have issues Click the Upload New Required Attachment to upload a file. A web form will open to allow you to upload the document. Figure 21 Select the proper Document Type from the pull down menu, then browse to the source file and Click the Upload File button. When the file is uploaded, the application will automatically take you back to the Required Attachments List and you should see the document displayed in the Current Consultant Prequalification Attachments.

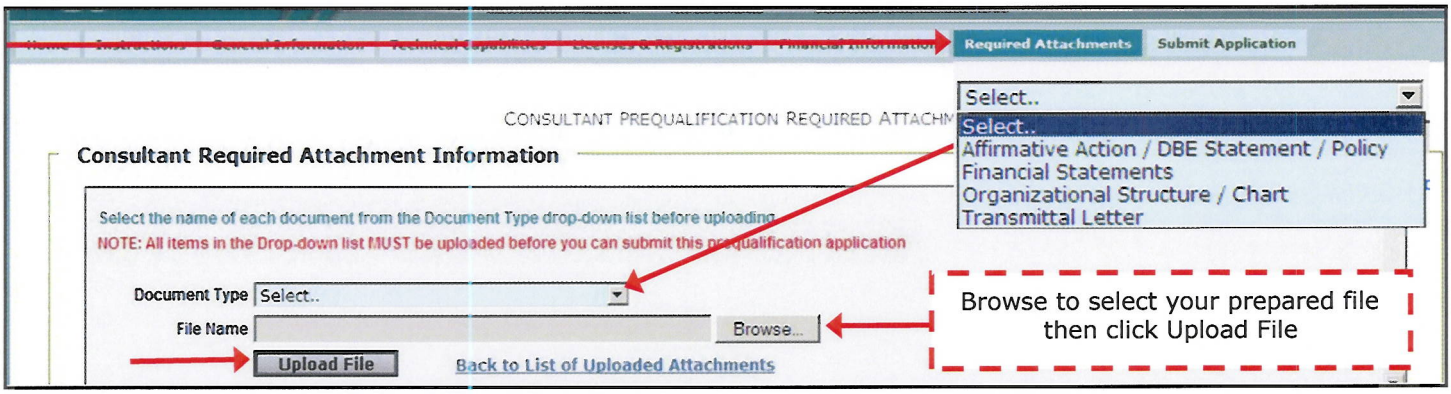


Figure 21 – Consultant Required Attachments List

Part 5 - Step 2: Required Documents – Reviewing Uploaded Documents

A firm can review an attachment or delete an incorrect document at anytime before submitting the final Prequalification Application. Figure 22. Be sure to include all four of the required documents. If you need to submit more than one of any document you can, but ECS would request that you refrain from submitting documents that are not requested.

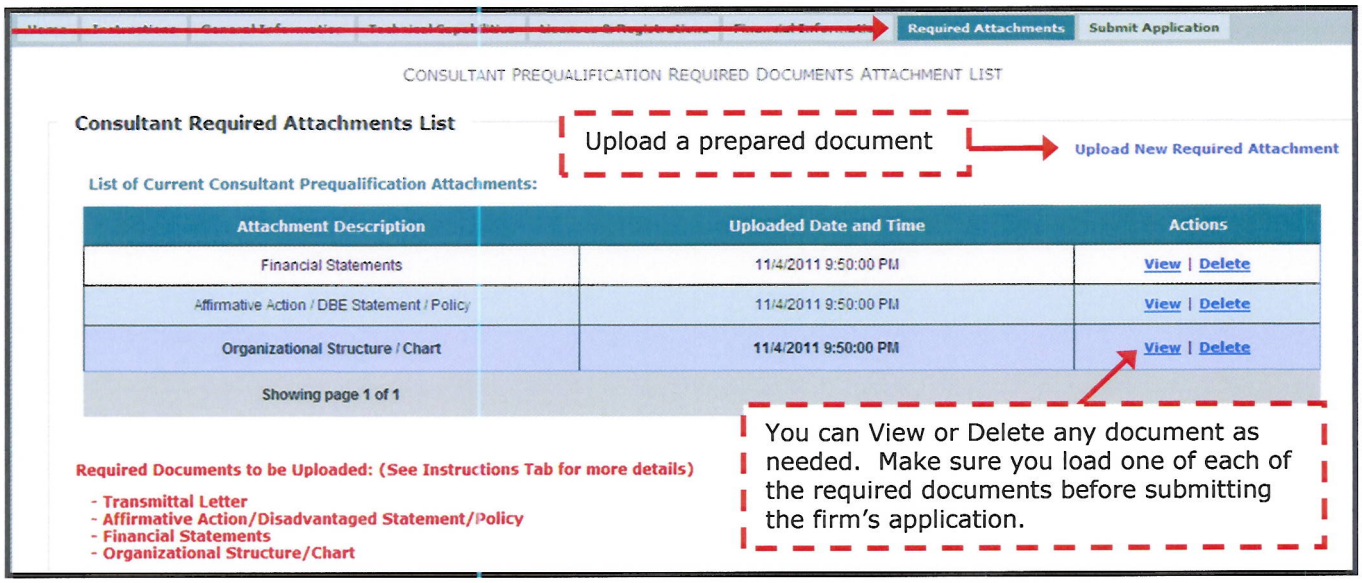


Figure 22 – Consultant Required Attachments List with documents listed

Remember, the Consultant shall attach the most recent financial statements, including the audit report, if available, Balance Sheet, Income Statement, Statement of Cash Flows, Statement of Retained Earnings/Equity and footnote disclosures. **The financials shall be dated within 15 months prior to submittal of the prequalification application. If audited financial statements are not available, the firm shall submit unaudited financial statements and a final Trial Balance, signed by an officer of the firm and stating that the firm's financial statements present fairly, in all material respects, the financial condition of the firm.**

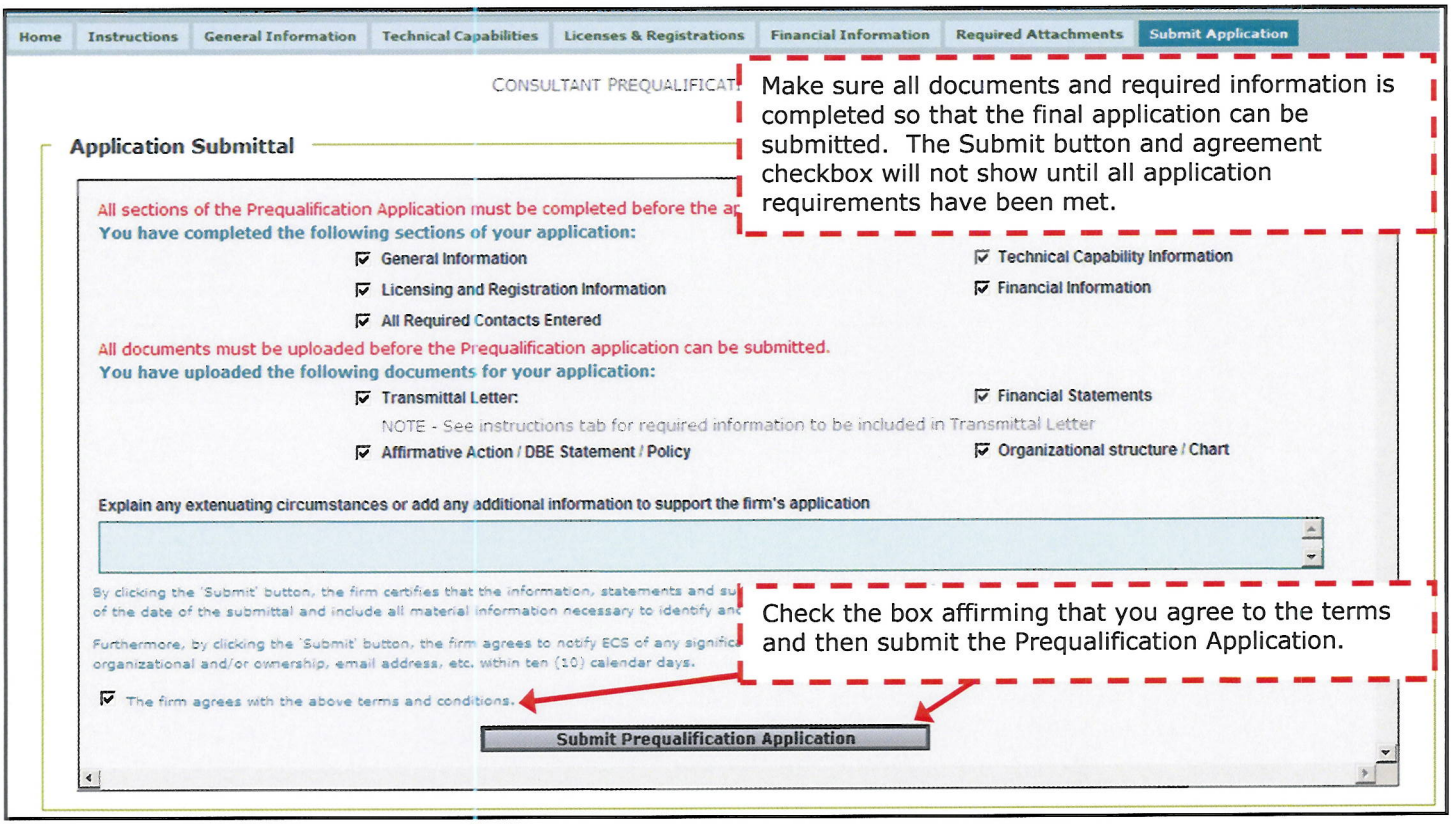
Part 6 - Step 1: Submit Application

The Application Submittal process is simple. The Submit Application page displays all of the required data and attachments, and the system automatically checks off each requirement as it is completed. If any boxes are not checked, go back and complete the missing section(s) indicated before coming back to the Submit Application Tab. Table 6 lists all of the requirements that the application will be verifying.

Table 6 – Consultant requirements for Prequalification Application Submittal

- Sections of the Application to be completed
  - General Information
  - Technical Capabilities
  - License & Registration
  - Financial Information
- Required Documents that must be uploaded
  - Transmittal Letter
  - Affirmative Action/Disadvantaged Business Enterprise Statement
  - Organizational Structure /Chart
  - Financial Statements
- Required Contacts Entered
  - At least one contact must be entered for each Contact Type
  - Information is entered in the General Information section

Note: A firm may also provide additional information or explanation of extenuating circumstances using the optional memo field at the bottom of the Submittal page. Firms who are prequalifying as Subconsultants, Non-Technical Firms with no Licenses, and Firms with estimated or non-audited financials, are among those who should utilize this field.



Once all of the check boxes are checked, the application is ready for submittal. A Submit Prequalification Application button will appear at the bottom of the screen along with an affirmation statement explaining that the firm agrees that all information being submitted is true and accurate. The firm must click the check box which reads "The firm agrees with the above terms and conditions." in order for the Submit prequalification Application button to become active. When the form is active, the firm should click the submit button and the application submittal is complete.

Once the submittal button is clicked, the application is submitted and the firm will no longer be able to make changes. A message will display at the top of the screen, indicating that the Application has been submitted and is awaiting ECS's decision. (Figure 24) An email will also be sent to all of the firm contacts verifying that the application has been submitted.

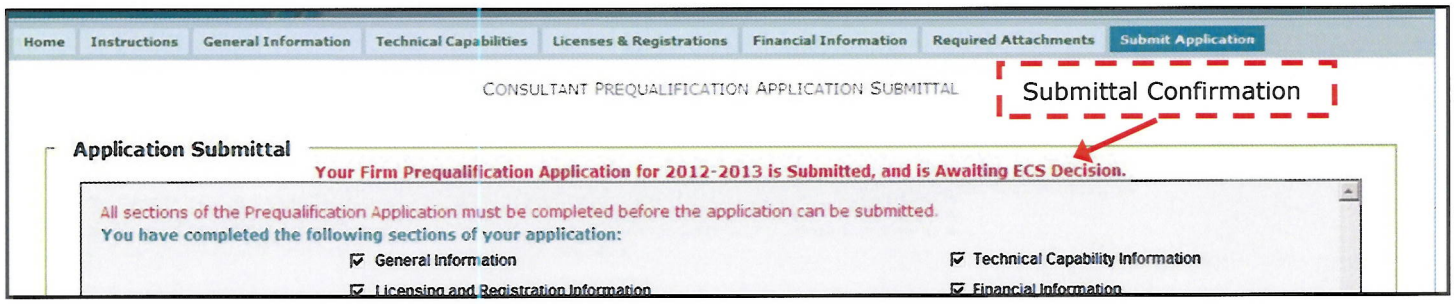


Figure 24 – Top of Submit Application page after submittal showing that the application has been submitted.

Part 7 - PREQUALIFICATION APPROVAL PROCESS

ECS will review the prequalification application for completeness and compliance with the requirements listed in Figure 23. Consultants submitting all of the required information and satisfactorily meeting the requirements shall be approved and notified by email within 10 business days. Prequalified firms shall be retained on the ECS mailing list for ECS notifications of any future contract solicitations.

Consultants not being approved will receive an email explaining why they have been disapproved. It may be a temporary disapproval due to missing/or incorrect paperwork in the submittal application. If the missing/incorrect information is remedied at a later date, the consultant can resubmit the missing paperwork when it is available.

If a consultant is not eligible for prequalification or is disapproved, they will be notified by email within the same 10 business days (This process may take longer, but ECS's goal is to try to process all applications within 10 business days from the submittal date.)

A consultant can also be disqualified after the initial approval. Part 8 details the circumstances for this type of disqualification.

Part 8 - DISQUALIFICATION

Once prequalified to submit SOQ proposals, Consultants may be disqualified from responding to SOQ solicitations for ADOT contracts as a Consultant or Subconsultant for a number of reasons in accordance with Section 2.02 of the ECS Rules.

Reasons for disqualification include, but not limited to the following:

1. Fails to report changes to information submitted in the online Prequalification application.
2. Fails to report changes that affect the firm's contractual obligations, such as a change in key personnel, etc.
3. Fails to report any conditions that could adversely affect the firm's capability to effectively fulfill the terms of the contract.
4. Falsifies any document or misrepresented any material fact in information furnished to the Department.
5. Breaches a current/previous contract or subcontract with the Department, other agencies, other entities or Consultants.
6. Is deemed by ADOT to have made significant or egregious errors or omissions in previous contract(s).
7. Has a documented unsatisfactory work performance record/evaluation history with the Department in the areas of producing quality work, project team issues, completion of work product within established time frame(s), effective communication with the Department, submission of required information, meeting contract terms and conditions, timely delivery of documentation and/or deliverables for closing out a contract, as documented in the Consultant Performance Evaluation.
8. Fails to submit Progress Payment Reports, Contract Modifications and other required contract documents within established time frame(s) documented in the contract documents.
9. Fails to pay Subconsultants or report such payments within the established time frame(s) in accordance with Prompt Pay law and the contract documents.
10. Fails to repay ADOT for overbilled charges based on the results of pre-award or incurred cost audits within time frame(s) established in the contract.
11. Fails to report key personnel change or made unauthorized key personnel change without ADOT approval.
12. Fails to notify ECS of changes within 10 business days of any change in ownership, corporate officers or general partners, relocation of offices, license or registration, major financial conditions such as bankruptcy, receivership, reorganization, or other conditions that could affect the Consultant's capability to effectively fulfill the terms of any contract or subcontract.
13. Is suspended, allows its license to lapse or otherwise become unlicensed to do business in the State.
14. Destroying, damaging or losing accounting records, files, cost proposals, invoices and backup data representing substantial parts or all documents related to the contract in violation of the Records Retention provision of the contract.
15. Repeated serious violations of DBE regulations and procedures.

For further information, please refer to the ECS Guidelines on the ECS website at:
http://www.azdot.gov/business/engineering-consultants/PoliciesandLinks

If any of the above conditions exist, ECS shall notify the Consultant, in writing, of ADOT's intention to disqualify the Consultant and the reason(s) and timeframe of the disqualifications, the required solutions or remedy (if appropriate) and set a deadline for cure. If no progress is made to address the issues within the established timeframe, the ECS Director shall notify the Consultant, in writing, that it has been disqualified from responding to SOQs until such time as the Consultant communicates and is able to demonstrate, in writing, to ECS that it has corrected the issues for which it was disqualified. Consultant may appeal the ECS Director's decision to the State Engineer within ten (10) calendar days of the ECS' notification. **The State Engineer's decision shall be final.**

Disqualification may take one of the following forms:

A. Discipline-Based Suspension or Disqualification from SOQ Submittal – a temporary or permanent loss of Prequalification within a specified discipline which would prevent the Consultant from pursuing any additional work with ADOT within the particular discipline. If the suspension is temporary, a time period must be stated along with action needed by the Consultant to lift the suspension.

B. Full Suspension or Disqualification from SOQ Submittal – a temporary or permanent loss of Prequalification status that would prevent the Consultant from pursuing any additional work with ADOT in any discipline. If the suspension is temporary, a time period must be stated along with action needed by the Consultant to lift the suspension.