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# Appendix A

# Professional Services Procurement Checklist

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- 1. Initiate program/project with general scope of work and initial project estimate and justification**

Responsibility—Section Head, Office Director and Office of Financial Management and Budget.
- 2. Determine need for a consultant**

Responsibility—Section Head through Office Director.
- 3. Assign a project manager to be in responsible charge**

Responsibility—Section Head through Office Director.
- 4. Prepare a task description and scope of work**

Responsibility—Project Manager.
- 5. Prepare a preliminary cost estimate for requested services, including a time line; critical project features; any special criteria, specifications, or standards; recognized unusual problems; the need for subconsultants; and an initial DBE evaluation**

Responsibility—Project Manager.
- 6. Request authorization and approval from the Secretary**

Responsibility—Project Manager through Section Head and Office Director.
- 7. After receipt of approval, request agreement number**

Responsibility—Project Manager through Section Head to Consultant Control Coordinator.
- 8. Request funding for advertising, pre-award audit and fee negotiation administrative costs**

Responsibility—Project Manager through Section Head to Office of Financial Management and Budget.
- 9. Establish DBE goals (federally assisted projects only)**

Responsibility—Project Manager and Division Director in coordination with DBE Section.
- 10. Establish Shortlist Committee and Selection Committee**

Responsibility—Initiating Director.
- 11. Initiate advertisement for expressions of interest**

Responsibility—Project Manager through Section Head to Consultant Control Coordinator.
- 12. Receive expressions of interest**

Responsibility—Consultant Control Coordinator.
- 13. Shortlist consultants**

Responsibility—Shortlist Committee through Consultant Control Coordinator.

**14. Obtain Director's and Secretary's approval of shortlist**

Responsibility—Consultant Control Coordinator to Initiating Director.

**15. Notify shortlisted consultants**

Responsibility—Consultant Control Coordinator.

**16. Notify all other consultants who responded**

Responsibility—Consultant Control Coordinator.

**17. Hold Selection Committee meeting to establish selection criteria**

Responsibility—Consultant Control Coordinator.

**18. Set up preproposal meeting and oral interviews and request technical proposals**

Responsibility—Consultant Control Coordinator.

**19. Hold preproposal meeting**

Responsibility—Consultant Control Coordinator.

**20. Distribute preproposal meeting minutes to Selection Committee**

Responsibility—Consultant Control Coordinator.

**21. Receive technical proposals and distribute to Selection Committee**

Responsibility—Consultant Control Coordinator.

**22. Rate technical proposals**

Responsibility—Selection Committee through Consultant Control Coordinator.

**23. Hold and rate oral presentations**

Responsibility—Selection Committee through Consultant Control Coordinator.

**24. Recommend the rated consultants to the initiating Director and the Secretary for approval**

Responsibility—Selection Committee through Consultant Control Coordinator.

**25. After approval, notify all consultants interviewed of firm selected**

Responsibility—Consultant Control Coordinator.

**26. Debrief, as necessary**

Responsibility—Designated member of the Selection Committee through Consultant Control Coordinator.

**27. Hold final scope-of-work meeting to request price proposal based upon a fine-tuned scope of work, contractual matters and preliminary draft agreement**

Responsibility—Project Manager through Section Head.

**28. After receipt of proposal, request pre-award audit**

Responsibility—Project Manager through Audit & Regulatory.

**29. Submit draft price proposal to appropriate sponsoring agency for review, comment and preliminary approval, and establish the effective agency authorization date for participation**

Responsibility—Project Manager through Section Head.

**30. After receipt of pre-award audit,**

**negotiate compensation for all anticipated services**

Responsibility—Project Manager through Section Head.

- 31. Notify the Office of Financial Management and Budget and sponsoring agency, if final upset limit is substantially different from original estimate, to confirm funding is available**

Responsibility—Project Manager through Section Head.

- 32. Send final copy of negotiated price proposal to appropriate sponsoring agency**

Responsibility—Project Manager.

- 33. Prepare final draft agreement**

Responsibility—Project Manager through Section Head.

- 34. Send agreement to Deputy Attorney General for approval As-to-Form**

Responsibility—Project Manager through Section Head.

- 35. Send approved As-to-Form agreement to Consultant Control Coordinator for approval As-to-Process**

Responsibility—Project Manager through Section Head.

- 36. Send final approved draft agreements (four copies, five if jointly sponsored) to Consultant for signature**

Responsibility—Project Manager through Section Head.

- 37. Request execution by Department by sending signed agreements with agreement transfer form to office Director for signature, then to the Director of Administration for execution of the agreement on behalf of the De-**

**partment (consists of signature, Department seal and official date of execution) and return to originating Section**

Responsibility—Project Manager through Section Head, initiating Director to Director of Administration.

- 38. Send appropriate number of completely executed contracts (2 originals and 1 copy if State funded and 3 originals and 1 copy if jointly funded) with completed consultant information form to Office of Financial Management and Budget to obtain State and/or sponsoring agency funding approval**

Responsibility—Project Manager through Section Head to Office of Financial Management and Budget.

- 39. Issue Notice to Proceed**

Responsibility—Project Manager through Section Head.

- 40. Send executed copy of the agreement and FS-1 to appropriate sponsoring agency**

Responsibility—Office of Financial Management and Budget.

- 41. Distribute copies of the executed agreements (One copy to Consultant Control Coordinator and one copy to Audit and Regulatory Affairs.)**

Responsibility—Project Manager through Section Head.

- 42. Notify all interviewed consultants that agreement has been reached (Until this point all rated consultants still had a possible chance to be awarded the project.)**

Responsibility—Consultant Control Coordinator.

- 43. Prepare interim performance evaluations**

## DISTRIBUTION OF AGREEMENTS

Responsibility—Project Manager.

### Originals

**44. Prepare supplemental agreement(s) as required (See supplemental agreement process.)**

- one retained by Office of Management and Budget

Responsibility—Project Manager.

**45. Notify Office of Financial Management and Budget of completed agreements and/or separately funded portions**

- one sent to sponsoring agency by OFM&B
- one sent the Finance Section, the legally delegated depository of all agreements, by initiating Section

Responsibility—Project Manager through Section Head.

**46. Prepare final performance evaluation**

- one sent to consultant with Notice to Proceed, by initiating Section
- one retained by responsible Section

Responsibility—Project Manager

**47. Conduct final audit**

### Copies

Responsibility—Project Manager through Audit and Regulatory. The cost of audits is charged to the project. Funds for conducting the final audit must be requested by the Project Manager.

- one sent to Consultant Control Coordinator, by initiating Section
- one sent to Audit and Regulatory Section, by initiating Section
- one given to Section's Fiscal Officer

**48. Contract closeout**

Responsibility—Project Manager