

Prequalification of Architectural, Engineering and Related Professional and Technical Firms

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Iowa DOT Policies and Procedures

Title

Prequalification of Architectural, Engineering and Related Professional and Technical Firms

Policy No.

300.04

Responsible Office

Related Policies and Procedures

Design

300.12, 300.18

Effective/Revision Dates

Approval(s)

8-6-1976/1-25-2016

Mitch Dillavou

Authority: Director of Transportation in accordance with administrative rules 761 IAC 20.8(307).

Contents: This policy provides guidelines for the review and evaluation of the work history and personnel of a firm for prequalification/approval to provide professional and technical services for the Department.

Affected Offices: District Offices; Offices of Aviation Bridges and Structures, Construction and Materials Design, Local Systems Location and Environment Maintenance, Public Transit Rail Transportation, Right of Way, Support Services, System Planning, Traffic and Safety, Traffic Operations and Transportation Data; Project Delivery Bureau and System Operations Bureau.

Who to Contact for Policy Questions: Consultant Contract Coordinator in the Office of Design telephone 515-2391729

Definitions:

Categories of work: Specific classes of work for which firms may prequalify. Descriptions of the categories of work, the minimum qualification standards to reach category, and the organization unit(s) of the Department generally responsible for administering contracts within each category (administering office) are listed in the **Appendix** of this policy.

Consultant Contract Coordinator: The person responsible for coordinating work with consultants.

Disadvantaged Business Enterprise (DBE): A small business that is both owned and controlled by socially and economically disadvantaged individuals (see Policy No. 300.18).

Firm: An individual, business, organization, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture, engineering, or other areas permitted by law, to provide related professional and technical services.

Negotiation/Procurement: by means other than formal advertising or solicitation of quotations.

Prequalification: A procedure to review and evaluate the qualifications of professional and technical firms for approval to provide specific services for the Department.

Responsible office(s) The organizational unit(s) usually the "administering office" shown in the **Appendix** is responsible for prequalifying firms for a particular category of work. However, a division or director may designate an alternate organizational unit within the division to be responsible for prequalification.

Forms:

102111- Application for Prequalification Architect Engineer and Related Services

102113- Application Supplement for Prequalification Architect Engineer and Related Services

Policy and Procedure:

I. General Information

List of firms prequalified for the various categories of work are available on the Department's website www.dot.state.ia.us. Under the A-Z Index, find and click *Consultant utilization*.

II. Initial Prequalification Application

A firm wishing to prequalify with the Department in one or more categories of work must complete Form 102111 and Form 102113 online. An additional submission of Form 102113 is required for each category prequalification request. To begin the prequalification process, go to <http://www.prof-tech-consultant.dot.state.ia.us/default.asp> and click on *Prequalification for Iowa DOT Work*. From there, click on *Request for Prequalification Blank Forms* and follow prompts to create a new application. For questions, contact the Consultant Contract Coordinator.

The application for each work category must list the members of the firm's key staff who will be directly performing the services of that work category and must include resume information and work experience for each. The application must also identify recent projects performed by the key staff members that correlate to the services identified for that work category. A firm is limited to identifying ten projects for each work category. The application shall identify only the key staff members who will be directly performing the services of that work category.

A. Review of Application

1. The consultant contract coordinator shall electronically forward a copy of Form 102113 to the responsible office(s) for evaluation.
2. Within 15 working days after receipt of Form 102113, the responsible office(s) shall:
 - a. Evaluate the submission in terms of the minimum qualification standards for the work category and, if applicable, the past performance of the firm on contracts with the Department for work falling within the category.

- b. Reply electronically to the Consultant Contract Coordinator to provide prequalification approval or denial. If prequalification is denied, the office shall state the reason for denial in its reply, see Section V.
3. If the prequalification information is not satisfactory and the applicant firm is a DBE, the consultant contract coordinator shall contact the DBE and make a good faith effort to assist the firm in becoming prequalified before notifying the firm of denial.
4. If the Consultant Contract Coordinator receives both approval and denial of prequalification for a specific category of work, the matter shall be referred to the responsible offices for resolution. If the matter is still unresolved, it shall be referred to the appropriate bureau director(s) and division director(s) for resolution.

B. Processing Approval or Denial

1. If the prequalification request is approved, the Consultant Contract Coordinator shall update the website to indicate the firm is prequalified for that category. A firm's prequalification status for all approved categories of work shall be effective during the calendar year of application and for one year thereafter, to expire on December 31.

III. Reapplication and Renewal

Within three months of the expiration date of the prequalification approval, the Consultant Contract Coordinator shall advise affected prequalified firms to reapply online. The Department shall process reapplications in the same manner as the initial prequalification. A firm's renewal of prequalification shall be effective for two more years to expire on December 31.

IV. Amendment or Expansion of Prequalification

Prequalified firms may submit amended information or apply for prequalification for additional categories of work at any time. However, the prequalification expiration date assigned to the firm will remain the same.

The firm must first contact the consultant contract coordinator for instructions on how to proceed.

V. Denial or Cancellation of Prequalification

Prequalification for a category of work may be denied or canceled if the firm fails to meet the minimum qualification standards or if the firm's performance on a contract with the Department was unacceptable. Prequalification may also be denied or canceled for good cause including, but not limited to, omission or misstatement of material facts on the application forms.

An office wishing to deny or cancel prequalification for a category of work shall forward a written statement of reasons for the action to the Consultant Contract Coordinator. For