

**Pre-Award Submittals for Virginia Department of Transportation (VDOT)  
Locally Administered Projects (Fixed Billable Rates)  
Instructions for Local Public Agencies (LPA)**

**I. GENERAL**

- A. All LPAs responsible for administering VDOT projects are required to submit specific pre award review information for combined prime and sub-consultant “professional services” cost proposals with a value greater than \$200,000 to their VDOT District Project Coordinator. The Project Coordinator will ensure that the information is complete and forward it to the VDOT Assurance and Compliance Office (VDOT-ACO) to verify compliance with requirements set forth in 48 CFR 31, 23 CFR 172, the Locally Administered Projects (LAP) Manual, and the VDOT Manual for the Procurement and Management of Professional Services.
- B. Engineering consultants are required to submit the information to the LPA within ten (10) business days of selection notification. Most of the information required is the responsibility of the selected Prime firm; however, the LPA is responsible for coordinating, reviewing, and submitting the information to the designated VDOT District Project Coordinator.

Upon receipt of a **complete** package, VDOT-ACO Pre-Award Reviews should be completed within 20 business days. LPA’s should incorporate this time into their procurement schedule.

- C. VDOT-ACO will assign an auditor to coordinate the review of information and communications with the VDOT Project Coordinator (PC) and the LPA. VDOT-ACO reserves the right to re-assign projects internally as necessary, and will notify the LAPC if this occurs.
- D. No award of contract(s) can be made until VDOT-ACO has completed the Pre-Award Review, provided comments/deficiencies, and deficiencies resolved between the LPA, VDOT PC, and the consultant. VDOT-ACO does not require a response to the Pre-Award Review, nor evidence of compliance with their recommendations. It should be noted that non-compliance with requirements may limit federal funding participation. Resolution documentation of all deficiencies identified by VDOT-ACO shall be maintained in the procurement file to meet Federal retention requirements.
- E. The addition of sub-consultants after contract award is strongly discouraged. If it becomes necessary to add a sub-consultant, the Prime firm is responsible for submitting Pre-Award documentation to the LPA for review by VDOT-ACO as outlined in the “Instructions for Engineering Consultants”.

**II. PRE-AWARD SUBMITTAL INSTRUCTIONS**

Submittals should be accepted from the **Prime consultant only**, as they are the contracting party and responsible for compiling the requested information. The Prime Consultant must confirm that all requested information is included in the submittal, and in the following formats:

- 1. One copy of the completed Excel template for each firm (prime and sub-consultants)  
The file must be titled:  
[Firm Name]; Excel Template; [RFP No. XXXXXXXXX]  
\*\*Please note that the LPA should not accept submittals that are password protected (Excel Template).
- 2. One copy of the Excel templates from each firm in Adobe .pdf format  
The file must be titled:  
[Firm Name]; Master File; [RFP No. XXXXXXXXX]

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3. One combined submittal of the below documentation (prime and sub-consultants) for the VDOT-Assurance and Compliance Office (ACO) in Adobe .pdf format. **This is the responsibility of the prime consultant.**  
The file must be titled as follows:  
[Firm Name]; ACO Submittals; [RFP No. XXXXXXXXX]  
This file shall include:
  - i. The FAR Rate Table (prime and sub-consultants)
  - ii. VDOT Contractor Cost Certification (CCC) of Final Indirect Cost Rates forms, completed and signed by an executive or financial officer of the firm at a level no lower than a Vice President or Chief Financial Officer, or equivalent (for prime and each sub-consultant)
  
4. One copy from each firm (prime and sub-consultants) of the below documentation in Adobe .pdf format. (Note: This item should be retained in the LPA's procurement file)  
The file must be titled:  
[Firm Name]; Additional Documentation; [RFP No. XXXXXXXXX]  
This file shall include:
  - i. Title VI Approval Letter issued by the LPA ([see LAP Manual 17.2.2](#))
  - ii. The Certificate of Insurance (Prime firm only)
  - iii. Sam.gov registration documentation

All information submitted in items 1 - 3 must be forwarded to the VDOT Project Coordinator who must verify completeness before routing to VDOT-ACO. Information requested in item #4 shall be maintained in the procurement file.

**III. EXPLANATION OF EXCEL TABS:**

The items included in the following instructions are ordered to align with the respective items included in the supplementary document "Instructions for Consultants", and with the tabs/sheets in the accompanying Excel file.

**TAB A: Pre-Award Evaluation Documentation Checklist**

The checklist is provided to ensure that the firms have documentation to follow for the preparation of the submittal requirements. While this document is provided for guidance only, it is important to adhere to the checklist in order to reduce the number of deficiencies in the submittal package.

The LPA is responsible for confirming that this is completed, signed, and submitted by the Prime consultant for themselves and each sub-consultant.

**TAB B: Pre-Award Evaluation FAR Rate Table**

The Prime consultant is responsible for a consolidated version of all FAR rates for the prime and all sub-consultants. If a sub-consultant firm does not have an approved FAR rate from VDOT, they can send an email to VDOT's Assurance and Compliance Office (ACO) at [ACO@VDOT.Virginia.gov](mailto:ACO@VDOT.Virginia.gov) to obtain a Safe Harbor Rate. If more information is needed, please visit the indirect cost rate policy at the link below:

[http://www.virginiadot.org/business/indirect\\_cost\\_rate\\_audit\\_home\\_page.asp](http://www.virginiadot.org/business/indirect_cost_rate_audit_home_page.asp)

**TAB C: Certification of Payroll/Wage Rates**

1. Verify that the Certification of Payroll/Wage Rates sheet is signed by an official of each firm and submitted with the Adobe .pdf Master file (submittal format as shown in Item #2 of the Pre-Award Submittal Instructions above).

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2. The firms must submit actual payroll records from the firm's accounting system that show the employee name, hourly rate, gross and net pay, and the number of hours in the pay period.

**TABS D and E: Personnel Classifications and Wage Rates Entry Sheets – HO(Home Office)/FO(Field Office)**

1. Verify that all personnel proposed for the contract (based on the organization chart provided in the prime consultant's proposal) are included. The firms must type in the personnel classification as shown in the RFP or as provided by the LPA. Generally, an employee should not be listed in multiple personnel classification titles. For purposes of negotiation, the LPA should determine if firms will be allowed to include additional personnel classification titles that add value to the contract.
2. Verify that all information is entered as specified (employee ID#, last name/first name/office location/regular straight time hourly wage rate). Confirm that the average hourly wage rate calculation is accurate.
3. Principals, partners, executives, etc. are considered administrative, whose costs should be included in the indirect cost rates and shall not be listed separately. If one of these positions chooses to provide technical services, they may bill at the comparable personnel classification total fixed billable wage rate for the technical services being provided. However, the hourly wage rates of these individuals cannot be used to calculate the average hourly rates.
4. The Negotiated/Capped Rates column may be left blank for the initial pre-award submittal. However, for the final contract tables, this column will be used to show the negotiated or capped rate for each personnel classification. The final personnel classification tables will show the employee name, office location and negotiated / capped rates.

**TAB F: Personnel Classification and Wage Rates Summary – (HO) Home Office / (FO) Field Office**

Verify that the personnel classifications and rates for both the home office and field office transferred correctly from the information entered in the Personnel Classifications and Wage Rate Entry tables.

**TABS G and H: Rate Schedules – Home Office/Field Office**

1. The Rate Schedule tabs are used to establish the fully-loaded fixed billable rate (including net fee, overhead and facilities costs of capital and escalation) for each personnel classification. The personnel classifications and hourly wage rates will automatically populate. The Rate Schedule tabs will only show years one (1) and two (2). Outer years will utilize the prevailing rates at the time of renewal. LPA should refer to section 2.a. below for explanation of escalation factors and adjust the instructions for engineering consultants accordingly. [Each LPA should adjust these instructions to comply with their own policies and procedures. The Consultant should confirm with the LPA and shall adjust these to comply.]
2. Each firm must input, in the shade cells, the following information:
  - a) Escalation Factor – The escalation factor is established by the LPA. However, it cannot exceed the VDOT approved escalation rate which is posted on the VDOT Consultant Procurement website, <http://www.virginiadot.org/business/gpmps.asp>. For term contracts, each firm must complete two Home Office and Field Office Rate Schedules as directed by the LPA. [Each LPA should adjust the instructions for consultants to comply with their own policies and procedures.]
  - b) Indirect Cost Rate – Verify that each firm has entered the Home Office and Field Office indirect cost rates approved by VDOT-ACO. LPAs should determine if the indirect cost rate will be fixed for the duration of the contract, or if changes to indirect cost rates will be allowed. If the LPA allows changes to the indirect cost rates (whether at contract renewal, or as requested by the consultant), such rates must be evaluated for FAR Part 31 compliance each year by VDOT-ACO.

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- c) Facilities Cost of Capital (FCOC) – Some firms establish a separate Facilities Cost of Capital (FCOC) as part of their approved Home Office or Field Office indirect cost rate calculation. For firms that have a separate VDOT ACO accepted FCOC, input the value in this column. Firms that do not have a separate FCOC should leave this field empty. If proposed, verify acceptance by VDOT-ACO.
- d) Net Fee (Profit) – The LPA should determine when this information is conveyed to the Prime consultant. The percentage established by VDOT is within a range of 8% to 12%. No deviation from this range is permitted. The indirect cost rate shall not exceed 156% in determining the fee (profit).
- e) Overtime Fixed Billable Wage Rates – If proposed, the LPA will determine if overtime rates will be permitted. If so, verify that the proposed rate is calculated correctly in accordance with the formula in the footnote 1 to the worksheet.

**TAB I: Non-Salary Direct Costs (NSDC)**

1. The Non-Salary Direct Costs table is for listing all costs directly billable to the project(s) unrelated to the salary of the prime or sub-consultant firms. The template table includes language which must not be edited by the firms. Non-consumable items should not be listed in Tab I as they are part of overhead. Those items include, but are not limited to, the following:
  - a. Fax machines
  - b. Fire extinguishers
  - c. Software
  - d. Computer license fees
  - e. Cell phones
  - f. Books
  - g. Refrigerators
  - h. Copy machines
  - i. Paggers
  - J. Helmets
  - k. Tape measures
  - l. Computers (would require additional approval)
2. Verify that information proposed is supported as follows. In addition to the template language, a firm should list on this table the prices for unit priced items, which must be supported by an attestation letter and a standard fee schedule provided by the firm. For those non-unit priced items, provide quotations from vendors who will provide these services/items or provide other sufficient documentation to support the proposed costs (Example: copies of previously paid invoices etc.). Supporting documentation for the items listed on this table must be included in the Supporting Documentation file (submittal format as shown in Item #4 of the Pre-Award Submittal Instructions above) provided in the Pre-Award Package.
3. Fixed Billable Rate Term Contracts routine items such as copies, printing or office expenses should not be included. The LPA should determine if costs associated with these items will be specified in the contract, or negotiated with each task order and adjust the instructions to engineering consultants accordingly.
4. Leased Vehicles/Equipment: Costs associated with leased vehicles for Construction Engineering Inspection should conform to the Construction Division Instructional and Informational Memorandum (IIM-CD-2017-02.01) titled Advance Agreement for Consultant Construction Engineering and Inspector Vehicle and Mileage Payment. This document is available at <http://www.virginiadot.org/business/const/ceis.asp>. Lease documentation for equipment not covered under the above-referenced IIM must be included in the submittal format as shown in Item #2 of the Pre-Award Submittal Instructions above.

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**IV. ADDITIONAL REQUIRED DOCUMENTATION**

Confirm that the following additional items are included with the Pre-Award Submittal:

- Title VI Approval Letter issued by the LPA - Please note it is the responsibility of the prime consultant to track and ensure all sub consultants obtain from the LPA the Title VI Approval Letter prior to advertisement date of award. The LPA should verify compliance.
- Certificate of Insurance - The LPA must receive a certificate of insurance for any firms providing professional engineering services on their contract. Pursuant to VDOT's Manual for the Procurement and Management of Professional Services, firms providing engineering/architecture services on a Virginia Contract must obtain the minimum insurance limits as shown in VDOT's Manual for the Procurement and Management of Professional Services.
- System for Awards Management - The System for Award Management (SAM) is the Official U.S. Government system that consolidates the capabilities of CCR/FedReg, ORCA, and EPLS. There is no fee to register for this site. Entities may register at <https://www.sam.gov/SAM/>. Each firm shall be registered with SAM.gov prior to the execution of this agreement. (Please provide a screen shot of each firm's compliance).

The screenshot shows a search results page on SAM.gov. At the top, it indicates 'TOTAL RECORDS: 1' and 'Result page 1 of 1'. There are buttons for 'Save PDF', 'Export Results', and 'Print'. The search criteria are 'Sort by Modified Date' and 'Order by Descending'. A 'FILTER RESULTS' section on the left allows filtering by record status (Active, Inactive) and record type (Entity Registration, Exclusion). The main results area shows a search for 'kimley-horn' returned one result: 'Kimley-Horn And Associates, Inc.' with a status of 'Active'. Detailed information for this entity includes: DUNS: 061099131, CAGE Code: oBPMg, Has Active Exclusion?: No, DoDAAC: [blank], Expiration Date: 08/13/2019, Debt Subject to Offset?: No, Purpose of Registration: All Awards, Address: 421 FAYETTEVILLE ST STE 600, City: RALEIGH, State/Province: NC, ZIP Code: 27601-1777, and Country: UNITED STATES. A 'View Details' button is present next to the CAGE Code.

A contract cannot be awarded to any firm with an active exclusion. Documentation of SAM registrations shall be maintained in the procurement file for the prime and all sub-consultants.

The instructions below are organized to follow the tabs on the Pre-Award Fee Proposal template provided in the Excel format. Each tab requires specific information and includes formulas that link the tables together. When a firm submits the information, the tables must be completed as shown. The Department will not permit hidden columns or rows, and the formulas used in the tables may not be edited.

**V. SAMPLE**

A completed pre-award template sample is attached.