

CDOT Professional Services Prequalification & Master Price Agreement

July 13, 2022



Welcome!

- **Cathy Kramer** – Connect2DOT Program Manager
- **Louis Wynn**– CDOT IT Service Desk Analyst (SuSS)
- **Darrell Wells** – CDOT Engineering Contracts (Technical Prequal)
- **Josh Gosenca** – CDOT Audit (MPA)



Connect2DOT

Free Services Provided:

- [One-on-one consulting](#)
- [Workshops and training](#)
- [LEADING EDGE for Transportation](#) (Aug 3)
- [Connect2dot.org](#)
- [Bid Matching Service](#)
- [Email news and information](#)
- [Networking and project events](#) (Pueblo July 1)
- [Connections to CDOT staff and prime contractors](#)
- [Aurora-South Metro CO SBDC support](#)



**225 statewide business consultants, 15 transportation consultants and
8 former CDOT engineers available to help you immediately!**

Today's Topics

Roadmap to CDOT Prequalification



Brief
Overview

SuSS
Portal

Moving to
[B2Gnow](#)

Technical
Prequal

Financial
Prequal

Who Needs to Be Prequalified?

- All “Professional Services Consultants” (consultants) who wish to provide professional pre-construction services on CDOT highway design projects (prime and subconsultant)
- Professional services include all categories of work covered under the [Brooks Act](#) and defined in [40 U.S. Code 1102](#) (e.g., architecture, engineering, environmental, etc.)
- It also includes “Engineering and Design Related Services” as defined in [23 CFR 172.3](#) (e.g., construction management, feasibility studies, surveying, mapping, materials testing, etc.)
- If it requires a license or stamp, or if you are providing other professional advice on a project, it’s considered a professional service

Vendor vs. Consultant

- “Vendors” are firms providing pre-construction services that don’t fall under the definition of professional services
- Vendors can be listed on professional service contracts **only to the extent that the work is incidental** to the professional service
- Types of vendors include: project management, construction inspection, public information, photography, etc.
- For firms that are both consultants and vendors:
 - You are encouraged to get prequalified to allow your professional services staff to work on CDOT contracts
 - You will be classified on each contract or task order based on the particular work being performed

<https://www.codot.gov/business/consultants/guidance-documents/consultants-vs-vendors-2021.pdf>

Some Facts

- There is no cost to get prequalified
- Firms are required to renew their CDOT prequalification every year
- Firms must be **technically prequalified** for consideration in a qualifications-based proposal:
 - Typically takes 2-5 days
 - Busy season is April – May when most firms have completed their taxes
 - Best time to submit is in the winter months
- Firms must have an **MPA** prior to receiving a contract or task order:
 - Typically takes 2-4 weeks depending on complexity
 - Busy season is June – September
 - Best time to submit is January – April

Contacts

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<https://www.codot.gov/business/consultants/forms>



COLORADO

Department of Transportation
Engineering Contracts

Required Documents for Pre-Qualification for Consultants

1. CDOT form 1058 Signed
2. W-9 - Signed in the Current Year
3. Certificate of Good Standing w/ State of Colorado
4. PE License State of Colorado- Approval Letter will be addressed to this person

Questions call Darrell Wells 303-757- 9215 email darrell.wells@state.co.us



COLORADO

Department of Transportation Engineering Contracts

CDOT form 1058

Home address vs Present office address

PE License State of Colorado –Letter

DBE or ESB Certification #- No Longer Valid

Key Personal #9- Don't fit into a category

Add addition pages if needed

Incidental Engineering Services (IES) – None
PE License

Subsurface Utility Engineering (SUE)

Pre-Qualification Approval Letter no longer
mailed only email.

COLORADO DEPARTMENT OF TRANSPORTATION ARCHITECT - ENGINEER PREQUALIFICATION QUESTIONNAIRE			Date (Month, day and year)
NOTE: COLORADO LAW REQUIRES PROSPECTIVE CONSULTANTS TO ANNUALLY SUBMIT THIS QUESTIONNAIRE TO BE CONSIDERED FOR CONTINUATION OF THEIR PREQUALIFIED STATUS. Per C.R.S. 24-30-1403			
Firm name:	Established: Year: _____ State: _____	Type of organization (check one) <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Individual <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture	
EIN (tax ID):		Telephone #	
Corporate Address:	Local Office Address:	Fax #	
Principals of firm:		Company Contact E-Mail Address:	
Names:		Are you a Colorado DOT eligible Emerging Small Business (ESB)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
		Are you a Colorado certified Disadvantaged Business Enterprise (DBE)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have at least one PE that is licensed in the State of Colorado? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Name:			PE #:
Key personnel of firm (Names)			
Architects/ Landscape Architects	Landscape Architects	Civil Engineers	Structural Engineers
Sanitary Engineers	Mechanical Engineers	Electrical Engineers	Surveyors



COLORADO

**Department of Transportation
Engineering Contracts**

➤ Link to CDOT form 1058:

<https://www.codot.gov/library/forms/cdot1058.pdf/view>

➤ Link to verify PE license:

<https://apps.colorado.gov/dora/licensing/Lookup/LicenseLookup.aspx>

➤ Link to Secretary of State of Colorado Certificate of Good Standing:

<https://www.sos.state.co.us/biz/BusinessEntityCriteriaExt.do>

**COLORADO DEPARTMENT OF TRANSPORTATION
ARCHITECT - ENGINEER PREQUALIFICATION QUESTIONNAIRE**

Date (Month, day and year)

NOTE:
COLORADO LAW REQUIRES PROSPECTIVE CONSULTANTS TO ANNUALLY SUBMIT THIS QUESTIONNAIRE TO BE CONSIDERED FOR CONTINUATION OF THEIR PREQUALIFIED STATUS. Per **C.R.S. 24-30-1403**

Firm name:	Established:		Type of organization (check one) <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Individual <input type="checkbox"/> Other <input type="checkbox"/> Joint Venture
	Year:	State	
	FEIN (Tax ID):		
Corporate Address:	Local Office Address:	Telephone #	
		Fax #	
		Company Contact E-Mail Address:	
Principals of firm:	Names:	Are you a Colorado DOT eligible Emerging Small Business (ESB) <input type="checkbox"/> Yes <input type="checkbox"/> No	
		Are you a Colorado certified Disadvantaged Business Enterprise (DBE) <input type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have at least one PE that is licensed in the State of Colorado? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Name:			PE #:

Key personnel of firm (Names)

Architects/ Landscape Architects	Landscape Architects	Civil Engineers	Structural Engineers
Sanitary Engineers	Mechanical Engineers	Electrical Engineers	Surveyors
Other			

Number of personnel in your present organization

Located at	Principals & key personnel									TOTALS	
	Architects	Engineers				Drafters	Estimators	Inspectors	Surveyors		Others
		Civil	Elec	Mech	Other						
A. Cooperate office											
B. Local office											
C. TOTALS											

Indicate the types of projects in which your firm specializes.

	Acoustical Engineering (AC)		Highway and Street Design (HD)
	Architecture (AR)		Hydraulics (HY)
	Buildings Management (Contract Administration) (ABA)		Industrial Hygienist
	Buildings (Construction) (ABC)		Landscape Architecture (LA)
	Bridge Design (BR)		Materials Testing (MT)
	Bridge Inspection (BI)		Mechanical Engineering (ME)
	Civil Engineering (CE)		Sanitary Engineering (SA)
	Electrical Engineering (EL)		Soils Engineering (SO)
	Engineering Expert Witness (EW)		Structural Engineering (SE)
	Engineering Management (Contract Administration) (MA)		Sub-Surface Utility Engineering (SUE)
	Engineering Management (Construction) (MC)		Surveying (SU)
	Environmental Engineering (EN)		Traffic Engineering (TR)
	Geological Engineering (GL)		Transportation Engineering (TP)
	Geotechnical Engineering (GE)		Tunneling (TU)
	Incidental Engineering Services (IES)		Value Engineering (VE)

If your firm does not fit into one of the above categories please describe what services you are trying to get pre-qualified: (i.e. Biologist)

Personal history statement of principals, associates and other key personnel within your firm (furnish complete data but keep to essentials)

Name (Last, First, Middle initial)			Name (Last, First, Middle initial)		
E-mail address	Years of experience in this firm	Years of experience in other firms	E-mail address	Years of experience in this firm	Years of experience in other firms
Education (College, Degree, Year, Specialization)			Education (College, Degree, Year, Specialization)		
List membership in professional organizations			List membership in professional organizations		
Colorado Professional Architect, Engineer or Surveyor Registration (number and year)			Colorado Professional Architect, Engineer or Surveyor Registration (number and year)		
Name (Last, First, Middle initial)			Name (Last, First, Middle initial)		
E-mail address	Years of experience in this firm	Years of experience in other firms	E-mail address	Years of experience in this firm	Years of experience in other firms
Education (College, Degree, Year, Specialization)			Education (College, Degree, Year, Specialization)		
List membership in professional organizations			List membership in professional organizations		
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Personal history statement of principals, associates and other key personnel within your firm (furnish complete data but keep to essentials)

Name (Last, First, Middle initial)			Name (Last, First, Middle initial)		
E-mail address	Years of experience in this firm	Years of experience in other firms	E-mail address	Years of experience in this firm	Years of experience in other firms
Education (College, Degree, Year, Specialization)			Education (College, Degree, Year, Specialization)		
List membership in professional organizations			List membership in professional organizations		
Colorado Professional Architect, Engineer or Surveyor Registration (number and year)			Colorado Professional Architect, Engineer or Surveyor Registration (number and year)		
Name (Last, First, Middle initial)			Name (Last, First, Middle initial)		
E-mail address	Years of experience in this firm	Years of experience in other firms	E-mail address	Years of experience in this firm	Years of experience in other firms
Education (College, Degree, Year, Specialization)			Education (College, Degree, Year, Specialization)		
List membership in professional organizations			List membership in professional organizations		
Colorado Professional Architect, Engineer or Surveyor Registration (number and year)			Colorado Professional Architect, Engineer or Surveyor Registration (number and year)		

Present or Completed activities on which your firm is designated Architect or Engineer of Record during the last 5 years. (Non-CDOT)

Type of Project	Date Completed	Description of Work	Location	Name, address and phone # of owner and reference	Estimated Construction Cost

Present or completed CDOT Project activities on which your firm is designated Architect or Engineer of Record during the last 5 years

Type of Project	Date Completed	Description of Work	Location	Name, address and phone # of owner and reference	Estimated Construction Cost

Present or completed activities on which your firm is/was associated as a sub-consultant during the last 5 years. (Non-CDOT)
 (indicate phase of work for which your firm is/was)

Type of Project	Date Completed	Description of work (list in detail)	Location	Owner	Firm associated with

Present or completed CDOT project activities on which your firm is/was associated as a sub-consultant during the last 5 years.
 (indicate phase of work for which your firm is/was responsible)

Type of Project	Date Completed	Description of Work (list in detail)	Location	Owner	Firm associated with

Additional information - Please provide any additional information that you feel is important that was not covered above. Please feel to copy and add additional pages of the above form if needed.

FORM 1058

Signature and Acknowledgment

<p>I DECLARE UNDER PENALTY OF PERJURY IN THE SECOND DEGREE AND ANY OTHER APPLICABLE STATE OR FEDERAL LAWS THAT THE STATEMENTS MADE ON THIS DOCUMENT ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. FURTHER I WARRANT THAT THE FIRM'S BUSSINESS RECORDS MAY BE AUDITED BY THE DEPARTMENT OR IT'S DESIGNATED REPRESENTATIVE AS A CONDITION OF CONTRACT NEGOCIATIONS AND /OR EXECUTION OF A CONTRACT.</p> <p>I ACKNOWLEDGE THAT I HAVE READ AND UNDERSTAND C.R.S. 24-18-105 AND C.F.R. 24-18-201 PROHIBITING FORMER STATE EMPLOYEES FROM PARTICIPATING IN ANY WORK ASSOCIATED WITH CONTRACTS DIRECTLY RELATED TO THERE FORMER WORK FOR SIX MONTHS.</p>	Name:	
	Title:	
	Firm:	
	Mailing Address:	
Signature of authorized principal:	Date:	
<p>NOTE: COLORADO LAW REQUIRES PROSPECTIVE CONSULTANTS TO ANNUALLY SUBMIT THIS QUESTIONNAIRE TO BE CONSIDERED FOR CONTINUATION OF THEIR PREQUALIFIED STATUS. IT IS THE FIRMS RESPONSIBILITY TO SUBMIT THEIR QUESTIONNAIRE 17 DAYS PRIOR TO EXPIRATION DATE TO INSURE ELIGIBILITY TO COMPETE ON FUTURE SOLICITATIONS.</p>		



COLORADO

Department of Transportation

Master Pricing Agreement Process

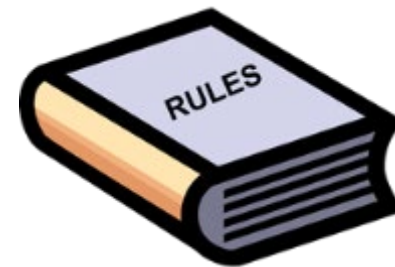


Background

Federal Regulations

As a government entity receiving federal funds, CDOT is required to follow federal regulations. When hiring professional service consultants, such as architectural engineering (A/E) firms, the applicable regulations include 48 CFR, Federal Acquisition Regulations, Part 31 (the FAR) and 23 CFR Part 172.

The CDOT Division of Audit is responsible for ensuring A/E firms comply with federal regulations.





Background

Federal Regulations

Consultant costs must be:

- Reasonable:** “...does not exceed that which would be incurred by a prudent person in the conduct of competitive business”
- Allocable:** Can be assigned or charged to one or more cost objectives
- Direct - incurred on a specific project
 - Indirect - necessary for the overall operation of a business with no direct relationship to any particular cost objective (e.g., advertising, rent, etc.)
- Allowable:** Selected costs are detailed in FAR 31.205 sections 1 - 52



Background

Master Pricing Agreement

CDOT is somewhat unique among state DOTs in that we require all A/E consultants to have a Master Pricing Agreement (MPA) to do business with us.

The MPA locks in the rates that a particular firm can charge CDOT.

- Sets direct labor and indirect cost rates
- Identifies employees allowed to be billed on CDOT work
- Updated annually
- New employees can be added throughout the year

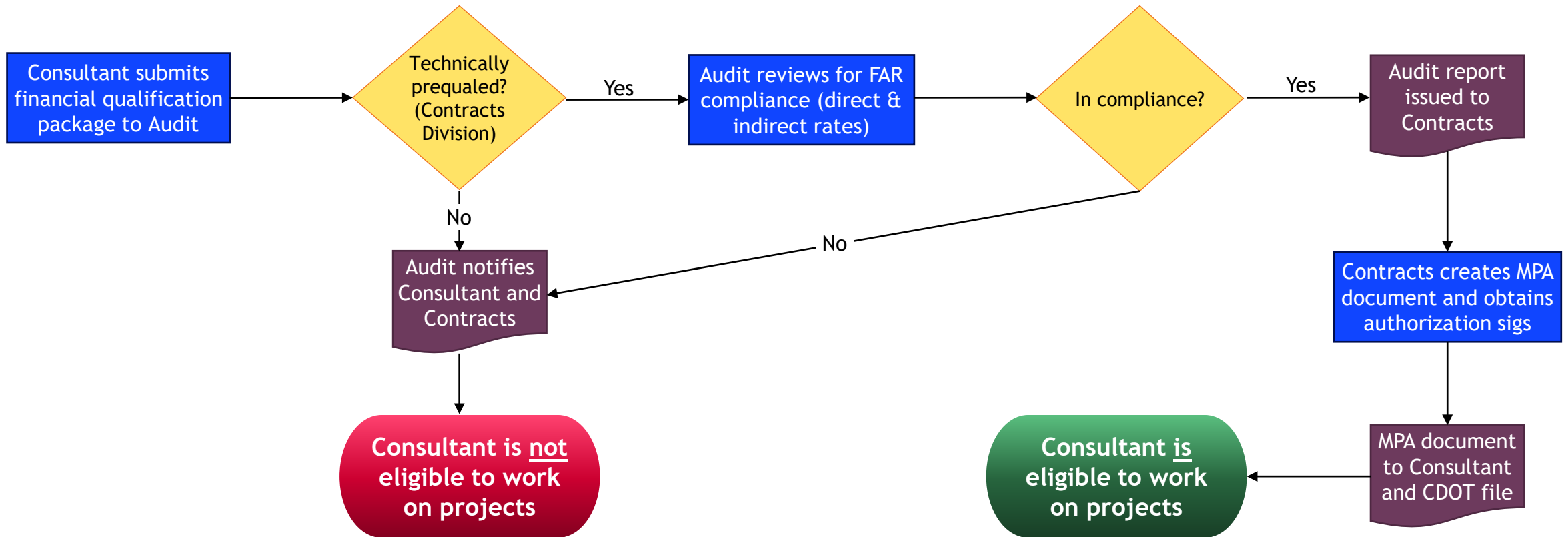
MPAs streamline the new selection process for both CDOT and consultants.





Background

Flowchart of MPA Process





Work Performed

Two Types of Costs Reviewed

Direct Salary Rates (DSR)

The actual payroll rates of the employees

Indirect Cost Rates (ICR)

The “overhead” that the firm is reimbursed for

The two rates are combined to calculate the billing rate* charged to CDOT

Payroll Rate	\$20.00/hour Direct
150% ICR	\$30.00/hour Indirect
<hr/>	<hr/>
Total Billing Rate	\$50.00/hour

* Profit is added on top of the billing rate and is negotiated per project; it is not included in the MPA



Work Performed

Direct Salary Rates (DSR)

Hourly direct salary rates proposed by the consulting firm are reviewed in two ways:

1) Match payroll

Consultants cannot charge CDOT more than the employee is actually paid by the firm

2) Fair and reasonable

Direct salary rates are compared to a CDOT-created database



Work Performed

Fair and Reasonable Testing

The firm maps their employees to CDOT Common Classifications using job descriptions and employee experience/skills

CDOT Audit compares the hourly rates to our salary database using the Common Classifications

- The database uses salary data from 3 independent surveys
- CDOT uses the 75th percentile for the initial reasonableness test

Proposed rates that are less than salary database rates are accepted

Proposed rates that are more than the salary database rates are sent to the firm in an Exception Report asking them to respond (5 possible ways)



Work Performed

Exception Report Responses

1. Submit a job description for classifications that are in dispute
2. Submit an explanation/resume detailing why employees should be paid more than the 75th percentile rate (i.e. specialized expertise, years of experience, etc.)
3. Submit the firm's compensation study
These rates will be considered if the study is done by an independent, nationally-recognized firm and is current (e.g. Mercer, etc.)
4. Reduce the employee's proposed rate to match the audited rate
5. Remove the employee(s) in question from the MPA



Work Performed

Indirect Cost Rate (ICR)

The ICR schedule is reviewed for compliance with FAR Part 31 to ensure that:

- Unallowable costs (as defined by FAR) are excluded
- Direct and indirect costs are accounted for and allocated correctly
- Costs reported match actual costs in the firm's financials (adj. trial balance)
- Executive compensation is reasonable
 - Benchmark Compensation Amount (BCA) - \$525,000 for 2018
 - Firm's compensation study or National Compensation Matrix Tool
 - NCM Tool can be found on AASHTO's website: <https://audit.transportation.org/>



Work Performed

Indirect Cost Rate (ICR)

Combined Rate

- One rate for the whole firm. Many firms use a combined rate.

Office Rate

- In conjunction with field rate, covers the employees who utilize the firm's own office and support staff.

Field Rate

- In conjunction with office rate, covers employees who utilize client-provided office space and support for an extended period of time.

Facilities Capital Cost of Money (FCCM)

- Imputed cost related to firm's investment in fixed assets/facilities.
- Many firms don't calculate this. Usually a small fraction of a percent.



Work Performed

Indirect Cost Rate (ICR)

Firms that have done over \$500k in CDOT work in the prior year must have a CPA-audited ICR.

Firms with less than \$500k in CDOT work in the prior year can compile their own ICR.

- Known as a “Compilation”
- Still held to all the same rules and regulations as a CPA-audited ICR
- If your firm has not calculated an ICR in the past, it is strongly recommended you contact a FAR compliance expert to assist you.



Work Performed

Indirect Cost Rate (ICR) - PPP Loans

For reviews in 2021 and 2022, a PPP Questionnaire will be required for all firms with an ICR.

- The form is located on the MPA website (see “Resources” slide at end)

If you received PPP funds AND they were forgiven (in part or in whole) a credit to your ICR is required.

- The credit should be made in the year the forgiveness was granted, but can be made in the current year if the firm desires

If you did not receive forgiveness and the funds will be paid back in whole, no credit to your ICR is required.

- Treated the same as any other loan for ICR purposes



Work Performed

Fee Schedule

Exception given on a case by case basis. *Generally* given to firms with:

- Less than 5 employees
- Less than \$1m in gross revenue
- No ICR

The exception to allow a firm to be a Fee Schedule must be reevaluated annually when the firm renews their MPA.

These firms can propose “fee schedule” billing rates, which are all inclusive (hourly rate, implied/estimated ICR, profit/fee).

Payroll registers are only required if the firm has them.



Appendix A

APPENDIX A	
Section I - Required Documents for Financial Qualification Review	
<p>Complete the appropriate list below based on the type of review you are requesting. Sign and date at the bottom. Email all documents to: dot_audit@state.co.us</p>	
Full MPA Reviews	
<p style="text-align: center;"><u>ICR Firms* - No Cog**</u></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Appendix A <input checked="" type="checkbox"/> AASHTO Internal Control Questionnaire (AASHTO ICQ) <input checked="" type="checkbox"/> Appendix F - Certification of Indirect Cost Rate <input checked="" type="checkbox"/> Appendix G - Employee Listing (one in Excel, one as a signed pdf) <input checked="" type="checkbox"/> Payroll Registers <input checked="" type="checkbox"/> Current FYE FAR ICR Audit Report or Compilation <input checked="" type="checkbox"/> Executive Compensation Analysis <input checked="" type="checkbox"/> Post-Closing Trial Balance <input checked="" type="checkbox"/> Financial Statements <input checked="" type="checkbox"/> Sample Timesheet <input checked="" type="checkbox"/> Bonus Policy <input type="checkbox"/> Normal Cost of Ownership Schedule (if applicable) 	<p style="text-align: center;"><u>ICR Firms* - With Cog**</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Appendix A <input type="checkbox"/> AASHTO Internal Control Questionnaire (AASHTO ICQ) <input type="checkbox"/> Appendix F - Certification of Indirect Cost Rate <input type="checkbox"/> Appendix G - Employee Listing (one in Excel, one as a signed pdf) <input type="checkbox"/> Payroll Registers <input type="checkbox"/> Current FYE Cognizant Review Letter <input type="checkbox"/> Current FYE FAR ICR Audit Report <p style="text-align: center;"><u>Fee Schedule Firms***</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Appendix A <input type="checkbox"/> AASHTO Internal Control Questionnaire (AASHTO ICQ) <input type="checkbox"/> Appendix G - Employee Listing (as a signed pdf) <input type="checkbox"/> Invoices (at least 3 current non-CDOT projects) <input type="checkbox"/> Payroll Registers
<p>* ICR Firms are firms that have either a compiled or CPA-audited indirect cost rate (the majority of firms working with CDOT)</p> <p>** A "Cog" is a cognizant review letter</p> <p>*** Fee Schedule status must be approved by CDOT</p>	
Decoupled Reviews	
<p style="text-align: center;"><u>DSR Only Reviews</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Appendix A <input type="checkbox"/> AASHTO Internal Control Questionnaire (AASHTO ICQ) <input type="checkbox"/> Appendix G - Employee Listing (one in Excel, one as a signed pdf) <input type="checkbox"/> Pay Raise Certification (if applicable) <input type="checkbox"/> Payroll Registers <input type="checkbox"/> Executive Compensation Analysis 	<p style="text-align: center;"><u>ICR Only Reviews</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> Appendix A <input type="checkbox"/> AASHTO Internal Control Questionnaire (AASHTO ICQ) <input type="checkbox"/> Appendix F - Certification of Indirect Cost Rate <input type="checkbox"/> Appendix G - Employee Listing (as a signed pdf) <input type="checkbox"/> Current FYE Cognizant Review Letter (if applicable) <input type="checkbox"/> Current FYE FAR ICR Audit Report or Compilation <input type="checkbox"/> Executive Compensation Analysis <input type="checkbox"/> Post-Closing Trial Balance <input type="checkbox"/> Financial Statements <input type="checkbox"/> Sample Timesheet <input type="checkbox"/> Bonus Policy <input type="checkbox"/> Normal Cost of Ownership Schedule (if applicable)



Appendix A

Section II - Nature of Revenue		
Revenue from CDOT Projects (as prime and sub, less pass-thru funds)	\$	1,000,000.00
Revenue from other customers (as prime and sub, less pass-thru funds)	\$	3,000,000.00
Total Company Revenue	\$	4,000,000.00
Percentage of Revenue Earned From:		
DOT-Related Projects	%	50.00
Non-DOT Governmental Projects	%	30.00
Private/Commercial Projects	%	20.00
Section III - Certification		
I certify that I have provided all the required documents indicated above and have completed this form in its entirety. To the best of my knowledge, the information provided is complete and accurate.		
Printed Name	Josh Gosenca	Title CEO
Signature	<i>Josh Gosenca</i>	Date 03/01/2019



Document Descriptions

APPENDIX A DOCUMENT DESCRIPTIONS

Appendix A - The checklist used to ensure all required documents are included. It also describes the nature of the Consultant's revenue, and serves as a signed certification by the Consultant that all submitted documents are accurate.

AASHTO Internal Control Questionnaire (ICQ) - Serves as a report on the Consultant's internal controls, payroll/job costing/accounting system, and certain policies/procedures. It is found in the AASHTO Uniform Audit & Accounting Guide, Appendix B.

Appendix F Certification of Indirect Cost Rate - The Consultant certifies that the ICR was calculated in accordance with 48 CFR 31.

Appendix G Employee Listing - Lists all employee names, classifications, and rates (including the ICR) that the Consultant is requesting to be in the MPA. Once approved, a signed copy is attached to the MPA.

Appendix G Employee Listing (Fee Schedule) - Lists all employee names, classifications, and billing rates that the Consultant is requesting to be in the MPA. Once approved, a signed copy is attached to the MPA. This version is for approved Fee Schedule Consultants only.

Payroll Registers - Must be directly from the Consultant's payroll system, and should be within a month of when the MPA documents are submitted.

Cognizant Letter (Cog) - Typically issued by the home state DOT, this letter states that a review was conducted of either the CPA work papers or the Consultant's calculation of the ICR, and that the ICR was found to materially conform to 48 CFR 31. The Cog must be based on the most current fiscal year end; if it is more than 1 year old, a new Cog must be obtained.



Document Descriptions

FAR ICR Audit Report or Compilation (ICR Schedule) - Shows the calculation of the ICR, including all accounts, adjustments, and unallowable costs. It is typically accompanied by notes explaining the methods used by the Consultant to accumulate costs and make adjustments. The ICR must be based on the most current fiscal year end; if it is more than 1 year old, a new ICR Statement must be obtained. See the tables at the end of Chapter 5 of the AASHTO Uniform Audit & Accounting Guide for examples of how this schedule should look.

Executive Compensation Analysis - Lists the total compensation of the top executives at the firm. A separate analysis of these individual's compensation is required per 48 CFR Part 31.205-6. Typically, the Consultant will compare the compensation to either compensation studies or the National Compensation Matrix (NCM). See Chapter 7.5 of the AASHTO Uniform Audit & Accounting Guide for details regarding how to conduct this analysis.

Post-Closing Trial Balance - Lists all primary accounts from the Consultant's general ledger and their year-end balances (after adjustments). Must be the same FYE as the ICR Schedule.

Financial Statements - Typically include the Balance Sheet, Income Statement, and Statement of Cash Flows. Must be the same FYE as the Trial Balance and ICR Schedule.

Sample Timesheet - A blank timesheet showing all available fields of entry.

Bonus Policy - If the firm has a written policy, please provide it. If not, please provide a brief explanation of how bonuses are determined, or if the firm does not pay bonuses, state that.

Normal Cost of Ownership Schedule – Schedule detailing the adjustment that is required if the Consultant pays rent to a related-party. See Chapter 8.23.B of the AASHTO Uniform Audit & Accounting Guide and 48 CFR 31.205-36(b)(3) for details regarding the costs that are allowable.

Invoices (Fee Schedule Consultants only) - The Consultant must supply at least three current (within six months) invoices from at least three different, non-CDOT clients.



Appendix G Employee Listing

Office & Field Rates

APPENDIX G EMPLOYEE LISTING

ABC Consulting, Inc.

INDIRECT COST RATES & FCCM			
Office: 161.23%		Field: 112.43%	
Office FCCM: 0.15%		Field FCCM: 0.12%	

DIRECT LABOR RATES							
A. Employee Name (Last, First - alphabetical)	B. Consultant's Employee Classification	C. Conversion to CDOT Classification	D. Current Hourly Rate	E. Indirect Cost Rate		F. Billing Labor Rate	
				Office	Field	Office	Field
Gosenca, Josh	Engineering Associate 5	Engineer III	\$45.00	161.23%	112.43%	\$117.55	\$95.59
Lamb, Robyn	Engineering Supervisor	Engineering Manager	\$65.00	161.23%	112.43%	\$169.80	\$138.08

CERTIFYING OFFICIAL			
I certify that to the best of my knowledge and belief this Employee Listing is a complete and accurate representation of this company's payroll.			
Name (print): Jane T. Bosslady	Signature: <i>Jane T. Bosslady</i>	Title: CEO	Date: 3/1/19



Appendix G Employee Listing

Single Rate

APPENDIX G EMPLOYEE LISTING

ABC Consulting, Inc.

INDIRECT COST RATES & FCCM							
Office: 161.23%				Field: NA			
Office FCCM: 0.15%				Field FCCM: NA			

DIRECT LABOR RATES							
A. Employee Name (Last, First - alphabetical)	B. Consultant's Employee Classification	C. Conversion to CDOT Classification	D. Current Hourly Rate	E. Indirect Cost Rate		F. Billing Labor Rate	
				Office	Field	Office	Field
Gosenca, Josh	Engineering Associate 5	Engineer III	\$45.00	161.23%	NA	\$117.55	NA
Lamb, Robyn	Engineering Supervisor	Engineering Manager	\$65.00	161.23%	NA	\$169.80	NA

CERTIFYING OFFICIAL			
I certify that to the best of my knowledge and belief this Employee Listing is a complete and accurate representation of this company's payroll.			
Name (print): John T. Bossman	Signature: <i>John T. Bossman</i>	Title: CEO	Date: 3/1/19



Appendix G Employee Listing

Fee Schedule

**APPENDIX G
EMPLOYEE LISTING**
XYZ Consulting, LLC

INDIRECT COST RATES & FCCM		
NA - FEE SCHEDULE		

DIRECT LABOR RATES		
A. Employee Name (alphabetical - Last Name, First Name)	B. Employee Classification/CDOT Common Classification	C. Billing Rate
Gosenca, Josh	Engineering Manager	\$125.00
Lamb, Robyn	EIT III	\$70.00

CERTIFYING OFFICIAL		
I certify that to the best of my knowledge and belief this Employee Listing is a complete and accurate representation of this company's billing rates.		
Name (print): Josh Gosenca Title: Owner	Signature: <i>Josh Gosenca</i>	Date: 5/14/19



Helpful Hints

Adding/Updating Employees

The following 2 changes can be made outside of the normal annual MPA updates:

- New employees can be added
 - Subject to reasonableness and payroll review
- Hourly rates can be increased for employees who receive promotions
 - Only if the employee's job title and duties changed
 - Not available if it was just a raise
 - Subject to reasonableness and payroll review



Helpful Hints

Adding/Updating Employees

Adding employees is handled by George Currie in the CDOT Contracts Division

Contact Info:

george.currie@state.co.us

303-512-4156

Instructions can be found on the CDOT website:

<https://www.codot.gov/business/consultants/engineering-contracts-guidance-memos-ec-000>



Helpful Hints

Avoiding Common Issues

Ensure your technical prequalification is current

<https://www.codot.gov/business/consultants/cdot-supplier-self-service-portal-1>

Be sure you are using the most current version of documents

<https://www.codot.gov/business/consultants/forms>

Answer the AASHTO Internal Control Questionnaire accurately

- Discrepancies between ICQ answers and the ICR calculation require follow-up and delay our review

Ensure all forms are mathematically correct

- All costs in a column are included in the total
- Costs identified as unallowable are removed
- Costs tie to the financials
- FAR and other references on the ICR Schedule are accurate





Helpful Hints

Avoiding Common Issues

Email all documents listed in the appropriate checklist on Appendix A

- Submit Appendix G in both Excel and as a signed PDF
- If a document is not submitted, provide a brief explanation

Complete all documents in their entirety (remember signatures!)

- Be sure to include revenue information on the Appendix A

Complete all documents correctly (do not alter formulas/fonts/spacing)

- Do not change the formatting of the Appendix G Employee Listing

Do not combine the ICR and facilities capital cost of money (FCCM) on the Appendix G Employee Listing





Helpful Hints

Avoiding Common Issues

Reviews take, on average, 2-4 weeks to complete from the time we receive all the required documents.

Please plan accordingly!





Resources



Contact Information



AUDIT

Josh Gosenca (MPAs)
Robyn Lamb (Supervisor)

303-512-4369
303-757-9363

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robyn.lamb@state.co.us

CONTRACTS

Marci Gray (Manager)
George Currie (Add Employees)

303-757-9297
303-512-4156

marci.gray@state.co.us
george.currie@state.co.us

MPA Website

<https://www.codot.gov/business/consultants/forms>

Financial Qualification Email

dot_audit@state.co.us