



**National Society of
Professional Engineers®**

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AMERICAN COUNCIL OF ENGINEERING COMPANIES

**NOMINATION FOR THE 2002 NSPE/ACEC QBS AWARD
FOR PROFESSIONAL PROCUREMENT PRACTICES**

DEADLINE: April 12, 2002

1. **Candidate:** City of Phoenix
Category: Government

2. **Key Candidate Contact:** Lori Stanley

Title: Contracts Administration Supervisor

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(4)

3. **Nominated by:** Arizona Consulting Engineers Association

Address: 1309 East Echo Lane
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Telephone: (602) 995-2187

E-Mail: offices@acea.org

4. **Did a QBS facilitator meet with the candidate?** No

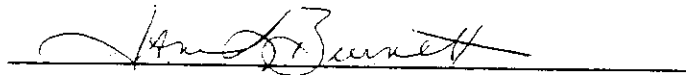
5. **Please provide a brief narrative explaining why this agency or company is a candidate for a QBS Award:**

The City of Phoenix is blessed with Lori Stanley, an outstanding Contracts Administrative Supervisor who understands and believes in Qualifications Based Selection. Lori works closely with consultant organizations to discuss changes and improvements to the selection process and contract language. She frequently meets with consultant representatives to provide debriefings on prior SOQ submittals or interview processes and offers suggestions for ways to improve these efforts and increase chances to be selected for City of Phoenix projects. Lori worked closely with our delegation on recent state legislation mandating the use of qualifications-based selection. Phoenix is the nations sixth largest city and we have a true ally in Lori Stanley as she continues to work with local public sector and consultant representatives to try to improve and standardize the QBS selection process and contract language. Lori Stanley is the "best friend" consultants have in Arizona!

6. **Describe the nominee's selection procedure:** The City of Phoenix uses a qualifications-based selection process which involves individual project advertising and requests for Statements of Qualifications (SOQ) from interested firms. After receiving the SOQs, a selection panel reads and rates the submittals based on the criteria included in the project advertisement (i.e., experience of the firm; experience of team members; project understanding; local team involvement; current work with the City). Depending on the size and complexity of the project under consideration, the selection panel will either select a firm from the SOQs or shortlist and interview for final selection.
7. **Is it a written policy?** Yes (see enclosure)
8. **How long has the selection process been used?** For over 15 years which includes 13 years where the process *was not* mandated by law (with continued improvements)
9. **Does the process cover:** Architects – Yes; Engineers – Yes; Land Surveyors – Yes; *and it includes assayers, geologists, and landscape architects*
10. **Who administers the selection procedure?** Engineering and Architectural Services Department Contracts Administration Section Contracts Officers (Supervisor Lori Stanley)
11. **Is the person a:** P.E. – No; AIA – No; P.L.S. – No; Other – Yes, Lori Stanley is a professional staff member of the highest ethical quality
12. **Who makes the final decision on which design professional is chosen?** The ultimate decision maker is the Phoenix City Engineer (Mario Saldamando)
13. **Is QBS government-mandated?** Yes (since April 2000 for cities and counties)
14. **Additional comments:** Working in conjunction with the local Arizona Consulting Engineers Association and American Institute of Architects, the City of Phoenix has developed and maintained a selection process that is widely accepted by the consultant community. This QBS process has recently been adapted for use in the Construction Manager at Risk and Design/Build selection processes.

**Name and signature of person
or organization submitting
this nomination:**

Janice L. Burnett, Executive Director for the
Arizona Consulting Engineers Association and the
Arizona Society of Professional Engineers



PLEASE MAIL TO: NSPE
Attn: Brian Bauerle
1420 King Street
Alexandria, VA 22314

cc: Roger Jordan/ACEC

**CITY OF PHOENIX, ARIZONA
ENGINEERING & ARCHITECTURAL SERVICES DEPARTMENT**

**SELECTION POLICY
ENGINEERING, ARCHITECTURAL AND OTHER RELATED PROFESSIONAL SERVICES**

PURPOSE

The purpose of this policy is to establish a uniform procedure for the selection of engineering, architectural and other related professional services through the Engineering and Architectural Services Department. The City Engineer is empowered by City Charter and City Management to: 1) approve department requests for professional services, 2) make final selection decisions in conjunction with the Department Directors, and 3) complete administrative tasks required for City Council approval of design and construction contracts. This procedure is independent of the City's Administrative Regulation 1.74 "Selection Procedures for Professional Services" process which is followed by the Purchasing Division of the Finance Department.

DEFINITIONS

City Engineer for purposes of this policy the City Engineer is the EAS Director or the EAS Department's designated representative.

Contracts Administration is a section within the EAS Department, which assists City departments (client departments) in selecting, negotiating, and obtaining professional engineering, architectural and other related professional services for Capital Improvement Projects and other various City projects.

Contract Specialists in the Contracts Administration Section are the personnel responsible for administering the selection, negotiation, contract award and contract preparation process. The Contracts Specialist assigned to the project will coordinate this work effort with the client departments.

Department Director is the director of the specific project related client department or his/her designated representative.

EAS Newsletter is the Engineering and Architectural Services Department's primary source of advertising on a monthly basis projects requested by the Client departments. Consultants interested in City work pay a subscription fee to be placed on the EAS Newsletter mailing list.

Engineering and Architectural Services Department (EAS) is managed by the City Engineer is the entity responsible for hiring professional engineering, architectural and other related professional services for the City of Phoenix.

Professional services consist of services provided by engineers, architects, landscape architects, environmental specialists and other related professional services.

Request for Professional Services (RPS) is the document submitted to the EAS Department by the client department to initiate the selection process for professional services. (See attachment)

Statement of Qualifications (SOQs) is the documented information submitted by interested consultants that responds to consultant selection criteria listed in the EAS Newsletter. This document generally provides information regarding the firm's proven performance record, staff experience and capabilities, their understanding and approach to the work expected, current/recent work load with the City, and local office work role.

GENERAL SELECTION PROCEDURE

Client departments needing professional consultant services shall proceed in accordance with the following guidelines:

1. REQUEST FOR PROFESSIONAL SERVICES (RPS)

The client department shall initiate the consultant selection process by completing a Request for Professional Services (RPS) form (sample attached) which will be submitted to the City Engineer for their approval. Information required in the RPS includes:

- A. **PROJECT DESCRIPTION:** A project or service description. The client department should provide a brief and clear description of the project.
- B. **PROJECT NUMBER AND COUNCIL DISTRICT NO:** This information is generated by the client department and should be identified at the onset of the project.
- C. **LOCATION OF PROJECT:** A description of the site location is required. This is the specific area in which the work will be performed.
- D. **TYPE OF FIRM/SCOPE OF SERVICES REQUESTED:** The client department identifies the type of professional services required to do the work (i.e. design, construction administration, study, etc.).
- E. **WE WISH TO ADVERTISE:** The client department must provide a detailed description of the project to be advertised. A scope of services and discussion of any time limitations should be included. The information provided will be used for the EAS Newsletter advertisement. This information should be provided on a disk submitted with RPS.

Or

DO NOT ADVERTISE – ANNUAL SERVICES: The client department must provide a detailed description of the project to be advertised. A scope of services and discussion of any time limitations should be included as well as the estimated construction budget of the project.

Or

DO NOT ADVERTISE. (Recommended Firm and Justification): Client departments requesting that a project not be advertised and have identified a specific firm to be direct selected for this project must provide a memo with the RFP. The memo is required to include detailed information substantiating the reason for the request and should be from the client department director and addressed to the City Engineer or his delegate.

- F. CONSULTANT NOTICE TO PROCEED (NTP) DATE: Estimated date for issuing an NTP to the consultant. When does the client department expect the consultant to begin the work?
- G. CONSTRUCTION START DATE: The estimated date for the start of the construction phase of the project, if applicable.
- H. CONSTRUCTION COMPLETION DATE: The scheduled date when the project must be operational.
- I. ESTIMATED CONSTRUCTION COST: The estimated project construction budget (not including soft costs) should be identified, if applicable.
- J. FUNDING SOURCE (S): The client department will identify the source of funding and funding description. May identify the fiscal year for project construction if applicable.
- K. NAME AND NUMBER OF PROJECT MANAGER: The client department should have a project manager assigned to the project who will serve as the general point of information on the project from their department. Projects administered by the EAS Department will also identify the project manager responsible for the project.
- L. SIGNATURES: The client department director and the City Engineer should sign the RPS.

2. ADVERTISING PROJECTS

After receiving approval on the RPS, the Contracts Administration Section will advertise the project in the EAS Newsletter. The Newsletter is published monthly and is distributed to firms on the subscribers list. Consultants can subscribe to this Newsletter by contacting the EAS Department. In addition to the Newsletter, client departments may also submit a special list of consultants to receive information regarding their project or include an advertisement in consultants trade periodicals. The Newsletter advertisement will request Statements of Qualifications (SOQs) from consultants interested in the project(s) advertised. A general format establishing Statement of Qualification Criteria has been developed for responding to the advertisement as noted in Section 4.

There are some instances in which consultant work is not advertised. This option is subject to approval of the client department director and the City Engineer. These instances may include:

- A. Continuation of services into the design phase from a previously completed study. This option generally is determined prior to the award and the study phase.
- B. Continuation of services from design to the construction administration and inspection phase for the same project.
- C. Projects with critical timetables.
- D. Projects that require a specialized expertise not found abundantly in the local area.
- E. Emergency projects.

3. SELECTION COMMITTEES

A Selection Committee organized by the Contracts Specialist will evaluate the firms under consideration for City projects. The Selection Committee is composed of, but not limited to representatives of the client department, the EAS Department Contracts Specialist, and EAS Department project management staff (for full service client departments). Additional participants that may be involved in reviewing, shortlisting, and evaluating SOQs may include representatives from the American Institute of Architects (AIA), Subregional Operating Group (SROG), and/or City Manager, Council/May or appointed committees.

4. STATEMENT OF QUALIFICATIONS

The Contracts Specialist, along with the client department representative, is responsible for developing any special rating criteria for the specific project and identifying the evaluation points assigned to each criteria in the advertisement. Using the advertised criteria on a rating sheet, the Selection Committee will evaluate the SOQs. Along with the rating sheet the Selection Committee must sign and submit a "Conflict of Interest Declaration" form. Rating criteria which is generally included in the advertisements include:

A. Experience and qualification of the prime firm.

This relates to the firm's experience with the type of project under consideration. This experience may be established through work on similar projects done by the firm. The firm has the responsibility to illustrate the appropriate experience and how that experience applies to the project.

B. Experience and qualification of project team, including subconsultant experience and M/WBE involvement and percent of time team member is available to work on the project.

The experience and capabilities of the people assigned to the project are to be considered under this category of evaluation. The qualifications that should be considered include the length of time the individual has been practicing his/her profession, how long the person has been employed by this firm, and their professional credentials. The qualifications of subconsultants are reviewed, in addition to the involvement of City certified minority and woman-owned businesses in their project team. There should be a percent of time indicated that the key team members will be devoting to the project.

C. Approach to and understanding the project.

The City should get an indication that the firm has a clear and concise understanding of what the City is looking for. Does the firm discuss the project in any detail? Although the consultant should not be expected to present a design at this time, does the firm show an awareness of the important considerations of the project? Has the firm identified any potential problems? When applicable, the firm should also demonstrate a critical understanding of the physical and cultural context of building in the Southwest.

D. Principal office location and local office work role.

This selection policy favors the selection of local firms for professional service contracts. The candidate firms are expected to be sensitive to the desire of the Mayor and City Council that the work be done locally. Local firms receive a higher rating in this criterion than non-local firms. If the firm being considered is an association of several firms, there should be a clear and appropriate plan for organizing the work. With whom would the City enter into a contract? Are the subconsultants local firms? The effort should be balanced to allow a significant role to be exercised by the local firm in this association. For most projects a minimum of 51% of the work shall be produced locally.

E. Current/recent workload with the City of Phoenix.

The firm should indicate their current/recent work with the City by listing the projects awarded by the City during the last two years, including award date, construction cost estimate and the percent of the work currently completed. The firm should ensure that they have the resources and capability to organize and deliver a project of the size under consideration given their existing commitments on other projects. Equally important are the workload and level of commitment of the key people assigned to the project and the level of work held by the proposed consultants. Is the project manager and key personnel committed to this project for its duration?

It is the responsibility of the City Engineer to distribute the work as evenly as possible. Qualified firms not engaged in work with the City should generally be given preference over qualified firms with significant current/recent City work. If not included in SOQ selection criteria, the Contracts Specialist will provide current/recent workload information to the selection committee for each project.

Other criteria that may be included:

F. Ability to perform construction administration services.

The firm should be able to demonstrate the qualifications and experience to provide construction administration services. Will the firm provide construction administration services with its own staff or with staff from a satellite office or another firm?

G. Ability to work with the City and other agencies and groups.

The consultant should identify any involvement required with other departments and outside groups that have responsibilities for and interests in the final results. The firm should also discuss its experience on projects with multiple interested parties. How will the process be led and how will the firm interact with the City? The firm should show a clear understanding of its potential role as a project leader.

H. Schedule and cost control capabilities.

The EAS Department is sensitive to the budgetary constraints on all City projects. The firm should demonstrate an understanding of the schedule and any cost constraints of the project. The consultant should provide a strategy for approaching and controlling these issues. How will the consultant with the City's Project Manager establish a team that works together to control these issues?

1. Management and Quality Control.

How does the firm/consultants manage their projects. What quality control is in place and what is their track record?

In general, specific criteria and points will vary according to the needs of the project and will be determined by the selection committee at the time of advertising.

5. SELECTIONS

The selection of the consultant that best suits the project needs is extremely important and is if not the most significant factor in the success or failure of everything from that point on. Firms are selected one of two ways:

A. Direct Selections

The selection committee may prepare a selection recommendation based on the merits of the Statements of Qualifications submitted. A list of the top three ranked firms (in order of preference) will be determined. The Contracts Specialist will provide all selection information to the Engineering Supervisor prior to sending to the City Engineer for final review and approval. *Selections on Water Services Department projects are presented to the City Engineer by memo from the Water Services Director.*

B. Interviewing

The selection committee concludes its review and evaluation of the SOQs and may identify a shortlist of firms to be interviewed for the project. The Contracts Specialist will forward the recommended shortlist to the City Engineer. The Contracts Specialist will issue an interview letter providing pertinent interview information to those shortlisted firms. The interviewed firms will be evaluated on rating criteria established by the selection committee, similar to the SOQ rating criteria. The top three ranked firms (in order of preference) will be provided to the City Engineer for final review and approval.

6. SELECTION APPROVAL

The selection committee's final firm recommendations are handled as follows:

- A. The Contracts Specialist will provide all selection information to the Engineering Supervisor and City Engineer for review and approval. If the City Engineer has any concerns with the panel's final recommendation, he will contact the director of the client department to discuss the selection.
- B. When the City Engineer has approved the final selection recommendation, the Contracts Specialist will notify the client department and selected firm and the contracting process shall begin.
- C. The Contracts Specialist will notify all unsuccessful firms that pending successful negotiations and City Council approval a firm has been selected for a project. This may be done either through the EAS Newsletter or by formal letter.

7. SELECTIONS - ARCHITECTURAL PROJECTS WITH CONSTRUCTION BUDGETS OVER \$5 MILLION

The customary selection policy for selecting architects for projects with construction budgets over \$5 million is the same as for other projects with the exception of the following additional steps:

- A. A representative from the American Institute of Architects (AIA) may be invited to participate on the selection committee.
- B. The Contracts Specialist prepares a City Council Report (CCR) with the shortlist of firms recommended for interview by the selection committee. The CCR is then formally submitted by the City Engineer or his delegate to City Council for their approval.
- C. Interviews take place and the interview committee makes a final recommendation.
- D. The Contracts Specialist prepares a City Council Report (CCR) with the final selection recommendation of a firm after City Engineer approval. The CCR is then formally submitted by the City Engineer for City Council approval.

8. NEGOTIATION AND CONTRACT AWARD

After the consultant is selected and approved by the City Engineer, the Contracts Specialist is responsible for the following:

- A. Determining with the client department an estimated schedule that outlines the timeframe anticipated from actual selection to Notice to Proceed.
- B. Coordinating and conducting scope of work meetings.
- C. Participating and facilitating negotiations of final project costs.
- D. Preparing the Request for Council Action and the final contract document.
- E. Issuing a Notice to Proceed with the work.

Unsuccessful negotiations with the selected firm may result in termination of negotiations and proceeding to the second rated firm or re-advertisement of the project.

9. ANNUAL CONTRACTS

The EAS Department has annual service contracts in place for a variety of professional services. These contracts provide an option to client departments to select from a list of firms for projects that are generally small and/or have project time constraints. The annual contracts are in place generally for a period of one to two years. Some annual contracts (environmental services, soils and materials testing, archaeological, etc.) are administered by EAS or client department project managers. An RFP should be issued to the appropriate annual services contract manager for the utilization of an annual service consultant.