* This process is used only when Consultant Services (CS) is NOT writing your contract, when the work being requested falls within one or more Pre-Qualification Program Work Types AND when the contract is estimated to be less than $100,000 (no contract can ever exceed $100,000 if this process is used).
* All documents that are **bolded and underlined** in these instructions can be downloaded from the Consultant Services external website at [www.dot.state.mn.us/consult](http://www.dot.state.mn.us/consult) under the P/T Contract Documents section.
1. [ ]  To obtain a MnDOT Contract Number visit: <http://caats/>. The following information is requested:

|  |  |
| --- | --- |
| *Required Information* | *Additional Information* |
| Requestor Name | Estimated Contract Cost |
| Contract Description | Contract Type *mark ‘Professional/Technical’* |
| Receivable/Payable  *mark ‘payable’*  | Notes/Comments |
|  | Contractor |
|  | SP# |

Once you hit submit, CAATS will generate a pop-up box that will identify your assigned contract number. CAATS will also follow up with an email to the Requestor.

1. [ ]  Work with the MnDOT Project Manager to develop a draft scope of work and identify all Pre-Qualification Work Types that will be included in your contract.
2. [ ]  Complete the **Pre-Qualification Direct Select Form** (Note, some work types are exempt from this requirement – refer to the form for more information). ***E-mail*** the completed Direct Select Form to Dawn Thompson in CS. Dawn will provide selection recommendations and return the form to you. Once you receive the recommendations, finish filling out the Direct Select Form, indicating your selected Contractor, and ***e-mail*** to Dawn for final approval.
3. [ ]  Once final approval is received, fill out the **Contract Process Start Form** (CPS) and, if utilizing consultant services funds, have it signed by the Consultant Coordinator.
4. [ ]  Prepare and sign the **Certification Form** for all contracts over $5,000.
5. [ ]  If the contract includes federal funding, ***e-mail*** the Certification Form and draft scope of work to Rajan Nayar in the Office of Civil Rights for DBE Goal Setting. Once you receive the DBE Goal either: 1) proceed to Step 8 if a Race Gender Neutral goal is set; or 2) proceed to Step 7 if a Percentage Goal is set.
6. [ ]  If the contract includes federal funding, AND a DBE Percentage Goal was set, you will need to ***e-mail*** the **DBE Special Provisions – Consultant Contracts** package to the Contractor. Once they complete and return the package, ***e-mail*** it, along with the DBE Goal Memo and draft contract, to Rajan Nayar in the Office of Civil Rights for contract clearance. Once you receive clearance notification, you may proceed to Step 8.
7. [ ]  Send the completed CPS form, ONE copy of the Certification Form (signed by you) and the draft scope of workto **Consultant Services, Mail Stop 680** for contract initiation. CS will route the Certification Form for approval and return the executed copy to you.
8. [ ]  Once the Certification Form is executed, work with the MnDOT Project Manager to conduct negotiations with the Contractor. This will include, but is not limited to:
* Finalize the scope of work, including the tasks, schedule, deliverables/due dates, and team.
* Finalize the budget (note, you should contact Randy Stallkamp in the Office of Audit for Pre-Award Audit/company information):
	+ If utilizing a Lump Sum format, make sure to determine how that Lump Sum will be paid (amount per deliverable, paid at completion of all work, etc.).
	+ If utilizing a Unit Rate format, be sure to 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) – note, while a broken down subcontractor budget is always welcomed, it is **required** if the subcontractor’s costs exceed $10,000.
	+ If utilizing a Cost Plus Fixed Fee format, be sure to 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) – note, while a broken down subcontractor budget is always welcomed, it is **required** if the subcontractor’s costs exceed $10,000.
		- When utilizing a Fixed Fee, you must fill out the **Fixed Fee Rate Worksheet** and ensure that the Contractor uses the appropriate fee in their final budget.
1. [ ]  If you do not already have a Project ID (job number) to use, complete the **Project Authorization Form – TC08** and ***e-mail*** it to appropriate District Artemis Coordinator for issuance of a Project ID.
2. [ ]  Prepare your contract, using the appropriate version of the Contract Document (**Contract – High Risk**, **Contract Low Risk – Engineering & Related** or **Contract Low Risk – Non-Engineering**). You will also need to prepare your contract exhibits, which may include:
	1. A finalized Scope of Work
	2. A finalized Budget
	3. **Travel Regulations**
	4. **Invoice Form**
	5. **Progress Report Form**
3. [ ]  Review/check your entire contract using the **Contract Check List**.
4. [ ]  If desired, ***e-mail*** the complete contract to Melissa Brand in CS for review.
5. [ ]  Following review, incorporate any corrections/changes into the contract.
6. [ ]  Once your contract has been reviewed and finalized, ***e-mail*** the contract, along with the **Consultant Conflict of Interest** and the **DBE Special Provisions – Race Gender Neutral** (if federal funding applies, and a Race Gender Neutral goal was set), to the Contractor for signature. Follow these instructions for obtaining the Contractor’s signature on the contract:
* Address an e-mail to your Contractor’s Project Manager
* Copy and paste the text from the **Contractor Signature Letter** into the body of the e-mail
* Make the appropriate revisions/fill in the blanks
* Attach a scanned PDF of your entire contract, along with the Conflict of Interest and DBE Special Provisions, as applicable
1. [ ]  When the contract is received back from the Contractor, send TWO copies (make sure that the front page is on yellow paper) to **Consultant Services, Mail Stop 680**, along with a fully filled out **Encumbrance Form**, with an active Project ID and the executed Certification Form, if applicable (***Note, electronic copies will NOT be accepted***). CS will route the contract for approval and return the executed copy to you.
2. [ ]  When the contract is executed, ***e-mail*** the executed contract back to the Contractor for their records, as follows:
* Address an e-mail to your Contractor’s Project Manager, copying the MnDOT Project Manager
* Copy and paste the text from the **Notice to Proceed** letter into the body of the e-mail
* Make the appropriate revisions/fill in the blanks
* Attach a scanned PDF of your entire executed contract, along with a word version of the Invoice and Progress Report forms, as applicable, for their use
1. [ ]  ***E-mail*** any outstanding contract documentation to PTinbox.dot@state.mn.us (or in the Outlook Address Book it is named \*DOT\_PTinbox) to be entered into EDMS, the official contract “file”. This may include:

|  |  |
| --- | --- |
| Completed Pre-Qualification Direct Select Form | Completed Project Authorization Form – TC08 |
| Completed Fixed Fee Rate Worksheet | Insurance Certificate(s) |
| DBE Goal Memo and Paperwork | Signed Subcontractor Agreement(s) (**required** for all subcontractors over $10,000) |
| Signed Conflict of Interest Form |  |