

A&E Negotiation Stage D Financial Review Fact Sheet

(Rev. 8-12-20)

This A&E Negotiation Stage D Financial Review Fact Sheet (Fact Sheet) is to aid the A&E contract prime consultant (Prime) in requesting an elevated review of an A&E contract financial document package item(s) that is preventing the Prime and the A&E Facilitator from reaching a final agreement

- immediately before the Comment Resolution Meeting (CRM)
- during the CRM, or
- immediately after the CRM

and the Prime has been notified by the A&E Facilitator of a possible impasse.

Fact Sheets received after the Final Complete Package submittal due date will be denied.

Since the Caltrans A&E contract negotiation process is support-based, a request for review may only be submitted if the Prime believes there is support documentation or information that supports overturning a financial issue evaluation decision.

Review Fact Sheets for the following reasons will be denied:

- Financial document issues that have not been discussed with the A&E Facilitator
- Subconsultant financial document issues, if a Fact Sheet is not submitted by the Prime
- Executed contracts or independent reviews not associated with a specific A&E unexecuted contract

DPAC's A&E Contracts Assistant Division Chief (ADC) shall consider all of the facts presented in the Fact Sheet, along with supporting documentation attachment(s) and issue a written decision within five (5) business days after receipt of the Fact Sheet, unless more time is granted by the ADC in relation to additional information requests.

Submit the Fact Sheet via email to:

To: DPAC.AE.FinancialSubmittal@dot.ca.gov

Subject: (A&E Contract Number) Elevated Financial Review Request

Cc: DPAC A&E Contracts Assistant Division Chief
A&E Analyst noted in the Request for Qualifications
A&E Contract Facilitator
A&E Contract Manager

Note: Only the next page is required to be submitted as the Fact Sheet to be reviewed.

A&E Negotiation Stage D Financial Review Fact Sheet

(Rev. 8-12-20)

(Provide information using the standard Fact Sheet format below. Limit the Fact Sheet to 1-2 pages using a minimum font size of 11.)

Contract Type: On-call Construction Inspection Services

Prime Company and Contact Information:

ABC, Incorporated

Joe Smith, Contract Manager: office (916)123-4567, cell (916)123-8910

Key Due Dates

Statement of Qualifications

January 2, 2020

Readily Available Documents (RADs)

January 16, 2020

Remaining Financial Documents (RFDs)

January 24, 2020

Prime's Response to A&E with Audit Review Findings

February 15, 2020, or

Comment Resolution Meeting Date

February 20, 2020

Final Complete Package Submittal

February 21, 2020

(Provide the following information for each financial issue.)

Prime (or Sub) Company Name:

Document in Question/Issue:

Issue Description:

Caltrans Review Comments:

Supporting Document(s) Attached: Yes or No

EXAMPLES

Prime Company Name: ABC, Incorporated

Document in Question/Issue: Indirect Cost Rate

Issue Description: The complete RADs financial package was submitted on the due date with the existing ICR report, however the most recent ICR report was just obtained but will not be accepted by Caltrans. ABC, Inc. requests the most recent ICR of XXX% be considered as part of the RADs submittal.

Caltrans Review Comments: Existing 2018 ICR was accepted as part of the RADs package submitted and the most recent ICR is not valid because...

Supporting Document(s) Attached: Yes

Sub Company Name: XYZ, Incorporated

Document in Question/Issue: Safe Harbor Rate

Issue Description: Safe Harbor Rate application was denied because the company has competed in past A&E contracts without the SHR. XYZ requests that this decision be re-evaluated for approval.

A&E Negotiation Stage D Financial Review Fact Sheet

(Rev. 8-12-20)

Caltrans Review Comments: SHR for XYZ was denied because XYZ has had an indirect cost rate in past contracts.

Supporting Document(s) Attached: No

DRAFT