

STATE OF COLORADO

DEPARTMENT OF TRANSPORTATION
Contracts and Market Analysis Branch
4201 East Arkansas Avenue, Suite 200
Denver, Colorado 80222
Telephone: (303) 757-9398
Facsimile: (303) 757-9868



Consultants,

This package is for your use in preparing your Statement of Interest (SOI)/Work Plan (WP) for the professional services selection process for the Colorado Department of Transportation (CDOT). The consultant is encouraged to follow the outline and page distribution indicated in these instructions. The selection panel members will have limited time to review the submittals. If the panel has difficulty finding the desired information, they may consider the submittal as non-responsive and a lower score may result. Consultants must be pre-qualified one week prior to the SOI/WP submittal deadline.

Pages in excess of the page limits for each section will be removed from the submittal.

CDOT'S SELECTION PROCESS IS SUMMARIZED AS FOLLOWS:

SOI/WP Pre-score Activity

The CDOT Contracting Officer reviews the SOI/WP for completeness and compliance with the newspaper advertisement and these instructions. If acceptable, the Contracting Officer transmits the SOI/WP package to each panel member.

In addition to the package, CDOT's Contracting Officer E-mails every panel member their copy of the Excel Scoring Spreadsheet for this SOI/WP.

SOI/WP Scoring Activity

- Prior to the selection panel meeting the following occurs:
 - Every panel member scores every SOI/WP independently.
 - The Business Programs Office scores every SOI/WP for Underutilized Disadvantaged Business Enterprise (UDBE) participation.
 - The Business Programs Office scores every SOI/WP for Emerging Small Business (ESB) participation.
 - The Agreements Office Contracting Officer scores every SOI/WP for workload factor

The workload factor is based on the amount of new contracts awarded to the consultant in the previous two years. The scoring scale will be evaluated each year in July, based on the total dollar amount of new contracts awarded to all consultants during the two prior fiscal years to assure that it remains current and relevant to the amount of work that consultants have with the Department.

The scale is as follows:

A) \$00.00 - \$900,000	5 points
B) \$900,000 to \$2 million	4 points
C) \$2 million to \$4 million	3 points
D) \$4 million to \$10 million	2 points
E) Over \$10 million	1 point

The Agreements Office evaluates this factor prior to the selection meeting. The total value of all contracts awarded to each consultant for the two years preceding the SOI/WP submittal date are included. This factor comprises 10 percent of the total score. The workload score is not provided to the selection board until the selection meeting, after each of the panel members have already scored all consultant submittals and they have reached consensus on all of their scoring factors.

Selection or Short-list Panel Meeting

A selection panel meeting is held to compile scores and discuss the panel member's evaluations of the consultant's SOI/WP based on the following criteria:

- ❑ Project Team
- ❑ Firm Capability
- ❑ Past Performance on Similar Projects or Similar Teams
- ❑ Work Location
- ❑ Capacity
- ❑ Project Goals
- ❑ Project Control
- ❑ Project Concept
- ❑ Project Critical Issues

The selection panel reaches a consensus ranking of either the selected firm, if there is not going to be an optional presentation and interview phase, or the short list of firms (top 3 qualified consultants), if there is going to be a presentation and interview phase. The panel provides its recommendation to the Chief Engineer for approval. The Chief Engineer's approval is necessary before the Agreements Office can proceed with selection notification or the interview phase.

Presentation and Interview Selection Panel Meeting (Optional)

The short listed firms have two weeks to prepare their presentation for their interview with the selection panel. The purpose this meeting is to allow consultants time to present their analysis of the project and to allow the panel time to clarify the consultant's qualifications in a question and answer session.

Final Selection

In making the final selection recommendation to the Chief Engineer, the panel reaches consensus on the ranking of the selected firm. The panel provides its recommendation, including the board's ranking, to the Chief Engineer for approval. The Chief Engineer's approval is necessary before proceeding with selection notification.

SOI/WP Documentation

In addition to these instructions, the following documents are needed to prepare an SOI/WP and can be found on the CDOT consultant management web-site <http://www.coloradodot.info/business/consultants>

- ❑ Key Event Schedule (KES)
- ❑ Invitation for Consultant Services (Advertisement)
- ❑ Consultant Evaluation Excel Scoring Spreadsheet (Example)
- ❑ Draft Scope of Work
 - This scope of work is subject to review by CDOT and may change.
 - Consultants should be aware that the final scope of work may involve input from the selected consultant.
- ❑ DBE/ESB Instructions
- ❑ SOI/WP Preparation Instructions for consultants

Additional Requirements

- All firms submitting a SOI/WP must be pre-qualified prior to the SOI/WP submittal date. Pre-qualification must be done annually.
- Professional liability insurance and other insurance are required for the length of the contract from selected consultant. Proof of insurance must be submitted with the final cost proposal.

Pre-qualification and insurance questions should be directed to Bernie Rasmussen with the Agreements Office, at 303-757-9400.

Consultant selection process questions should be directed to Agreement's Contracting Officer:

Jill Sweeney 303 757-9398

The Agreements Office recommends that you prepare your SOI/WP in a 10 or 12 point font. If a smaller font is used, it may reflect negatively on your scores if panel members cannot read your submission. A page for the submittal is defined as a standard 8-1/2 x 11 inch sheet of paper unless specified otherwise.

In CDOT's continued environmental efforts in "Going Green", Consulting firms are encouraged to submit their SOI on 2 sided format, rather than one sided only.

- **The page number limitations remain unchanged.**

If you notice any conflicts between the instructions and the guidelines in the public advertisement (notice to consultants), information in the public advertisement takes precedence.

Sincerely,

Jill Sweeney, Contracting Officer
Consultant Agreements

Professional Consultant Services

Statement of Interest (SOI)/Work Plan (WP)

Preparation Instructions for Consultants



Colorado Department of Transportation
Agreements Office
4201 East Arkansas Avenue, suite 200
Denver, Colorado 80222-3400
Telephone Number: (303) 757-9398

I. CONSULTANT SOI/WP INSTRUCTIONS

A. Statement of Interest (SOI) / Work Plans (WP) Should Contain the Following Elements:

1. Cover or Introductory Letter (2 page limit - 8 1/2 x 11 paper - one side)
2. Statement of Interest Section (5 page limit, which includes the one page limit for capacity - 8 1/2 x 11 paper - one side)
3. A Work Plan Section (4 page limit - 8 1/2 x 11 paper - one side)
4. An Optional Section (5 page limit - 8 1/2 x 11 paper - one side, and up to 3 of the 5 pages can be - 11 x 17 paper - one side)
5. The Commendation Section (No page limit - 8 1/2 x 11 paper - one side)

B. Cover or Introductory Letter

1. Address the cover or introductory letter to the Agreements Contracting Officer:
Jill Sweeney, Contracting Officer ~ Agreements
Colorado Department of Transportation
Agreements & Consultant Management Section
4201 E. Arkansas Avenue, ste 200
Denver, Colorado 80222-3400
2. Required: Include the following elements of information in the letter as a minimum and highlight these items in bold letters.
 - a) Project number and project location for project specific contracts.
 - b) Statement that the firm is pre-qualified with CDOT and the firm's pre-qualification expiration date.
 - c) Certification that the information and data submitted is true and complete to the best knowledge of the individual signing the letter.
 - d) Name, telephone number, e-mail address and fax number of the individual to contact regarding their SOI/WP submittal.
 - e) CDOT **requires** a signature signed in ink, by an authorized principal, partner, or officer of the firm.

C. Statement of Interest Section (SOI)

1. The following outline is to aid you in preparing your SOI. Your responses to the elements of this outline should demonstrate the knowledge and expertise your firm brings to the project.
 - a) Project Team
 - (1) Identify your:
 - (a) Project Principal
 - (b) Project Manager
 - (c) Key Staff

- (d) Sub-consultants.
- (2) Present a brief discussion regarding how the team's qualifications and experience relate to this project.
 - (3) Include the following:
 - (a) Principal's level of involvement in the project
 - (b) Qualifications and relevant individual experience of prime and sub-consultant team members
 - (c) Unique knowledge of team members related to the project
 - (d) Commitment of time and availability of key staff members
 - (e) Length of time with the firm for each key team member
 - (f) Experience on similar projects as a team
 - (4) A project team organization chart maybe included in the optional section and, if it's included there, it is counted as a page of optional section.
- b) Firm Capability
- (1) Address the firm's size and the disciplines of technical staff.
 - (2) Include the firm's relevant experience and accomplishments as a Prime Consultant that were are not listed in the project team section.
 - (3) Outline computer software availability and its compatibility with CDOT software.
 - (a) All consultants are **required** to use the following Bentley Suite software packages, which are currently used by CDOT:
 - (i) INROADS for project design
 - (ii) Microstation for project drafting
 - (iii) ProjectWise
 - (4) Indicate the Consultant's availability to do the project concurrent with existing and projected work loads.
 - (5) Consider including the following:
 - (a) Graphs depicting firms capacity to do the project
 - (b) Information on the sub-consultant's role
 - (c) The sub-consultants function and integration into the team
 - (d) Match of personnel to the existing and future work load
- c) Past Performance on Similar Projects or Similar Teams
- (1) List current and past projects completed within the past three years with CDOT
 - (2) List similar projects which are on-going or completed within the past three years for other agencies.
 - (3) Demonstrate your firm's or team's ability to do the following for projects listed above:

- (a) Control costs
 - (b) Meet schedules
 - (c) Provide quality work.
- (4) Include the project name, project manager's name and telephone number for all projects listed above.
- (5) Describe your firm's role for all the projects listed above.
- (6) Please include any letters of commendation you received on the projects listed above in the commendation section, where they will not count against your page limits.

d) Work Location

****PLEASE NOTE*** This Selection will award the following distribution of contracts; 1 contract for HQ; 2 contracts each for regions 2,3,4 and 5; and 3 contracts for Region 1. Please list your regional preference in this location This is not a guarantee, but will assist the Panel in allocating the contracts to the regions.**

****Please also see the travel Guidance Document attached at the end of this document**

- (1) Describe where the key work elements of this project will be done by the prime and the sub-consultants. Include the following points in your description:
- (a) Team's work location relative to the project location.
 - (b) Accessibility of the project team for coordination with the CDOT project manager and the project location.
 - (c) Firm's familiarity with the project area and local practices.
 - (d) Firm's knowledge of the local labor and materials market.

e) Capacity

- (1) This factor is based on the prime consultant's capacity to do work in Colorado.
- (2) The advertisement lists the disciplines that will be included in the contract.
- (a) For each discipline listed, include a list of your firm's quarterly capacity, in work hours, for your Colorado offices.
 - (b) Provide all of the work hours your firm has committed in each of the disciplines for each of the next four quarters, including all contracts for work outside CDOT.
- (3) Please note that you are only allowed up to **one** page for capacity, which is included in the five page SOI section limit, moreover, if you submit six pages in the SOI section of your submission, the Contracting Officer will remove the sixth page prior to putting the selection panel package together.
- (4) In addition to the required information listed above, you may include narrative describing additional resources you plan to utilize for any of the listed disciplines.
- (5) For your information, the selection board will give this score a value of plus one, zero, or minus one
- (a) Capacity is scored by consensus of the selection panel

- (b) This score will be used to adjust the workload score, however, it will not adjust it above 5.00 points (the Maximum score, which is outstanding) or below 1.00 point (the minimum score, which is unsatisfactory).

f) Underutilized Disadvantaged Business Enterprise (UDBE) Participation

- (1) For each UDBE you are using to meet the project's UDBE goal, include in the Commendation Section the following:

- (a) Appropriate CDOT DBE commitment form:
 - (i) Certificate of Proposed DBE participation for Project Specific (PS) Consultant Contracts (Form 1331)
 - (ii) DBE Bid Conditions Assurance for Non-Project Specific (NPS) Consultant Contracts (Form 1330)
- (b) A letter of acceptance from each DBE listed on the Form 1330 or 1331.
- (c) A copy of each DBE's certificate or a letter of certification from the Colorado Department of Transportation's Certification Office or from the City of Denver's Certification Office.
- (d) Please attach letters and certificates in the commendation section so they will not count against your page limits. Also, if the certificate or letter of certification is not included, their UDBE participation may **not** be included in your score.

- (2) List:

- (a) Whether your firm is a certified UDBE.
- (b) Which items of work is committed to each UDBE.
- (c) The percentage of the project your firm is committing to each UDBE.
- (d) Your firm's total percentage commitment to DBEs on this project.
- (e) Which, if any, of the UDBE Firms have received fewer than 5 CDOT contracts and subcontracts in the past 3 years?

- (3) Consider:

- (a) The document entitled "UDBE Definitions and Requirements" describes the UDBE commitment and other requirements associated with the consultant's UDBE participation.
- (b) Consultants are expected to commit "meaningful work" to the UDBE sub-consultants.

- (4) For your information, DBE factors are scored separately by CDOT's Business Programs Office.

g) Emerging Small Business (ESB) Usage

- (1) Include "letters of acceptance" from the ESB firms and a copy of their notice of eligibility from CDOT in the commendation section, so that they will not count against your page limits. If their notice of eligibility is **not** included, their ESB participation may **not** be included in your score.

- (2) State:

- (a) Whether your firm is an eligible ESB firm.
- (b) Which items of work your firm is committing to each ESB.
- (c) Which, if any, of the ESB firms have never had CDOT contracts.

(3) Consider:

- (a) Utilization of an ESB firm for at least a part of the work.
- (b) Utilization of an ESB firm who has never had a CDOT contract.
- (c) The prime consultant is expected to commit “meaningful work” to their ESB sub-consultants.

(4) For your information, ESB factors will be scored separately by CDOT’s Business Programs Office.

D. WORK PLAN SECTION

1. Project Goal

a) Indicate the following:

- (1) Your firms understanding of the project goals.
- (2) A list of deliverables required on the project.
- (3) For non-project specific selections, which have no identified tasks, describe a hypothetical project.

2. Project Control

a) List the names of staff members responsible for the following items and describe how they plan to manage them.

(1) Cost Control

- (a) Controlling consultant contract costs.
- (b) Controlling construction costs to stay within the budget.

(2) Quality Control

- (a) Insuring that CDOT procedures are followed.
- (b) Insuring that project plans, specifications and estimates are free of errors and meet CDOT and other agency standards.

(3) Scheduling

- (a) Managing the required work to meet the established schedule.
- (b) For your information, a detailed work hour schedule should **not** be included.

3. Project Concept

a) Briefly describe the actions you plan to take to achieve the project goals and objectives.

(1) Consider the following items:

(a) Have you formulated a successful approach to the project?

(b) Are possible design alternates suggested?

(c) Have you exhibited sensitivity to general public concerns?

(d) Have you demonstrated a clear and concise understanding of the project based on the data which has been provided?

4. Critical Issues (Problems and Solutions)

a) This is your opportunity to present an analysis of the most significant issues that you believe you will have to address in order to successfully complete this contract.

(1) Consider the following points in presenting your analysis:

(2) Are major problems identified?

(3) Are the problems significant?

(4) Are solutions reasonable?

5. Miscellaneous Section (Optional)

a) This section provides the Consultant with the opportunity to submit additional Information:

(1) Graphs

(2) Charts

(3) Photographs

b) Up to three pages can be 11 x 17 inches, but they must be folded to 8.5 x 11 inches.

6. Commendation Section

a) Attach the following in the order shown:

(1) Letters of acceptance from UDBE firms regarding their availability to be a sub-consultant.

(2) Either CDOT Form 1330 (Non-Project Specific Consultant Contracts) or CDOT Form 1331 (Project Specific Consultant Contracts)

(3) Copies of their certificates from the City of Denver's Certification Office.

(4) Letters of acceptance from ESB firms regarding their availability to be a sub-consultant.

(5) Copies of their ESB approval letters from CDOT

(6) Letters of commendation or awards for similar previous work completed within the last three years. These letters should be of reasonable length and pertinent to the project.

II. CONSULTANT SELECTION PROTEST RULES

A. Protests will be handled as follows:

1. Any actual or prospective consultant who is aggrieved in connection with a solicitation or award of a contract may protest to the Chief Engineer. The protest shall be submitted in writing within seven working days after the aggrieved person knows or should have known of the facts giving rise to the protest.
2. The Chief Engineer or designee shall have the authority to settle and resolve a protest of a consultant, actual or prospective, concerning the solicitation or award of a contract. A written decision regarding the protest shall be rendered within seven working days after the protest is filed. The decision shall be based on and limited to a review of only those issues raised by the aggrieved consultant, and will set forth each factor taken into account, in reaching the decision. The decision will constitute the final agency action of the Colorado Department of Transportation regarding the protest.
3. Entitlement to costs: When a protest is sustained by the Chief Engineer or designee, or upon administrative or judicial review, and the consultant should have been awarded the contract under the solicitation, but was not. The protestor will be entitled to reasonable costs incurred in connection with the solicitation, including SOIWP preparation costs. No other costs or fees will be permitted or awarded, and reasonable costs and fees will not include attorney's fees.

III. Scoring Spreadsheet Examples – Please Note:

The weight factors may change from project to project as weight factors may be customized for each project by CDOT’s Project Manager.

Project No.:		CMS ID:		
Colorado Department of Transportation				
Consultant Evaluation - Statement of Interest Scoring				
Board Member	A	Consultant: N/A		
Evaluation Factors		5 - Superior; 4 - Satisfactory Plus	Board Score	Extended Score
3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory			Weight	
Project Team		0.00	4.50	0.00
1) Qualifications and ability of professional personnel (Show years of experience and similar project experience)				
2) Experience on similar projects as a team				
3) Commitment of key members				
Comments:				
Firm Capability		0.00	4.50	0.00
1) Firm's size, organizational structure and flexibility				
2) Production facilities and key capabilities such as CADD, MOSS, etc.				
3) Firm's technical disciplines and the capabilities of sub-consultants included on the team				
Comments:				
Past Performance on Similar Projects/Similar Teams				
		0.00	4.50	0.00
1) Demonstrated ability to control costs				
2) Demonstrated ability to do quality work				
3) Demonstrated ability to meet schedule				
Comments:				
Work Location		0.00	2.50	0.00
1) Team's work location relative to the project location				
2) Accessibility of the project team for coordination with the CDOT Project Manager and project location				
Comments:				
Capacity (Score this item as +1, 0, or -1)		0	N/A	N/A
1) Comparison of firm's stated capacity and the amount of that capacity committed				
2) Consider information regarding additional resources available				
Comments:				
Total of Sheet 1 - SOI Score:				0.00

Project No.:		CMS ID:	
Colorado Department of Transportation			
Consultant Evaluation - Work Plan Scoring			
Board Member Designation	A	Consultant Name	N/A
Evaluation Factors	5 - Superior; 4 - Satisfactory Plus	Board Score	Extended Score
3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory		Weight	
Project Goals	0.00	4.50	0.00
1) Firm demonstrated clear understanding of the project goals 2) A list of deliverables required on the project 3) For non-project specific contracts use a hypothetical project.			
Comments:			
Project Control	0.00	4.50	0.00
1) Cost Control: 1) Controlling the consultant contract costs 2) Controlling the construction costs (if relevant) to stay within budget 2) Quality Control: 1) Insuring that CDOT procedures are followed where appropriate 2) Insuring that project plans, specs. and estimates are free of errors and meet CDOT & other agency Stds. 3) Schedule: 1) Managing the required work to meet the established schedule 2) A detailed work hour schedule should NOT be included			
Comments:			
Project Concept	0.00	4.50	0.00
1) Has the firm formulated a successful approach to the project? 2) Where appropriate, are possible design alternates suggested? 3) Where appropriate, have you exhibited a sensitivity to the general public concerns? 4) Has the firm demonstrated a clear and concise understanding of the project based on the data which has been provided?			
Comments:			
Project Critical Issues	0.00	4.50	0.00
1) Are the major problem identified? 2) Are the discussed problems significant? 3) Are possible solutions reasonable?			
Comments:			
Total of Sheet 2 / Work Plan Score:			0.00
Total of Sheets 1+ 2 / SOI and Work Plan Score:			0.00

Project No.:		CMS ID:	
Colorado Department of Transportation			
Consultant Evaluation - Presentation / Interview Scoring			
Board Member Designation	A	Consultant Name	N/A
Evaluation Factors		5 - Superior; 4 - Satisfactory Plus	Board Score
3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory			Weight
Presentation / Interview		0.00	18.00
Extended Score			0.00
Comments:			
Presentation / Interview Score:			0.00
Total of Sheets 1+ 2 + 3 / SOI + Work Plan + Interview Scores:			0.00

Project No.: 0		CMS ID: 0	
Colorado Department of Transportation			
Consultant Evaluation - Statement of Interest Scoring			
UDBE & ESB		Consultant: N/A	
Evaluation Factors		Board Score	Weight (Fixed)
5 - Superior; 4 - Satisfactory Plus 3 - Satisfactory; 2 - Satisfactory Minus; 1 - Unsatisfactory			Extended Score
Underutilized Disadvantaged Business Enterprise (UDBE)			1.00
1) Prime Consultant is a UDBE - Award 5 points (Note: Total points for 1) through 3) below may not exceed 4 points)			0.00
2) Prime Consultant is not a UDBE Firm - score can vary from 0 to 4 points based on the following: <ul style="list-style-type: none"> 1) Prime consultant submitted UDBE participation that meets or exceeds UDBE goal for the project ... 3 points 2) Prime consultant submitted some UDBE participation, but does not meet UDBE goal for the project ... 1 point 3) Prime consultant submitted at least one UDBE subconsultant that has received less than 5 CDOT contracts or subcontracts in last 3 years ... 1 point 4) Prime consultant submitted no UDBE participation ... 0 points Comments:			
Emerging Small Business (ESB) Usage			1.00
1) Prime Consultant is an ESB - Award 5 points (Note: Total points for 1) and 2) below may not exceed 4 points)			0.00
2) Prime Consultant is not an ESB Firm - score can vary from 0 to 4 points based on the following: <ul style="list-style-type: none"> 1) Prime Consultant submits 1 or more ESBs that have never been a prime or subconsultant on a CDOT project - include cover letters of acknowledgment from ESB subs) - Award 2 points for each ESB 2) Prime Consultant submits ESBs who have previously been a prime or subconsultant on a CDOT project - include cover letters of acknowledgment from ESB subs) - Award 1 point for each ESB 3) Prime Consultant submits no ESB participation - Award 0 points Comments:			
Total of UDBE & ESB Scores:			0.00

Selection Factor Scoring Summary	Weight
Statement of Interest	
Project Team	4.50
Firm Capability	4.50
Past Performance on Similar Projects/Similar Teams	4.50
Work Location	2.50
Underutilized Disadvantaged Business Enterprise (UDBE) (Fixed)	1.00
Emerging Small Business (ESB) Usage (Fixed)	1.00
Workload (Fixed)	2.00
Statement of Interest Total (Must equal 20)	20.00
Work Plan	
Project Goals	4.50
Project Control	4.50
Project Concept	4.50
Project Critical Issues	4.50
Workload (Fixed)	2.00
Work Plan Total (Must equal 20)	20.00
Interview	
Interview (Fixed)	18.00
Workload (Fixed)	2.00
Interview Total (Must equal 20)	20.00

IV. DBE Bid Conditions Assurance for NPS Consultant Contracts Form 1330

Please refer to the CDOT Management page: <http://www.dot.state.co.us/FormsMgmt/> to download this form.

V. Certificate of Proposed DBE Participation for Project Specific Consultant Contracts Form 1331

Please refer to the CDOT Forms Management page: <http://www.dot.state.co.us/FormsMgmt/> to download this form.

TRAVEL REIMBURSEMENT GUIDANCE FOR CDOT CONSULTANT CONTRACTS AND TASK ORDERS

1. Overview
2. Definitions
3. **Guidance**
4. Travel Authorization
5. Traveling Away from Home
6. Non-Allowable Travel Expenses
7. Certification and Approval
8. Reimbursement Requirements
9. Payment of Travel Expenses
10. Special Situations
11. Rates: Per Diem and Mileage Reimbursement Rates

1. OVERVIEW

Per the Office of State Controller, Consultants are subject to the same State Fiscal Rules as State Employees. If, at any time, this guidance or contract documents provides conflicting terms, State Fiscal Rules shall govern,

Travel and per diem will only be paid monthly and as described in this Guidance and the Contract/Task Order. Travel to pre-contract meetings will not be reimbursed. Travel reimbursement will be paid to Consultant Contractor or their Subcontractor, not directly to the Traveler and only upon acceptance of approved and complete documentation (receipts, etc.).

2. DEFINITIONS

Consultant - Consultant and/or sub-consultant that has an active/valid contract with CDOT.

CONUS - The 48 continental United States, including the District of Columbia.

Electronic Signature - Any identifier or authentication technique attached to or logically associated with an electronic record that is intended by the person using it to have the same force and effect as a manual signature. "Electronic signature" includes digital signatures.

Expenses Incurred for the Benefit of the State - Expenses incurred that enable a Traveler to perform assigned duties and contractual responsibilities.

Foreign Travel - Sometimes foreign travel is needed for product inspection and project reviews. It will not be allowed without prior approval of the Project Manager.

Four-Wheel-Drive (4WD) Rates – The use and reimbursement of 4WD vehicles shall be in compliance with CRS 24-9-104. Four-Wheel-Drive Rates are reimbursable only when a 4WD vehicle is required for use and preapproved by the PM.

In-State Travel - Travel within the boundaries of the State of Colorado.

Incidental Expenses – Fees and tips given to porters, baggage carriers, bellhops, hotel maids, and skycaps for airport check-in, and cost of personal telephone calls.

Lodging - Any commercial accommodations available or offered for use for which a rental schedule has been established and payment is required. Examples of short-term lodging are hotels while long-term lodging is condos, trailer, etc. It is up to the PM/BO to determine the best value to the State when establishing which method of Lodging will be reimbursed to the Consultant.

Metropolitan Area – A region, including a city and the densely populated surrounding areas, that is socially and economically integrated with it. See State Controller Technical Guidance entitled “*Taxability of State Travel*.”

Out-of-State Travel - Travel within CONUS, all travel shall be pre-approved by the Project Manager.

Political Expenses - Expenses incurred in relation to activities that are primarily designed to further the interests of a candidate, political party, or special interest group. Political Expenses are prohibited and will not be reimbursed.

Project Manager - An individual who has authority to approve travel reimbursement as it relates to this Guidance; also referred to as PM.

Reimbursement Request – A request for reimbursement of travel expenses submitted by a Traveler pursuant to §8 of this Guidance.

State Business – Consultant duties undertaken for State purposes and for the benefit of the State.

State Officers and Employees – Any reference to “State Officers” and “Employees” in the websites linked within this Guidance are “Travelers”. In addition, any reference to a “State Officer” or “Employee” being reimbursed directly are stricken with regards to this Guidance as all reimbursements will be made to the Consultant/Subcontractor.

Temporary Work Location – The location where the Consultant’s Traveler is expected to work and does work for one year or less.

Temporary Residence – The temporary lodging facility where the Consultant’s Traveler is lodged for work at a Temporary Work Location.

Travel Compliance Designee – A PM who is responsible for overseeing compliance and enforcement of travel policies and reimbursements.

Travel Advance – The advance of funds to a Traveler for approved travel expenses. **Travel Advances are prohibited and will not be reimbursed.**

Traveler – An employee/subcontractor employee of a Consultant, authorized by a PM/BO, to travel on State Business.

Traveler’s Regular Work Location – Generally, the primary location where the Traveler works, including the entire Metropolitan Area of the Traveler’s regular work location.

Traveler’s Residence – The location where the Traveler maintains their primary family home.

Traveling Away from Home – A Traveler is traveling away from home if: a) the Traveler’s duties require him or her to be away from the Traveler’s Regular Work Location substantially longer than an ordinary day’s work, *and* b) the Traveler needs to procure overnight sleeping arrangements to meet the demands of State Business while away from Traveler’s Residence/Regular Work Location.

Transportation - Travel by commercial airline, railroad, bus, taxicab, leased, or personally owned automobile or any other means of conveyance.

Vendor Receipts – Receipts for eligible expenses which may include but not be limited to hotel, restaurant, commercial airline, railroad, bus, taxicab, etc.

3. GUIDANCE

3.1 Scope – This Guidance addresses reimbursement of travel expenses to Consultant for travel required by their employees/subcontractors (Travelers). Consultant and their employees/subcontractors (Travelers) shall follow this Guidance and any requirements outlined in their Contract/Task Order in order to be reimbursed for travel and per diem.

3.2 Reimbursement – A Traveler may be reimbursed for travel expenses based on this Guidance only if the:

3.2.1 Traveler is Traveling Away from Home, or meets the criteria in one of the special situations described in §10 of this Guidance;

3.2.2 Travel:

3.2.2.1 Is on State Business - travel charged to the State, regardless of the funding source, shall be for the benefit of the State;

3.2.2.2 Is only for the time period necessary;

3.2.2.3 Is completed using the most economical means available which will satisfactorily accomplish the State Business; and

3.2.2.4 Is approved by the PM/BO as required by §4 of this Guidance;

3.2.3 Expenses are reasonable for the circumstances, and the State receives adequate value for the amounts expended;

3.2.4 Traveler submits adequate documentation of the travel expenses to the PM; and

3.2.5 Reimbursement Requests and Travel Advances are settled as required by §9 of this Guidance;

3.3 Traveler's Responsibilities – A Traveler is responsible for controlling expenses and identifying Expenses incurred for the Benefit of the State while Traveling Away from Home and request reimbursement for only those expenses.

3.4 PM Responsibilities - The PM shall review the expenses claimed by a Traveler and authorize reimbursement for only those expenses incurred for State Business. The PM may require documentation, in addition to the documentation prescribed by this Guidance, deemed necessary or advisable by the PM in connection with the review and authorization of expenses.

4. TRAVEL AUTHORIZATION

All travel shall be pre-authorized by the PM in accordance with the procedures in this Guidance, and the Contract/Task Order, regardless of the sources of funding.

5. TRAVELING AWAY FROM HOME

A Traveler Traveling Away from Home shall be reimbursed for the items set forth in this section, if all other requirements of §3 of this Guidance are met. The paragraph §5.11 of this Guidance allows for travel reimbursements from a Traveler's Regular Work Location, Temporary Residence or Permanent residency. The starting place for the mileage reimbursement shall be negotiated by PM in advance and specified in a Task Order.

5.1 Lodging – A Traveler shall follow the travel Guidance of the PM regarding the use of approved or designated Lodging facilities. The Traveler shall submit receipts for Lodging as documentation of the expense and the Consultant/Subcontractor shall be reimbursed for the actual cost of Lodging, provided the Traveler complies with §3.2 of this Guidance.

5.2 Meals – Travelers are required to use the method chosen by the PM for reimbursement of meals. If meals are to be reimbursed based on the Contract/Task Order, the PM will use the standard allowance method for meals, rather than the actual cost method. Under the standard meal allowance method, a Traveler shall claim the authorized meal per diem rate for each meal the Traveler would normally have eaten while Traveling Away from Home. If a meal is included or is provided with the cost of Lodging, a Traveler shall not request reimbursement for the standard meal allowance. Under no circumstances shall a Traveler request reimbursement for more than the applicable per diem rate. Receipts for meals are not required. See §11 of this Guidance for reference to the current standard per diem rates for meals.

5.3 Meals for Days Traveler Departs and Returns – A Traveler may use either of the following methods for reimbursement for meals during partial travel days (Per Diem Rates per §11 of this Guidance):

5.3.1 A Traveler may claim 75% of destination city's per diem rate, including Incidental Expenses, for the day of departure, and 75% of the departing city's per diem rate, Including Incidental Expenses, on the day of return; or

5.3.2 A Traveler may claim meals based on departure and arrival time. Breakfast cannot be claimed unless departure is prior to 5:00 a.m. at the departing city. Lunch cannot be claimed unless departure is before 11 a.m. at the departing city or return is after 1:00 p.m. at the destination city. Dinner cannot be claimed, unless return is after 8:00 p.m. at the destination city. Under this method, the applicable per diem rate is based on where the meal is eaten.

5.3.3 A Traveler shall use the same methodology for all travel within a single travel reimbursement.

5.4 Transportation – A Traveler shall utilize a method of transportation most reasonable to the benefit of the State. Mode of transportation shall be subject to the approval of the PM. Reimbursement shall be limited to the actual cost of commercial Transportation. A Traveler requesting reimbursement shall submit receipts for all Transportation expenses except as provided in §5.10 of this Guidance.

5.5 Rental Vehicles – A Traveler shall be required to use an available vehicle rental company, while controlling travel costs and ensuring that insurance coverage is adequate. Various upgrades provided at extra cost by vehicle rental companies, such as satellite radio, GPS units, etc., are not reimbursable unless necessary for State Business or safety reasons and pre-authorized by the PM. A Traveler shall submit receipts for rental vehicles as documentation of the expense and shall be reimbursed for the actual cost of rental vehicles, provided the Traveler complies with §3.2 of this Guidance.

5.6 Leased Vehicles - State Controller policy does not presently address lease reimbursement. At the current time, the PM is not authorized to negotiate any such reimbursement. Expenses for leased vehicles shall be reimbursed through the State Controller Policy, entitled “*Mileage Reimbursement*”.

5.7 Mileage for Personal Vehicles – As provided in the State Controller Policy, entitled “*Mileage Reimbursement*”, a Traveler shall be allowed mileage reimbursement for each mile actually and necessarily traveled on State Business using either the Traveler’s personal vehicle or a Consultant assigned vehicle. A Traveler normally shall be reimbursed at the mileage rate designated for two-wheel drive vehicles. A Traveler shall be reimbursed at the mileage rate designated for four-wheel drive vehicles only when the use of four-wheel drive is necessary because of road, terrain, or adverse weather conditions and approved for use by the PM. Commuting expenses incurred while traveling between a Traveler’s Residence and Traveler’s Regular Work Location are non-reimbursable personal expenses. CRS §24-9-104(2) establishes the mileage rate to be used for reimbursement of State Business travel. Refer to §11 of this Guidance for policies and rates.

5.8 Airfare – Airline travel shall be pre-authorized by the PM in accordance with §4 of this Guidance. A Traveler shall be reimbursed for baggage fees if not included in the airfare.

5.9 Tips – A Traveler cannot claim tips as a separate item on a Reimbursement Request. Tips paid to porters, baggage carriers, bellhops, hotel maids, and skycaps for airport check-in are Incidental Expenses and not allowed. Tips paid in conjunction with meals are included in the standard per diem meal allowance. Tips paid in connection with taxi and shuttle expenses should be included as part of those expenses.

5.10 Other Allowable Travel Expenses - In addition to Lodging, meals, and Transportation, the actual expenses identified below, incurred as a part of approved travel, and are allowable if necessary to complete State Business:

- 5.10.1** Commercial Transportation such as taxi and shuttle expenses, including tips. A receipt shall be required for each individual ride in a commercial vehicle costing over \$25;
- 5.10.2** Camping site fees paid for a commercial campground or a state or national park. A receipt shall be required for any fee over \$25;
- 5.10.3** Parking fees. A receipt shall be required for any single fee over \$25;
- 5.10.4** Telephone, fax, internet access, and other similar miscellaneous business expenses paid for State Business. A receipt shall be required for any single charge over \$25;
- 5.10.5** Toll road charges. A receipt shall be required for charges over \$25; and
- 5.10.6** Traveler’s checks or transaction charges for the use of the Travel Cards are not allowed.

5.11 Summary of Allowable Travel Expenses -

Type of Travel Expense	Reimbursement	Receipt Required?
Lodging	Actual	Yes
Meals	Per Diem Rate	No
Incidental Expenses	Not Allowed	N/A
Transportation (other than airfare)	Actual	Yes if over \$25
Rental Vehicles	Actual, if pre-authorized	Yes
Mileage for Personal Vehicles	Miles x 90% x current federal mileage rate (95% for 4-wheel drive)	No
Airfare	Actual	Yes
Tips for meal	Included in Per Diem Rate	N/A
Other Allowable Travel Expenses	Actual	Yes if over \$25

*See table below for specific examples of Allowable Travel Expenses.

CDOT is Paying for Housing		CDOT is not Paying for Housing	
Type of Travel Expense	Reimbursement	Type of Travel Expense	Reimbursement
Lodging	Actual	Lodging	NA
Meals	Per Diem Rate (State Rate) for actual days worked at project site	Meals	Per Diem Rate (State Rate) for actual days worked at project site
Incidental Expenses	Per Diem Rate	Incidental Expenses	Per Diem Rate
Rental Vehicles	Actual with Air travel only	Rental Vehicles	Actual with Air travel only
Mileage for Company Vehicles	Current Mileage Rate for 2WD vehicles only. 4WD vehicle is allowed when specified in scope of work.	Mileage for Company Vehicles	Current Mileage Rate for 2WD vehicles only. 4WD vehicle is allowed when specified in scope of work.
1) Travel from Main Office to Project Site	Not paid	1) Travel from Main Office to Project Site	Actual Mileage over 35 mile radius
2) Travel from Temporary Residence to Project Site	Not paid	2) Travel from Permanent Residence to Project Site	Actual mileage over 35 mile radius
3) Project related travel (design or Construction) from or within Project site	Design Projects: Actual project related mileage. Construction Projects: Estimated average daily mileage as stated in project task order	3) Project related travel from or within Project site	Design Projects: Actual project related mileage. Construction Projects: Estimated average daily mileage as stated in project task order
4) Personal travel - including travel from temporary housing to project site	Not paid	4) Personal travel	Not paid
5) Personal travel to place of permanent residence	Not paid	5) Personal travel to place of permanent residence	NA
Travel Time from place of permanent residence or Office to Temporary Residence or Project Site	One Round trip per week at a maximum of 4 hours per roundtrip and maximum 200 miles mileage	Travel Time to Project Site	Actual time from when employee leaves home base until return to home base minus one (1) hour
Airfare	Actual	Airfare	Actual
Tips	Included in Per Diem Rate	Tips	Included in Per Diem Rate
Other Allowable Travel Expenses	Actual	Other Allowable Travel Expenses	Actual

6. NON - ALLOWABLE TRAVEL EXPENSES

In addition to those items identified in the Definitions section of this Guidance, a Traveler shall not be reimbursed for the following expenses:

- Alcoholic beverages;
- Entertainment expenses;
- Personal expenses incurred during travel that are primarily for the benefit of the Traveler/Consultant/Subcontractor and not directly related to State Business;
- Political Expenses;
- The cost of traffic fines and parking tickets;
- Late fees for credit cards; and

- Certain insurance coverage - The cost of additional or other types of coverage shall not be reimbursed by the State, including without limitation, expenses paid by a Traveler for the following:
 - Collision damage waiver or loss damage waiver for rental vehicles;
 - Supplemental liability insurance on rental vehicles;
 - Value premiums on airline tickets;
 - Trip cancellation insurance;
 - Additional liability insurance for rental vehicles;
 - Personal accident insurance on rental vehicles; and
 - Supplemental life insurance for airline or common carrier travel.

7. CERTIFICATION AND APPROVAL

7.1 Certification - Each Reimbursement Request shall contain the following certification signed manually or electronically by the Traveler:

"I certify that the statements in the above schedule are true and correct in all respects; that payment of the amounts claimed herein has not and will not be reimbursed to me from any other source; that travel performed for which reimbursement is claimed was performed by me while on State Business and that no claims are included for expenses of a personal or political nature or for any other expenses not authorized by the CDOT Guidance ; and that I actually incurred or paid the operating expenses of the motor vehicle for which reimbursement is claimed on a mileage basis."

8. REIMBURSEMENT REQUIREMENTS

8.1 Timing - A Reimbursement Request shall be filed within 30 calendar days of completion of travel to allow for proper recording of expenses and to obtain reimbursement for approved travel expenses.

8.2 Content - Each Consultant/Subcontractor shall mandate the CDOT Reimbursement Request form be used by its Travelers. The Reimbursement Request form shall be as required in the contract task order:

- 8.2.1 Amount** – The amount of each separate expenditure incurred while traveling Away from Home, such as the cost of Transportation or Lodging;
- 8.2.2 Time** – Dates of departure for and return from Traveling Away from Home and the number of days spent on State Business while Traveling Away from Home;
- 8.2.3 Place** – Destinations or locality of travel, described by name of city or town or other similar designation; and
- 8.2.4 State Purpose** – Reason for travel or nature of State Business benefit derived as a result of the travel.

8.3 Receipts -

- 8.3.1 Receipts Required** - Receipts are required for all travel expenses as defined in this Guidance. Receipts shall be original, detailed Vendor Receipts. Non-specific charge card transaction slips shall not be accepted as proper documentation, nor will credit card statements.
- 8.3.2 Waiver** – The PM/BO may waive the requirement for a receipt in extenuating circumstances, upon receipt of a written certification from the Traveler, certifying that the cost was incurred and providing the reason why a receipt was not obtained or available.

8.4 Compliance – A Traveler shall comply with the reimbursement requirements in this §9 regardless of the method of payment used. See §10 of this Guidance.

9. PAYMENT OF TRAVEL EXPENSES

A PM/BO shall use standard payment options available, with preference for using electronic funds transfer (EFT), to reimburse travel expenses of Travelers to the Consultant.

10. SPECIAL SITUATIONS

10.1 Travel within a Single Day – If travel is completed wholly within a single day (between 5:00am and 8:00pm), reimbursement for lunch shall not be allowed. If a Traveler leaves home prior to 5:00 a.m. on State Business that requires an extension of the workday, with prior PM/BO approval, meal per diem for breakfast will be provided. In addition, if the Traveler remains away from home after 8:00 p.m. on State Business that requires an extension of the workday, with prior PM/BO approval, meal per diem for breakfast will be provided.

10.2 Travel to a Temporary Work Location - A Traveler may be reimbursed for Transportation expenses to a Temporary Work Location in accordance with this Guidance.

10.3 Travel to Conferences, Meetings, Training Sessions, and Other Business-related Activities – A Traveler may be reimbursed for Transportation expenses for these activities in accordance with this Guidance, the appropriate Contract/Task Order and approval of PM/BO.

10.4 Allowances for Travel Not Solely for State Business – Will not be reimbursed.

10.5 Allowances for Travel with Spouse, Relatives, or Friends - The State shall not reimburse the cost of a Traveler's spouse or other person(s) accompanying the Traveler on a business trip, unless specifically pre-authorized by the PM/BO and such accompaniment serves the benefit of the State.

10.6 Allowances for Travel by Leased or Privately Owned Aircraft – Use by Contractors/Subcontracts and their Travelers of Leased and private-owned aircraft is prohibited and will not be reimbursed unless approved by PM prior to travel.

10.7 Allowances for Travelers Furnishing Their Own Lodging and Meals - When a Traveler furnishes his or her own Lodging and meals, a PM/BO may negotiate a special per diem rate for that period of travel. The rate negotiated shall be on a case-by-case basis and under no circumstance shall the negotiated rate exceed the normal per diem rates established by this Guidance.

11. RATES – PER DIEM AND MILEAGE REIMBURSEMENT RATES

The current maximum meal and Incidental Expense per diem rates and mileage reimbursement rates are posted on the website of the Office of the State Controller at:

http://www.colorado.gov/dpa/dfp/sco/FiscalRules/FR_Travel.htm

Of these rates, only the following are applicable to this Guidance:

- Appendix A1 – Domestic (CONUS) Per Diem Rates
- Appendix A2 – Allocation of Domestic (CONUS) Per Diem Rates
- CRS 24-9-104 – Mileage Reimbursement Rate