

Professional Services Process A to Z

Mike Hill & Eric Pelfrey

**I Need a Consultant
...I Think**

Processes & Responsibilities

- Professional Services is Responsible for
 - Consultant Prequalification
 - Professional Services Procurement Bulletin
 - Consultant Selection based on Quality
 - Design Fee Negotiation
 - Contracting Process

Professional Services Customers

- Consultants
- KSPE/ACEC
- FHWA/USDOT
- LRC GCRC
- Secretary's Office
- SHE's Office
- Legal Services
- Program Management
- Highway Design
- 12 Highway Districts
- Environmental Analysis
- Structural Design
- Geotechnical
- Right-of-Way / Utilities
- Planning
- Accounts / Purchases
- Audits (Internal/External)
- ...and more

Consultant Prequalification

- To be considered for a contract to provide professional engineering and engineering-related services for the Transportation Cabinet, a firm shall meet the Cabinet's prequalification requirements before responding to a Cabinet advertisement for professional services
- The Division of Professional Services shall ensure that the Cabinet has at its disposal and available for use a current list of prequalified consulting engineering firms and other professionals

Consultant Prequalification

- Application and Review
- Prequalification Categories
- Criteria for Prequalification
- Notification to Firms
- Annual Submission of Prequalification Application and Certification Letter



KENTUCKY TRANSPORTATION CABINET
Division of Professional Services
CONSULTING ENGINEER AND RELATED SERVICES PREQUALIFICATION
APPLICATION

TC40-1
 06/2014
 Page 1 of 18

NAME OF FIRM:	DATE:	STATE: YEAR ESTABLISHED:
MAIN OFFICE:		TELEPHONE NUMBER:
Street:	City:	State: Zip:
KENTUCKY BRANCH OFFICE #1:		TELEPHONE NUMBER:
Street:	City:	State: Zip:
KENTUCKY BRANCH OFFICE #2:		TELEPHONE NUMBER:
Street:	City:	State: Zip:
CHECK THE PREFERRED MAILING ADDRESS:		
<input type="checkbox"/> Main Office <input type="checkbox"/> Kentucky Branch Office #1 <input type="checkbox"/> Kentucky Branch Office #2		
WEB SITE ADDRESS:	E-MAIL ADDRESS:	FAX NUMBER:

This application is based on the following factors: (Check appropriate designation)

ORGANIZATION	TYPE OF APPLICATION	CERTIFIED DBE IN KENTUCKY	TOTAL EMPLOYEES IN FIRM
<input type="checkbox"/> Individual	<input type="checkbox"/> New	<input type="checkbox"/> Yes	_____ Minority Female
<input type="checkbox"/> Partnership	<input type="checkbox"/> Updated	<input type="checkbox"/> No	_____ Minority Male
<input type="checkbox"/> Corporation	<input type="checkbox"/> Reinstatement	(If yes, attach a copy of KYTC certification letter.)	_____ Non-Minority Female
<input type="checkbox"/> Professional Limited Liability Company			_____ Total Employees in Firm
			_____ Total Employees in Kentucky Offices
			_____ Total PE's in Kentucky Offices

Federal Identification Number: _____

Is firm licensed with Kentucky State Board of Licensure for Professional Engineers and Land Surveyors?

Yes No License Number: _____

PROCEDURES FOR UPDATING PREQUALIFICATION FOR ENGINEERING AND ENGINEERING-RELATED SERVICES WITH THE DEPARTMENT OF HIGHWAYS

KRS Chapter 45A requires that consulting firms desiring to be prequalified with the Transportation Cabinet provide annual updates of their qualifications. The anniversary date is the date of the letter from the Cabinet granting approval of the firm's prequalification request. This shall establish the firm's annual renewal date by which the firm is expected to have renewed its qualifications with the Cabinet.

Annual applications shall include one (1) original and one (1) copy of the application for each functional area requested, and one (1) original and one (1) copy of a current marketing brochure; unless otherwise communicated to the firm in writing. Copy for functional area may be submitted as an electronic document in Adobe PDF format on CD or DVD media (in lieu of hardcopy for each functional area).

In odd calendar years, in lieu of a full application, firms may submit a letter certifying that nothing has substantially changed from the previously submitted application along with annual certifications. This odd year update request should include information regarding any previously approved changes from the last even year full update. The request should include certification of liability insurance and an officer of the firm must attest that the firm is financially solvent and have a working arrangement with financial institutions such that all outstanding financial obligations will be met. If a substantial change has occurred or the firm is requesting prequalification additional area(s) a full application will be required.

A firm desiring to be considered for an award as a prime shall provide an original certificate of a continuous professional liability policy in an amount not less than \$1,000,000 with the application. A certificate of self-insurance shall not be accepted by the Transportation Cabinet.

It is the sole responsibility of the firm to initiate a renewal of its prequalification with the Cabinet. The Cabinet does not send notices of a need to renew. If the firm makes no effort within thirty (30) days of its annual renewal date, then the firm is automatically removed from the Cabinet's listing of prequalified

Advertisement for Services

The project manager will submit to the appropriate location engineer project information for advertisement of consulting services. This will include, but not be limited to, the following information:

- County
- Route
- District
- Item Number
- Project Description
- Project Manager
- User Division(s)
- Approximate Fee
- Location Map
- Purpose and Need
- Project Length
- Method of Design
- Available KYTC Studies
- Project Funding
- Scope
- Special Instructions
- Project Schedule Milestones
- DNA Study

Advertisement (cont.)

The Highway Design location engineer will provide:

- Selection committee members
- DBE requirement
- Prequalification requirements
- Structure design
- Environmental services
- Photogrammetric services
- Geotechnical services
- Traffic
- Utility design
- Evaluation factors and numerical values

Advertisement (cont.)

The Division of Professional Services will complete:

- Secretary's and Governor's Pool representatives for the Selection Committee from a random draw
- Procurement schedule:
 - Response due date
 - Selection Committee meeting dates
 - Fee Proposal due
 - Negotiations
 - Anticipated Notice to Proceed



Home > Professional Services

Professional Services

This page contains vital information relating to the procurement of professional engineering and engineering-related services. Revisions are made frequently.

Please check back periodically for updates.

Subscribe to Announcements [RSS icon]

8/20/2014 10:00 AM

NOTICE: Updated Roadway Design Production-Hour worksheet

The Division of Highway Design and Division of Professional Services have updated the Department's standard "Production-Hour Worksheet". For all projects that include roadway design, consultants and Department Project Managers should agree to units using this form. This new form can be found on the Professional Services website under the [Forms](#) link along the right, as well as on the Highway Design website under the [Miscellaneous Forms](#) link along the right.

[Updated Production-Hour worksheet](#)

8/14/2014 3:07 PM

KYTC has revised the Instructions for Response to Announcement. [Instructions for Response to Kentucky Transportation Cabinet's Announcement for Engineering Related Services.](#)

These revised instructions will apply for Response to Advertisements from the Professional Services Procurement Bulletin 2015-02, posted on August 12, 2014. Responses received that do not follow these guidelines may be returned to the submitting firm. An example response has also been provided. [Example Response to Announcement 2014.](#)

8/14/2014 3:23 PM

Notice: August Procurement Bulletin 2015-02 is now available.

- 2015-02 Questions and Corrections
- Jefferson/Oldham I-71 5-483.00
- Bracken KY 1159 6-8311.00
- Morgan US 460 & KY 7 10-293.00

7/8/2014 4:31 PM

Notice: July Procurement Bulletin 2015-01 is now available.

- 2015-01 Questions and Corrections
- 2015-01 Jackson Owsley 10-279_6 KY30.pdf

6/30/2014 2:10 PM

NOTICE: Implementation of MAP-21 Uniform Act Benefit and Eligibility Changes (Mandatory Training)

Contact Info

Kentucky Transportation Cabinet
Division of Professional Services
200 Mero Street, 3rd Floor
Frankfort, KY 40622
Phone: (502) 564-4555
Fax: (502) 564-4422
Map it

Director, Michael Hill, PE

Professional Services

- Fee Proposal Checklists for Contracts Agreements and Modifications
- Frequently Asked Questions
- Forms
- Search Procurement Bulletins
- Project Listings
- Prequalification Application & Instructions
- Prequalified Firms
- Consultant Selection Reports
- Instructions for Response to Announcement
- Policies and Regulations
- Central Office Management Listings
- District Office Management
- External Audit

Current Events

- 2** Sep Bracken KY 1159 1st Consultant Selection
9:00 am to 9:30 am
- 2** Sep Morgan US 460 & KY 7 1st Consultant Selection
9:30 am to 10:00 am
- 3** Sep Procurement Bulletin 2015-02 Jefferson-Oldham I-71 is due
8:00 am to 4:30 pm
- 4** Sep Jefferson-Oldham I-71 1st Consultant Selection
10:00 am to 10:30 am
- 11** Sep Bracken KY 1159 2nd Consultant Selection
10:00 am to 11:00 am
- 11** Sep Morgan US 460 & KY 7 2nd Consultant Selection
11:00 am to 12:00 pm
- 22** Sep Jefferson-Oldham I-71 2nd Consultant Selection
10:00 am to 11:00 am



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Project Listings

Name	Bulletin Number	Item Number	County	Route	Category
2015-02 RW Morgan 10-293	2015-02	10-293.00	Morgan	10-293.00	Bulletin
2015-02 RW Bracken 6-8311 KY 1159	2015-02	6-8311.00	Bracken	KY 1159	Bulletin
2015-02 Jefferson-Oldham 5-483 I-71	2015-02	5-483.00	Jefferson	I-71	Bulletin
2015-01 Questions and Corrections	2015-01				Bulletin
2015-01 Jackson Owsley 10-279_6 KY30	2015-01	10-279.60	Jackson	KY 30	Bulletin
2014-12 McCracken 1-153	2014-12	1-153.00	McCracken	KY 1286 & KY 998	Bulletin
2014-12 Expedited Bridge Replacement	2014-12		Various		Bulletin
2014-12 Union 2-310_2 KY56	2014-12	2-310.20	Union	KY 56	Bulletin
2014-12 RW Jefferson 5-8203_00 KY 1819	2014-12	5-8203.00	Jefferson	KY 1819	Bulletin
2014-11 Taylor - New Route 4-142	2014-11	4-142.20 & 4-142.30	Taylor	New Route	Bulletin
2014-10 Statewide Pavement Rehabilitation	2014-10		Statewide		Bulletin
2014-10 Statewide Structural Steel Shop Inspection	2014-10		Statewide		Bulletin
2014-10 Statewide Video Pipeline Inspection	2014-10		Statewide		Bulletin
2014-10 Trimble US 421 - 5-135_81	2014-10	5-135.81	Trimble	US 421	Bulletin
2014-10 Statewide Geotechnical Engineering and Laboratory Testing	2014-10		Statewide		Bulletin
2014-09A ePlan Room	2014-09A		Statewide		Bulletin
2014-09 Statewide NBIS Safety Inspections	2014-09		Statewide		Bulletin
2014-09 Statewide Structural Design	2014-09		Statewide		Bulletin
2014-09 Statewide Environmental Cultural Historic and Archaeological Studies	2014-09		Statewide		Bulletin
2014-09 Statewide Geotechnical Drilling	2014-09		Statewide		Bulletin
2014-09 Statewide Right of Way	2014-09		Statewide		Bulletin

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Qualifications-Based Selection

- QBS is a nationally endorsed procedure for contracting with design professionals (Architects and Engineers) that will provide the best value to the owner in terms of quality and total project cost
- A competitive procurement approach that emphasizes quality attributes

QBS Users

- Local, state, and federal governmental agencies that procure A/E services
- Private industry
- Other public and private institutions
- Design professionals when hiring other design professionals
- Other users of services/products who place quality first (“The doctor example”)

Engineering Services

- Are services, not commodities
- Engineers provide
 - Technical Expertise
 - Innovation
 - Latest Technology
 - High Degree of Professional Competence



Types of Design Contracts

- Project-Specific Contracts
- Statewide Contracts
- Cost can be based on
 - Lump Sum
 - Cost Plus A Fixed Fee
 - Specific Rate of Compensation
 - Cost Per Unit of Work

Contract Negotiations Process

- Consultant Selected
- Project kickoff meeting
 - Pre-Design Conference (Project-Specific)
 - Contract Scoping Conference (Statewide)
- Production-Hour Estimates
 - Consultant Fee Proposal
 - Independent Department Estimate
- Contract Negotiations
- As-Negotiated Fee Package

Contract Execution

- Write Agreement (Microsoft Word document)
- Procure Signatures
 - Consultant
 - Legal Services
 - Deputy State Highway Engineer
 - State Highway Engineer
 - Secretary
- eMars encumbrance of funds
- Notice to Proceed

New Production Hour Worksheet

8/20/2014 10:00 AM

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[Updated Production-Hour worksheet](#)

Contract Modification Process

The project team may deem it necessary for the consultant to do additional work on a project

A contract modification may necessary because

- The project limits have been substantially revised from those initially indicated in the pre-design minutes
- A change of scope has occurred
- The consultant is requested to revise the plans because of a direction change by the Department

Contract Modification Negotiations

- Contract Modification Initiated
 - Department Project Manager
 - Formal request from Consultant
- Scoping Meeting (or Informal Discussion)
- Production-Hour Estimates
 - Consultant Fee Proposal
 - Department
 - Independent Estimate
 - 500 hour rule (approximately \$75k)
- Contract Negotiations
- As-Negotiated Fee Package

Contract Modification Execution

- Write Contract Modification (Microsoft Excel document)
- Procure Signatures
 - Consultant
 - Project Manger / Location Engineer
 - Deputy State Highway Engineer
 - State Highway Engineer
 - Secretary (only if monetary increase)
- eMARS encumbrance of funds
- Notice to Proceed

Final Payment

- Upon contract completion, a hardcopy Final Payment request is submitted to Professional Services
- Encumbrance is liquidated
- Office of Audits notified

Statewide Contracts

- 600 KAR 6:065. Pooling of engineering or engineering-related services
- Pool Size - 1 to 4 firms
- Contract upset limit - \$350,000 to \$2,000,000
 - Letter of Agreements - \$50,000 to \$300,000
- Projects assigned via Letter Agreement
 - Based on rotational or geographical basis
- Term – 2 years (typically on the biennium)

Statewide Contracts – Highway Design

Service Provided

- Surveying
- Aerial & Photogrammetric
- Roadway Design
- Roadway Drainage Design
- FEMA Drainage Design
- Roadway Signing Plans
- Pavement Rehabilitation
- Value Engineering

KYTC Contact

Dan Farrell, PLS

Dan Farrell, PLS

Kevin Martin, PE

Ron Matar, PE

Ron Matar, PE

Dan Hite, PE

Dan Hite, PE

Shawn Russell, PE

Statewide Contracts – Environmental

Service Provided

- Environmental Studies
- Underground Storage Tanks and Hazardous Materials
- Environmental Investigations and Remediation
- Cultural Historic and Archaeological Studies
- Environmental Storm Water and Technical Support

KYTC Contact

David Waldner, PE
Chris Cummins, PG

Craig Craig, PG

David Waldner, PE

John Drake

Statewide Contracts – Construction

Service Provided

- Highway and Bridge Construction Inspection
- Maintenance Painting Project Management
- Structural Steel Shop Inspection

KYTC Contact

Vibert Forsythe, PE

Katy Renfroe, PE

Matt Looney, PE

Statewide Contracts – Traffic

Service Provided

- Traffic Engineering
- Traffic Operations Structure and Geotechnical
- Electrical Engineering
- TRIMARC Traffic Operations Intelligent
- Transportation Systems System Integration
- District 7 – Traffic Engineering Services

KYTC Contact

Telma Lightfoot

Ted Swansegar, PE

Ted Swansegar, PE

Tina Swansegar

Tina Swansegar

Logan Baker, PE

Statewide Contracts – Structure Design

Service Provided

- Structural Design of Culverts and Bridges
- Geotechnical Engineering and Laboratory Testing
- Geotechnical Drilling Services

KYTC Contact

William McKinney, PE

Bart Asher, PE

Mike Blevins, PG

Statewide Contracts – Planning

Service Provided

- Statewide Planning Services
- Statewide Traffic Data
- Travel Demand Modeling
- Traffic Forecasting

KYTC Contact

Mikael Pelfrey, PE

Jadie Tomlinson, PE

Scott Thomson, PE

Jonathan Reynolds, PE

Statewide Contracts – Maintenance

Service Provided

- Fracture Critical Bridge Inspection
- In-Depth Underwater Inspections Maintenance
- Sign Support Inspection
- NBIS Inspection

KYTC Contact

Evan Dick, PE

Mark Swieterman, PE

Evan Dick, PE

Josh Rogers, PE

Statewide Contracts – Various

Service Provided

- Aviation Planning and Engineering Services

- Local Public Agency Services (SHE Office & Local Programs)

- Right-of-Way Services

KYTC Contact

Craig Farmer, PE
KY Department of Aviation

Amanda Spencer, PE &
Don Pasley, Commissioner

Dean Loy
Division of Right-of-Way & Utilities

Letter Agreements

- Negotiated same as a Project-Specific Agreement
- Written by Professional Services or User Division
- Signed by User Division Director and Consultant
- Must specify Time, Money and Deliverables
- Now Encumber Funding as entered into eMARS
- Paid by User Division (or Professional Services)

New Invoicing Procedures

6/26/2014 8:42 AM

NOTICE: The instructions for invoicing Engineering and Engineering-Related Services have be updated. Please note the following changes.

TC 40-408 Pay Estimate Instructions 6-24-14

- 1) Contract remaining encumbered balances of less than \$5,000 will liquidate on July 1st of each year and close the contract. The threshold previously was \$1,000, but was raised to \$5,000 this year.
- 2) Consultant vendors must list any DBE participation for this billing period in the designated box in the lower left side of the form. This should include DBE firm name and amount.

New Instructions for Response

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