

**Professional Services and Consultant Contracts  
Risk Analysis Work Sheet  
Audits 02-16 and 02-27**

<u>Risk</u>	<u>Control</u>	<u>Control In Place</u>	<u>Assessment</u>
The professional services provided are not in accordance with the contract.	Department personnel authorizing payment are responsible for ensuring services are provided for in accordance with the contract.	Yes	Medium
The services for the project are not within the specific professional services listed in Florida Statue 287.055.	Consultants are pre-qualified by areas of expertise.	Yes	Low
Consultants are not qualified to perform the work they are retained for.	Consultants are reviewed at the department level for appropriate qualifications and the selections are forwarded to the Consultants Competitive and Selection Committee.	Yes	Low
Consultants are not certified by the State of Florida for their respective profession.	A copy of the consultant's professional registration number or other proof of the consultant's eligibility for selection is required as part of the qualification package.	Yes	Low
Services provided the consultants on a work order basis exceed \$100,000.	The department must provide the negotiated cost of the project to the program administrator in order to receive a work order number to encumber funds. If the project cost exceeds the \$100,000 limit, the work order number is not issued.	Yes	Low
A consultant retained for a CCNA work order project was not listed on the City Council resolution for approved CCNA firms.	The program administrator sends a copy of the approved firms to each department. Prior to issuing the work order number the consultant list is checked to ensure firm is listed.	Yes	Low
Projects are assigned to a few "favored" firms.	The program administrator tracks the work orders on a spread sheet by firm. When it appears one firm is getting a bulk of the work, he will instruct the department to use another qualified firm.	Yes	Low
W/MBE firms are not used for CCNA projects.	The program administrator reviews the consultants selected by the departments, if a certified W/MBE firm is available the department is instructed to retain the minority firm.	Yes	Low
Minutes are not kept of the committee's evaluation of the consultant presentations.	Minutes are maintained of the selection proceedings. However, the minutes are not detailed.	Yes	Low

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The criteria for assigning a score to a firm for certification and selection as a work order consultant is not defined.	The criteria for certification and selection is defined in Florida Statute 287.055. However, there is no documentation to support that this criteria was considered when scoring the work order consultants. Note that the Statute does not state that a scoring system be used. However, because the City is using a scored based methodology, the criteria for a given score should be defined and documented.	No	Medium - There are very few consultants that do not make the work order consultant list. Therefore, the lack of a scoring methodology would probably only be questioned if a firm did not make the list and disputed such.
The criteria for assigning a ranking to a firm after presentations are given to the Consultants' Competitive Selection Committee are not defined and documented.	The criteria for selection is defined in Florida Statute 287.055. However, there is no documentation to support that this criteria was considered when ranking the firms for selection.	No	Medium- The lack of documenting how a firm is selected could be questioned if a firm did not get selected.
The list of work order consultants given to departments does not match the list approved by City Council.	A copy of the City Council resolution with the appended list is given to the Purchasing Department. The Purchasing Department ensures the vendor is on the list prior to releasing the purchase order.	Yes	Low