



# Maine Department of Transportation

## Submission/Application Instructions and General Information

In accordance with Maine State procurement law, the content of all submittals, correspondence, addenda, memoranda, working papers, or any other medium which discloses any aspect of the prequalification process will be considered public information once the selection decision is announced. This includes all submittals received, whether selected or not, and any information in those submittals that may be considered proprietary in nature. The Maine Department of Transportation (MaineDOT) makes no representation that it can or will maintain the confidentiality of such information.

In order to expedite the review time of Prequalification Applications, all Applications must conform to the following requirements. MaineDOT reserves the right to reject any or all incomplete submittals that are received.

### **GENERAL INFORMATION**

This application process is intended to provide consultants with an opportunity to be considered for prequalification to perform consultant services.

### **CONSULTANT PREQUALIFICATION**

A process of reviewing consultant qualifications to establish prequalified consulting firms who may be hired for work outlined in MaineDOT's three-year work plan. Prequalification status for a particular service acquired through this Application process will remain in effect until the next Department-wide Request for Qualifications (DW-RFQ) process for that service has been completed.

### **VENDOR SELECTION PROCESS**

The list of prequalified consultants will form the foundation of our vendor selection process when awarding contracts with State and/or Federal funding. How we utilize this list of prequalified consultants will be determined by the service requirements and the dollar value of the contract.

- Contracts valued at  $\leq$  \$350,000 may be awarded using a "Simplified Acquisition Process". This allows a Program to select a Firm from the list of prequalified consultants and begin contract negotiations.
- Contracts valued at greater than the above "Simplified Acquisition" limits, up to and including \$1,500,000, may be awarded by ranking a minimum of three firms with a General Consultant Agreement (GCA) <sup>1</sup> /prequalified Firms to identify which is the "most highly

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<sup>1</sup> **General Consultant Agreement (GCA)** – A multi-year umbrella agreement between MaineDOT and a prequalified consultant under which future project contracts may be negotiated through a streamlined selection process. A firm can only be considered for a GCA as part of the Department-wide RFQ process. GCAs are not a guarantee of work; they serve as umbrella agreements that facilitate the award of future project contracts.

qualified”; then contract and price negotiations can begin with that Firm. Examples of ranking criteria include, but are not limited to:

- Past experience providing similar services
- Qualifications of proposed project team
- Current workload
- Contracts Valued at more than \$1,500,000 require an advertised Request for Proposals (RFP), soliciting proposals and utilizing the Brooks Act (a Qualifications Based Selection Process (QBS)) evaluation process; participating firms are not required to have a GCA or be prequalified in order to participate.
- MaineDOT reserves the right to advertise a project specific RFP at any time in place of any of the selection methods outlined above. RFPs are posted on the [MaineDOT Consultant Information Website](#).

## **DELIVERY LOCATION**

- Email your Application and required documents, using the subject line “[Firm Name] Prequalification Application”, to [Prequal.MaineDOT@maine.gov](mailto:Prequal.MaineDOT@maine.gov)

## **SUBMITTALS POSTED ON FTP SITES WILL NOT BE ACCEPTED DUE TO VIEWING LIMITATIONS.**

Each Application received will be acknowledged by an email confirmation receipt; please retain this email for your records.

## **REQUIRED ATTACHMENTS, LIMITATIONS & FORMAT**

Separate files must be submitted in one email, each as its own file. Do not combine required documents as one .pdf. Naming conventions and formatting instructions are as follows:

### **1. Table of Contents**

- Each Firm must submit a Table of Contents as a separate attachment, named ***TableofContents\_YourFirmName.pdf***.
- **The Table of Contents must:**
  - Be on the Firm’s letterhead.
  - List all attachments included in the submittal email.
  - Identify the Service Numbers checked off in **Section 5 “Services Requested for Prequalification Consideration”** of the Application.

### **2. Application**

- Each firm must complete and submit one Application (found on the [CPO Website- Submittal Instructions](#)). The Application must be submitted as a separate file named ***Application\_YourFirmName.pdf***.
- Applications **must** be submitted in the original .pdf format. The documents **must** not be password protected by the Firm.
- The Application must be completed in its entirety and must have the required Authorized Signature from an Officer who can legally bind the Firm.
- Firms must only apply for services that they can execute in-house.

### 3. List of Qualifying Personnel Worksheet

- A List of Qualifying Personnel Worksheet (found on the [CPO Website-Submittal Instructions](#)) must be completed for each OUC-Program a Firm is applying for.
- Each OUC-Program Worksheet must be submitted in its original format, as separate files, named **Worksheet\_FirmName\_[INSERT OUC].pdf**. E.g., **Worksheet\_FirmName-OUC57000**, **Worksheet\_FirmName-OUC75600**.
- **NOTE: If applying for multiple OUC-Programs, the Worksheet file can be downloaded and saved multiple times.**
- **Each Worksheet must:**
  - Include all employees who are expected to perform services checked off in **Section 5 “Services Requested for Prequalification Consideration”** of the Application.
  - Indicate the Service Number and OUC each employee is qualified to perform under.
  - Be arranged by Service Number, then alphabetically by employee.

### 4. Supplemental Questions

- **Supplemental Questions, when applicable, must be answered for each OUC-Program Service Number your Firm is applying for, and a separate file must be submitted in its original format, per OUC-Program. Each OUC-Program file must be named **Supplemental\_[INSERT OUC]\_YourFirmName**, e.g. **Supplemental\_OUC50000\_YourFirmName.pdf**.**
- **Supplemental Questions must not cross reference to other information submitted.**
- Supplemental Questions can be found on the [CPO Website](#). If there are Supplemental Questions pertaining to the OUC-Program your Firm is applying for:
  - There is a dropdown next to each OUC Program header on the website with a link to the Supplemental Questions PDF; and
  - The OUC Program name will be **highlighted** in Section 5 on the Application.
- Answers to Supplemental Questions are limited to the form fields provided.
- If a separate attachment is required for a Supplemental Question, the attachment must be named **ATCH[INSERT OUC\_Insert Service #]\_SupplQ[Insert question #]\_YourFirmName**, e.g. **ATCH57000\_806.10\_SupplQ1\_YourFirmName.pdf**.

### 5. Resume File

- Each Firm must submit a Resume file (sample resume found on the [CPO Website-Submittal Instructions](#)), as a separate attachment, named **RES\_YourFirmName.pdf**.
- **Each Resume file must:**
  - Not exceed more than four (4) pages per individual.
  - Contain individual Resumes of the Firm’s personnel, listed on each Worksheet.
    - Indicate the Service Number(s) next to the individual’s name, from each Worksheet
  - Be arranged in alphabetical order within the file.

- List years with the Firm.
- List Employee Name, Title, and Classification.
- List Education.
- List Professional Licenses, Certifications, and trainings **including expiration dates, when applicable.**
- List relevant project experience (duties & responsibilities within the last **5 years**) and qualifications. Experience listed must include dates worked on the project.
- Do NOT include Service Numbers that your Firm is not applying for.

## **RESULTING CONTRACT REQUIREMENTS**

### **Any firm entering into a contract with MaineDOT to provide services will need to:**

- Have a Vendor Customer Number from the State of Maine. The Substitute W-9 form can be found on the [Office of the State Controller's website](#). Return completed form to MaineDOT, Finance & Administration.
- Submit **monthly** invoices for completed work using the MaineDOT Standard Invoice for Consultant Services, and provide supporting documentation.
- Comply with the most recent version of MaineDOT's [Consultant General Conditions](#).
- Submit to a performance evaluation process.
- Provide Insurance Certificates to the MaineDOT Contract Procurement Office before a project contract can be executed. Minimum coverages include, but depending on the project may not be limited to the following:
  - Professional Liability – at a minimum of \$1,000,000.00 per claim and annual aggregate. To the extent available, Consultants and Subconsultants must make every effort to acquire Professional Liability Insurance. In the event this coverage is not available; Consultants and Subconsultants must purchase a [Negligent Acts Errors and Omissions Policy](#)
  - Commercial General Liability, **listing MaineDOT as additional insured** – of \$1,000,000.00 per occurrence, and \$2,000,000.00 in the aggregate
  - Automobile Liability – \$1,000,000.00 per occurrence
  - Worker's Compensation – in accordance with the requirements of the laws of the State of Maine
  - Excess/Umbrella Liability (if applicable)

Consultants who do not meet the minimum insurance requirements must submit their Insurance Certificates accompanied by an [Insurance Waiver Request Form](#), to MaineDOT for approval. Consultants must provide updated Insurance Certificates prior to expiration, via email to: [CPO.MaineDOT@maine.gov](mailto:CPO.MaineDOT@maine.gov).

## **CERTIFIED DBE**

MaineDOT Certified Disadvantaged Business Enterprise (DBE) consultants are **encouraged to apply for prequalification status for this work**. It is important that DBE Firms take advantage of this prequalification process to gain entry to the MaineDOT Prequalification List for transportation project related services. Firms certified with DBE status by another state's transportation agency must also be certified by MaineDOT. Current requirements may be found on our [Civil Rights Website](#), or by contacting:

**Maine Department of Transportation**

**Civil Rights Office**

**Attn: Mary Bryant**

**16 State House Station**

**Augusta, Maine 04333-0016**

**Tel: (207) 624-3056**

**Fax: (207) 624-3021**

**TTY: (888) 516-9364**

**Email: [Mary.Bryant@maine.gov](mailto:Mary.Bryant@maine.gov)**