

<b>SELECTING FIRMS FROM ESTABLISHED LISTS</b>	<b>PROCEDURE</b>	
	<b>Document Number:</b>	FR-CM-PR-1000
	<b>Version Number:</b>	01

**1.0 Purpose:**

To assure that contracts awarded to firms selected from lists that have been established by formal Request for Proposals (RFP) processes are selected using an approved procedure.

**2.0 Scope:**

This Procedure applies to all VTA work units, departments, divisions, and work sites.

**3.0 Responsibilities:**

It is the responsibility of the Purchasing & Materials Manager to draft procedures to assure organizational understanding and compliance with policy and this procedure.

**4.0 Procedure:**

- 4.1 From time to time, VTA establishes lists of firms to provide various types of needed services. The firms on these lists are selected using a formal Request for Proposals (RFP) process. These lists are established with the intent that when appropriate work is identified, firms may be selected from one of those lists without the need for an additional formal RFP selection process.
- 4.2 The firms selected on lists referred to in 4.1 above were selected based on overall competency (and in appropriate cases, price) however they were not selected based on their availability, competency and qualifications for specific work assignments. For that reason, it is deemed prudent to have an objective procedure for selecting firms from such established lists.
- 4.3 Unless exempted from this procedure by later sections or by approval of the Purchasing and Materials Manager, all selections of firms from these established lists having an estimated contract value greater than \$100,000, will adhere to the requirements of this procedure.
- 4.4 The Project Manager (or other person responsible for overseeing the proposed work) will have the responsibility for the development of a Scope of Work (SOW). The SOW will be in sufficient detail that firms on the established list will be able to clearly understand the work to be done. The SOW must include all work envisioned or at a minimum indicate that the scope is initial in nature and additional follow-on work is anticipated. An example would be that the SOW is for preliminary engineering only but that final engineering work may follow.
- 4.5 The Project Manager will submit the SOW to a sufficient number of firms on the established list and request proposals for the completion of the work outlined in the SOW. The firms responding should be directed to assure that their proposals include

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information that will allow the Project Manager to evaluate the proposal using the criteria listed in 4.6 below.

It will not be necessary or even preferable to solicit proposals from all firms on the established list. Proposals should be solicited only from those firms possessing the specific skills required by the SOW.

- 4.6 The Project Manager will evaluate the proposals received on at least the following criteria:
- a. The quality/experience of the proposed staffing.
  - b. The demonstrated understanding of the project requirements.
  - c. The number of hours proposed to perform the work (work plan).
  - d. Availability of the proposed team to perform the work within VTA established time lines.
  - e. Proposed cost unless such evaluation criterion is prohibited by the Brooks Act or other such State level limitations.
  - f. If applicable, a local firm preference.
  - g. When appropriate compliance with SBE/DBE goals.
- 4.7 Upon completion of the evaluation, the Project Manager shall forward to the Contracts and Materials Management Department (CAMM):
- a. A completed Contract Request form
  - b. A completed Independent Cost Estimate form (prepared and dated prior to the solicitation of proposals).
  - c. A written Selection Justification for the selection based on the evaluation criteria listed in 4.6 above including a copy of all proposals received.
  - d. A Record of Negotiation reconciling any differences between the Independent Cost Estimate and the final negotiated agreement.

It should be noted that VTA is not required to accept the lowest priced proposal. The selection should be made based on the proposal that is deemed to be the most advantageous including price where price is a criterion.

- 4.8 The written Selection Justification must be in sufficient detail to clearly delineate the reasons for the selection. As an example, if the proposer offering the lowest price (in those cases when price can be considered) is not selected, the justification for the

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selection should include the reasoning why other evaluation criteria were deemed to be of greater importance.

4.9 As indicated in Section 4.3, this selection procedure shall be used for contract requests with values estimated to be \$100,000 or greater. Contracts executed for a value less than \$100,000 which have not been selected using the process outlined in this procedure shall not be subsequently amended to exceed that value unless:

- a. The value of the requested amendment does not result in a total contract value exceeding \$345,000 and is the final amendment to the contract, or
- b. The Purchasing and Materials Manager approves such a request, or
- c. The selection process outlined in this procedure is employed

4.10 Upon receipt of the properly executed documents listed in 4.7 above CAMM will process the request in accordance with existing policies.

4.11 Exceptions to the Procedure:  
N/A

## 5.0 Definitions:

5.1 **Request for Proposals:** The Request for Proposals (RFP) process is an approved method generally used for the procurement of services.

5.2 **Policy:** A high-level written statement of philosophy issued by the VTA Board of Directors or General Manager used in governing the management of VTA.

5.3 **Procedure:** The documented practice(s) defining the who, what, and when of departmental, divisional, or VTA activities. It defines the step-by-step processes in a sequence of operations to accomplish a task and may flow through several functional work groups.

## 6.0 Records:

CAMM will have the responsibility for the maintenance of Contract Requests, Task Order Requests, Independent Cost Estimates and Selection Justifications according to approved retention policies.

## 7.0 Appendices

N/A

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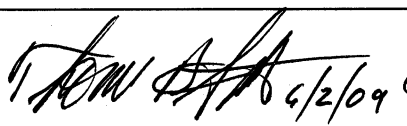
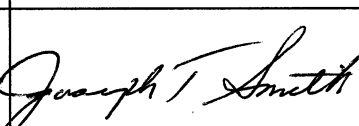
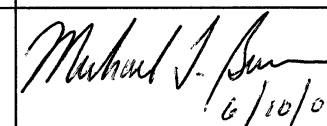
**8.0 Training Requirements:**

The Contracts and Materials Management Department will have the responsibility for training VTA staff for compliance with this Procedure.

**9.0 Summary of Changes:**

Initial release of this Procedure.

**10.0 Approval Information:**

<i>Prepared by</i>	<i>Reviewed by</i>	<i>Approved by</i>
 Thomas B. Smith Contracts and Materials Manager	 Joseph T. Smith Chief Financial Officer	 Michael T. Burns General Manager

<b>Original Date:</b>	<b>Revision Date:</b>	<b>Page 4 of 4</b>
5/19/2009	N/A	