



# Consultant Selection Review Guide

## ODOT Certification Compliance and Oversight Plan (C&O)

CERTIFIED LOCAL PUBLIC AGENCY	DATE OF REVIEW	FEDERAL PROJECT #  KEY #
PROJECT NAME		<input type="checkbox"/> LOCAL NON-NHS <input type="checkbox"/> LOCAL NHS <input type="checkbox"/> STATE HIGHWAY
CONTRACT AMOUNT		PROCUREMENT TYPE <input type="checkbox"/> DIRECT APPOINT <input type="checkbox"/> FORMAL/INFORMAL
INDIVIDUAL(S) CONDUCTING REVIEW		CERTIFICATION PROGRAM MANAGER REVIEW  NAME:  DATE:

ADDITIONAL C&O REVIEW GUIDE(S) USED FOR THIS REVIEW (LIST ALL)

### Instructions

1. Complete all questions in the C&O Review Guide. Do not modify questions. Additional ODOT Specific questions may be added at the bottom of the guide.
2. Directly verify all answers with source documentation.
3. Do not correct deficiencies and then adjust C&O answers. Answers must reflect status at time of review.
4. Provide clarifying comments for each answer.
5. Enter answers and comments from each C&O project review into the C&O SharePoint Site.
6. Ensure source documentation is retained by the Local Public Agency (LPA) and available as necessary for quality assurance reviews or audits.

#	QUESTIONS	CITATION	ANSWER	COMMENT
<b>DIRECT APPOINT (DA)</b>				
DA1	Did the consultant selection follow applicable local rules?  Are those rules in conformance with state and federal laws/regs?	23 CFR 172(7)(a)(2)  OAR 137-048-0200	<b>Yes</b> , the consultant selection followed the applicable local rules.  <b>Yes</b> , the local rules are in conformance with state and federal laws/regs.  <b>No</b> , the consultant selection did not follow the applicable local rules. (Comment required) <b>No</b> , the local rules are not in	

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			<p>conformance with state and federal laws/regs. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA2	Did the LPA stay within the dollar limit as provided in rules adopted by the LPA or \$100,000, whichever is less?	OAR 137-048-0130(1)	<p><b>Yes</b>, the LPA stayed within the dollar limit as provided in rules adopted by the LPA or \$100,000, whichever is less.</p> <p><b>No</b>, the LPA did not stay within the dollar limit as provided in rules adopted by the LPA or \$100,000, whichever is less. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA3	Did the final Statement of Work (SOW) and any amendments stay within the scope of the project as advertised?	ODOT's A&E SOW Writing Guide (or LPA's SOW procedures approved by ODOT)	<p><b>Yes</b>, the final Statement of Work (SOW) and any amendments stayed within the scope of the project as advertised</p> <p><b>No</b>, the final Statement of Work (SOW) and any amendments did not stay within the scope of the project as advertised. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

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DA4	Was a detailed independent estimate prepared with an appropriate breakdown of the work or labor hours, types or classifications of labor, other direct costs, and consultant's fee for the defined scope of work?	ODOT's A&E Requirements Guide for LPAs, Section 3.6 (or LPA's negotiation procedures that are approved by ODOT)	<p><b>Yes</b>, a detailed independent estimate was prepared for the defined scope of work.</p> <p><b>No</b>, a detailed independent estimate was not prepared for the defined scope of work. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA5	Were negotiations carried out in conformance with established requirements?	ODOT's A&E Requirements Guide for LPAs, Section 3.6 (or LPA's negotiation procedures that are approved by ODOT)	<p><b>Yes</b>, negotiations were carried out in conformance with established requirements.</p> <p><b>No</b>, negotiations were not carried out in conformance with established requirements. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA6	Were the negotiated costs or prices based upon ODOT's approved billing rate and overhead cost data?	48 CFR 31 ODOT's A&E Requirements Guide for LPAs, Section 3.5 Billing Rate and Overhead Cost Data.	<p><b>Yes</b>, the negotiated costs or prices were based upon ODOT's approved billing rate and overhead cost data.</p> <p><b>No</b>, the negotiated costs or prices were not based upon ODOT's approved billing rate and overhead cost data. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

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DA7	Did the LPA use the ODOT approved contract template for execution?	ODOT's A&E Requirements Guide for LPAs, Section 2	<p><b>Yes</b>, the LPA used the ODOT approved contract template for execution.</p> <p><b>No</b>, the LPA did not use the ODOT approved contract template for execution. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA8	Was the procurement, negotiation and contract administration documented as required?	ODOT's A&E Requirements Guide for LPAs, Section 4 (or LPA procedure approved by ODOT).	<p><b>Yes</b>, the procurement, negotiation and contract administration was documented as required.</p> <p><b>No</b>, the procurement, negotiation and contract administration was documented as required. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
DA9	Did the procurement officer in charge have a current public procurement certification (i.e., CPPB, CPPO, and OPBC from NIGP, NASPO or Oregon Dept. Administrative Services)?	ORS 279A	<p><b>Yes</b>, the procurement officer in charge has a current public procurement certification.</p> <p><b>No</b>, the procurement officer in charge does not have a current public procurement certification. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

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DA10	Was the consultant contract properly monitored, administered, and was a performance evaluation prepared upon completion?	23 CFR 172 ORS 279A ODOT's A&E Requirements Guide for LPAs, Section 3.7	<b>Yes</b> , the consultant contract was properly monitored and administered, and a performance evaluation was prepared upon completion.  <b>No</b> , the consultant contract was not properly monitored and administered, and a performance evaluation was not prepared upon completion. (Comment required)  <b>N/A</b> , requirement does not apply. (Comment required)  <b>Don't Know</b> , could not be verified at the time of review. (Comment required)	
<b>FORMAL/INFORMAL (F/I)</b>				
F/I1	Did the LPA complete the Needs Analysis and prepare the Statement of Work (SOW) according to established requirements?	OAR 137-048-0210 ODOT's A&E SOW Writing Guide (or LPA's SOW procedures approved by ODOT)	<b>Yes</b> , the Needs Analysis and Statement of Work (SOW) were prepared according to established requirements.  <b>No</b> , the Needs Analysis and Statement of Work (SOW) were prepared according to established requirements. (Comment required)  <b>N/A</b> , requirement does not apply. (Comment required)  <b>Don't Know</b> , could not be verified at the time of review. (Comment required)	
F/I2	Did the LPA obtain a DBE goal or no-goal assignment from ODOT's Office of Civil Rights?	ODOT's A&E Requirements Guide for LPAs, Section 3.4	<b>Yes</b> , the LPA obtained a DBE goal or no-goal assignment from ODOT's Office of Civil Rights.  <b>No</b> , the LPA did not obtain a DBE goal or no-goal assignment from ODOT's Office of Civil Rights. (Comment required)  <b>N/A</b> , requirement does not apply. (Comment required)  <b>Don't Know</b> , could not be verified at the time of review. (Comment required)	

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F/13	Did the LPA use the ODOT approved A&E RFP template?	ODOT's A&E Requirements Guide for LPAs, Section 2	<p><b>Yes</b>, the LPA used the ODOT approved A&amp;E RFP template.</p> <p><b>No</b>, the LPA did not use the ODOT approved A&amp;E RFP template. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/14	Did the LPA's procurement coordinator obtain reviews by appropriate stakeholders, legal review by LPA's attorney if over \$150,000 (or any lower threshold required by LPA), and any other reviews required by LPA?	ODOT's A&E Requirements Guide for LPAs, Section 3.2.2(2)	<p><b>Yes</b>, the LPA's procurement coordinator obtained all appropriate and required reviews.</p> <p><b>No</b>, the LPA's procurement coordinator did not obtain all appropriate and required reviews. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/15	Did the procurement officer in charge have a current public procurement certification (i.e., CPPB, CPPO, and OPBC from NIGP, NASPO or Oregon Dept. Administrative Services)?	ORS 279A	<p><b>Yes</b>, the procurement officer in charge has a current public procurement certification.</p> <p><b>No</b>, the procurement officer in charge does not have a current public procurement certification. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

#	QUESTIONS	CITATION	ANSWER	COMMENT
F/16	Was the RFP and sample contract publically advertised in newspaper and trade journals or published electronically on the Internet for not less than 14 calendar days?	OAR 137-048-0220(2)(a) OAR 137-048-0220(2)(b)	<p><b>Yes</b>, the RFP and sample contract was publically advertised in newspaper and trade journals or published electronically on the Internet for not less than 14 calendar days.</p> <p><b>No</b>, the RFP and sample contract was not publically advertised in newspaper and trade journals or published electronically on the Internet. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/17	<p>Were there any proposer questions, requests for change or protests (must be in writing)?</p> <p>Were there any addendums to the RFP?</p>	ODOT's A&E Requirements Guide for LPAs, Section 3.2.2(4)	<p><b>No</b>, there were not any proposer questions, requests for change or protests.</p> <p><b>No</b>, there were no addendums to the RFP.</p> <p><b>Yes</b>, there were proposer questions, requests for change or protests received in writing. (Comment required)</p> <p><b>Yes</b>, there were addendums to the RFP. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/18	Did a minimum of 3 evaluators complete an independent review and scoring of all responsive proposals received?	ODOT's A&E Requirements Guide for LPAs, Section 3.2.2(6)	<p><b>Yes</b>, a minimum of 3 evaluators completed an independent review and scoring of all responsive proposals received.</p> <p><b>No</b>, a minimum of 3 evaluators did not complete an independent review and scoring of all responsive proposals received. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p>	

#	QUESTIONS	CITATION	ANSWER	COMMENT
			<p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/I9	<p>Was the intent to award notice sent to the highest ranked firm?</p> <p>Was a "not selected" notice sent to all other proposers?</p>	<p>ODOT's A&amp;E Requirements Guide for LPAs, Section 3.2.2(7)</p>	<p><b>Yes</b>, the intent to award notice was sent to the highest ranked firm.</p> <p><b>Yes</b>, the "not selected" notice was sent to all other proposers.</p> <p><b>No</b>, the intent to award notice was not sent to the highest ranked firm.</p> <p><b>No</b>, the "not selected" notice was not sent to all other proposers.</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
F/I10	<p>Was a detailed independent estimate prepared with an appropriate breakdown of the work or labor hours, types or classifications of labor, other direct costs, and consultant's fee for the defined scope of work?</p> <p>Was a cost analysis performed?</p>	<p>48 CFR 31</p> <p>ODOT's A&amp;E Requirements Guide for LPAs, Sections 3.5 &amp; 3.6</p>	<p><b>Yes</b>, a detailed independent estimate was prepared for the defined scope of work.</p> <p><b>No</b>, a detailed independent estimate was not prepared for the defined scope of work. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	



#	QUESTIONS	CITATION	ANSWER	COMMENT
F/I11	Were all aspects of contract negotiations (billing rates, hours, direct expenses, profit and compensation method) documented in a "Record of Negotiations" as required?	ODOT's A&E Requirements Guide for LPAs, Sections 3.6 & 4	<p><b>Yes</b>, all aspects of contract negotiations were documented in a "Record of Negotiations" as required.</p> <p><b>No</b>, all aspects of contract negotiations were not documented in a "Record of Negotiations" as required. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
<b>CONTRACT ADMINISTRATION (CA)</b>				
CA1	Was the contract administrator the LPA's key point of contact with the consultant, other LPA staff, and other agencies as applicable for the project?	ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator was the LPA's key point of contact for the project.</p> <p><b>No</b>, the contract administrator was not the LPA's key point of contact for the project. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
CA2	Did the contract administrator ensure that the consultant fulfilled all requirements, terms and conditions of the contract and that all tasks and deliverables were completed and submitted within schedule requirements?	ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator ensured that the consultant fulfilled all requirements, terms and conditions of the contract.</p> <p><b>No</b>, the contract administrator did not ensure that the consultant fulfilled all requirements, terms and conditions of the contract. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

#	QUESTIONS	CITATION	ANSWER	COMMENT
CA3	Did the contract administrator review and approve all deliverables for conformance with contract requirements and standards for completion?	ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator reviewed and approved all deliverables for conformance with contract requirements and standards for completion.</p> <p><b>No</b>, the contract administrator did not review and approve all deliverables for conformance with contract requirements and standards for completion. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
CA4	Did the contract administrator draft and negotiate necessary, allowable contract amendments within the scope identified in the solicitation up to the total contract dollar amount allowed under the procurement method used?	ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator drafted and negotiated necessary, allowable contract amendments within the scope identified in the solicitation up to the total contract dollar amount allowed under the procurement method used.</p> <p><b>No</b>, the contract administrator did not draft and negotiate necessary, allowable contract amendments. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

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CA5	Did the contract administrator review invoiced consultant costs for consistency with Federal cost principles, terms of the contract, and status/progress of the work completed?	<p>48 CFR 31</p> <p>ODOT's A&amp;E Requirements Guide for LPAs, Section 3.7</p> <p>ODOT Invoice Requirements Guide</p>	<p><b>Yes</b>, the contract administrator reviewed invoiced consultant costs for consistency with Federal cost principles, terms of the contract, and status/progress of the work completed.</p> <p><b>No</b>, the contract administrator did not review invoiced consultant costs for consistency with Federal cost principles, terms of the contract, and status/progress of the work completed. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
CA6	Did the contract administrator track invoices received and payments made to ensure total amount paid against Contract does not exceed the total not-to-exceed amount of the Contract?	<p>ODOT's A&amp;E Requirements Guide for LPAs, Section 3.7</p>	<p><b>Yes</b>, the contract administrator tracked invoices received and payments made to ensure total amount paid against Contract does not exceed the total not-to-exceed amount of the Contract.</p> <p><b>No</b>, the contract administrator did not track invoices received and payments made to ensure total amount paid against Contract does not exceed the total not-to-exceed amount of the Contract. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

#	QUESTIONS	CITATION	ANSWER	COMMENT
CA7	Did the contract administrator prepare consultant performance evaluation(s) to document evaluation of all performance under the contract (prime and subcontracts) and provide copy to the prime consultant?	23 CFR 172.9  ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator prepared consultant performance evaluation(s) to document evaluation of all performance under the contract (prime and subcontracts) and provided copy to the prime consultant.</p> <p><b>No</b>, the contract administrator did not prepare consultant performance evaluation(s) to document evaluation of all performance under the contract (prime and subcontracts). (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	
CA8	Did the contract administrator complete contract closeout review and documentation?	ODOT's A&E Requirements Guide for LPAs, Section 3.7	<p><b>Yes</b>, the contract administrator completed contract closeout review and documentation.</p> <p><b>No</b>, the contract administrator did not complete contract closeout review and documentation. (Comment required)</p> <p><b>N/A</b>, requirement does not apply. (Comment required)</p> <p><b>Don't Know</b>, could not be verified at the time of review. (Comment required)</p>	

**ADDITIONAL QUESTIONS**

Insert Question