Figure 10-1 A&E Contract Procurement Process Workflow Diagram

Procurement Planning

1	2	3
Local Agency	Local Agency	Local Agency
* Select Project * Set Project Objectives * Determine Project Schedule *Obtain CTC Allocation/Federal Authorization to Proceed prior to beginning reimbursable work **LAPM Exhibit 10-U, Consultant in Management Position Conflict of Interest Statement*, if applicable: submit to DLAE with Request for Federal Authorization to Proceed.	* Identify Need for Consultant * Appoint Contract Administrator * Segment Project Work * Define Scope of Work (SOW) of A&E Consultant * Specify Products to be delivered	* Estimate Cost of Consultant Work * Determine Type of Contract (Project Specific or on-call) * Determine Method of Payment (MOP): Lump Sum; Cost-Plus-Fixed-Fee; Cost Per Unit of Work; or Specific Rate of Compensation

A&E = Architectural and Engineering
A&I = Caltrans Audits and Investigations
CT = Caltrans
DBE = Disadvantaged Business Enterprise
DLA = Division of Local Assistance
DLAE = District Local Assistance Engineer
LAPG = Local Assistance Program Guidelines
LAPM = Local Assistance Procedures Manual
MOP = Method of Payment
RFP = Request for Proposal
RFQ = Request for Qualifications
SOP = Statement of Proposal
SOQ = Statement of Qualifications
SOW = Statement/Scope of Work

Figure 10-1 A&E Contract Procurement Process Workflow Diagram

Solicitation Documents and Advertisement

4	5	6
Local Agency	Local Agency	Local Agency
* Determine Solicitation Document; RFP or RFQ * Appoint Consultant Selection Committee * Collect signed Conflict of Interest and Confidentiality Statements (see *LAPM Exhibit 10-T*), from all committee members * Determine Procurement Schedule * Develop Technical Criteria with level of importance (weights) for Evaluation of Proposals (SOP) or the Statement of Qualifications (SOQ)	* Prepare RFP or RFQ documents * Include SOW, evaluation process/criteria, DBE goals, MOP and cost proposal format (see *LAPM Exhibit 10-H*), minimum requirement of SOP or SOQ, Notice to Proposers DBE Information (see *LAPM Exhibit 10-I*), submittal deadline * Advertise RFP or RFQ; newspaper, technical publications, Web Hosting Site, other local Web Sites * Issue RFP or RFQ; direct mailing, Web posting	* Prepare to respond to RFP/RFQ questions * Conduct Proposers Conference, if applicable * Receive proposals (SOPs) or SOQs * Perform record of submittals and responsiveness review

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Figure 10-1 A&E Contract Procurement Process Workflow Diagram

Evaluation and Selection of Consultant

Contract Negotiations

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Local Agency

* Distribute Proposals or SOQs to Selection Committee members *
Insure Committee members receive the appropriate score sheet to use (see *LAPM Exhibit 10-B*)
* Convene Selection Committee and evaluate submittals; Perform reference checks
* Develop Final Ranking or Short List for Interviews
* Notify proposers of ranking/Short List
* Retain all original score sheets and summaries

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Local Agency

* Send out Invitations to Short List for Interviews
* Conduct Interview of Short List
* Develop Final Ranking of Consultants, and notify all interviewees
* Retain all original score sheets and summaries
* Provide a copy of Standard Contract language to top ranked consultant and invite for negotiations (See *LAPM Exhibit 10-R* for standard contract language and provisions)

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Local Agency

* Open and analyze cost proposal from the Highest Ranked firm
* Initiate A&E Consultant Audit Review Process (LAPM Figure 10-2) and send documents (*LAPM Exhibit 10-K*) and/or request Conformance Review (*LAPM Exhibit 10-A*) , if applicable, by Caltrans A&I

Caltrans A&I

* Collect and store all *LAPM Exhibit 10-K*s in database. *
Review and evaluate *LAPM Exhibit 10-A*s and supporting documents, if applicable *
Issue Conformance Letter, if applicable
* Perform Indirect Cost Rate (ICR) audit, if applicable, or review of CPA audited ICR workpapers and issue Cognizant Letter of

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Figure 10-1 A&E Contract Procurement Process Workflow Diagram

Contract Negotiation

Contract Execution

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Local Agency

* Negotiate contract costs with Consultant
* Prepare and retain record of cost negotiations
* Receive and analyze findings of the Conformance Review Letter from CT A&I, if any.
* Address and resolve all findings by A&I and incorporate into final contract and cost proposal
* If negotiations with First ranked firm is unsuccessful, formally terminate cost negotiations with Consultant and begin Step 9 with next ranked consultant.

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Local Agency

* Finalize contract, cost proposal
* Prepare Contract Approval Checklist (*LAPM Exhibit 10-C*) and send copy to CT DLAE
* Retain copy of contract Conformance Review Letter with documented resolution of all findings
* Sign and Execute contract

DLAE

* Review *LAPM Exhibit 10-C* for completeness

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Local Agency

* Send copy of executed contract to CT A&I and DLAE
* Offer and conduct debriefing meetings with consultant who asked for one
* Send copies of DBE Commitment (*LAPM Exhibits 10-O1* and *10-O2*) to DLAE
* Complete and File *LAPM Exhibit 10-S*
* Close out contract procurement process

DLAE

* Prior to concurring with invoice payment related to consultant services, ensure that district has a copy of the executed consultant contract on file as well as *LAPM Exhibits 10-C, 10-O1* and *10-O2*. Also, check A&I database to ensure that *LAPM Exhibit 10-K,* if applicable, has been received by A&I.

Caltrans A&I

* Perform Incurred Cost Audit, if selected

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