

Consultant Management and Oversight

Iowa Department of Transportation

May 26, 2018

Limited in-house staffing resources requires the Department to use consultants in order to accomplish our mission in an effective and timely way. Consequently, effective management and oversight of consultants have become critical functions for Department staff. There are many specific tasks Department staff must perform to carry out these functions.

The purpose of this document is not to list all the applicable tasks, but rather define the key outcomes we expect from good management and oversight of consultants who perform work for the Department. These outcomes and the parties responsible for ensuring these outcomes are described in the table below. The outcomes are stated as a matter of fact – that is, a description of what should happen if we are providing good consultant management and oversight.

Key Outcomes for Consultant Oversight and Management

Outcome	Responsible Party*
Contracts are reviewed and negotiated by appropriate staff to ensure:	
<ul style="list-style-type: none"> • Pre-audits and conducted when appropriate and any findings are promptly addressed 	PMO
<ul style="list-style-type: none"> • Type of contract is appropriate 	PMO
<ul style="list-style-type: none"> • Level of staff assigned is appropriate for the work complexity and type 	Functional offices, with assistance from the PMO
<ul style="list-style-type: none"> • Hours proposed are reasonable 	Functional offices, with assistance from the PMO
<ul style="list-style-type: none"> • Overall contract cost is reasonable 	Functional offices, with assistance from the PMO
<ul style="list-style-type: none"> • Fixed fee is appropriate 	PMO (except for Bridge contracts)
<ul style="list-style-type: none"> • Scope is appropriate (not too much, not too little) 	Functional office and PMO
<ul style="list-style-type: none"> • Schedule of work proposed meets expectations for on-time project delivery 	Functional office (unless specified otherwise in the project management plan)
<ul style="list-style-type: none"> • Design criteria, standards, and technical specifications for the work are sufficiently described to guide the development of the contract deliverables 	Functional offices
<ul style="list-style-type: none"> • Deliverables are clearly stated and defined 	Functional office (unless specified otherwise in the project management plan)
Contracts are administered fairly, efficiently, and transparently to ensure:	
<ul style="list-style-type: none"> • Invoices are reviewed for contract compliance, math errors, general accounting issues (e.g. overhead rates, fixed fee billed, billing rates, etc.) 	PMO
<ul style="list-style-type: none"> • Invoices are reviewed to ensure the staff level and hours billed are appropriate for the work performed and are on track for the completion of intermediate and final contract dates 	Functional office
<ul style="list-style-type: none"> • Invoices are processed and paid on time 	PMO
<ul style="list-style-type: none"> • Final audits are requested when appropriate and any findings are promptly addressed 	PMO, with assistance from the Functional office

Outcome	Responsible Party*
<ul style="list-style-type: none"> Meaningful consultant evaluations are completed at appropriate intervals during or shortly after conclusion of the consultant’s work 	PMO and Functional office
<p>The schedule of the consultant’s work is effectively and proactively monitored to ensure:</p>	
<ul style="list-style-type: none"> The consultant’s work is delivered on time 	PMO for major projects, District Project Manager for other projects, with assistance from the Functional office
<ul style="list-style-type: none"> Schedule changes are communicated to the consultant. 	PMO for major projects, District Project Manager for other projects
<ul style="list-style-type: none"> When schedule changes are made the contract and PSS is revised as needed. 	PMO
<ul style="list-style-type: none"> Contracts for subsequent phases of work are initiated on time. 	Functional office, with assistance from the PMO
<ul style="list-style-type: none"> The level of effort being applied by consultant is proactively monitored to ensure it is appropriate. 	Functional office, with assistance from the PMO
<ul style="list-style-type: none"> When appropriate, the consultant is requested to adjust their level of effort to meet project goals and schedule. 	Functional office, with assistance from the PMO
<p>Consultant progress and deliverables are reviewed by appropriate subject matter experts using a risk-based approach to ensure, to the maximum extent practicable, that the deliverables:</p>	
<ul style="list-style-type: none"> Are consistent with the contract scope and technical requirements 	Functional office
<ul style="list-style-type: none"> Comply with Iowa DOT policies and procedures 	Functional office
<ul style="list-style-type: none"> Meet DOT standards for quality and consistency so that errors, omissions and discrepancies are minimized 	Functional office
<ul style="list-style-type: none"> Are properly coordinated between other partners in the development process, including providing timely responses to consultant requests for information or guidance 	Functional office, with assistance from the Project Manager, District and other offices as needed
<ul style="list-style-type: none"> Require minimal changes after project is turned-in to the Office of Contracts 	Functional office
<ul style="list-style-type: none"> Are bidable and constructible (for those that result in construction) 	Functional office, with assistance from Contracts and Construction & materials
<p>Consultants are engaged appropriately during the construction phase of the project to ensure:</p>	
<ul style="list-style-type: none"> Construction issues are resolved in conjunction with a responsible subject matter expert to verify that they are resolved in the best interests of the Iowa DOT. 	Functional office or PMO
<ul style="list-style-type: none"> Appropriate claims are made when consultant work contains errors or omissions. 	PMO, with assistance from the Functional office
<ul style="list-style-type: none"> When shop drawings or other reviews are included in the consultant’s scope, coordinate the reviews and ensure the consultant completes the reviews in a timely manner. 	Functional office

* When one office is listed, that office has sole responsibility. When one office is listed, with assistance from another, the first office has primary responsibility and the second office listed has secondary responsibility. Otherwise, the offices listed have equal responsibility.

The “Functional office” is the office that has subject matter expertise for the type of the consultant services being provided. See the table below for specific designations.

Functional Office Designations

Type of Consultant Services	Functional Office
Major roadway design	Design
Minor roadway design (3R, MP, & culvert projects)	District Design
Bridge design	Bridges and Structures
Planning or environmental studies	Location and Environment
Safety studies or programs	Traffic and Safety
Traffic Operations Support	Traffic Operations
Construction Inspection / Administration	District Construction
Property Survey Plats	District Survey
Geotechnical	Design
ROW Acquisition Services	Right of Way
Major Bridge Inspection (NBIS)	Bridges and Structures