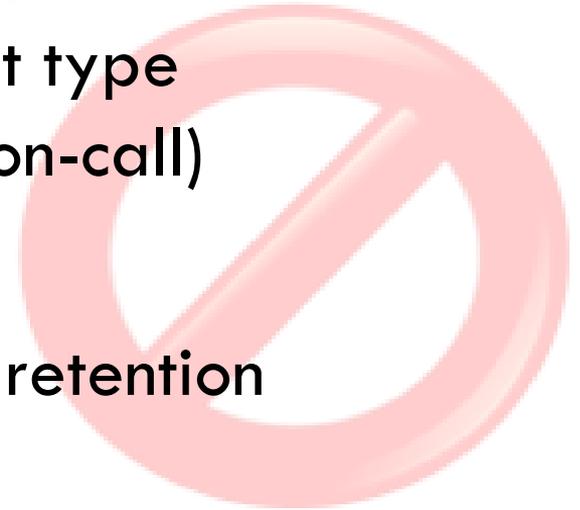


LOCAL AGENCY A&E CONSULTANT PROCUREMENT PROCESS

Most Frequent Errors/Deficiencies

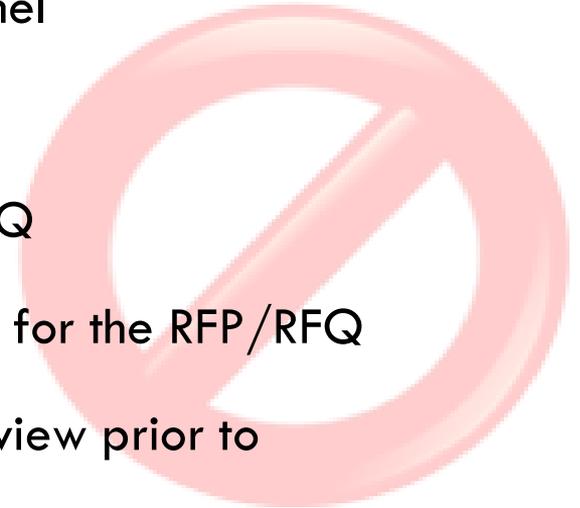
Most frequent errors during Procurement Planning Phase

- ❑ No independent cost estimate prior to advertising; “not-to-exceed” \$ amount
- ❑ Inadequate determination of project type (single phase vs. multiple phase vs. on-call)
- ❑ No method of payment for contract
- ❑ Poor record keeping and document retention



Most frequent errors during Solicitation and Advertisement Phase

- ❑ Lack of evaluation criteria with level of importance (weights) in RFP/RFQ
- ❑ No Conflict of Interest Statements by selection panel
- ❑ No method of payment specified in RFP/RFQ
- ❑ No cost proposal requirement specified in RFP/RFQ
- ❑ Inadequate/undocumented advertisement method for the RFP/RFQ
- ❑ Inadequate documentation of a responsiveness review prior to acceptance of the RFP/RFQ



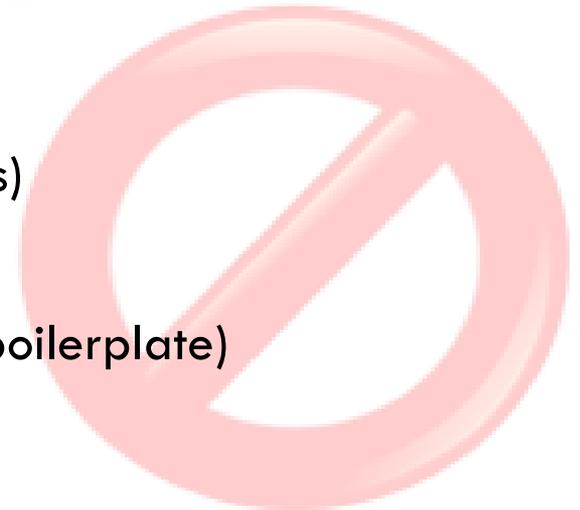
Most frequent errors during Evaluation and Selection Phase

- ❑ Lack of retention of original score sheets from the evaluation process
- ❑ Inadequate documentation during the secondary evaluation process/interview portion
- ❑ Actual evaluation criteria differ from original described in the RFP/RFQ without appropriate documentation



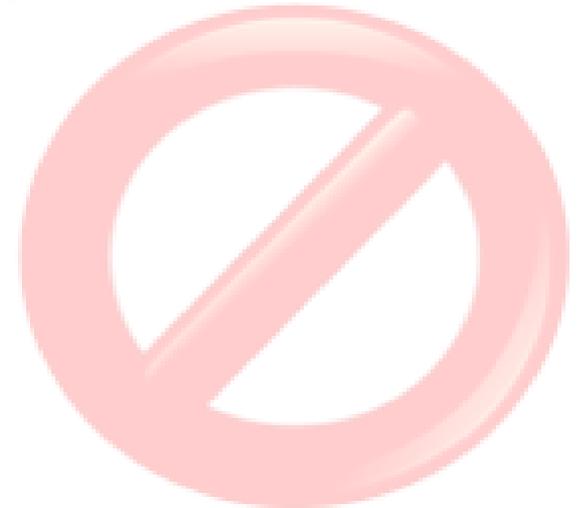
Most frequent errors during Financial Document Review by Independent Office of Audits & Investigations (IOAI)

- ❑ Missing cost proposals for the subconsultants
- ❑ Missing and/or incomplete Certification of Indirect Costs and Financial Management System form
- ❑ Missing breakdown of ODCs
- ❑ Incomplete or incorrect cost proposal format used
- ❑ Unallowable method of payment used (rate sheets)
- ❑ Mark-ups included in cost proposals
- ❑ Missing fiscal provisions in Standard Agreement (boilerplate)
- ❑ Incomplete Internal Control Questionnaire (ICQ)



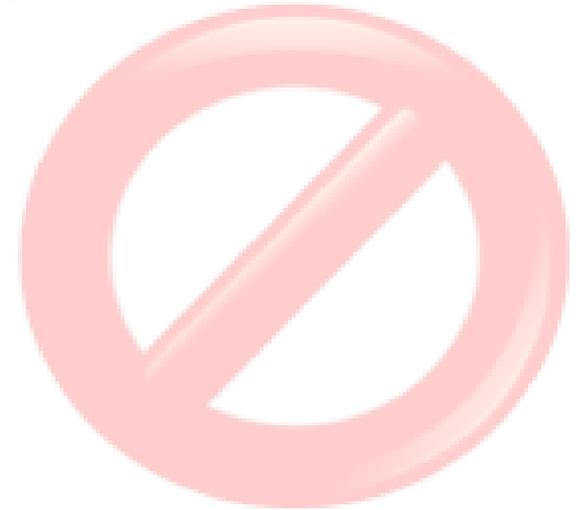
Most frequent errors during Financial Document Review by Independent Office of Audits & Investigations (IOAI)

- ❑ Inconsistent Indirect Cost Rate (ICR) in the Certification of Indirect Costs and Financial Management System form and the cost proposal



Most frequent errors during Contract Cost negotiation Phase

- ❑ No documented price/fee negotiations



Most frequent errors during Contract Execution Phase

- ❑ Lack of A&E Consultant Contract Reviewer form
- ❑ Incomplete fiscal and miscellaneous provisions in final contract
- ❑ Lack of documented contract approval process

