

A&E Consultant Procurement Checklist

Date: _____

Agency Name: _____

Consultant Name: _____

Federal/State Project No.: _____

Local Agency Contract No.: _____

Description of Services: _____

This checklist is applicable to both Federal and State-only funded projects unless otherwise noted. This checklist is provided as a guidance only. It does not relieve local agency of its responsibility to meet all Federal and State requirements.

REQUIRED ITEMS	COMPLETED
PROCUREMENT PLANNING	
1. Adopt LAPM Chapter 10 policies and procedures? NOTE: Must adopt by Resolution or by Head of Agency on agency's official letterhead. The word "adopt" or a form of the word "adopt" must be stated.	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Have internal department Conflict of Interest policy? NOTE: Conflict of Interest policy is a written code of standards of conduct for employees and consultants under contracts. It is not the same as Exhibit 10-T.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Retain all records and supporting documentations? Example: a. Responsiveness checklist/Proposal responses b. Score sheets/Candidate ranking c. Forms/Exhibits used d. Independent cost estimate/Cost analysis e. Negotiations (cost/profit) f. All financial documents g. Others	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Assign a Contract Administrator? NOTE: A Contract Administrator must be assigned to every A&E contract. A Contract Administrator must be a full-time, public employee of the contracting agency who is qualified to ensure the contract requirements are met.	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
5. Contain Consultant in a Management Support Role (CMSR)? NOTE: If contract is for CMSR, Exhibit 10-U is required. Exhibit 10-U is only required for federally funded contracts .	<input type="checkbox"/> Yes <input type="checkbox"/> N/A
FULL & OPEN COMPETITION	
6. Use competitive negotiation (minimum of 3 consultants responded)? NOTE: For non-competitive negotiation (sole-source), submit Exhibit 12-F (PIF) to DLAE. If two consultants responded to solicitation, re-solicit is recommended or file written justification in project file.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Advertise publicly? NOTE: See RFP/RFQ Review Checklist	<input type="checkbox"/> Yes <input type="checkbox"/> No

REQUIRED ITEMS	COMPLETED
8. Establish and advertise DBE goal? NOTE: Applies to Federally funded only regardless of contract amount. Use Exhibit 9-D to establish DBE goal.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
9. Document all of Full & Open Competition process? NOTE: Make sure to document and keep records of Items 6-8 at a minimum.	<input type="checkbox"/> Yes <input type="checkbox"/> No
QUALIFICATIONS BASED SELECTION	
10. Perform responsiveness check? NOTE: All proposals are to be verified & documented. Check proposals meet all RFP/RFQ requirements, e.g. submittal deadlines, number of copies, cost proposals deadline, etc. Datestamp proposals.	<input type="checkbox"/> Yes <input type="checkbox"/> No
11. Evaluate consultant proposals based on published criteria ? NOTE: Minimum of 3 proposals received. If two proposals, document written justification in project file. If one, a PIF needs to be submitted to DLAE for acceptance prior to evaluating consultants. Re-advertise is recommended when less than 3 proposals received.	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. Exhibit 10-T signed and dated for all panel members? NOTE: Each panel member must sign and date separate Exhibit 10-T.	<input type="checkbox"/> Yes <input type="checkbox"/> No
13. Consider price in evaluation? NOTE: Price cannot be considered in QBS process.	<input type="checkbox"/> Yes <input type="checkbox"/> No
14. Fixed fee over 15%? NOTE: The maximum allowable profit/fixed fee is 15%.	<input type="checkbox"/> Yes <input type="checkbox"/> No
15. Rank a minimum of 3 candidates? NOTE: See Item 10.	<input type="checkbox"/> Yes <input type="checkbox"/> No
16. Notify final ranking of top 3 candidates? NOTE: Top 3 candidates must be notified of their ranking.	<input type="checkbox"/> Yes <input type="checkbox"/> No
17. Have discussion with ranked candidates? NOTE: Discussions are required only if stated in RFP/RFQ. Discussions may be written, by telephone, video conference or by oral presentation/interview	<input type="checkbox"/> Yes <input type="checkbox"/> Not stated in RFP/RFQ
18. Select top ranked candidate?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19. Document all of Qualifications-Based Selection & Evaluation Criteria process? NOTE: Make sure to document and keep records of Items 10-18 at a minimum.	<input type="checkbox"/> Yes <input type="checkbox"/> No

REQUIRED ITEMS	COMPLETED
COST IS FAIR & REASONABLE	
20. Prepare independent cost estimate (ICE)? NOTE: ICE must be prepared prior to receipt or review of the most highly qualified consultant's cost proposal. ICE must contain elements of contract costs (e.g. indirect cost rates, direct salary or wage rates, fixed fee, and other direct costs) separately. Refine ICE based on more detailed Scope of Work (SOW) for project specific or on-call at task level.	<input type="checkbox"/> Yes <input type="checkbox"/> No
21. Receive cost proposal from top ranked candidate?	<input type="checkbox"/> Yes <input type="checkbox"/> No
22. Submit financial documents (Exhibit 10-A) to Independent Office of Audits and Investigations (IOAI) and receive Acceptance ID? NOTE: For all contracts \$150K or more. Must receive Acceptance ID before contracting with consultants.	<input type="checkbox"/> Yes <input type="checkbox"/> Under \$150K
23. Negotiate with top ranked candidate? NOTE: Negotiated items: Workplan; classification/wage rate/personnel experience level; cost items/payments/fees; hours, etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No
24. Analyze cost by using ICE and cost proposal? NOTE: Cost analysis must be performed. Methods of cost analysis may be by requesting consultant's actual cost (record of charging), most recent cost estimate for the same or similar items or services, independent forecast of future costs, etc.	<input type="checkbox"/> Yes <input type="checkbox"/> No
25. Apply Federal Cost Principles? NOTE: Applicable to both Federal and State-only funded projects.	<input type="checkbox"/> Yes <input type="checkbox"/> No
26. Consultant meet DBE goal? NOTE: Federally funded only. Document Good Faith Efforts (Exhibit 15-H) if consultant did not meet DBE goal set in RFP/RFQ.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
27. Document all of Cost is Fair & Reasonable process? NOTE: Make sure to document and keep records of Items 20-26 at a minimum.	<input type="checkbox"/> Yes <input type="checkbox"/> No
EXECUTION	
28. Return concealed cost proposals from unsuccessful candidates? NOTE: Concealed cost proposals must be returned to unsuccessful candidates unless using a system that ensures cost proposals of unsuccessful candidates are disposed of properly.	<input type="checkbox"/> Yes <input type="checkbox"/> No
29. Contract contain Fiscal and Federal and State Provisions? NOTE: See Exhibit 10-R	<input type="checkbox"/> Yes <input type="checkbox"/> No
30. Document all procurement process? NOTE: Make sure to document and keep records of Items 1-29 at a minimum.	<input type="checkbox"/> Yes <input type="checkbox"/> No

REQUIRED ITEMS	COMPLETED
<p>31. Contract Administrator check applicable exhibits?</p> <ul style="list-style-type: none"> a. Exhibit 9-D: DBE Contract Goal Methodology b. Exhibit 10-A: A&E Consultant Audit Request Letter and Checklist c. Exhibit 10-G: Individual A&E Task Order DBE Tracking Sheet d. Exhibit 10-H: Sample Cost Proposal (Example #1 thru #3) e. Exhibit 10-I: Notice to Proposers DBE Information f. Exhibit 10-K: Consultant Certification of Contract Costs and Financial Management System g. Exhibit 10-O1: Consultant Proposal DBE Commitment h. Exhibit 10-O2: Consultant Contract DBE Commitment i. Exhibit 10-Q: Disclosure of Lobbying Activities j. Exhibit 10-R: A&E Sample Contract Language k. Exhibit 10-T: Panel Member Conflict of Interest & Confidentiality Statement l. Exhibit 10-U: Consultant in Management Support Role Conflict of Interest and Confidentiality Statement m. Exhibit 15-H: DBE Information - Good Faith Efforts 	<input type="checkbox"/> Yes <input type="checkbox"/> No
AMENDMENT	
<p>32. Extend contract date?</p> <p>NOTE: For on-call (IDIQ) contracts, the maximum length of contract period is 5 years. The recommended practice is to contract for the first 3 years and amend every year after for a total of 5 years.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>33. Increase contract amount?</p> <p>NOTE: See notes on Item 33 if Small Purchase procedures were used. For on-call (IDIQ) contracts, the original maximum contract amount cannot be increased by amendment.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>34. Small purchase procedures used on original contract?</p> <p>NOTE: Any dollar amount amended to the original contract that would increase the contract to be greater than \$250,000 would not be reimbursed when small purchase procedures were used on original contract. The entire contract amount may be ineligible.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>35. Submit Exhibit 10-A to OIAI and receive Acceptance ID?</p> <p>NOTE: If the contract amount becomes greater than \$150,000, submit Exhibit 10-A to IOAI.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<p>36. Scope of work change?</p> <p>NOTE: Scope of work should not change. It is not allowed to change the scope of work. Refining the scope of work is acceptable.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>37. Document amendment process?</p> <p>NOTE: Make sure to document and keep records of Items 32-36 at a minimum.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Comments:

Comments should include item number as reference.

Contract Administrator:

Date Completed:
