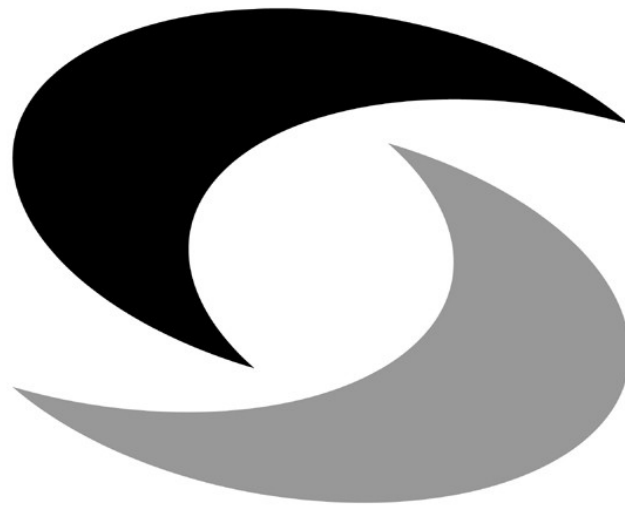


PROFESSIONAL SERVICES

City of



Salina

SELECTION GUIDELINES

Revised December 2010
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SECTION I: PURPOSE

These guidelines are established to provide assistance to City officials in the selection of and contracting with professional service providers. The primary purpose is to select service providers who have the necessary qualifications and experience to provide the requested professional services at the desired service level. Although cost is an important factor, qualifications and satisfaction of past services provided are considered to be primary factors for professional services selection.

SECTION II: APPLICATION

These guidelines apply to the procurement of all professional services as defined herein unless otherwise prescribed by the governing body; local, state or national law; or other legal obligation.

SECTION III: PROFESSIONAL SERVICES DEFINED

Professional services can be defined as an occupation or business that involves specialized education, knowledge, labor, judgment, and skill, and is predominantly mental or intellectual (as opposed to physical or manual) in nature.

Professional services provided to municipalities include, but are not limited to the following disciplines: appraisal services; architectural and engineering services; miscellaneous consulting services; surveying services; financial, accounting and auditing services; legal services; insurance services; photographic, artistic and graphic design services; marketing services; testing and inspection services; specialized technological services; medical services; and all other services of a professional nature.

SECTION IV: PROFESSIONAL SERVICES SELECTION METHODS, APPLICABILITY AND PROCESS GUIDELINES

Professional services may be selected by the following methods.

A. REQUEST FOR PROPOSAL (RFP) METHOD

- 1) Applicability:
 - For projects with a defined scope of service and timeline
 - For basic, on-going service needs over an extended period of time
- 2) Process
 - a. Create and send an RFP document which is to include, but not be limited to:
 1. Instructions to firms specifying when, to whom, and where proposals are to be sent

2. A complete technical description of the project scope or work task
 3. An objective or statement of what is expected to be accomplished
 4. The extent to which the City's staff will be available and assist firm with the project
 5. Firm or estimated time schedule, including dates for selection process and timetables for commencement of performance, for submission of progress reports, and for completion of task
 6. Selection criteria
 7. Request for project team qualifications and related project references
 8. Request for past project samples (if applicable)
 9. Standard contract terms and conditions (may include standard template), including affirmative action plan requirement, if applicable
 10. Compensation and related protocol, including that for additional work authorized
 11. Description of completed feasibility studies, surveys, or other preliminary information considered relevant to the project
- b. Review submitted proposals (formal scoring sheet encouraged) to determine finalists for interview
 - c. Notify and interview finalists (formal scoring sheet required)
 - d. Check project references of finalists or selected firm
 - e. Determine top-ranked firm and finalize agreement terms
 - f. If the City and firm fail to obtain necessary agreement, then communicate to highest rank firm the intent to cease negotiations and commence negotiations with next highest ranked firm.
 - g. Notify firms not selected of their status
 - h. Obtain City Manager and applicable City Commission agreement authorization
 - i. Commence and complete project
 - j. At project completion, create performance review summary for project file
- 3) Selection Criteria
- a. Experience and performance on similar past projects of other clients
 - b. Performance on past City projects (if applicable) and familiarity with project characteristics
 - c. Qualifications of person(s) proposed to work on the project (require professional resumes)
 - d. Ability to meet the work schedule

- e. Availability of qualified staff
- f. Ability to stay within budget
- g. Overall project approach
- h. Samples of work representing product quality
- i. No conflicts of interest
- j. Cost of services unless prohibited by statute or professional regulations

B. REQUEST FOR QUALIFICATIONS (RFQ) METHOD

- 1) Applicability:
 - For projects in which a defined scope of services and timeframe cannot be clearly defined based on the complexity or type of work to be provided
 - For the creation and maintenance of pre-qualification selection lists
- 2) Process
 - a. Create and send an RFQ document which is to include, but not be limited to:
 - 1. Instructions to firms specifying when, to whom, and where qualifications statements are to be sent
 - 2. A summary description of preliminary scope of work or project task, including project budget
 - 3. An objective or statement of what is expected to be accomplished
 - 4. Firm or estimated time schedule for project and selection process
 - 5. Selection criteria
 - 6. Request for project team qualifications and related project references
 - 7. Request for past project samples (if applicable)
 - 8. Description of completed feasibility studies, surveys, or other preliminary information considered relevant to the project
 - b. Review submitted qualifications statements (formal scoring sheet encouraged) to determine finalists for interview
 - c. Interview finalists (formal scoring sheet required)
 - d. Check project references of finalists or selected firm
 - e. Determine top-ranked firm and notify them of status
 - f. If the City and firm fail to obtain necessary agreement, then communicate to highest rank firm the intent to cease negotiations and commence negotiations with next highest ranked firm.
 - g. Notify firms not selected of their status
 - h. Negotiate scope of the services and related agreement (if agreement terms cannot be reached, may commence negotiation with next highest rank firm)

- i. Negotiate compensation and related protocol, including that for additional work authorized
 - j. Obtain City Manager and applicable City Commission agreement authorization
 - k. Commence and complete project
 - l. At project completion, create performance review summary for project file
- 3) Selection Criteria
- a. Experience and performance on similar past projects of other clients
 - b. Performance on past City projects and familiarity with project characteristics (if applicable)
 - c. Qualifications of person(s) proposed to work on the project (require professional resumes)
 - d. Ability to meet the work schedule
 - e. Availability of qualified staff
 - f. Ability to stay within budget
 - g. Overall project approach
 - h. Samples of work representing product quality
 - i. No conflicts of interest

C. PRE-QUALIFICATION LIST METHOD

- 1) Applicability:
- For projects with a defined scope of service and timeline
 - For projects in which a defined scope of services and timeframe cannot be clearly defined based on the complexity or type of work to be provided
 - For basic, on-going service needs over an extended period of time
 - Limited to projects less than \$500,000 in value or services agreements of \$50,000 or less
 - Separate pre-qualification lists are encouraged for distinct service disciplines
 - Service firms may be included on more than one prequalification list
 - Service firms may be added at any time
 - Service firms may be deleted for the duration of the prequalification cycle for failure/inability to meet contractual obligations, the established quality standards, agreed upon contractual timelines, agreed upon contractual budget, or for any other demonstrated reason the City feels the respective firm can no longer perform at the desired standard.
 - The City reserves the right to use any service firm included in the prequalification list as frequently or infrequently as necessary, based on prior work quality, cost, availability, expertise and demonstrated competency needed for the respective project.

2) Process

- a. Create and send a Request for Interest (RFI) document which is to include, but not be limited to:
 1. Instructions to firms specifying when, to whom, and where information is to be sent
 2. A listing of the professional service disciplines and specific types of work included for pre-qualification selection
 4. Estimated time schedule for selection process
 5. Selection criteria
 6. Request from firm qualifications and related project references
 7. Request for past project samples (if applicable)
 8. An overview of the method used to select firms from the pre-qualification list
 9. An overview of process to add firms at a later date or how firms are to be removed from list
 10. Standard contract terms and conditions (may include standard template), including affirmative action plan requirement, if applicable
 11. Request for compensation structure and related protocol, including that for additional work authorized
- b. Review submitted qualifications statement (formal scoring sheet encouraged) to determine qualifications for interview
- c. Interview firms meeting minimum qualifications (formal scoring sheet required)
- d. Check project references of selected firms
- e. Determine final pre-qualification status and notify firm of status
- f. Notify firms not selected of their status
- g. Negotiate preliminary service agreement terms (if agreement terms cannot be reached, may remove firm from pre-qualification list)
- h. Negotiate compensation structure and related protocol, including that for additional work authorized
- i. Obtain City Manager and applicable City Commission agreement authorization when applicable for using pre-qualified firm
- j. Commence and complete projects as needed
- k. At project completion, create performance review summary for project file

3) Selection Criteria

- a. Experience and performance on similar past projects of other clients
- b. Performance on past City projects and familiarity with project characteristics (if applicable)
- c. Qualifications of person(s) proposed to work on the project (require professional resumes)

- d. Ability to meet the work schedule
- e. Availability of qualified staff
- f. Ability to stay within budget
- g. Overall project approach
- h. Samples of work representing product quality
- i. No conflicts of interest
- j. Cost of services (for use only and not pre-qualification status) unless prohibited by statute or professional regulations

D. SINGLE SOURCE SELECTION METHOD

1) Applicability:

- When a clear lack of available service firms exists for the required discipline or project
- For emergency situations, when project or service time constraints are such that a formal selection process would clearly not meet service delivery timeframe needs
- When a specific project requires a level of expertise that is otherwise not available
- For a continuation of an existing project or continuity of similar services in which past performance is considered acceptable and knowledge of the specific work has been demonstrated

2) Process

- a. Identify firm that is capable of providing the needed services at the required service level (staff may interview firm if necessary)
- b. Negotiate scope of the services and related agreement
- c. Negotiate compensation and related protocol, including that for additional work authorized
- d. Obtain City Manager and applicable City Commission agreement authorization
- e. Commence and complete project
- f. At project completion, create performance review summary for project file

3) Selection Criteria

- a. Experience and performance on similar past projects of other clients
- b. Performance on past City projects and familiarity with project characteristics (if applicable)
- c. Qualifications of person(s) proposed to work on the project (require professional resumes)
- d. Ability to meet the work schedule
- e. Availability of qualified staff
- f. Ability to stay within budget
- g. Overall project approach

- h. Samples of work representing product quality
- i. No conflicts of interest
- j. Cost of services unless prohibited by statute or professional regulations

SECTION V: PROFESSIONAL SERVICE AGREEMENTS, FEES AND MISCELLANEOUS PROVISIONS

A. AGREEMENTS

- 1) All professional services shall be procured using a formal written agreement to ensure all obligations are clearly stated. All professional service agreements shall be reviewed by the City's legal counsel for form.
- 2) All agreements shall include the City's standard insurance requirements and indemnification language.
- 3) Once professional service proposals have been received and opened by the City, the City has the right to negotiate or to propose amendments or additions to their proposals as may be deemed in the City's best interest.
- 4) Agreements may be for a single service or for the continual provision of services over a prescribed timeframe. Multi-year agreements may be used, but shall be limited to no more than three (3) years.
- 5) Agreements may include incremental extension provisions based on attaining prescribed service satisfaction levels. All agreement extensions shall include predetermined service costs.

B. FEES

- 1) Fees may be hourly for ongoing or routine work, or for work which is time sensitive and a total project cost cannot be determined based on a lack of clarity regarding the scope of services to be provided and total time needed to complete the task.
- 2) Fees shall be in a lump sum or cost plus fixed fee format for any work in which scope of service clarity exists and the number of hours needed to complete the project is assumable. Cost plus fixed fee format is most suitable for engineering agreements.
- 3) Where applicable, staff shall utilize associational indexes, fee curves, project percentage comparisons or any other reliable estimation tool to ensure fees are considered fair and reasonable for the work to be performed.

C. MISCELLANEOUS PROVISIONS

- 1) Choosing the Proper Selection Method. While these guidelines purposely provide necessary flexibility for choosing professional service selection methods, the methods chosen are to be matched with the specific service scenario and must be in accordance with the

purpose of these guidelines. Care must be given to ensure fairness and professionalism is demonstrated throughout the selection process at all times. Consultation with the City Manager's Office is strongly encouraged when choosing a selection method, and is required prior to using either the Single Source or Prequalification List selection methods.

- 2) Use of Scoring Sheets. Scoring sheets are intended to be helpful guides for differentiating professional service firms based on prescribed grading factors. They are not intended to be used as a rigid tool for final selection when scoring of competing firms is considered to be very close.
- 3) Public Disclosure. All proposals and related scoring are considered to be open for public review upon completion of the selection process.
- 4) Public Input Emphasis. Public input is highly encouraged both in the early and final stages of capital improvement program projects, community art and design projects, and any other projects of significant and direct public impact. For such projects:
 - o Input shall be obtained from project area stakeholders regarding, but not limited to: initial problem identification, review of preliminary project design concepts, and review of project design concepts to be recommended as final by staff for purposes of governing body action.
 - o Staff shall make every effort to ensure that all related stakeholders are contacted regarding all public input opportunities.
 - o Staff shall keep a log of participating stakeholders and inventory public input comments.
 - o Staff shall keep stakeholders informed regarding the utilization of their input into the project, as well as to upcoming committee or governing body action related to the project.
- 5) Post-Project Quality Review Process. Not longer than thirty (30) days following completion of a capital improvement project, a preliminary, post-project quality review is to be completed for the primary professional service provider. This review is for the primary professional service provider only. It is not necessary to complete a separate form for subcontractors as their work quality is to be reflected within the review of the primary provider. A sample review form template is attached. Careful thought shall be applied to both the performance ratings and related narrative. It is highly recommended that any questions regarding performance review content that could in any way have legal ramifications be reviewed by the City's legal counsel before proceeding further.
 - o The preliminary review is to be forwarded (with an attached letter addressing the purpose) to the respective professional service provider. The letter shall provide the parties with fifteen (15) days to respond in writing to the preliminary review.

- If a disagreement exists between the City and the professional services provider regarding the ratings or related narrative, it is highly advisable to fully discuss the issues with the aggrieved party(ies) and re-review the basis for the ratings and narrative prior to considering the review as final.
- Once the preliminary review is considered “final”, a copy is to be provided to the professional services provider and a copy shall be included in the official project file.
- Each department shall also create a summary log of post-project quality reviews. The purpose of the log is to provide summary information regarding the professional services ratings for each project in a simple, easy-to-scan format that can be used as a quick reference to the detailed review prior to selecting a professional service provider for future projects. At a minimum, the summary log shall include: service type (i.e., professional service), date, responsible department, name of service provider, project number, abbreviated project description and overall rating score. Abbreviated notes are also acceptable. It is recommended that this log be electronically linked to the detailed review sheets.

Exhibit A	Professional Services Qualifications Review Template - Statements
Exhibit B	Professional Services Qualifications Review Template - Interview
Exhibit C	Professional Services Post Project Review Template
Exhibit D	Post Project Review Summary Log Template



PROFESSIONAL SERVICES QUALIFICATIONS REVIEW FORM – STATEMENTS

Consulting Firm: _____

Project Description: _____

Categories	Rating		Weight	=	Score
1. Related project experience	_____	x	20	=	_____
2. Grasp of the project technical requirements • based on local investigation	_____	x	20	=	_____
3. Firm's ability and capacity to perform the work • based on past experience & key personnel	_____	x	30	=	_____
4. Management approach for project	_____	x	10	=	_____
5. Time schedule planned for this project • Availability of firm	_____	x	10	=	_____
6. Quality/completeness of qualifications statement • Was all information requested provided?	_____	x	10	=	_____
Grand Total					_____

Instructions for the Selection Committee/Board:

Rating: During the interview, rate each firm on a scale of 1 to 5, with 5 being the highest, in each of the categories. Enter the rating numbers on the lines provided opposite each category.

Totals: At the completion of the interview, multiply the rating by the weight in each category and enter the totals on the lines provided. Add all totals to establish a grand total.

GROUP INTERVIEW EVALUATION FORM

For use by the chairperson to compile all scores of firms participating in the interview process

Note: Enter the grand total for each firm as recorded by each interviewer on the interview score sheet.

Combined Group Totals

	Firm A	Firm B	Firm C	Firm D	Firm E
Interviewer 1					
Interviewer 2					
Interviewer 3					
Interviewer 4					
Interviewer 5					
Grand Total					



PROFESSIONAL SERVICES QUALIFICATIONS REVIEW FORM - INTERVIEW

Consulting Firm: _____

Project Description: _____

Categories	Rating		Weight	=	Score
1. Related project experience	_____	x	20	=	_____
2. Grasp of the project technical requirements • based on local investigation	_____	x	20	=	_____
3. Firm's ability and capacity to perform the work • based on past experience & key personnel	_____	x	20	=	_____
4. Management approach for project	_____	x	10	=	_____
5. Time schedule planned for this project • availability of firm	_____	x	10	=	_____
6. Quality/completeness of qualifications statement • was all information requested provided?	_____	x	10	=	_____
7. Quality of presentation • preparation, clarity, attention to detail	_____	x	10	=	_____
Grand Total					_____

Instructions for the Selection Committee/Board:

Rating: During the interview, rate each firm on a scale of 1 to 5, with 5 being the highest, in each of the categories. Enter the rating numbers on the lines provided opposite each category.

Totals: At the completion of the interview, multiply the rating by the weight in each category and enter the totals on the lines provided. Add all totals to establish a grand total.

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	Firm A	Firm B	Firm C	Firm D	Firm E
Interviewer 1					
Interviewer 2					
Interviewer 3					
Interviewer 4					
Interviewer 5					
Grand Total					

POST PROJECT REVIEW LOG TEMPLATE

Service Type PS or GC	Project #	Date	Dept. (PW, UT, etc.)	Service Provider	Brief Project Description	OVERALL RATINGS					Comments
						#1	#2	#3	#4	#5	

Overall Ratings
 #1 = Professionalism/Communication
 #2 = Mgt. of Scope
 #3 = Mgt. of Timeline
 #4 = Mgt. of Cost
 #5 = Quality of Work

General Contractor Post-Project Review Rating Sheet



Project Name: _____

Type of Work: _____

Contractor: _____

Start Date: _____ Finish Date: _____

Project Overview

	Grade*
1 Understanding of Work Performed	<input type="text"/>
2 Pre-Construction Submittals	<input type="text"/>
3 Compliance with Contract	<input type="text"/>
4 Meeting Project Schedule	<input type="text"/>
5 Quality of Contractor's Work	<input type="text"/>
6 Quality of Subcontractor's Work	<input type="text"/>
7 Cleanup / Punch List in Timely Manor	<input type="text"/>
8 Final Overview of Project	<input type="text"/>

Safety Overview

	Grade*
21 Safe Working Environment	<input type="text"/>
22 Site Housekeeping and Cleanliness	<input type="text"/>
23 Safety Towards Public	<input type="text"/>
24 Equipment Safely Stored from Public	<input type="text"/>
25 Used Recommended Safety Procedures	<input type="text"/>
26 Used Traffic Control Recommendations	<input type="text"/>

Contractor's Business Behavior

27 Professionalism/Communication	<input type="text"/>
28 Management of Scope	<input type="text"/>
29 Management of Timeline	<input type="text"/>
30 Management of Cost	<input type="text"/>
31 Quality of Work	<input type="text"/>

Performance of Work

9 Quality of Supervisory Personal	<input type="text"/>
10 Skillful and Knowledgeable Employees	<input type="text"/>
11 Management of Subcontractors	<input type="text"/>
12 Quality of Approved Materials	<input type="text"/>
13 Work Completed in Timely Manor	<input type="text"/>
14 Identification and Resolution of Issues	<input type="text"/>
15 Attention to Detail	<input type="text"/>
16 Communication w/ Inspector	<input type="text"/>
17 Responsive to Requests	<input type="text"/>

Equipment

18 Clean and Presentable to Public	<input type="text"/>
19 Well Maintained and Serviced	<input type="text"/>
20 Adequate Equipment to Perform Work	<input type="text"/>

GRADE SCALE:	
E =	Exceeded Expectations
M =	Met Expectations
F =	Failed or Below Expectations
N/A	Not Applicable

*****RATINGS BELOW "M" REQUIRE WRITTEN JUSTIFICATION THAT IS OBJECTIVE AND IDENTIFIABLE*****

Supporting documents and/or notes are required, and must be attached and included in the project file.

Additional Narrative or Areas Rated:

INSPECTOR NAME & SIGNATURE

DATE

DEPARTMENT HEAD NAME & SIGNATURE

DATE

***** COPIES ARE TO BE DISTRIBUTED TO THE FIRM AND PLACED IN THE PROJECT FILE UPON COMPLETION*****