

TENNESSEE DEPARTMENT OF TRANSPORTATION
DT-0330 PART 1 INSTRUCTIONS
(Revised 05/01/13 CS)

Specific instructions on the basis of professional qualifications as required by “The Brooks Act” for consultants seeking work with Tennessee Department of Transportation (TDOT). **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 \$150,000.00 per contract. In Lieu of an Indirect Cost Rate Schedule (formerly known as 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 the end of the Firm's fiscal year (accrual based)

UNLIMITED: The consultant must submit the following: 1) DT-0330 Part 1 with resumes, 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 prepared in accordance with AASHTO guidelines (formerly known as Overhead Schedule). 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 branch office seeking work. If the consultant has branch offices, prepare a DT 0330 for each **office** seeking work with TDOT.

Example: ABC Consultants has four offices, a home office and three branches. The home office and two branch offices are seeking work with TDOT. ABC Consultants would submit three DT0330 forms (one for the home office and one for each of the two branch offices).

3. **Year Established.** Please insert year the firm was established under the current name.

4. **DUNS number:** N/A

5. **Ownership.**

a. **Type.** Enter the type of ownership or legal structure of the firm (sole proprietor, partnership, corporation, etc...)

b. **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.

7. **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.**

a. **Function Code:** Use the associated function codes in numerical order provided from the list shown on page 4 of these instructions.

b. **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.

List the remaining employees under "Other Employees". **Each person can be counted only once according to his/her primary function.**

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

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

10. **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.

(a) **Profile Code:** Use the relevant associated profile codes using the list shown on pages 5 and 6 of these instructions.

(b) **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.

11. **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.

12. **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 one page for each person, **no more than 5 in each discipline and no more than 20 total**. Number the total resumes 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)).

NOTE: Temporary e-mails will be accepted, but all originals must be received before approval letters will be mailed out. After 90 days, if no additional paperwork requested has been received, status will change from "pending" to "not pre-qualified".

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 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	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; Nav aids; Airport Lighting; Aircraft Fueling
A06	Airports; Terminals and Hangars; Freight Handling
A10	Asbestos Abatement
B02	Bridges
C01	Cartography
C02	Cemeteries (<i>Planning and Relocation</i>)
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; Forecastin
D01	Dams (<i>Concrete; Arch</i>)
D02	Dams (<i>Earth; Rock</i>); 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

 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