**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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| **Architectural & Engineering (A&E) Proposals**  (2 CFR §200.320(b)(2)(iv)) (4220.1F VI.3.f.)  As presented in 2 CFR §200.320(b)(2)(iv) A&E proposals are a subcategory of proposal for qualifications-based procurement. These proposals, where price is not used as a selection factor, are used exclusively for the procurement of activities of architectural & engineering consulting that are directly in support of, connected to, directly related to, or lead to construction, alteration, or repair of real property. Acquiring actual construction, alteration, or repair to real property are services that may not use this procurement method. These procurements are publicly solicited, and price is not a consideration until after vendors have been evaluated based on their qualifications and approach to the project. |

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| **Architectural & Engineering Worksheet – Part 1**  *Completed and submitted prior to launching publicity plan* |

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| **Architectural & Engineering Services Procurement (Proposal) Check List Worksheet**  ( 4220.1F.VI.3.f.) (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. Part 1 of the Procurement Method Selection worksheet is completed, and Architectural & Engineering Services Procurement resulted? |  |  |
| 5. Part 1 of the Publicity Plan worksheet for planning the announcement/advertisement is completed? |  |  |
| 6. Part 1 of the Responsibility Determination worksheet has been completed to plan the request and receipt of Responsible Offeror Criteria? |  |  |
| 7. Part 1 of the Contract Administration worksheet is completed |  |  |
| 8. All required clauses and certifications included from Federal Clause and Certification Check List? |  |  |

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| **A&E Request for Proposals Requirements**  Proposals are awarded in accordance with the following requirements.  (4220.1F.VI.3.f.(3)) (2 CFR §200.320(b)(2)) |

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| **A&E Request for Proposals – Type of Specifications**  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)) | | |
|  | **True** | **False** |
| The A&E proposal solicitation has a performance or functional specifications, or if technical specifications are described there are other circumstances such as a need for discussions with proposers about their approach to the project or there is a need to base the award on factors other than price? |  |  |
| **Discuss the decision for the type of specifications used in the A&E Proposal:** | | |
| Click or tap here to enter text. | | |

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| **A&E Request for Proposals – Publicity**  Request for proposals must be publicized...  (4220.1F.VI.3.d(2)(a)) (2 CFR §200.320(b)(2)(i)) | | | | |
|  | | | **True** | **False** |
| Will the A&E request for proposal be publicly advertised and the Publicity Plan Worksheet has been completed? | | |  |  |
| **Planned A&E RFP Start Advertising Date:** | | Click or tap to enter a date. | | |
| **Planned A&E RFP Due Date:** | | Click or tap to enter a date. | | |
| **Planned A&E RFP Selection Determination Date:** | | Click or tap to enter a date. | | |
| **A&E Request for Proposals – Evaluation Factors Identified in Solicitation**  … and identify all evaluation factors and their relative importance. …  All evaluation factors for technical merit and their relative importance are specified in the solicitation; but numerical or percentage ratings or weights need not be disclosed.  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i)) | | | | |
| All evaluation factors are specified in the solicitation (numerical or percentage ratings or weights need not be disclosed)? | | |  |  |
| **A&E Request for Proposals – Evaluation Factors – Price Not Considered as a Factor**  Price is excluded as an evaluation factor.  (4220.1F.VI.3.f.(2)(f)(3)(b)) (2 CFR §200.320(b)(2)(iv)) | | | | |
| Price is not considered as a vender selection evaluation factor? | | |  |  |
| **A&E Request for Proposals – Evaluation Factors**  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i))  What evaluation factors are listed in the solicitation to be publicized (Price may not be used as an evaluation factor)? | | | | |
|  | Evaluation Factor (describe below) | | | |
| Click or tap here to enter text. | | | | |
|  | Other Factor (describe below) | | | |
| Click or tap here to enter text. | | | | |
|  | Other Factor (describe below) | | | |
| Click or tap here to enter text. | | | | |
|  | Other Factor (describe below) | | | |
| Click or tap here to enter text. | | | | |
|  | Other Factor (describe below) | | | |
| Click or tap here to enter text. | | | | |
|  | All Other Factors (describe below) | | | |
| Click or tap here to enter text. | | | | |
| **A&E Request for Proposals – Adequate Sources**  … Proposals must be solicited from an adequate number of qualified offers. …  There are two or more responsible proposers willing and able to effectively compete for the business.  (4220.1F.VI.3.d(2)(c)) (2 CFR §200.320(b)(2)(i)) | | | | |
| The A&E RFP is expected to attract two or more responsible proposers? | | |  |  |
| **A&E Request for Proposals – Maximum Considerations**  … Any response to publicized requests for proposals must be considered to the maximum extent practical; …  Separate discussions with individual offeror(s) are expected to be necessary after they have submitted their proposals. Note that discussions are not required unless the solicitation commits to having discussions.  (4220.1F.VI.3.d.(1)(d)) (2 CFR §200.320(b)(2)(i)) | | | | |
| The A&E RFP explains that discussions with individual bidders are expected to be necessary after they have submitted their proposals? | | |  |  |
| **A&E Request for Proposals – Written Evaluation**  … The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and making selections; …  A specific method is established and used to conduct technical evaluations of the proposals received and to determine the most qualified offeror.  (4220.1F.VI.3.d(2)(d)) (2 CFR §200.320(b)(2)(ii)) | | | | |
| Has a written evaluation method been established? | | |  |  |
| Is the proposal evaluation form attached to the RFP worksheet (required, also see procurement recordkeeping worksheet)? | | |  |  |
| **A&E Request for Proposals – Responsible Determinative Evaluation Factor**  … Contracts must be awarded to the responsible offeror…  The successful bidder is to be selected on the basis of responsible determination and whose proposal is most advantageous to the recipient’s program with price and other factors considered.  (4220.1F.VI.3.d.(2)(e)) (2 CFR §200.320(b)(2)(ii)) | | | | |
| The A&E RFP explains that the successful offeror must be responsible and possess the technical merit to complete the project? | | |  |  |
| **A&E Request for Proposals – Qualifications Based Procedures**  … an offeror’s qualifications are evaluated to determine contract award. Price is excluded as an evaluation factor.  The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby offeror's qualifications are evaluated and the most qualified offeror is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms that are a potential source to perform the proposed effort.  (4220.1F.VI.3.f.(3)(a)&(b)) (2 CFR §200.320(b)(2)(iv)) | | | | |
| Does the solicitation describe A&E services to be procured and that the award will be made on a qualifications basis and identify what factors, excluding price, will form the basis for the award? | | |  |  |
| **A&E Request for Proposals – Fair & Reasonable Price Negotiations**  Negotiations are first conducted with only the most qualified offeror. Only after failing to agree on a fair and reasonable price may negotiations be conducted with the next most qualified offeror. Then, if necessary, negotiations with successive offerors in descending order may be conducted until contract award can be made to the offeror whose price the recipient believes is fair and reasonable.  (4220.1F.VI.3.f.(3)(c),(d),(e)) (2 CFR §200.320(b)(2)(iv)) | | | | |
| Does the solicitation inform potential proposers that fair and reasonable price negotiations will first be conducted only with the most qualified offeror, and only after failing to come to an agreement may price negotiations be conducted with successive offerors in descending order? | | |  |  |

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| **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))  The TDOT state program contract executed with the recipient are reimbursement contracts. All reimbursements must be based on actual costs. The recipient must receive a copy of the A&E firm’s cognizant agency indirect cost rate/overhead approval letter to charge indirect costs or overhead to the project. The letter should be updated each year with the cognizant agency. | | |
| **Performance of Audits – Recipient FAR Part 31 Review (Audit) of Reimbursements**  49 U.S.C. Section 5325(b) requires that all A&E awarded contracts and subcontracts will be performed and audited in compliance with FAR part 31 cost principles.  (4220.1F.VI.3.f.(4)(a))  The recipient is prepared to examine (audit) vendor billings to confirm the project was performed in compliance with FAR part 31 cost principles of reasonableness, allocability, allowability, etc.? |  |  |
| **Performance of Audits – FAR Part 31 Review (Audit) Explained in Solitation**  49 U.S.C. Section 5325(b) requires that all A&E awarded contracts and subcontracts will be performed and audited in compliance with FAR part 31 cost principles.  (4220.1F.VI.3.f.(4)(a))  The Solicitation document explains to potential A&E vendors that documentation is required when submitting requests for reimbursement that demonstrate that the contract is performed in compliance with FAR part 31? |  |  |
| **Indirect Cost Rates**  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 …  (4220.1F.VI.3.f.(4)(b))  The Solicitation document explains that the contractor may include indirect costs in their price proposal negotiation round and that the cognizant agency approval letter for the indirect cost rate must be submitted with the price proposal at that time and annually afterwards until the contract is completed if selected? |  |  |

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| **PART 1 – End Check Point**  *Completed and submitted prior to launching publicity plan* | | |
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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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| **Architectural & Engineering Worksheet – Part 2**  *Completed and submitted prior to issuing purchase order or executing contract* |

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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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| **A&E Request for Proposal Evaluation** | | |
|  | **True** | **False** |
| The evaluation of the qualifications and project approach result for the A&E Request for Proposals received is attached? |  |  |

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| **Request for Proposals – Type of Specifications**  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)) | | |
|  | **True** | **False** |
| Did the A&E proposal solicitation list performance or functional specifications, or if technical specifications were described were there other circumstances such as a need for discussions with proposers about their approach to the project or was there a need to base the award on factors other than price? |  |  |

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| **Publicity** | | |
| The RFP must be publicly advertised. The recipient completed part 2 of the Publicity Plan worksheet is completed for TDOT review prior to making the award with the selected vendor?  (4220.1F.VI.3.d.(2)(a)) |  |  |

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| **Request for Proposals – Evaluation Factors Identified in Solicitation**  … and identify all evaluation factors and their relative importance. …  All evaluation factors for technical merit and their relative importance are specified in the solicitation; but numerical or percentage ratings or weights need not be disclosed.  (4220.1F.VI.3.d.(2)(b)) (2 CFR §200.320(b)(2)(i)) | | |
| All evaluation factors for technical merit and their relative importance that were specified in the solicitation (numerical or percentage ratings or weights need not be disclosed) were used in the evaluation of proposal qualifications? |  |  |
| **A&E Request for Proposals – Evaluation Factors – Price Not Considered as a Factor**  Price is excluded as an evaluation factor.  (4220.1F.VI.3.f.(2)(f)(3)(b)) (2 CFR §200.320(b)(2)(iv)) | | |
| Price was not considered as a vender selection evaluation factor? |  |  |
| **Request for Proposals – Adequate Sources**  … Proposals must be solicited from an adequate number of qualified offers. …  There are two or more responsible proposers willing and able to effectively compete for the business.  (4220.1F.VI.3.d(2)(c)) (2 CFR §200.320(b)(2)(i)) | | |

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| Two or more responsible vendors submitted proposals?  (4220.1F.VI.3.d.(2)(c)) (2 CFR §200.320(b)(2)(i)) |  |  |

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| **Request for Proposals – Maximum Considerations**  … Any response to publicized requests for proposals must be considered to the maximum extent practical; …  Separate discussions with individual offeror(s) are expected to be necessary after they have submitted their proposals. Note that discussions are not required unless the solicitation commits to having discussions.  (4220.1F.VI.3.d.(1)(d)) (2 CFR §200.320(b)(2)(i)) | | |
| Did the recipient have discussions with proposers after proposals were submitted? |  |  |
| **Request for Proposals – Written Evaluation**  … The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and making selections; …  A specific method is established and used to conduct technical evaluations of the proposals received and to determine the most qualified offeror.  (4220.1F.VI.3.d(2)(d)) (2 CFR §200.320(b)(2)(ii)) | | |
| Is the completed proposal evaluation form included in the procurement documentation? |  |  |
| **Request for Proposals – Responsible Determinative Evaluation Factor**  … Contracts must be awarded to the responsible offeror…  The successful bidder is to be selected on the basis of responsible determination and whose proposal is most advantageous to the recipient’s program with price and other factors considered.  (4220.1F.VI.3.d.(2)(e)) (2 CFR §200.320(b)(2)(ii)) | | |
| The selected proposers were determined to be responsible? |  |  |
| **A&E Request for Proposals – Qualifications Based Procedures**  … an offeror’s qualifications are evaluated to determine contract award. Price is excluded as an evaluation factor.  The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby offeror's qualifications are evaluated and the most qualified offeror is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms that are a potential source to perform the proposed effort.  (4220.1F.VI.3.f.(3)(a)&(b)) (2 CFR §200.320(b)(2)(iv)) | | |
| Was the award made on a qualifications and project approach basis and did the solicitation and the evaluation identify what factors, excluding price, determined the basis for the award? |  |  |
| **A&E Request for Proposals – Fair & Reasonable Price Negotiations**  Negotiations are first conducted with only the most qualified offeror. Only after failing to agree on a fair and reasonable price may negotiations be conducted with the next most qualified offeror. Then, if necessary, negotiations with successive offerors in descending order may be conducted until contract award can be made to the offeror whose price the recipient believes is fair and reasonable.  (4220.1F.VI.3.f.(3)(c),(d),(e)) (2 CFR §200.320(b)(2)(iv)) | | |
| Were fair and reasonable price negotiations conducted only with the most qualified offeror, and only after failing to come to an agreement were price negotiations conducted with successive offerors in descending order? |  |  |

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|  | **True** | **False** |
| **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?  (4220.1F.VI.3.f.(4)(b)) |  |  |
| **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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| **Contract Administration** | | |
|  | **True** | **False** |
| Part 2 of the Contract Administration worksheet is completed? |  |  |

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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**  *Completed and submitted prior to issuing purchase order or executing contract* | | |
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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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| **Architectural & Engineering Worksheet – Part 3**  *Completed and submitted prior to requesting expense reimbursement* |

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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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| **Contract Administration** | | |
|  | **True** | **False** |
| Part 3 of the Contract Administration worksheet is completed? |  |  |

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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? |  |  |