TENNESSEE DEPARTMENT OF TRANSPORTATION DT-0330 PART 1 INSTRUCTIONS

**(Revised 2/2022)**

# Specific instructions for consultants seeking work with Tennessee Department of Transportation (TDOT) based on professional qualifications as required by “The Brooks Act”. NOTE: TDOT cannot accept a request for pre-qualification if your firm has not been in business for at least one (1) year.

1. **Qualification Type**: LIMITED or UNLIMITED

**LIMITED**: These consultants are limited to $250,000.00 per contract. In lieu of an Indirect Cost Rate Schedule (Overhead Schedule), the rate shall be based on a self-certified indirect cost rate prepared in accordance with AASHTO Guidelines and limited to 125% of the consultant’s direct labor cost. The consultant must submit the following: 1) DT-0330 Part 1 with resumes, 2) organization chart, 3) Balance Sheet - this must be for the end of the Firm’s fiscal year (accrual based), and indirect cost rate certification.

**UNLIMITED**: The consultant must submit the following: 1) DT-0330 Part 1 with resumés, 2) organization chart, 3) Balance Sheet, this must be the end of the Firm’s fiscal year (accrual based), and 4) an Indirect Cost Rate Schedule (Overhead Schedule) prepared in accordance with AASHTO guidelines. The date of the Indirect Cost Rate Schedule should match the date on the Balance Sheet (the end of the Firm’s fiscal year)

2a-e. **Firm** (or Branch Office) Name and Address

Prepare Part I for the specific office seeking work. If the consultant has branch offices, prepare a DT-0330 for **each** **office** seeking work with TDOT.

**Example:** Mayberry Consultants has three offices, a home office and two branches. The home office and two branch offices are seeking work with TDOT. Mayberry Consultants would submit three DT-0330 forms (one for the home office and one for each of the two branch offices).

1. **Year Established**. Please insert year the firm was established under the current name.
2. **DUNS number**: N/A

# Ownership.

* 1. **Type**. Enter the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, etc...)
  2. **Disadvantaged Business Enterprise (DBE)**. Please answer yes or no regarding whether or not your firm is certified with the Tennessee Department of Transportation as a Disadvantaged Business Enterprise (DBE).

6a-c **Point of Contact**. Provide information for a representative of this firm that TDOT may contact for additional information concerning this form and accounting issues. If necessary, please enter two names, with phone and fax numbers, and e-mail addresses.

1. **Type of Firm**. Please indicate either “Home Office” or “Branch Office”

8a-c **Former Firm Names**. Indicate any other previous names for the firm (or branch office) during the last **six years**. Insert the month, day and year this firm’s name change was effective. Please skip 8c, as this is not relevant to TDOT

9a-c. **Employees by Discipline**.

* 1. **Function Code**: Use the associated function codes in numerical order provided from the list shown on page 4 of these instructions.
  2. **Discipline**: Use the relevant descriptions in the same numerical order provided from the list shown on page 4 of these instructions that coincide with the Function Code. **Each person can be counted only once according to his/her primary function.**

List the remaining employees under "Other Employees".

* 1. (1) **Firm**: Enter the number of employees for the firm by disciplines.

(2) **Office**: Enter the number of employees for this specific office.

1. **Profile of Firm's Experience and Annual Average Revenue for Last 5 Years**. Complete this block for the firm or branch office for which this Part I is being prepared. Enter the experience categories which most accurately reflect the firm's technical capabilities and project experience.
   1. **Profile Code**: Use the relevant associated profile codes using the list shown on pages 5 and 6 of these instructions.
   2. **Experience**: Use the descriptions from the list shown on pages 5 and 6 of these instructions that coincide with the Profile Code.

After the listed experience categories, add any unlisted relevant project experience categories and leave the profile codes blank, if applicable.

**Revenue Index Number**: Please arrange the experience by largest revenue index number (ex. 6, 5, 4, 3, 2, 1). For each type of experience, enter the appropriate revenue index number to reflect the professional services revenues received annually (averaged over the last 5 years) by the firm or branch office for performing that type of work. A particular project may be identified with one experience category or it may be broken into components, as best reflects the capabilities and types of work performed by the firm. However, do not double count the revenues received on a particular project.

1. **Authorized Representative**. An authorized representative of the firm or branch office must sign and date the completed form. Signing attests that the information provided is current and factual. Provide the name and title of the authorized representative who signed the form.

# RESUMES OF KEY PERSONNEL

**Key Personnel:** Individuals who will have major contract responsibilities and/or provide unusual or unique expertise.

Complete this section for each main discipline. Use one page for each person, **no more than 5 in each discipline and no more than 20 total**. Number the total resume pages (example 1 of 20, 2 of 20….etc). The following blocks must be completed for each resume:

**Name**: Self-explanatory.

**Role in Firm**: Self-explanatory.

**Years Experience**: Total years of relevant experience and years of relevant experience with current firm, but not necessarily the same branch office.

**Firm Name and Location**: Name, city, and state of the firm where the person currently works, which must correspond with section 2.

**Education**: Provide information on the highest relevant academic degree(s) received. Indicate the area(s) of specialization for each degree.

**Current Professional Registration**: Provide information on current relevant professional registration.

**Other Professional Qualifications**: Provide information on any other professional qualifications, such as education, professional registration, publications, organizational memberships, certifications, training, awards, and foreign language capabilities.

**Relevant Projects**: Provide information on **up to five projects** in which the person had a significant role that demonstrates the person's capability relevant to her/his proposed role with the firm. Use the check box provided to indicate if the project was performed with any office of the current firm. If any of the professional services or construction projects are not complete, leave ‘Year Completed’ blank and indicate the status in ‘Brief Description and Specific Role’ (block (3)).

Revised 1/2022

List of Disciplines (Function Codes)

# Code Description Code Description

|  |  |  |  |
| --- | --- | --- | --- |
| 02 | Administrative | 32 | Hydraulic Engineer |
| 03 | Aerial Photographer | 33 | Hydrographic Surveyor |
| 04 | Aeronautical Engineer | 34 | Hydrologist |
| 05 | Archeologist | 37 | Interior Designer |
| 06 | Architect | 38 | Land Surveyor |
| 07 | Biologist | 39 | Landscape Architect |
| 08 | CADD Designer/Technician | 40 | Materials Engineer |
| 09 | Cartographer | 41 | Materials Handling Engineer |
| 10 | Chemical Engineer | 42 | Mechanical Engineer |
| 12 | Civil Engineer | 45 | Photo Interpreter |
| 13 | Communications Engineer | 46 | Photogrammetrist |
| 14 | Computer Programmer | 47 | Planner: Urban/Regional |
| 15 | Construction Inspector | 48 | Project Manager |
| 16 | Construction Manager/Engineer | 49 | Remote Sensing Specialist |
| 17 | Corrosion Engineer | 50 | Risk Assessor |
| 18 | Cost Engineer/Estimator | 52 | Sanitary Engineer |
| 19 | Ecologist | 53 | Scheduler |
| 21 | Electrical Engineer | 55 | Soils Engineer |
| 22 | Electronics Engineer | 56 | Specifications Writer |
| 23 | Environmental Engineer | 57 | Structural Engineer |
| 24 | Environmental Scientist | 58 | Technician/Analyst |
| 27 | Foundation/Geotechnical Engineer | 60 | Transportation Engineer |
| 28 | Geodetic Surveyor | 61 | Value Engineer |
| 29 | Geographic Information System Specialist | 62 | Water Resources Engineer |
| 30 | Geologist |  |  |

List of Experience Categories (Profile Codes)

# Code Description

A01 Acoustics, Noise Abatement

A02 Aerial Photography; Airborne Data and Imagery Collection and Analysis A04 Air Pollution Control

A05 Airports; Navaids; Airport Lighting; Aircraft Fueling A06 Airports; Terminals and Hangars; Freight Handling A10 Asbestos Abatement

B02 Bridges

C01 Cartography

C02 Cemeteries *(Planning and Relocation)* C03 Charting; Nautical and Aeronautical C04 Chemical Processing and Storage

C08 Codes; Standards; Ordinances; ADA Compliance C12 Communications Systems; TV; Microwave

C13 Computer Facilities; Computer Service C14 Conservation and Resource Management

C15 Construction Management; Construction Engineering and Inspection (CEI) C16 Construction Surveying

C18 Cost Estimating; Cost Engineering and Analysis; Parametric Costing; Forecasting

D01 Dams *(Concrete; Arch)*

D02 Dams *(Earth; Rock)*; Dikes; Levees

D04 Design-Build - Preparation of Requests for Proposals D05 Digital Elevation and Terrain Model Develop-

D06 Digital Orthophotography

D08 Dredging Studies and Design D09 Drilling Services

E01 Ecological and Archeological Investigations E03 Electrical Studies and Design

E04 Electronics

E05 Elevators; Escalators; People-Movers

E09 Environmental Impact Studies, Assessments or Statements E10 Environmental and natural Resource Mapping

E11 Environmental Planning; Preparation of NEPA Documents; Context Sensitive Solutions E12 Environmental Remediation

E13 Environmental Testing and Analysis

E14 Erosion Prevention and Sediment Control

G03 Geodetic Surveying: Ground and Airborne

G04 Geographic Information System Services: Development, Analysis, and Data Collection G05 Geospatial Data Conversion: Scanning, Digitizing, Compilation, Attributing, Scribing,

Drafting Components G06 Graphic Design

G07 Geotechnical Engineering

H01 Harbors; Jetties; Piers, Ship Terminal Facilities H02 Hazardous Materials Handling and Storage

H03 Hazardous, Toxic, Radioactive Waste Remediation H07 Highways; Streets; Airfield Paving; Parking Lots H08 Historical Preservation

H12 Hydraulics and Pneumatics H13 Hydrographic Surveying

I04 Intelligent Transportation Systems I05 Interior Design: Space Planning I06 Irrigation; Drainage

L02 Land Surveying

L03 Landscape Architecture

L05 Lighting (*Interior; Display; Theater, Etc.*)

L06 Lighting *(Exteriors; Streets; Memorials; Athletic Fields, Etc.)*

M01 Mapping Location/Addressing Systems

M02 Mobile Scanning/Lidar

P03 Photogrammetry

P05 Planning *(Community, Regional, Areawide and State)*

P06 Planning *(Site, Installation and Project)*

P14 Pavement Design

P15 Pavement Management

R03 Railroad; Rapid Transit R07 Remote Sensing

R11 Rivers; Canals; Waterways; Flood Control R13 Roadway Design; General

S01 Safety Engineering; Accident Studies; OSHA Studies S03 Seismic Designs and Studies

S05 Soils and Geologic Studies; Foundations S06 Solar Energy Utilization

S09 Structural Design; Special Structures (*Includes Architecture of Buildings*) S10 Surveying; Platting; Mapping; Flood Plain Studies

S13 Storm Water Management

T02 Testing and Inspection Services

T03 Traffic and Transportation Engineering; Signal Design, Traffic Counts T06 Tunnels and Subways

U03 Utilities; Subsurface Utility Engineering (SUE)

U04 Utilities Design/Coordination/Inspection: Electrical Power; Communications; Gas/Oil; Water; Sewer/Sanitary Systems (Distribution/Transmission)

V02 Value Engineering

W02 Water Resources; Hydrology; Ground Water Z01 Zoning; Land Use Studies