* Contract is estimated between $25,001 and $100,000.
* Best Value Selection Method is used.

***Document templates*** *identified in* ***bold*** *can be found on the Consultant Services website [*[*www.dot.state.mn.us/consult*](file:///C:\Users\mcgi1mel\Desktop\www.dot.state.mn.us\consult)*] under the* ***Contract Documents*** *tab. Forms are in alphabetical order.*

## Obtain a Contract Number from CAATS

1. Navigate to CAATS to <http://CAATS>.
2. Click on the Contracts link. CAATS will redirect from the Home Page to the New Contract tab.
3. Click Yes for ‘Is this a Professional/Technical Contract?’
4. Fill in the required information to request a New Contract Number.
   1. Contract Requestor Details:
      1. Requestor Nameis:

* The employee filling out the request for a new contract number, or
* Another employee who is not available to initiate the request.
  + 1. Enter the Requestor Name (Last Name,FirstNameMiddleName). This is a type ahead field. Type in first few letters, a drop down menu of MnDOT employees will appear. Note: there is not a space after the comma after the last name
    2. Select the appropriate Requestor’s Name from the Dropdown Menu. Requestor Phone Number, Email Address*and* Requesting Office/District *will automatically populate.*
  1. Contract Details:
     1. The Requested Date will automatically populate with the current date.
     2. In the Contract Description field type in a brief contract description. The character limit for this field is 256 characters.
     3. Contract Statuswill automatically populate with a status of ‘Requested’.
     4. Enter the Estimated Contract Cost.
     5. Contract Type will default to Professional/Technical based on the previous selection of Professional/Technical.
     6. For Receivable/Payable select Payable for a P/T Contract.
     7. Type any other notes or comment about the contract in the Notes/Commentsfield.
  2. Federal Funding [Not Required]:
     1. The Federal Funding selection defaults to ‘No’.
     2. If the contract is being paid for with federal funding, click yes and additional fields will display.
     3. Select the Funding Type from the drop down menu. Options are:
* FAA (Federal Aviation Administration)
* FHWA (Federal Highway Administration)
* FMCSA (Federal Motor Carrier Safety Administration)
* FRA (Federal Railroad Administration)
* FTA (Federal Transit Administration)
* NHTSA (National Highway Traffic Safety Administration)
* Other
  + 1. Enter the Federal Project Number.
    2. Enter the Federal Funds Approval Date.
    3. Enter the Federal Funds Amount.
    4. Enter the Federal Funds End Date.
    5. Select the CFDA Number from the drop down menu.
    6. Once the CFDA Number is selected the CFDA Name will populate.
  1. State Project (SP) Numbers [Not Required]:
     1. Click on Add SP Number.
     2. Search the SP Number. This is a type ahead field. Type in first few letters, a drop down menu of SPs will display. Click on an SP that is displayed. Click on Search SP Number.
     3. Search results will display in a grid format. Information displayed will include:
* SP Number
* SP Description
* Route Name
* Bridge Number
* Control Section
  + 1. Find the appropriate SP, click on Add. Up to 3 SPs can be added through this search screen. Once searched and added, click Close.
    2. The SP(s) will be added to the State Project Number grid of the New Contract tab.
    3. Click Removeto remove any of the added SPs from the State Project Number grid.

1. Click Submit at that bottom of the screen. CAATS will display a popup box that identifies the MnDOT Contract Number and indicates that an email has been sent to the Requestor with additional details.
2. CAATS generates an automated confirmation email that populates with the data that was previously entered in CAATS.

## Draft Scope of Work

The most important aspect of a contract is the scope of work. The scope of work must include the Who, What, Where, When, How of the project. Clearly identify the tasks, schedule, deliverables/due dates, and key personnel. Keep the following in mind while developing the scope of work:

1. Language and Format:
   1. Use “will” or “must” instead of “shall”
   2. Use declarative sentences
   3. Avoid passive-voice
   4. Use outline format; avoid ‘non-outlined’ lists
   5. No legalese or technical jargon
   6. Define technical terms and words not found in everyday vernacular
   7. Avoid ambiguity
   8. Use short sentences
   9. Spell out Acronyms the first time they appear
   10. Eliminate “gray” areas
   11. Say it once
   12. State the obvious
2. Deliverables:
3. Define and clearly state standards that apply
4. Clearly state interim deliverables with submittal format and corresponding quantity requirements
5. Clearly state final deliverables with submittal format and corresponding quantity requirements
6. Include deliverable due dates
7. Include the format of deliverables such as hard copy or electronic. If electronic, what format?

## 

## Develop Certification Form and Quick Call Documents

1. Prepare and sign the **Certification Form**.
2. Develop the **Quick Call for Proposals Part A: Contract Info and General Terms**
3. Develop the **Quick Call for Proposals Part B: Format and Forms**

## TGB/VET Goal Setting Process

All competitively solicited projects [that are solely state funded] need to be reviewed by the Office of Civil Rights (OCR) so that a TGB or VET preference goal can be established. Note:This process this MUST be completed prior to advertising/distributing the Quick Call for Proposals. If your contract includes any federal funds, skip this step. Consultant Services (CS) will serve as the liaison between the Contract Administrator and OCR.

1. Is this project State Funded?

* If yes, complete the steps in this section.
* If no, skip this step.

1. Email the following information **to** [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us):
2. **TGB/Vet Goal Request Coversheet**
3. Draft Quick Call for Proposals Part A: Contract Info and General Terms
4. Draft Quick Call for Proposals Part B: Format and Forms
5. Draft Certification Form

*You may carry on with other steps while this is being processed (except for advertising/soliciting responders). Once OCR issues the goal memo to CS the document will be recorded, saved to eDOCs and emailed to the Contract Administrator.*

1. Based on the information provided in the TGB and Vet Goal Memos, revise any applicable language in the Quick Call for Proposals.
2. If a goal higher than 0% was established, the **TGB/Vet Special Provisions** must be advertised /e-mailed to potential responders with the Quick Call for Proposals.

## DBE Goal Setting Process

All contracts that are funded, in whole or in part, by federal funds need to be reviewed by OCR so that a DBE goal can be established. Note:This process this MUST be completed prior to advertising/distributing the Quick Call for Proposals. If your contract is not federally funded, skip this step. CS will serve as the liaison between the Contract Administrator and OCR.

1. Email the following information **to** [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us):
   * + 1. **DBE Goal Request Coversheet**
       2. Draft Quick Call for Proposals Part A: Contract Info and General Terms
       3. Draft Quick Call for Proposals Part B: Format and Forms
       4. Draft Certification Form

*You may carry on with other steps while this is being processed. Once OCR issues the goal memo to CS, the document will be recorded, saved to eDOCs and emailed to the Contract Administrator. OCR will assign either a percentage goal or a Race Gender Neutral (RGN) goal.*

1. Once the DBE Goal Memo is received, revise any applicable language in the **Quick Call for Proposals**.
2. Whether a percentage goal or a RGN goal is assigned, the **DBE Special Provisions** must be advertised/e-mailed to potential responders with the Quick Call for Proposals.

## Complete the Contract Process Start (CPS) Form

1. The **Contract Process Start Form** collects the following information that is necessary to process the documentation and to enter into the database. Make sure the following information is filled in on the form:
   1. General Information
   2. Project/Services to be Contracted
   3. Funding Information
   4. Work Type Identification for Quick Call Program projects
   5. Obtain approval from the Consultant Coordinator, or person in charge of the funds. An up to date list of Consultant Coordinators can be found on the CS website [[www.dot.state.mn.us/consult](file:///C:\Users\mcgi1mel\Desktop\www.dot.state.mn.us\consult)] under the **Internal Resources** tab.

## Submit to Consultant Services for Processing [Certification Package]

1. Include the following completed documents in an email to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us).
   * + 1. Certification Form, signed by the Contract Administrator or the Project Manager
       2. Quick Call for Proposals Part A: Contract Info and General Terms
       3. Quick Call for Proposals Part B: Format and Forms
       4. Other attachments, if applicable

***Once the certification form is executed, CS will:***

* ***Save the executed certification form and any comments to the contract file***
* ***Send an email to the Contract Administrator notifying them of execution and of any comments***

## Quick Call Solicitation Process and Question and Answer Period

* **You cannot proceed with this step until the certification form is executed.**

1. **OPTION 1:** Email the Quick Call for Proposals to a minimum of 3 consultants:
   * + 1. Make sure you indicate a Questions Due Date and a Proposal Due Date in the email. No formal posting time is associated with the Quick Call for Proposals; however, you must give responders a reasonable time to submit questions and respond. We recommend no less than 5 days.
       2. During the posting period, potential responders may submit questions to the Contract Administrator. Combine all questions and answers into one document and email the document to all of the solicited consultants. If assistance is needed, contact CS.
       3. Do not answer or include questions that were received after the due date/time. If submitted late let them know that it is past the due date/time and the questions cannot be answered.
2. **OPTION 2:** Advertise the Quick Call for Proposals on the CS and MMB websites.
3. Email the following information to Kendall Lausche, CC Ashley Duran, for posting on the CS website:
   1. Include the MnDOT Contract Number somewhere in the email
   2. Final Quick Call for Proposals documentation
   3. **TGB/Vet or DBE Special Provisions, with project information filled in, if applicable.**
   4. Other attachments, if applicable.

*Note: Melissa Brand is the back-up resource for posting, if Kendall and Ashley are out of the office.*

1. During the solicitation period, potential responders may submit questions to the Contract Administrator:
   1. Technical questions received prior to the question due date/time should be emailed to the MnDOT Project Manager to obtain an answer.
   2. Contracting or process related questions can be answered by the Contract Administrator. If assistance is needed, contact CS.
2. Combine all questions and answers into a Word document.
3. Email the document to Kendall Lausche, CC Ashley Duran, for posting on the CS website, including the MnDOT Contract Number.
4. Do not answer or include questions that were received after the due date/time. If submitted late let them know that it is past the due date/time and the questions cannot be answered.

*Note: Questions may come in prior to the question due date. You do NOT need to wait until the answer due date to provide responses – if a question asked is deemed critical in nature, you can answer it as it is received. Every time you want to post a Question & Answer, you will need to email the word document to Kendall and Ashley for posting. Please provide a running word document, adding each Question & Answer to it, as the document will be replaced each time you request it be posted.*

## Selection Committee Approval

1. During the solicitation period, organize your Selection Committee, keeping the following guidelines in mind:
   * + 1. One member of the committee **must** be on the MnDOT Manager’s Plan [see #DOT\_ALLMGRS in Outlook for an up to date list of Managers]
       2. No more than 50% of the committee may be from one Office/District
       3. A limit of 3-5 members is recommended
       4. No direct reports may serve on the committee
2. Once your committee is established, prepare the **Selection Committee Approval of Committee Memo**.
3. Email the completed document to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us). CS will obtain approval from the appropriate personnel.

***Once the memo is signed, CS will:***

* ***Save the signed memo to the contract file***
* ***Send an email to the Contract Administrator notifying them the memo has been signed***

## Proposal Submittal and Distribute Selection Committee Materials

1. Accept proposals, up until the due date/time. Late proposals cannot be accepted, no exceptions.
2. Review the responders’ Conflict of Interest forms – if any of the responders indicate a conflict may exist, review that conflict with Ryan Gaulke in Contract Management.
3. Prepare the following documents for the Selection Committee:
4. **Selection Committee Evaluation Team Member Agreement**
5. **Solicitation Rating Form** [one for each firm that responded]
6. **Solicitation Ranking Form**
7. Distribute the following documents via email to the selection committee participants:
8. Each proposal received
9. Selection Committee Evaluation Team Member Agreement
10. Solicitation Rating Form [one for each firm that responded]
11. Final Quick Call for Proposals Part A: Contract Info and General Terms and Quick Call for Proposals Part B: Format and Forms, and, as applicable: Attachments, Questions/Answers, Addendums

## Selection Committee

1. A formal selection committee will **NOT** be held. Any questions, call Ashley Duran.
2. Raters will receive the materials via email, as indicated in previous task, and individually score the proposals
3. Raters must email the following to the Contract Administrator.
   * + - 1. **Signed** Selection Committee Evaluation Team Member Agreement
         2. **Signed and Completed** Solicitation Rating Form [for each firm that responded]
4. Use the Solicitation Ranking Form, created in the previous step, to record the final scores and rankings.
   * + - 1. Verify the math and comments on each of the Solicitation Rating Forms.
         2. Verify the math on the Solicitation Ranking Form.
5. Tabulate the technical scores, calculate in cost points and notify the committee of their 1st place firm.

## Obtain Approval of Selection

1. Prepare the **Selection Committee Approval of Selection Memo** to obtain approval of the successful responder *[you cannot inform any responders of the selection results until internal approval has been received]*.
2. Email the completed document to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us). CS will obtain approval from the appropriate personnel.

***Once the memo is signed, CS will:***

* ***Save the signed memo to the contract file***
* ***Send an email to the Contract Administrator notifying them the memo has been signed***

## Notify Responders

1. **Notify *Unsuccessful* Responder(s):** Once the review is complete and approval is obtained, notify each unsuccessful responder, individually, via email, as follows *[repeat for each responder]:*
2. Address an email to the responder’s contact person
3. Copy and paste the text from the **Solicitation Unsuccessful Respondent Letter** into the body of the email
4. Make the appropriate revisions/fill in the blanks
5. Attach scanned copies of the rating forms for ONLY that responder. **Remove the signature page of the rating forms before sending**.
6. **Notify *Successful* Responder:** Once the review is complete and approval is obtained, notify the successful responder, via email, as follows:
7. Address an email to the responder’s contact person
8. Copy and paste the text from the **Solicitation Successful Respondent Letter** into the body of the email
9. If over $50,000, the template provides language to include for a Pre-Award Audit. The **Pre-Award Audit Information Package** must be attached to the email.
10. If a DBE Percentage Goal was assigned, attach the **DBE Special Provisions**.
11. If a TGB and/or Vet Goal higher than 0% was assigned, attach the **TGB/Vet Special Provisions**.
12. Make the appropriate revisions/fill in the blanks

## Pre-Award Audit [Over $50,000]

1. If the Contract will be over $50,000, you must complete a Pre-Award Audit before finalizing budget negotiations with the Contractor.
2. Email the **Pre-Award Audit Information Package** to the Contractor for completion.
3. Once returned, review the documentation for the required items. If something is missing, request it from the Contractor. Questions can be directed to Danielle Plocher.
4. When all documentation is gathered, follow these steps:
5. Address an email to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us). In the subject line type **‘Initiate Pre-Award Audit in CAATS/MnDOT Contract No. XXXXXXX’**. Include the *Contractor Name* and *Subcontractor Names* in the body of the email. Do not attach any documentation. The purpose of this email is only to generate an electronic record in CAATS so that Audit can track the process in CAATS.
6. Forward the email that was submitted by the Contractor to [Auditpreawards.DOT@state.mn.us](mailto:Auditpreawards.DOT@state.mn.us), CC Danielle Plocher, along with the **Pre-Award Audit Request Memo**. The memo must be completed in its entirety and submitted as an attachment to the email.
7. Once you receive the completed Pre-Award Audit Report from the Office of Audit, email it to CS for the contract file and incorporate the recommendations into the final budget.

## 

## TGB/Vet Contract Clearance

1. Was a TGB and/or Vet goal established?
2. If yes, complete the steps in this section.
3. If no, skip this step.
4. Complete the **TGB/Vet Contract Clearance Request Coversheet**. Email the completed coversheet and appropriate documents **to** documents **to** [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us).

***Note****:* ***Contract Administrators should submit the completed documentation as soon as the information is readily available so that the clearance process can take place as you are drafting your contract documents. Once OCR has reviewed the information, a TGB/VET Contract Clearance memo will be issued to the Contractor, copying the Contract Administrator and CS****.* ***CS will record and save this information to eDOCs. A contract cannot be sent to the Contractor until it is cleared by OCR.***

## DBE Contract Clearance

1. Was a DBE Race Gender Neutral goal established?

* If yes, complete the steps in this section.
* If no, skip this section.

Contracts with a RGN Goal assigned DO NOT need to be cleared until after the contract has been fully executed. Once you have an executed contract, email the following to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us):

* + - 1. Completed Special Provisions Documents

***Note: For RGN Goal contracts, a DBE Contract Clearance Memo is not issued.***

1. Was a DBE Percentage Goal established?

* If yes, complete the steps in this section.
* If no, skip this section.

1. Complete the **DBE Contract Clearance Request Coversheet**. The Coversheet details the Special Provision documents that need to be submitted.
2. Email the completed coversheet and appropriate documents **to** documents **to** [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us).

***Note: Contract Administrators should submit the completed documentation as soon as the information is readily available so that the clearance process can take place as you are drafting your contract documents. Once OCR has reviewed the information, a DBE Contract Clearance memo will be issued to the Contractor, copying the Contract Administrator and CS***. ***CS will record and save this information to eDOCs. A contract cannot be sent to the Contractor until it is cleared by OCR.***

## Conduct Negotiations

1. Working with the MnDOT Project Manager and the Contractor, finalize the scope of work, including the tasks, schedule, deliverables/due dates, and team; and finalize the budget.
2. Based on the Contractor, and the work being performed, determine the method of payment:
3. Cost Plus Fixed Fee: Provide a complete breakdown for labor [i.e. personnel/hours/rates, per task], with the Overhead Rate and Fixed Fee applied to the total labor costs, expenses [units/rate, and be sure to follow current travel regulations for travel expenses] and subcontractor costs, [with labor and expenses broken down similarly to the Contractor’s].
   1. When utilizing a Fixed Fee, you must fill out the **Fixed Fee Rate Worksheet** to ensure that the Contractor uses the appropriate fee in their final budget.
   2. Always check CAATS for the most up to date overhead rate for the Contractor.
   3. Questions regarding overhead can be addressed to Danielle Plocher in the Office of Audit.
4. Unit Rate: Provide a complete breakdown for labor [i.e. personnel/hours/rates, per task], expenses [units/rate, and be sure to follow current travel regulations for travel expenses) and subcontractor costs, (with labor and expenses broken down similarly to the Contractor’s].
5. Lump Sum: Determine how the Lump Sum(s) will be paid [amount per deliverable, paid at completion of all work, etc.]. Note: Lump Sum payments are only allowable for certain types of work.

## Request Project ID Number

1. If you do not already have a Project ID [job number] to use, complete the Project Authorization Form – TC08 and email it to appropriate District PPMS Coordinator for issuance of a Project ID. An up to date list of PPMS Coordinators can be found on the CS website [[www.dot.state.mn.us/consult](file:///C:\Users\mcgi1mel\Desktop\www.dot.state.mn.us\consult)] under the **Internal Resources** tab.

## Draft Contract Documents

1. Prepare the contract, using the appropriate version of the contract document. Contract templates can be found on the CS website [[www.dot.state.mn.us/consult](file:///C:\Users\mcgi1mel\Desktop\www.dot.state.mn.us\consult)] under the **Contract Documents** tab. All contract templates begin with the word ‘Contract’. If you have a question about which template to use, contact Ashley Duran.
2. Prepare contract exhibits, which may include:
3. A finalized Scope of Work Exhibit:

* Follow the tips in the Draft Scope of Work section when finalizing the scope of work.

1. A finalized Budget Exhibit:

* Make sure all math is calculated correctly
* Make sure that budget tasks align with the scope of work tasks
* Do not include the Contractor’s name or logo
* Do not round numbers
* Do not use an extremely large budget exhibit. Larger, more detailed budgets can be used for project management purposes but do not need to be included in the contract.
* Budget should be easy to read and understand. If your font is so small you cannot read it, it should not be used in the contract.

1. **Travel Regulations**
2. **Invoice Form**
3. **Progress Report Form**
4. Key Personnel
5. **Contractor Payment Form Exhibit – DBE** [if applicable]
6. **Contractor Payment Form Exhibit – TGB/VET** [if applicable]

## Submit Contract for Review

This is a VERY important step. Having another set of eyes look at your contract is very helpful!

1. Review/check your entire contract using the **Contract Check List**.
2. Email the complete contract, with exhibits, to Ashley Duran for review.
3. Following review, incorporate any corrections/changes into the contract.

## Signature Process [Contractor]

* **If a TGB/VET goal higher than 0% or DBE percentage goal was established, the contract must be cleared before moving to this step.**

1. Address an email to your Contractor’s Project Manager, CC [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us) [for the contract file].
2. Copy and paste the text from the **Contractor Signature Letter** into the body of the email.
3. Make the appropriate revisions/fill in the blanks.
4. Attach a .pdf version of the contract, its exhibits [in one .pdf file].
5. Attach the **Consultant Conflict to Interest** form.
6. If a RGN DBE Goal was assigned, attach the **DBE Special Provisions**.

## Submit to Consultant Services for Processing [Contract Package]

Email the following information to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us), once the contract is returned signed from the Contractor:

1. Signed Contract
2. **Encumbrance Form**. Make sure the following information is filled in on the form:
   1. MnDOT Contract Number
   2. Contract Type
   3. Fiscal Year
   4. Total Contract Amount
   5. Amount of Contract for Current Fiscal Year
   6. Accounting Lines with the following information:
   7. Fund Code
   8. Approp ID
   9. FinDept ID
   10. Project ID
   11. Source Type
   12. Amount to encumber
   13. Contract Expiration Date
   14. Contract Administrator/Phone Number
   15. Project Manager Office
   16. Work Type
   17. Contractor Name

***Once the contract is fully executed, CS will:***

* ***Save the executed contract to the contract file***
* ***Send an email to the Contract Administrator notifying them the contract is executed***

## 

## Notice to Proceed

1. Once you receive the executed contract from CS, email the executed contract to the Contractor for their records, as follows:
   * + 1. Address an email to your Contractor’s Project Manager, CC the MnDOT Project Manager and [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us) [for the contract file].
       2. Copy and paste the text from the **Notice to Proceed** letter into the body of the email.
       3. Make the appropriate revisions/fill in the blanks.
       4. Attach a PDF version of the entire executed contract, along with a Word version of the Invoice and Progress Report forms, as applicable, for their use.

## 

## File Documentation

1. The following documentation is necessary for the contract file. CS will have scanned and saved the following documents to the contract file:
2. CPS Form
3. TGB/Vet Goal Setting Memo
4. DBE Goal Setting Memo
5. Executed Certification Form
6. Signed Selection Committee Approval of Committee Memo
7. Signed Selection Committee Approval of Selection Memo
8. TGB/Vet Goal Clearance Memo
9. DBE Goal Clearance Memo
10. Contractor Signature Letter
11. Executed Contract
12. Notice to Proceed
13. Executed 16A/16C Violation Form [if applicable]
14. Contract Administrators are responsible for ensuring that all remaining documentation is submitted to [PTinbox.dot@state.mn.us](mailto:PTinbox.dot@state.mn.us) to be saved to the contract file [as soon as available]. This may include:
15. Signed Selection Committee Team Member Agreements
16. Final Quick Call for Proposal Part A and Part B
17. Completed and Signed Solicitation Rating Forms
18. Completed Solicitation Ranking Form
19. All Technical and Cost Proposals
20. Pre-Award Audit Memo [if applicable]
21. Completed Fixed Fee Rate Worksheet
22. Insurance Certificate(s)
23. Subcontractor Agreement(s)
24. Approval of Rate Changes [i.e. annual rate increases]
25. Approval of out-of-state travel expenses
26. Approval of direct expenses not listed in contract
27. Approval of change in Key Personnel