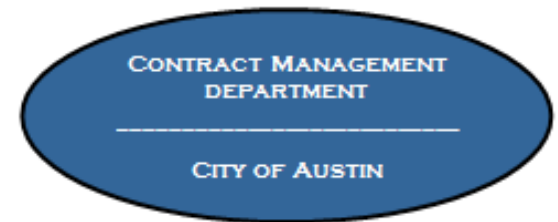


CONTRACT MANAGEMENT DIVISION

Rotation List Management
Consultant Information Session





What is a Rotation List?

- Group of consultants selected on the basis of qualifications to provide professional services in a specified field of expertise



How consultants are selected

- Selection is based on a response to a general scope of services
- Responses are evaluated on experience and qualifications
- Selection based on “most highly qualified” firms
- List of recommended firms is presented to Council
- Council authorizes staff to negotiate and execute agreements with the recommended firms
- Firms contracted for a specific period of time
- Work assignments made by established methodology

Assignment Negotiation/ NTP Process

- The **process for a new assignment** begins when an Assignment Request Form (ARF) is received from a Project Manager and an assignment letter is sent to the Consultant via email and regular mail. All Subs listed on the Consultants Compliance Plan will be notified of the assignment.
- The Consultant will have 5 business days to accept or reject the assignment by signing/returning the original assignment letter to the RLM.
- The Consultant is responsible for contacting the Project Manager (listed in the assignment letter) to discuss the scope of services and begin developing a scope and fee proposal.

Assignment Negotiation/ NTP Process – *continued*

- The Consultant and the project manager are responsible for developing and negotiating the proposal in no more than 60 days. The Project Manager can require an acceptable proposal in a shorter time frame if necessary. Typically the RLM is not involved in the development of the proposal unless requested by the Project Manager or unless negotiations stall and the assignment is in danger of being rejected.
- A Consultant can reject an assignment if they feel the work requires special expertise they cannot provide, staffing problems might exist, or it would be in the City's best interest that the assignment be rejected.

Assignment Negotiation/ NTP Process – *continued*

If a Consultant rejects an assignment for no cause (i.e., waiting for a bigger or better assignment), they will forfeit their assignment for the current pass.

- If a Consultant fails to negotiate an acceptable proposal for an assignment, they will move to the bottom of the current pass for their next assignment.
- After a proposal is accepted by the Project Manager, an Attachment 2 form is forwarded to the Consultant to sign/date and return to the RLM.
- After the signed Attachment 2 is returned, the RLM will submit the form to Contract Administration (CA) to begin the encumbrance process.


Assignment Negotiation/ NTP Process – *continued*

- After the encumbrance process is completed and a DO# is assigned, the RLM will sign the bottom portion of the Attachment 2, which converts the document into the **Notice to Proceed**. The RLM will also prepare a Sub-K template and a Consultant Cover Sheet.
- The RLM will send the signed Notice to Proceed, SubK template, and the Consultant Cover Sheet to the Consultant with instructions to proceed with the assigned work. The Project Manager and Sub-Consultants being utilized on the assignment will be copied on this email.

Order of Assignments

- The **order of assignments** on the **FIRST pass** will be ranked as shown in the order of the evaluation matrix.
- The **SECOND and subsequent passes** will be sorted and ranked in order of each Consultants highest remaining authority – that being – *the firm with highest remaining authority will be receiving the first assignment for that pass.*


Order of Assignments - *continued*



Assignment Order	Firm	Authority	Assignment	Remaining Authority	Remaining Auth. (%)
1	A	\$100,000	\$80,000	\$20,000	20%
2	B	\$100,000	\$60,000	\$40,000	40%
3	C	\$100,000	\$10,000	\$90,000	90%
4	D	\$100,000	\$25,000	\$75,000	75%
5	E	\$100,000	\$5,000	\$95,000	95%

A vertical arrow on the left side of the table points downwards, indicating the sequence of assignments from top to bottom.

Order of Assignments - *continued*



Assignment Order	Firm	Authority	Assignment	Remaining Authority	Remaining Auth. (%)
1	E	\$100,000	\$5,000	\$95,000	95%
2	C	\$100,000	\$10,000	\$90,000	90%
3	D	\$100,000	\$25,000	\$75,000	75%
4	B	\$100,000	\$60,000	\$40,000	40%
5	A	\$100,000	\$80,000	\$20,000	20%

A vertical arrow on the left side of the table points downwards, indicating the sequence of assignments from top to bottom.

Fee Proposal Guidelines

- **Reference the PSA Name and Number:** 2011 Small Diameter Water and Wastewater Pipeline Engineering Rotation List (PA110000043)

- **Statement of Scope and Personnel Breakdown:** Provide a task-oriented statement of services utilizing the Resource Allocation Plan (RAP)

- **Include a proposal from each Sub-Consultant with the following information:**
 1. Scope of services to be provided by the Sub-Consultant(s)
 2. Cost development and method of payment
 3. Project schedule

Fee Proposal Guidelines – *continued*

Fee Proposal

1. Resource Allocation Plan (RAP) submittal
2. Sub-Consultant Utilization Form (SUF) submittal

Project schedule

1. Include a schedule that corresponds to the task oriented statement of scope. A Gantt chart type format is preferred.

Sub-consultant Utilization Form (SUF)

- Verifies that sub-consultants identified in original/amended Compliance Plan are being utilized
- Must submit with Acceptable Proposal
- RLM will forward to SMBR for review at beginning of assignment.

Subconsultant Utilization Form

Contract and Land Management
Contract Procurement Division

Rotation List Name/#: ___ / ___ Project Name: ___ Project Manager: ___

Assignment # / Proposal Request #: ___ / ___

Date: ___ Submitted by: ___ Firm: ___

Firm	Cert Type	Description of Work	Work Hours	Amount \$
<Your Firm Here>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 1>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 2>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 3>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 4>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 5>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 6>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 7>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 8>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 9>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 10>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 11>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 12>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 13>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 14>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
<Subconsultant 15>	<Drop Down>	<Brief Description of work to be performed >	0.0	\$000.00
TOTAL			0.0	\$000.00

MBE/WBE PARTICIPATION

Please calculate participation percentages for each category, based upon the total dollar amount for certified firms in the specified category divided by the Total Amount of the assignment.

	NON-Certified	African American	Hispanic	Asian/ Native American	MBE	WBE
This Assignment	___%	___%	___%	___%	___%	___%
Compliance Plan	___%	___%	___%	___%	___%	___%

Please provide an explanation for any categories where participation for this assignment is less than the approved Compliance Plan percentages:

I certify that the information listed above has been reviewed and is accurate to the best of my knowledge.

Firm Representative: _____ **Date:** _____

FOR COA USE ONLY:

I have reviewed the consultant utilization and MBE/WBE participation for this assignment. A copy of this form will be forwarded to the appropriate SMBR representative.

Project Manager: _____ **Date:** _____

Rotation List Manager: _____ **Date:** _____



Notice To Proceed

- The formal processing of the NTP will begin following the receipt of an Acceptable Proposal (Attachment 2)
- A NTP must have an assigned Delivery Order (D.O.) number.

ATTACHMENT 2

DATE: **ASSIGNMENT NO.:** **PROPOSAL REQUEST NO.:**

MASTER AGREEMENT: **CONTRACT NUMBER (DO):** _____

Fund: _____ Dept: _____ Unit: _____ Object Code: _____ Activity: _____ Rept: _____ Percentage: _____

Fund: _____ Dept: _____ Unit: _____ Object Code: _____ Activity: _____ Rept: _____ Percentage: _____

Fund: _____ Dept: _____ Unit: _____ Object Code: _____ Activity: _____ Rept: _____ Percentage: _____

TO: CONSULTANT:

FROM: **OWNER:** Rotation List Manager:
Project Manager / Department: /
Contract Procurement Division
Contract and Land Management Department
City of Austin
P.O. Box 1088
Austin, Texas 78767

The CONSULTANT PROPOSAL is for the following PROJECT assignment:

SUBPROJECT NAME:

SUBPROJECT DESCRIPTION:

Reference Attachments: _____

SUBPROJECT FIXED CONSTRUCTION BUDGET (RE: Section 3): Dollars (\$))

(continued on next page)

PHASES OF SERVICE AND RESOURCE ALLOCATION PLAN REQUIRED FOR BASIC SERVICES (RE: Sections 1 & 4):

Preliminary Phase **Required** **Not Required**

The CONSULTANT shall commence the provision of services upon receipt of written authorization from the OWNER to proceed with this phase of the services as described in Subsection 1.4.1 of this AGREEMENT and agrees to complete all services required in () calendar days.

Design Phase **Required** **Not Required**

The CONSULTANT shall commence the provision of services upon receipt of written authorization from the OWNER to proceed with this phase of the services as described in Subsection 1.4.2 of this AGREEMENT and agrees to complete all services required in () calendar days.

Bid-Award-Execution Phase **Required** **Not Required**

Construction Phase **Required** **Not Required**

Construction Time Extensions (RE: Par. 1.4.4.1): **Required** **Not Required**
Resident PROJECT Representative (RE: Par. 1.4.4.14) **Required** **Not Required**

Post Construction Phase **Required** **Not Required**

Warranty Services Allowance (RE: Par. 1.4.5.6): **Required** **Not Required**

OTHER BASIC SERVICES: Reference Attachments:

PAYMENTS FOR BASIC COMPENSATION

Lump Sum **Loaded Hourly Rate** **Cost Plus Fixed Fee**

Lump Sum: Payments for Basic Services shall be made such that Basic Compensation for each Phase shall equal the following percentages of the total Basic Compensation payable:

Preliminary Phase:	percent (%)
Design Phase:	percent (%)
Bid-Award-Execution Phase:	percent (%)
Construction Phase:	percent (%)
Post Construction Phase*:	percent (%)
	[* normally 6% percent of the Construction Phase compensation]

Loaded Hourly Rate: Complete Attachment 3

Cost Plus Fixed Fee: Complete Attachment 4

(continued on next page)

CONSULTANT PROPOSAL

The proposed budget for this PROJECT assignment and the services described above is:

Basic Services	\$
Allowance for Reimbursable Expenses	\$
TOTAL	\$

Required Resource Allocation Plan (Sec. 4) is included as Attachment 1

Reference Other Attachments:

Signature: _____

CONSULTANT DATE

NOTICE TO PROCEED

When executed by the OWNER in the space provided below, and delivered to the CONSULTANT, the CONSULTANT is authorized to proceed with work as described in the PROPOSAL REQUEST, for the amount indicated above, in accordance with the contract referenced above and hereby incorporated herein.

NOTE: The Quality Control Plan (QCP) is to be submitted to the Project Manager no later than 14 calendar days from the date below.

OWNER : _____

By: _____, Rotation List Manager DATE
 Contract Procurement Division

cc: _____, Project Manager

80% Rotation List Rules

Towards the end of each Rotation List: 2 - 80% Rules might be used

- **#1.** When 80% of an individual firm's total authority has been used, no new assignments will be made if there are any open assignments – All previous assignments must be completed before additional assignments can be offered.
- **#2.** When 80% of the total Rotation List authority has been used, the RLM may make assignments out of the usual methodology in the best interest of the City by re-allocating a firms remaining authority.

Quality Control Plan (QCP)

1. **Master QCP** - All Consultants have 14 calendar days from the execution date of their contract to submit a Master Quality Control Plan (QPC) to Jay Ulary
2. **Assignment specific QCP** – For each assignment a Consultant has 14 calendar days from the date shown on the Notice to Proceed to submit an assignment specific QCP to the Project Manager and Jay Ulary.



Unauthorized Work

- No work shall be authorized prior to receipt of a formal notice to proceed (NTP)
- Project Managers do not have the authority to authorize additional or subsequent phase work prior to the formal NTP.

Unauthorized Work - *continued*

- Consultants who choose on their own to perform work ahead of the NTP and/or outside of their scope and budget are doing so solely at their own risk and may or may not receive payment for such work. If a PM becomes aware that a Consultant is working without formal authorization, it will be documented in a letter to the Consultant advising them that they are working at risk outside of the contractual agreement.
- Section 6 of the General Conditions in the City's standard Professional Services Agreement (PSA) outlines the requirements for subsequent written authorizations and the formal written notice to proceed by the Owner which authorizes the Consultant to proceed.

Consultant Performance Evaluation Form (CPEF)

- After sending the NTP the RLM will prepare a CPEF and forward it to the PM for evaluating the Consultants performance at the end of each phase of the project. At the end of the project, the Project Manager is required to submit the completed form to Contract Monitoring. They will notify the Consultant of the CPEF final results and the scores will be stored in a database for use in future RFQ evaluations (Consideration Item #9 – COA Experience with the Prime).

Rotation List Management Procedures

More information and forms are available at
the CMD Rotation List Program website:

<http://www.austintexas.gov/department/rotation-list-management>

- Guidelines for Fee Proposals
- Rotation List Contact Sheet
- Subconsultant Utilization Form
- SubK Report Template
- Consultant Personnel Change Form
- Request for Change of Compliance Plan
- Rotation List Management Consultant Information Session



Overview and Opportunities

For Upcoming Rotation List Opportunities go to
Vendor Connection and select Solicitations

- https://www.ci.austin.tx.us/financeonline/vendor_connection/index.cfm



Contact Information

- Barbara Kuhl – Division Manager (974-9186)
- Rolando Fernandez – Assistant Director (974-7749)
- Rosie Truelove – Director (974-3064)



Questions?