***EXAMPLE / ILLUSTRATION OF A* MENTOR-PROTÉGÉ PLAN**

**For *PHASE I PROJECTS***

*For assistance in developing the Mentor-Protégé Plan, plan development guidelines and information are shown in red. The Plan outline was developed based on the guidelines and supporting documents published by IDOT. Please refer to IDOT’s website for the latest policies and procedures. Example responses are shown in blue. The guidelines and example responses should be deleted in the final version of the Mentor-Protégé Plan submitted to IDOT.*

**Prepared for:**

**Illinois Department of Transportation**

**Mentor Firm:** Prime Consultant

Address 1

Address 2

**Protégé Firm:** Subconsultant

Address 1

Address 2

**Project:** Name

Route

Location

County

Job No.

PTB # / Item

This Mentor-Protégé Plan is designed to enhance the professional service capabilities of the Protégé firm, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, a certified Disadvantaged Business Enterprise, by participating in specific project tasks and business related activities with meaningful instruction and assistance from the Mentor firm, \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

Among the goals for the Protégé firm as a result of this agreement are a thorough understanding of IDOT’s policies and procedures to manage and execute Phase I work, an increase in the capacity to perform engineering and environmental services work, enhancement of professional relationships with IDOT and other consulting engineers, and becoming or remaining a self-sufficient, competitive, and profitable business.

1. **PLAN CONTENTS**

The procedures to identify and evaluate the goals and progress of the Mentor-Protégé collaboration are provided on the following pages.

1. **AREAS OF ASSISTANCE**

The Mentor-Protégé Plan is initiated by identifying areas of assistance deemed most beneficial to the Protégé based on collaboration with the Mentor. This includes review of how the Protégé’s capabilities and long-term business goals align with the project scope. The areas of assistance may pertain to engineering and environmental services, quality assurance and control, public involvement activities, business training and development, or other areas germane to the Protégé’s professional development.

*Refer to Table 1 for suggestions/guidance/ideas on identifying areas of assistance. The table is meant only as possible training options and typical business activities for Phase I work.*

*Areas of assistance other than those shown in the table can be identified. The Plan should include specific goals and objectives and only the areas of assistance included as part of the project (do not list any areas that are not included with the project).*

| **Table 1**  **Potential Areas of Assistance Mentor To Provide Protégé**  ***(Continued)*** | | |
| --- | --- | --- |
| ***Special Studies*** | | |
| Safety Studies | | Feasibility Studies |
| Traffic Studies | | Signal Coordination and Timing |
| Location Drainage | |  |
| ***Location Design Studies*** | | |
| New Construction / Major Rehabilitation | | Rehabilitation |
| Reconstruction / Major Rehabilitation | |  |
| ***Hydraulic Analysis and Reports*** | | |
| Analysis—Waterways, Typical | Report—Waterway Crossing / Channel | |
| Analysis—Waterways, Complex | Report—Longitudinal Encroachment | |
| Analysis—Pump Stations | Report—Pumping Stations | |
| ***Structures*** | | |
| Highway: Simple | | Railroad |
| Highway: Typical | | Movable |
| Highway: Advanced Typical | | Bridge Inspection / Report |
| Highway: Complex | | Major River Bridges |
| ***Geotechnical Services*** | | |
| Subsurface Explorations | | Structure Geotechnical Report |
| General Geotechnical Services | | Complex Geotechnical / Major Foundation |
| ***Special Transportation Studies*** | | |
| Mass Transit | | Railway Engineering |
| ***Special Services*** | | |
| Survey | | Architecture |
| Aerial Mapping | | Landscape Architecture |
| Electrical Engineering | | Hazardous Waste |
| Mechanical Engineering | | Asbestos Abatement Surveys |
| Sanitary Engineering | | Subsurface Utility Engineering |
| ***Public Involvement*** | | |
| Context Sensitive Solutions | | Public Involvement Programs |
| Agency Coordination | | Records and Reports |
| ***Environmental Analysis and Reports*** | | |
| Technical Analysis | | Environmental Assessment |
| Agency Coordination | | Environmental Impact Statement |
| ***Phase I Reports*** | | |
| Corridor | | State Improvement |
| Feasibility Study | | Project |
| Design | | Abbreviated Project |
| Combined Design | | 3P and SMART Projects |
| ***Personnel*** | | |
| Lending of personnel by Mentor to Protégé (special expertise) | | Special work site arrangements based on needs of project |
| ***Training / Development*** | | |
| Mentor assessment of Protégé activities / skills | | Mentor to recommend training needs and training opportunities |
| Assist Protégé in knowledge IDOT standard policies and procedures | | Mentor to present to the Protégé their internal design procedures (Microstation, plan preparation, file naming, directory setup, etc.) |
| Protégé to participate in Mentor's  internal training programs / seminars | |
| ***Management*** | | |
| Guidance in IDOT prequalification  categories | | Obtaining insurance, and other business needs |
| Money Management—Budgeting,  cash flow, book keeping, accounting | | Contract preparation, documentation, and management |
| Business collaborations / marketing | | Compliance with laws & regulations |
| ***Quality Assurance / Quality Control*** | | |
| Preparation of Project Procedures Manual | | Compliance with stated procedures |
| Internal review of project deliverables | | Record keeping |
| ***Other Topics / Unique Project Circumstances*** | | |
| Mentor to extend to Protégé opportunities for relevant training | | Mentor to ensure Protégé is familiar with IDOT standard policies and procedures. |

1. **MENTORING AND HOURS**

*Establish the areas of assistance and related tasks before the project begins. Establish associated hours corresponding to specific goals, and objects for this effort in the Mentor-Protégé Plan. Tasks and hours are subject to IDOT approval during project scoping negotiations.*

*The tasks originate from the areas of assistance identified by the Protégé and Mentor. They represent a part of a project deliverable or business management function that can be easily defined and quantified.*

*For example, a Phase I project requires prequalification in:*

* *Location/Design Studies (Reconstruction/Major Rehabilitation)*
* *Environmental Reports (Environmental Assessment)*
* *Structures (Advanced Typical)*

*Suppose all three prequalification categories have been identified as areas of assistance for which the Protégé is seeking experience and eventual IDOT prequalification. It is not anticipated that the Protégé will be mentored entirely in all three prequalification categories, but in the specific tasks as outlined below:*

*Area of Assistance #1: Location/Design Studies (Reconstruction/Major Rehabilitation)*

*Tasks: Assistance with evaluation of existing highway deficiencies, traffic operations analysis, improvement alternatives, intersection design studies.*

*Area of Assistance #2: Environmental Reports (Environmental Assessment)*

*Tasks: Assistance with preparation of project purpose and need, affected environment, environmental impacts, and mitigation measures.*

*Area of Assistance #3: Structures (Advanced Typical)*

*Tasks: Assistance with preparation of curved or flared bridges, tall retaining walls requiring advanced analysis and non-standard support requirements.*

*Compile specific tasks and associated hours for each area of assistance in a standard table. Develop a consistent format for similar tasks. An example is provided in Table 2.*

*Note that the Protégé hours spent under mentoring tasks for areas of assistance do not count towards the DBE goal of the project.*

**TABLE 2**

**Preparation of CECS Forms**

| **Area of Assistance #1**  **Mentor Hours** | **Totals** | **Principal** | **Sr. Proj. Manager** | **Proj. Mgr.** | **Engr 4** | **Engr 3** |
| --- | --- | --- | --- | --- | --- | --- |
| Evaluate Highway Deficiencies | 16 |  |  | 8 | 8 |  |
| Traffic Operation Analysis | 12 |  |  | 4 | 4 | 4 |
| Improvement Alternatives | 32 |  |  | 8 | 16 | 8 |
| Intersection Design Studies | 36 |  | 4 | 8 | 16 | 8 |
|  |  |  |  |  |  |  |
| Total Hours on Mentor CECS | 96 | 0 | 4 | 28 | 44 | 20 |

| **Area of Assistance #1**  **Protégé Hours** | **Totals** | **Principal / PM** | **Engineer** |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Evaluate Highway Deficiencies | 24 | 8 | 16 |  |  |  |
| Traffic Operation Analysis | 20 | 8 | 12 |  |  |  |
| Improvement Alternatives | 40 | 24 | 16 |  |  |  |
| Intersection Design Studies | 44 | 20 | 24 |  |  |  |
|  |  |  |  |  |  |  |
| Total Hours on Protégé CECS | 128 | 60 | 68 |  |  |  |

| **Area of Assistance #1**  **Combined Hours** | **Totals** | **Mentor** | **Protégé** |
| --- | --- | --- | --- |
| Total Combined Hours | 224 | 96 | 128 |

*1) Repeat tables above for each Area of Assistance*

*2) Area of Assistance hours spent by Protégé do NOT count towards the project’s DBE goal*

*Summarize the workhours for all the areas of assistance in a table. An example is shown in Table 3. Separate hours for Mentor-Protégé Progress Meetings in the Plan and denote as a separate task in the CECS spreadsheets. Invite the IDOT Project Manager to the meeting and maintain minutes to monitor Protégé development.*

**TABLE 3**

**Areas of Assistance—Workhour Summary**

| **Workhour Summary - Mentor** | **Totals** | **Principal** | **Sr. Proj. Manager** | **Proj. Mgr.** | **Engr 4** | **Engr 3** |
| --- | --- | --- | --- | --- | --- | --- |
| Area of Assistance #1 | 96 |  | 4 | 28 | 44 | 20 |
| Area of Assistance #2 | 12 |  |  | 8 | 4 |  |
| Area of Assistance #3 | 10 | 2 | 4 | 4 |  |  |
| Area of Assistance #4 | 16 | 6 | 6 | 4 |  |  |
|  |  |  |  |  |  |  |
| Total Hours on Mentor CECS | 134 | 8 | 14 | 44 | 48 | 20 |

| **Workhour Summary – Protégé** | **Totals** | **Principal / PM** | **Engineer** |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Area of Assistance #1 | 128 | 60 | 68 |  |  |  |
| Area of Assistance #2 | 24 | 12 | 12 |  |  |  |
| Area of Assistance #3 | 16 | 8 | 8 |  |  |  |
| Area of Assistance #4 | 30 | 24 | 6 |  |  |  |
|  |  |  |  |  |  |  |
| Total Hours on Protégé CECS | 198 | 104 | 94 |  |  |  |

| **Hours for Mentor-Protégé Progress Meetings** | **Totals** | **Mentor**  **Proj. Mgr.** | **Protégé**  **Principal** |
| --- | --- | --- | --- |
| 2-hour meeting per month for 12 month project | 48 | 24 | 24 |
|  |  |  |  |
| Total Hours in CECS | 48 | 24 | 24 |

| **Summary Combined Hours** | **Totals** | **Mentor** | **Protégé** |
| --- | --- | --- | --- |
| Total Combined Hours for all Areas of Assistance and Progress Meetings. | 380 | 158 | 222 |

*Area of Assistance hours spent by Protégé do NOT count towards the project’s DBE goal*

*Detail in the plan any property, equipment, supplies or other services that are sold, rented, or donated to the Protégé by the Mentor during the course of the Mentor-Protégé agreement.*

1. **KEY DELIVERABLES**

*Identify key deliverables for certain tasks in the Plan. Establish Protégé goals and a schedule to complete the work for each task. Please note not all tasks will have Key Deliverables. Some of the tasks may be measured utilizing Benchmarks as noted in Section D. The specific tasks and the associated scope of work will be accompanied by an interim schedule that is compatible with the schedule for the overall project.*

*A sample of a Protégé goal and schedule may be similar to the description below:*

*Area of Assistance: Location/Design Studies (Reconstruction/Major Rehabilitation)*

*Task: Assistance with intersection design studies*

*Deliverable: Preparation of a complete intersection design study*

*Protégé Goal: Learn IDOT District 1 procedures for preparing an Intersection Design Study. Learn all aspects of IDS from BDE Chapter 14; understand expectations of District 1 Geometrics Unit and Traffic Unit, and FHWA. Minimize the number of iterations required to gain approval of IDS.*

*Schedule: The work will be completed in accordance with the schedule established for the project. The estimated date of completion is xx/xx/xxxx.*

*This example represents a project within Region 1/District 1. References shall be modified for the appropriate IDOT Region and District.*

1. **BENCHMARKS**

*Establish benchmarks to monitor the progress of specified tasks when Key Deliverables are not the appropriate or best way to do so. The benchmarks should identify the individuals involved in the task for the Mentor and Protégé, and provide a schedule to complete the task.*

*A sample description of a benchmark related to public involvement activities may be similar to:*

*Area of Assistance: Context Sensitive Solutions*

*Task: Protégé to become familiar with the Context Sensitive Solutions approach for public involvement activities as described in Chapter 19 of the BDE Manual and mentored by (list individuals of mentoring firm).*

*Benchmark: The Protégé (list the individuals) demonstrates this knowledge by assisting with the preparation of the Stakeholder Involvement Plan, preparation for, and attendance at Community Advisory Group meetings and public information meetings.*

*Schedule: The work will be completed in accordance with the public involvement schedule established for the project. The estimated date of completion is xx/xx/xxxx.*

1. **RESPONSIBILITIES**

*Define responsibilities for each task by the individuals in charge of managing and executing the work, and for those responsible for quality assurance and control to ensure compliance with the quality control plan.*

*For mentoring activities that pertain to project management, a sample definition of task responsibilities may be similar to the following:*

***Mentor:*** *Will attend regularly scheduled meetings with the Protégé, regularly review Protégé’s business and implementation plans, identify key organizational problems and business challenges, offer advice on the best ways to achieve success, identify critical steps towards meeting goals, respond promptly to the Protégé’s request for assistance on significant business problems, and monitor the progress of the Plan, and report to IDOT regarding the progress of the relationship/plan, achievements, etc. in the manner required by the Plan.*

***Protégé:*** *Will attend regularly scheduled meetings with Mentor and expedite specific progress steps, implement goals and objectives developed with the Mentor and accept reasonable suggestions to improve management or operation of its business, utilize the assistance of one-on-one supportive services consultants suggested by the Mentor or IDOT, share business operations information, monitor the progress of the plan, and report to IDOT regarding progress of the plan in the manner required by IDOT.*

1. **EVALUATION**

The Mentor and Protégé shall submit quarterly progress reports indicating the status of their progress toward each of the Plan’s stated tasks and goals. The reports will indicate the steps taken during the quarter to further the Plan. The quarterly reports are due to the IDOT’s project manager and to the Bureau of Design and Environment within 2 weeks of the end of each quarter. The end of quarters are the last day of March, June, September, and December.

The mentor and protégé will each prepare a Final Report outlining the achievements, areas of experience gained towards prequalification areas, successes, failures, observations and any future recommendations. The Department will evaluate the Mentor-Protégé collaboration using the following criteria:

• Satisfactory progress toward the stated goals of the Plan

• Improved competency of the Protégé in specific aspects of highway engineering

• Decreased reliance on the Mentor by the Protégé for technical knowledge, equipment, personnel

• And, increased numbers of projects in relation to number of advertised projects with consultants, other than the Mentor, and/or increased Statements of Interest submitted as a prime consultant.

The final report is due two weeks after receipt of design approval. The final report trigger date should be based on the mentor-protégé plan.

The reports shall be submitted to the IDOT project manager and to the Bureau of Design and Environment.

*The reports submitted by the Mentor shall list all tasks for which the Mentor has received (or applied for) DBE credit for using the Protégé as a DBE subconsultant.*

1. **DURATION**

*Specify in the Mentor-Protégé Plan the maximum time frame for which the Plan will remain in effect.*

*The duration of the Mentor-Protégé Plan will start with the execution of the subconsultant agreement with (name Protégé) and the associated Mentor-Protégé Plan and will continue through completion of the Phase I Study for (project) (PTB XXX-XXX) estimated to begin (date) and last (XX) months.*

1. **KEY PERSONNEL**

The following are the key personnel relative to the Mentor-Protégé agreement:

*Identify the Mentor’s key personnel, including the experience of the key personnel responsible for training and coordinating the assistance provided to the Protégé.*

*The Mentor’s key personnel shall be involved in the initial assessment of the proposed activities the protégé will provide during the course of the project.*

*Key personnel are anticipated to remain involved throughout the project. This may be an evaluation criterion used to measure the success of the project.*

*Key personnel shall be identified on the SOI organization chart.*

1. **TERMINATION OF AGREEMENT**

The Mentor-Protégé relationship will be terminated by mutual consent or IDOT due to the following:

* The Protégé no longer meets the eligibility standard for certification as a DBE;
* Either party has failed or is unable to meet its obligations under the Development Plan;
* The Protégé is not progressing or is not likely to progress in accordance with the Plan;
* The Protégé has reached a satisfactory level of self-sufficiency to compete without utilizing the Mentor-Protégé Program;
* The Plan or provisions contained in it are contrary to the requirements of federal, state or local law or regulation; or,
* The relationship has continued for the life of the project.
* *Additional Items as agreed to by Mentor and Protégé.*

1. **WRITTEN AGREEMENTS**

*List any agreements between Mentor and the Protégé including the subconsultant agreement. The subconsultant agreement is the only written agreement.*

1. **REQUIREMENTS**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ will comply with all conditions

Mentor Firm Protégé Firm

described above.

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Signature for Mentor Firm Signature for Protégé Firm

**ATTACHMENTS**

*Include the following items as attachments to the Mentor-Protégé Plan.*

* Key Personnel Resumes
* Copies of Executed Written Agreements, as applicable
* CECS Forms supporting Mentor-Protégé labor-direct costs