**Procurement – Architectural & Engineering Worksheet**

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| **Grantee:** | Click or tap here to enter text. |
| **Completed by:** | Click or tap here to enter text. |
| **Item to Procure:** | Click or tap here to enter text. |
| **Date:** | Click or tap here to enter text. |

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| **PART 1 – Before Solicitation Announced/Advertised**  Planning and Solicitation Preparation |

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| **Architectural & Engineering Services Procurement (Proposal) Check List Worksheet**  ( 4220.1F.VI.3.c.) (2 CFR §200.320(b)(1)) | | |
|  | **True** | **False** |
| 1. The Specification worksheet is completed? |  |  |
| 2. The Necessity worksheet is completed? |  |  |
| 3. The Independent Estimate worksheet is completed (Cost Analysis version)? |  |  |
| 4. The Procurement Method Selection worksheet is completed, and Architectural & Engineering Services Procurement resulted? |  |  |
| 5. Part 1 of the Responsibility Determination worksheet has been completed to plan the request and receipt of Responsible Offeror Criteria? |  |  |
| 6. The Publicity Plan worksheet for planning the announcement/advertisement is completed? |  |  |
| 7. Part 1 of the Requirements Prohibitions Analysis worksheet is completed in reference to the draft A&E solicitation document and the Publicity Plan? |  |  |
| 8. All required clauses and certifications included from Federal Clause and Certification Check List? |  |  |

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| **Architectural & Engineering Services Procurement – Proposal Type of Specification**  The property or services to be acquired are described in a performance or functional specification; or if described in detailed technical specifications, other circumstances such as the need for discussions or the importance of basing the contract award on factors other than price alone are present.  (4220.1F.VI.3.d.(1)(a)) (2 CFR §200.320(b)(2)(iv)) | | |
|  | **True** | **False** |
| The Solicitation documents are complete and include a copy of the contract to be used? |  |  |
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| **Solicitation and Contract Contents Check List**  Contents of Solicitation documents and Contract include the following items and should be the same responses as on the planning worksheets and clauses check list (see Item Specifications and Necessity worksheets). | | |
|  | **True** | **False** |
| Procurement Method (Architectural & Engineering Services Procurement procedures)? |  |  |
| Contract Type? |  |  |
| Date, time and place of public bid opening? |  |  |
| Statement that most qualified offeror will be selected? |  |  |
| Protest Procedures? |  |  |
| A&E can allow geographic preference considerations if there are sufficient firms to compete? |  |  |
| Item or Service specifications, technical requirements, or performance requirements (see Item Specification Worksheet)? |  |  |
| Quantities (see Necessity Worksheet)? |  |  |
| Performance Period? |  |  |
| Options descriptions to be evaluated? |  |  |
| Statement to require disclosure of any personal or organizational conflicts of interest? |  |  |
| Contractor Experience Requirements, if any? |  |  |
| Responsible Contractor Determination items requested (review Responsible Determination worksheet)? |  |  |
| Funding to be used? |  |  |
| Payment provisions described (Paid upon invoice after delivery of item or service or other description, No payments before award of funding, No payments in advance of work completed or delivery of assets, No progress payments for work not completed)? |  |  |
| Method of contract performance oversight procedures? |  |  |
| Disclosure that all offers may be rejected if the recipient wishes to have that option? |  |  |
| All required clauses and certifications included from Federal Clause and Certification Check List? |  |  |

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|  | **True** | **False** |
| **Architectural & Engineering Services Procurement (Proposal) – Adequate Sources**  There are two or more responsible proposers willing and able to effectively compete for the business.  (4220.1F.VI.3.d(2)(c)) | | |
| The RFP is expected to attract two or more responsible proposers? |  |  |
| **Architectural & Engineering Services Procurement (Proposal) – Publicity**  The request for proposals is publicly advertised.  (4220.1F.VI.3.d(2)(a)) (2 CFR §200.320(b)(2)(i)) | | |
| Will the request for proposal be publicly advertised? |  |  |
| **Architectural & Engineering Services Procurement – Qualifications Based Procurement Procedures**  Unlike other two-step procurement procedures in which price is an evaluation factor, an offeror’s qualifications are evaluated to determine contract award. Price is excluded in the description of evaluation factors. Negotiations are first conducted with the most qualified offeror. Only if a fair and reasonable price cannot be negotiated with the most qualified offeror may negotiations be conducted with the next most qualified offeror. This process continues until a fair and reasonable price is negotiated with one of the offerors in order of most qualified.  (4220.1F.VI.3.f.(3))  The solicitation document instructs offerors of the request specifications and the qualifications determined necessary. | | |
| **Qualifications**  The Solicitation documents explain that the evaluation of selected offeror will be based on the offeror’s technical approach to the request and the offer’s technical qualifications to carry out the approach?  (4220.1F.VI.3.f.(3)(a)) |  |  |
| **Price**  The Solicitation documents explain that price is not an evaluation factor to select the most qualified offeror?  (4220.1F.VI.3.f.(3)(b)) |  |  |
| **Most Qualified**  The Solicitation documents explain that negotiations are first conducted with only the most qualified offeror?  (4220.1F.VI.3.f.(3)(c)) |  |  |
| **Next Most Qualified**  The Solicitation documents explain that only after failing to agree on a fair and reasonable price may negotiations be conducted with the next most qualified offeror, and then, if necessary, negotiations with successive offerors in descending order may be conducted until the procurement can be awarded to the offeror whose price the recipient believes is fair and reasonable?  (4220.1F.VI.3.f.(3)(d)) |  |  |
| **Architectural & Engineering Services Procurement – Audits and Indirect Costs**  As required by 49 U.S.C. Section 5325(b)(2), the following requirements apply to a third party contract for program management, architectural engineering, construction management, feasibility studies,  preliminary engineering, design, architectural, engineering, surveying, mapping, or related services.  The third party contract or subcontract must be performed and audited in compliance with FAR Part 31 cost principles. The recipient and the third party contractor, its subcontractors and subrecipients, if any, must accept FAR indirect cost rates for the one-year applicable accounting periods established by a cognizant  Federal or State government agency, if those rates are not currently under dispute. After a firm’s indirect cost rates are accepted, those rates will apply for purposes of contract estimation, negotiation, administration, reporting, and payments, not limited by administrative or de facto ceilings.  (4220.1F.VI.3.f.(4))  TDOT policy 301-01 as applied to FTA procurements requires all firms seeking work with the Tennessee Department of Transportation (TDOT) shall have a current prequalification status. The prequalification procedure is available on the TDOT website. Firms seeking prequalification for engineering and design related services may request either an “Unlimited” or “Limited” prequalification status. Consultant guidance, policy 301-01, and prequalification procedure information can be found on the TDOT website, [Consultant Information (tn.gov)](https://www.tn.gov/tdot/business-redirect/consultantinfo.html).  (TDOT Policy Number 301-01, Section III. Prequalification of Consultants, F.) | | |
| **Performance of Audits**  The Solicitation documents explain that the third party contract or subcontract must be performed and audited in compliance with FAR Part 31 cost principles?  (4220.1F.VI.3.f.(4)(a)) |  |  |
| **Indirect Cost Rates**  The Solicitation documents explains the contractor may include indirect costs in their proposal?  If any indirect cost expenses are included in the proposal the contractor must also include the cognizant Federal or State government agency approval letter establishing the rate or plan or TDOT’s approval letter.  (4220.1F.VI.3.f.(4)(b)) |  |  |
| **TDOT Prequalification Status Required**  The Solicitation documents explain that the third party contractor or subcontractor must obtain either a “Limited” (less than Small Purchase contract value) or an “Unlimited” (greater than Small Purchase contract value) TDOT prequalification status? For an “Unlimited” status an indirect cost rate prepared in accordance with FAR Part 31 guidelines is required?  Consultant guidance, policy 301-01, and prequalification procedure information can be found on the TDOT website, [Consultant Information (tn.gov)](https://www.tn.gov/tdot/business-redirect/consultantinfo.html).  (TDOT Policy Number 301-01, Section III. Prequalification of Consultants, F.) |  |  |

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| **PART 1 – End Check Point**  Planning and Solicitation Preparation | | |
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| **Architectural & Engineering Services Procurement (Proposal) – Letter to Proceed with Advertisement**  Before advertising the procurement, submit the planning and solicitation documents to TDOT for review and to receive the letter to proceed with solicitation. After receiving letter to proceed, advertise and run the Architectural & Engineering Services Proposal. See Part 2 for next steps, Before Contract Executed/Awarded review. | | |
|  | **True** | **False** |
| Before advertising the procurement, will the planning and solicitation documents be submitted to TDOT for review and to issue a letter to proceed with the Architectural & Engineering Services Proposal? |  |  |

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| **PART 2 – Before Contract Executed/Awarded**  Evaluation and Award Preparation |

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| **Request for Architectural & Engineering Services Proposal Solicitation**   * Advertise and run the Architectural & Engineering Procurement Proposal according to plan. * If do not receive at least two responsible offerors willing to compete, perform single response analysis. * Receive proposals and review. * Evaluate proposals based only on the evaluation factors of the offeror’s technical approach to the request and the offer’s technical qualifications to carry out the approach. * Negotiate first with only the most qualified offeror. Only if a fair and reasonable price cannot be negotiated with the most qualified offeror may negotiations be conducted with the next most qualified offeror (cost analysis completed and profit a separate item and separately negotiated). The first in order negotiations to result in an agreed upon fair and reasonable price is the selected offeror. * Wait on contract execution. * Confirm that the offered item service meets the RFP specifications. * Complete a responsible contractor analysis. * Confirm the acceptance of the clauses and certifications in the winning proposal package. * Confirm that the accepted total price amount is reasonable. A Cost analysis must be completed. Profit must be a separate item of the analysis and negotiated separately from other costs. * Provide reasons for selection of the winning proposals, and reasons for any rejected proposals. * Provide justification for the award cost. * Confirm contract to be used contains all clauses. * Submit documentation to TDOT for Letter to Proceed with Contract Execution. |

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|  | **True** | **False** |
| **Publicity**  The Architectural & Engineering Services Procurement (Proposal) must be publicly advertised. The Publicity Plan worksheet for review after offer evaluations is completed?  (4220.1F.VI.3.d.(2)(a)) |  |  |
| **Adequate Sources**  Two or more responsible vendors made proposals?  (4220.1F.VI.3.d.(2)(c)) (2 CFR §200.320(b)(2)(i)) |  |  |
| **Evaluation Method**  The recipient’s specific method established to conduct technical evaluations was used (A&E procedures)?  (4220.1F.VI.3.d.(2)(d)) |  |  |
| **Evaluation Factors**  The solicitation evaluation factors were used to evaluate the technical merit of the proposal?  (4220.1F.VI.3.d.(2)(b)) |  |  |
| **Indirect Cost Rates**  If any indirect cost expenses are included in the proposal the offeror included the cognizant Federal or State government agency approval letter establishing the rate or plan or TDOT’s approval letter?  (4220.1F.VI.3.f.(4)(b)) |  |  |
| **TDOT Prequalification Status**  The Offeror has obtained either a “Limited” (less than Small Purchase contract value) or an “Unlimited” (greater than Small Purchase contract value) TDOT prequalification status?  (TDOT Policy Number 301-01, Section III. Prequalification of Consultants, F.) |  |  |
| **Qualifications**  The evaluation of the selected offeror was based on the offeror’s technical approach to the request and the offer’s technical qualifications to carry out the approach?  (4220.1F.VI.3.f.(3)(a)) |  |  |
| **Price**  Price was not an evaluation factor to select the most qualified offeror?  (4220.1F.VI.3.f.(3)(b)) |  |  |
| **Most Qualified**  Negotiations were first conducted with only the most qualified offeror?  (4220.1F.VI.3.f.(3)(c)) |  |  |
| **Next Most Qualified**  Only if after failing to agree on a fair and reasonable price were negotiations conducted with the next most qualified offeror, and then, if necessary, negotiations with successive offerors in descending order?  (4220.1F.VI.3.f.(3)(d)) |  |  |
| **Architectural & Engineering Services Procurement (Proposal) Record**  The Architectural & Engineering Services Procurement (Proposal) negotiations and result are documented, and a copy of the documentation is attached? |  |  |

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| **Evaluation** | | |
|  | **True** | **False** |
| Evaluation factors used to determine winning proposal were specified in the solicitation documents?  (4220.1F.VI.7.) |  |  |
| Options evaluated were disclosed in the solicitation and priced in the proposals or Options were not evaluated?  (4220.1F.VI.7.b.) |  |  |
| All proposals were not rejected or if they were that right was disclosed in the RFP?  (4220.1F.VI.2.g.) |  |  |

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| **Responsible Contractor Determination** | | |
|  | **True** | **False** |
| The Responsible Determination worksheet is completed for the selected offer?  (4220.1F VI.2.a.) (2 CFR Part §200.318(h)) |  |  |

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| **Price Analysis and Cost Analysis** | | |
|  | **True** | **False** |
| Complete the Cost Analysis portion of the Price Analysis and Cost Analysis worksheet is completed for the selected offer?  (4220.1F.VI.6.) (2 CFR Part §200.324) |  |  |

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| **Requirements Prohibitions Analysis – Competitive Procurements** | | |
|  | **True** | **False** |
| The Requirements Prohibitions Analysis worksheet completed to check solicitation was in compliance? |  |  |

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| **Clauses and Certifications Checklist** | | |
|  | **True** | **False** |
| The Clauses and Certifications Check List is completed to check for required compliance in the contract or purchase order? |  |  |

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| **PART 2 – End Check Point**  Evaluation and Award Preparation | | |
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| **Architectural & Engineering Services Procurement (Proposal) – Letter to Proceed with Award Execution**  Before executing the award contract, submit the evaluation and award documents to TDOT for review and to receive the letter to proceed with award contract. After receiving letter to proceed, execute contract with selected offeror. See Part 3 for next steps, Contract Administration review. | | |
|  | **True** | **False** |
| Before executing the award contract, will the evaluation and award documents be submitted to TDOT for review and to issue a letter to proceed with the Award Execution? |  |  |

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| **PART 3 – Post Award**  Contract Administration |

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| **Request for Proposals – Post Award**   * Execute contract with winning proposer. * Contract Administration – Oversight of contract performance executed as described in the solicitation. * Contract Administration – Receive goods and services. * Contract Administration – Pay invoices. * Program reimbursement request.   (2 CFR §200.318(b)) |

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| **Final Documentation Submission to TDOT**  After executing the contract or issuing the purchase and completing the post award contract administration tasks, submit copies of all final documentation and any post award documentation listed in the post award task list to TDOT. | | |
|  | **True** | **False** |
| Will all post award documentation be submitted to TDOT? |  |  |