

**TENNESSEE DEPARTMENT OF TRANSPORTATION**  
**DT-0330 PART 1 INSTRUCTIONS**  
(Revised 01/2025)

Specific instructions for consultants seeking work with Tennessee Department of Transportation (TDOT) based on professional qualifications as required by “The Brooks Act”. NOTE: TDOT cannot accept a request for pre-qualification if your firm has not been in business for at least one (1) year.

**If your firm is within 3 months of expiration, you must submit a renewal rather than an update.**

1. **Qualification Type:** LIMITED or UNLIMITED

**LIMITED:** These consultants are limited to \$250,000.00 per contract. In lieu of an Indirect Cost Rate Schedule (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 for the end of the Firm's fiscal year (accrual based), and indirect cost rate certification.

**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 (Overhead Schedule) prepared in accordance with AASHTO guidelines. 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 office seeking work. If the consultant has branch offices, prepare a DT-0330 for **each office** seeking work with TDOT.

**Example:** Mayberry Consultants has three offices, a home office and two branches. The home office and two branch offices are seeking work with TDOT. Mayberry Consultants would submit three DT-0330 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. **Unique Entity Identifier (UEI):** 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 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".

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.

**Utility Consultants:** If you are seeking pre-qualification for utility coordination (U codes)

For each profile code you are seeking pre-qualification, I will need at least one verifiable reference. (You may **not** use TDOT as a reference)

**A written letter or via e-mail from your reference on the subject discipline is required.**

a. **Experience of the firm regarding utility type projects.**

Indicate specific project experience in each of the following disciplines that you are seeking prequalification:

Electrical Distribution

Electrical Transmission

Communication

Gas/Oil Distribution

Gas/Oil Transmission

Water

Sewer/Sanitary

and/or

SUE (only if seeking U03 designation)

b. **CI/ASC 38-02 Attestation**

If seeking SUE (U03) designation, provide an attestation that the firm meets the American Society of Civil Engineers Standard Guideline for the Collection and Depiction of Existing Subsurface Utility Data per CI/ASC 38-02 in addition to the reference related to SUE work your firm has provided. If your firm subcontracts SUE, your firm would need to attest that it will abide by the ASCE standard, and that all subcontractors providing such services will be required to abide by the ASCE standard.

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

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# 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 Designer/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/Engineer            | 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; Forecasting                           |
| 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 Development                                                           |
| 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  
 M02 Mobile Scanning/Lidar  
  
 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 Coordination; Electrical Distribution  
 U05 Utilities Coordination; Electrical Transmission  
 U06 Utilities Coordination; Communications  
 U07 Utilities Coordination; Gas/Oil Distribution  
 U08 Utilities Coordination; Gas/Oil Transmission  
 U09 Utilities Coordination; Water  
 U10 Utilities Coordination; Sewer/Sanitary Systems

V02 Value Engineering

W02 Water Resources; Hydrology; Ground Water

Z01 Zoning; Land Use Studies