ADMINISTRATIVE SERVICES DIVISION

PROCUREMENT PROCEDURES MANUAL

VIRGINIA DEPARTMENT OF TRANSPORTATION
Administrative Services Division
1401 E. Broad Street
Richmond, VA 23219

a I·NŎK 2014

POLICY

As an Executive Branch Agency, the Virginia Department of Transportation (VDOT) is subject to the Virginia Public Procurement Act (VPPA) (2.2-4300 through 2.2.4377) and the implementing regulations of the Agency Procurement and Surplus Property Manual (APSPM) as published by the Department of General Services/Division of Purchases and Supply and Construction and Professional Services Manual (CPSM) as published by the Department of General Services/Bureau of Capital Outlay Management.

It is the policy of VDOT to make all procurements in compliance with the VPPA, APSPM, CPSM, and all federal and state procurement laws and regulations. This Administrative Services Division (ASD) Procurement Procedures Manual includes VDOT specific requirements for the procurement of non-IT goods, non-professional and professional services in support of VDOT general services, highway maintenance and Capital Outlay.

PURPOSE

ADMINISTRATIVE SERVICES DIVISION PROCUREMENT PROCEDURES MANUAL

This Manual will provide guidance to those individuals who have delegated procurement authority and define internal requirements for the procurement of non-IT goods and services for general services and highway maintenance projects. It has been formatted for use in conjunction with the *Agency Procurement and Surplus Property Manual* (APSPM) published by the Department of General Services/Division of Purchases and Supply (DPS) under the authority of Section 2.2.-1111 of the Code of Virginia. The Administrative Services Division will periodically issue internal directives that will become part of this manual that define policies and procedures. They will be issued under the closest applicable chapter number in the APSPM.

ASD also has responsibility for procurement of professional and construction services for Capital Outlay projects. These procurements are conducted in accordance with the *Construction and Professional Services Manual* (CPSM) published by the Department General Services/Bureau of Capital Outlay Management (BCOM). A general overview of VDOT processes for Capital Outlay procurement is included in this manual.

This manual supersedes any procurement policy, guidance or directives previously issued by Administrative Services Division. It is our intent that all requirements and procedures are clear, consistent and in support of best purchasing practices.

All procurements must be conducted in accordance with applicable federal and state procurement laws and regulations. If any guidance or procedure in this Manual conflicts with applicable federal and/or state laws and regulations, such laws and regulations shall govern.

The manual is available online at:
https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Policies/Forms/AllItems.aspx

Comments or questions of interpretation are welcomed and should be addressed to ASD Regional Procurement Managers.

Lisa M. Pride
Administrative Services Division Administrator

PROCUREMENT RULES, REGULATIONS & RESOURCES

This manual along with the following documents will be the basis for procurement procedures within the Virginia Department of Transportation (VDOT), including subsequent changes or revisions:

The ***Virginia Public Procurement Act*** (VPPA), which is contained in Sections 2.2-4300 through 2.2.4377 of the Code of Virginia, enunciates the public policies pertaining to governmental procurement from non-governmental sources for all agencies of State and Local government.
http://dps.dgs.virginia.gov/dps

The ***Agency Procurement and Surplus Property Manual*** (APSPM**)** established by the Department of General Services/Division of Purchases and Supply (DGS/DPS), for agencies of the Commonwealth.
http://www.eva.virginia.gov/aspm-manual/aspm-manual.htm

Commonwealth of Virginia ***Vendor's Manual*** established by the DGS/DPS for vendors doing business with the Commonwealth.
http://www.eva.virginia.gov/learn-about-eva/vendors-manual.htm

The ***Construction & Professional Services Manual for Agencies***, established by the Department of General Services, containing procedures for capital outlay procurements. http://www.dgs.virginia.gov/LinkClick.aspx?fileticket=i12kXM%2bcJ%2bE%3d&tabid=1252&mid=2361

Laws, regulations and procedures governing procurement using federal funds can be found at http://www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm

Current Delegations of Authority from VDOT Commissioner located in the Policy Division Corporate Documents at:
https://insidevdot.cov.virginia.gov/Docs/Documents/CurrentDelegations.pdf

Guidelines for Procurement and Management of Professional Services Manual published by VDOT for procurement of professional services for transportation projects.
http://www.virginiadot.org/business/resources/ipd/2009_Manual_Revison3_12JUL01_Cleancopy.pdf

VDOT Information Technology (IT) Goods and Services Standards:
Information Technology Division is responsible for procurement of IT goods and services.
https://insidevdot.cov.virginia.gov/div/IT/Pages/Default.aspx

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SECTION 1

PROCUREMENT AUTHORITY AND RESPONSIBILITY

1.1 Role of ASD Administrator – Responsible for:

(a) Ensuring VDOT has a program that encourages competition and effective contracting with the private sector for the procurement of goods, professional and non-professional services.

(b) Ensuring that the acquisition of non-highway construction related goods and services do not violate or circumvent federal or state laws, executive orders, appropriations, regulations or the provisions of the *APSPM* or *CPSM*.

(c) Daily management of the purchasing function and purchasing personnel with delegated authority to bind the agency in contractual commitments.

1.2 Role of the Division/District Administrator - Responsible for:

(a) Determining the extent of goods, non-professional or professional services required to meet needs;

(b) Securing the approval of the appropriate Executive Team member before initiating procurement of goods, non-professional or professional services;

(c) Ensuring that district/division personnel adhere to all established procurement laws, delegations, policies and procedures.

1.3 ASD Procurement Operations – ASD statewide procurement operations are managed regionally and include a local procurement office in each District and Central Office to support VDOT operations. All procurement officers and managers must hold an active Virginia Contracting Officer (VCO) certification.

Region	Districts & Central Office	Regional Procurement Manager/Office
Southwestern Region	Bristol Lynchburg Salem Staunton Hampton Roads	Gary Cole Bristol District
Central Region	Central Office	Robin Dolatowski Central Office
Northern Region	Fredericksburg Culpeper NOVA Richmond	Toya Peterson Fredericksburg District

ASD procurement offices located in each district will handle procurements to meet local needs except the following which will be procured in ASD's Central Office procurement office:

- Capital Outlay
- Information Technology (delegated by ITD)
- Oversight for Professional Services for transportation projects
- Professional Services for non-transportation projects
- Revenue Generating
- Statewide
- Turnkey Asset Management Services (TAMS)
- Tree Removal and Pruning
- Mowing

In addition, all contracts procured using Competitive Sealed Bidding Two-Step or Competitive Negotiation will be processed by ASD's Central Office procurement office.

1.4 VDOT Purchasing Authority

- Services up to any dollar amount
- All goods up to $100,000
- Highway construction related goods and materials exceeding $100,000
- Non-highway commodity items exceeding $100,000 per list in Attachment 1A.

1.5 Authority to Contract and Sign Procurement Documents – Below is general guidance relevant to ASD contracts and procurement documents. For complete list of delegations of authority, refer to ***Current Delegations of Authority from VDOT Commissioner*** located in the Policy Division Corporate Documents at:
https://insidevdot.cov.virginia.gov/Docs/Documents/CurrentDelegations.pdf

- **Commonwealth Transportation Board (CTB):** All contracts in excess of $5,000,000 for the construction, maintenance and improvement of the roads comprising the systems of state highways
- **Commissioner of Highways:** All contracts and purchasing documents
- **Chief Deputy Commissioner:** All contracts and purchasing documents
- **Chief of Administration:** Sole source determinations greater than $50,000, procurement approval for Capital Outlay professional services
- **District Administrator:** Emergency authorizations, procurement approval up to $500,000 and contracts valued up to $50,000 which are not subject to the *VPPA*, *APSPM* or *CPSM*
- **Assistant District Administrator:** Procurement approval up to $250,000
- **Division Administrator:** Procurement approval up to $250,000 and contracts valued up to $50,000 which are not subject to the *VPPA*, *APSPM* or *CPSM*
- **ASD Administrator:** Chief Purchasing Officer in accordance with *APSPM* Procurement approval over $500,000 and all contracts except those requiring

CTB approval and Commissioner's signature. Sole source determinations up to $50,000 and emergency authorization for Central Office Divisions

- **ASD Regional Procurement Manager**: All contracts to support regional operations except those requiring CTB approval and Commissioner's signature
- **ASD District/Central Office Procurement Manager:** Contracts up to $1,000,000
- **ASD Small Purchasing Team Supervisor:** Contracts up to $750,000
- **ASD Sr. Contract Officer for Professional Services:** Contracts up to $1,000,000
- **ASD Contract Officer:** Contracts up to $500,000
- **Director, Capital Outlay Program:** All Capital Outlay construction and professional services contracts
- **Assistant Director, Capital Outlay Program:** Capital Outlay construction and professional services contracts up to $1,000,000
- **Contract Administrator:** Task orders and work authorizations
- **Buyers and Small Purchase Charge Card (SPCC) Holders:** Purchase transactions up to $5,000 (single quote limit). Process requisitions and purchase orders in Cardinal of any dollar value against existing contracts

1.6 **Memorandum of Agreement** – Purchases of goods and/or services from other public entities are exempt from competitive requirements. For purchases from public entities, business units will enter and approve a requisition in Cardinal. The requisition will route to the local ASD Procurement Office for processing. A Memorandum of Agreement will be executed to define the terms and conditions of the purchase. A template for use when developing Memorandum of Agreement can be found at: https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Contract%20Templates/Forms/AllItems.aspx

This does not include purchases of goods and/or services from public entities which are also Mandatory Sources (See Section 2).

ATTACHMENT 1A
VDOT COMMODITY LIST

1. 30” roll paper
2. Aggregate
3. All Types Conduit
4. All Types Delineators
5. Alternators
6. Aluminum Poles
7. Anti-Freeze
8. Asphalt
9. Asphalt Rollers
10. Athey Loader Blades
11. Auto Transmission Fluid
12. Automotive Jacks
13. Automotive Lights
14. Automotive Supplies
15. Barricade Lights
16. Batteries
17. Battery Chargers
18. Bituminous Materials
19. Bituminous Storage Tanks
20. Boots
21. Brush Chippers
22. Cal. Chloride
23. Chemical Sprayers
24. Chloride magnesium
25. Compressors
26. Concrete Pipe
27. Coolers
28. Crane
29. Crack Sealant Applied
30. Crash Attenuator
31. Crawler Drills
32. Crawler Type Loaders
33. Cutting Oil
34. Diamond Bits
35. Diesel Fuel Oil
36. Diesel Injector Pumps
37. Drill Steel & Bits
38. Earth Auger
39. Electric Power Plant
40. Fabricated Signs
41. Fence Post
42. Fertilizer
43. Fiber Corrugated Pipe
44. Filter Cloth
45. First Aid Supplies
46. Flashing Arrow Signs
47. Front End Heavy Loaders
48. Front End Light Loaders
49. Fuel & Heating Oil
50. Fuses
51. Gas Cans
52. Gasoline
53. Gasoline Pumps
54. Generators
55. Glass Beads
56. Grader Blades
57. Graders
58. Grinders
59. Guardrail
60. Hand Tools
61. Hardware & Mill Supplies
62. Herbicides
63. Kerosene
64. Landscape Supplies
65. Litter Control Bags
66. Load Covers
67. Loop Detectors
68. Magnesium Chloride
69. Metal Post
70. Motor Oil
71. Mower Parts
72. Mowers
73. Mulch
74. Non-Reflect Sheeting
75. Non-woven Wipers
76. Nursery Stock
77. Nut & Washer Bolts
78. Patching Machines

ATTACHMENT 1A
VDOT COMMODITY LIST

79. Pavement Breakers
80. Pavement Marking Tape
81. Pavement Self Propel Marker
82. Piling Untreated
83. Plastic Barrels
84. Plywood
85. Portable Sign Cleaners
86. Portable Truck Scales
87. Power Chain Saws
88. Propane Gas
89. Rainwear Raincoats
90. Reflective Sheeting
91. Reinforcing Steel
92. Repair Traffic Parts
93. Rock Drill
94. Rotary Ditchers
95. Safety & Accident Supplies
96. Safety Goggles
97. Safety Hats
98. Salt Treated Sign Post
99. Shop Equipment
100. Sign Blanks
101. Sign Stands
102. Signal Equipment
103. Snow Plows
104. Sodium Chloride
105. Spreaders
106. Structural Steel
107. Sweepers
108. Tarpaulins
109. Testing Scales
110. Thermoplastic
111. Tire Chains
112. Tire Changing Equipment
113. Tires
114. Toll Collection Supplies
115. Tractor Umbrellas & Covers
116. Tractors
117. Traffic Cabinet & Accessories
118. Traffic Cones
119. Traffic Counter Supplies
120. Traffic Counters
121. Traffic Light Supplies
122. Traffic Paint
123. Traffic Wood Poles
124. Trailers
125. Treated Lumber
126. Trimmers
127. Truck Weighing Supplies
128. Untreated Lumber
129. Untreated Wood Post
130. Waste Treatment Supplies
131. Water Pumps
132. Water Treatment Chemicals
133. Waterproofing Membrane
134. Welding Machines
135. Wildflower Seed
136. Wrenches

SECTION 2

SOURCES OF SUPPLY

2.1 **Mandatory Sources** – Districts or Divisions may use SPCC to purchase goods from a mandatory source as defined in the APSPM up to $5,000. Districts or Divisions must purchase goods greater than $5,000 via a purchase order in Cardinal. The contract number must be documented in the procurement file.

Districts or Divisions must purchase services from a mandatory source as defined in the APSPM via a purchase order in Cardinal regardless of whether payment is made by SPCC or voucher. For more information refer to SPCC User Guide in Section 5.

See Attachment 2A for detailed process to use when purchasing from mandatory sources and DPS and VDOT mandatory use contracts.

2.2 **Mandatory Use Contracts and Suppliers -** In addition to the mandatory sources defined in the APSPM, the following are also mandatory use contracts and suppliers for VDOT purchases:

(a) **DPS mandatory use contracts -** Districts or Divisions may use SPCC to purchase goods from a mandatory use contract up to $5,000 with the SPCC. Districts or Divisions must purchase goods greater than $5,000 via a purchase order in Cardinal. The contract number and expiration date must be documented in the file.

Districts or Divisions must purchase services from a mandatory use contract as defined in the APSPM by issuing a purchase order in Cardinal regardless of whether payment is made by SPCC or voucher. For more information refer to SPCC User Guide in Section 5.

(b) **VDOT Term Contracts and Suppliers**

i. **Term Contracts** - All term contracts awarded by ASD are mandatory use contracts. Any questions regarding availability of contracts for a particular good or service should be directed to the local ASD procurement office. Districts/Divisions must purchase goods and services by issuing a purchase order in Cardinal against the appropriate contract.

ii. **Inventory Management System (IMS) –** VDOT maintains certain items in inventory. Districts must verify item(s) availability in the Inventory Management System before making purchases from another source. https://insidevdot.cov.virginia.gov/div/FIS/INV/IMS%20Manual/Forms/AllItems.aspx

iii. **Integrated Supply Service Program (ISSP)** – The Virginia Department of Transportation has entered into a contract with Management Consulting, Inc. (MANCON) to provide Warehousing Services to include inventory management, procurement, receipt, delivery, and warehousing of equipment repair parts and maintenance materials as well as road maintenance materials for all nine districts. The list of items provided, Master Commodities List (MCL), can be found at: https://www.mancon-vdot.com/web/ Items on the MCL must be obtained from MANCON. MANCON utilizes the VDC, VIB and other State Mandatory Contracts to meet VDOT's needs.

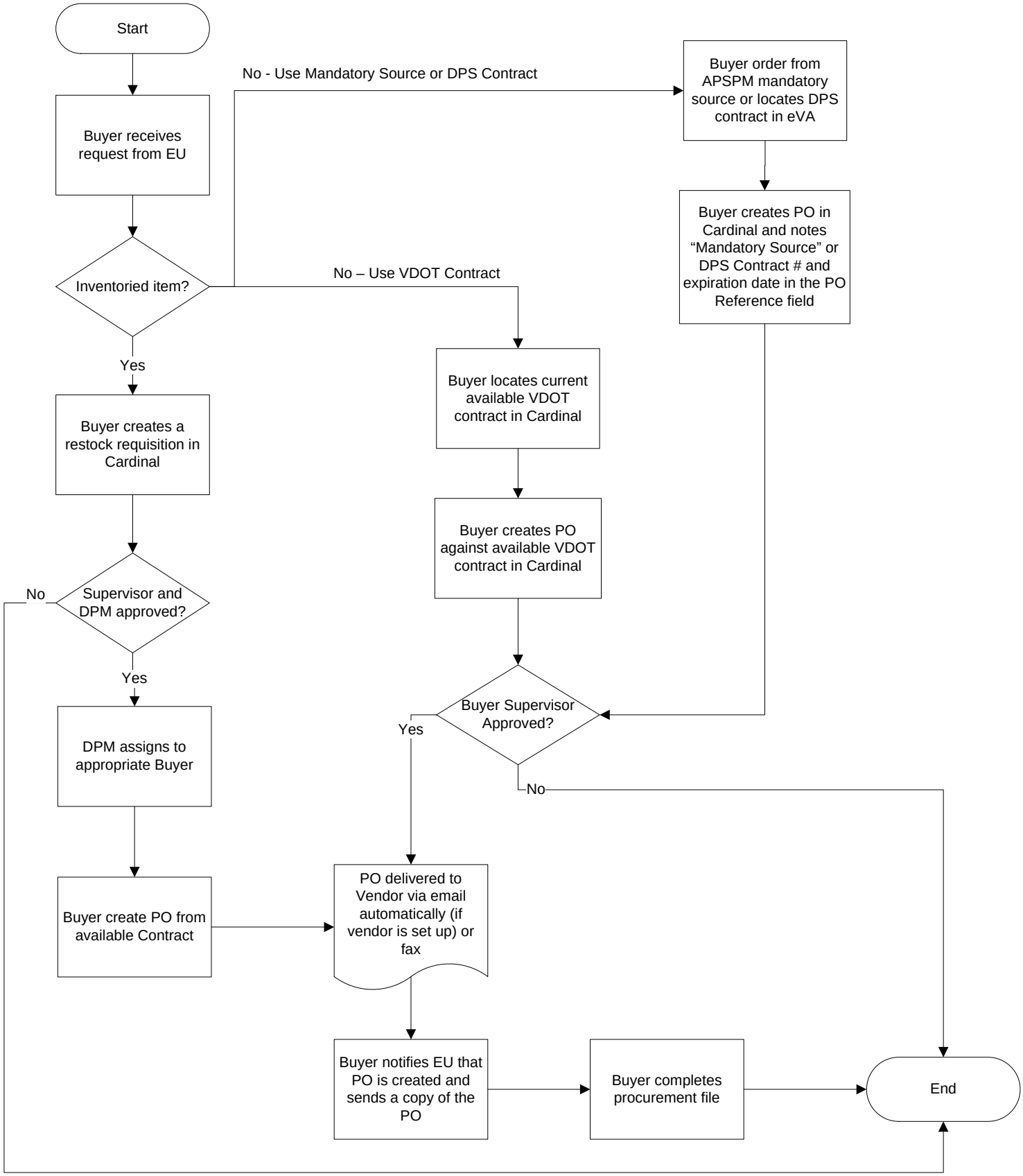
iv. **Central Office Supply Center (COSC) -** The COSC is a mandatory supplier of office supplies consumed by the Central Office Divisions. The online form for ordering supplies through the COSC can be found at: https://insidevdot.cov.virginia.gov/div/ADS/SC/SitePages/Home.aspx

For questions, contact Virgil Jones, Inventory Management Coordinator at: Virgil.Jones@vdot.virginia.gov or (804) 786-5605.

2.3 Waivers or Exemptions - When a mandatory source as defined by the APSPM or a VDOT mandatory supplier will not meet user needs, a waiver or exemption must be sought before procuring goods or services from another source. Requests to obtain a waiver or exemption to purchase goods or services from another source must be coordinated through the local ASD procurement office. If granted, a copy of the waiver will be attached to the Cardinal purchase order and included in the procurement file.

Effective through July 1, 2014, Virginia Distribution Center (VDC) has granted a waiver for VDOT to purchase certain items not to exceed $50. Please contact the local ASD Procurement Office for more information.

VDOT ASD Procurement	Attachment 2A Purchase from Mandatory Sources, DPS and VDOT Contracts	2013



SECTION 3

GENERAL PROCUREMENT POLICIES

3.1 **General** - The general procurement policies as indicated in the *APSPM* and *CPSM* shall apply. All requisitions, purchase orders and contracts shall be processed in VDOT's Cardinal system.

3.2 **Requests for Procurement:**

(a) All procurement requests for goods and services with an estimated dollar value greater than $5,000, except purchases made in accordance with Section 2 - Mandatory Sources, will be processed by the local ASD procurement office.

(b) A signed Procurement Approval Request Form ASD-15 (See Attachment 3A) is required for all new contracts and renewal of existing contracts with an anticipated value greater than $100,000. Anticipated value includes the dollar value of the initial contract term and all subsequent renewal periods.

(c) Procurement requests must be submitted via an approved Cardinal requisition and all supporting documentation should be attached to the Cardinal requisition including signed Procurement Approval Request Form ASD-15 if applicable. All approved requisitions will route to the local ASD procurement office for processing.

3.3 **Procurement File –** To ensure consistency, internal control and standardization in procurement processes and file documentation from contract initiation to award, the following forms are required to be used in all local ASD procurement offices:

(a) Document to File (DTF) Form ASD-03 (See Attachment 3B)
(b) IFB Checklist Form ASD-06 (See Attachment 6A)
(c) Two-Step IFB Checklist Form ASD-18 (See Attachment 6B)
(d) RFP Checklist Form ASD-02 (See Attachment 7A)

Standard, pre-printed file tabs will be used for all procurement files and files will be prepared in accordance with the applicable checklists. Proprietary information in the file should be segregated and labeled accordingly to ensure information is not disclosed in error. A file label/insert is available at:
https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Contract%20Templates/Forms/AllItems.aspx

Procurement files are available for inspection in accordance with the *Code of Virginia 2.2-4342.* Additional guidance can be found in Attachment 3C, *Vendors Ability to Review Procurement Files and Bidder/Offeror Request Inspection of Procurement File.*

3.4 **Media Inquiries –** All media inquiries regarding procurement should be referred to the Regional Procurement Manager and local VDOT Communications office.

3.5 **Contract Repository** – A contract repository has been established in SharePoint for statewide use. This provides a central location to store electronic copies of contracts and agreements procured through ASD. Contract Officers will upload all ASD contracts and pertinent information into SharePoint at: https://insidevdot.cov.virginia.gov/div/ADS/CCR/MasterContractListAndRepository/Forms/Upload%20View.aspx

3.6 **Small, Women-Owned, & Minority Businesses** – DMBE-Certified Small Business Waiver Request Form ASD-11 (See Attachment 3D) must be completed and submitted with appropriate documentation for approval by ASD SWaM Advocate and ASD Administrator prior to removing set-aside or small business subcontracting plan requirements as defined by *APSPM*.

For contracts awarded with a Small Business Subcontracting Plan (SBSP), SWaM Compliance Reports Form ASD-63 (See Attachment 3E) must be received from contractors every calendar quarter to demonstrate contract compliance. SBSP data will be entered into the SWaM Tracking Database by Contract Officers (District ASD Procurement Offices) and SWaM Advocate (Central Office ASD Procurement Office).

3.7 **Purchase Orders** – Purchase orders must be entered and approved in Cardinal prior to ordering goods or services. Purchase orders are required for all procurements except those excluded in APSPM Chapter 14.9 (b) and:

(a) SPCC purchases from mandatory sources or DPS contracts up to $5,000
(b) Goods up to $5,000 that are purchased online or by phone at district/division manager discretion

Purchase Order Changes – Purchase orders may be modified and in accordance with the *APSPM,* VDOT requires additional approvals on all purchase order changes that exceed 25% of the original value. These approval requirements have been incorporated into Cardinal workflow. Approvals must be received in advance of purchases made under a change order or contract modification and must include a justification for the change.

3.8 **Task Orders** - A task order is written authorization describing the detailed work or project to be performed under an established contract and purchase order. Task orders are only required if specified in the contract. When required, a purchase order must be

issued in Cardinal against the contract with an attached task order containing the details of the work.

The Contract Administrator (CA) is the individual responsible for preparing and authorizing task orders based on the scope of work and requirements set forth in the contract. Task orders with a dollar value over $100,000 must be reviewed and initialed by the Contract Officer prior to issuance. This is not for approval of the work but a checkpoint for high dollar task orders.

Task Order Changes - Only the CA is authorized to make changes to a task order. Any change must be made within the scope of the original contract. In addition, the purchase order must be modified to reflect task order changes.

3.9 **Moving and Relocation** – Procurements for these services associated with employment shall be in accordance with the Department of Accounts (DOA) Moving, and Relocation policy.
Link: http://www.doa.virginia.gov/Admin_Services/CAPP/CAPP_Topics/20345.pdf

3.10 **Recognition Policy** – Procurements to be paid from employee programs funding (employee recognition budget) must be authorized by the District Human Resources Manager (or HR staff designee) and in Central Office the Human Resources Division staff designated to approve such procurements.

3.11 **Travel, Lodging and Business Meals** – Any procurement that includes travel, meals, lodging, and/or business lunches or refreshments shall comply with DOA guidelines and VDOT travel guidelines available on the Fiscal Division teamsite at:
https://insidevdot.cov.virginia.gov/Docs/_layouts/WordViewer.aspx?id=/Docs/Documents/FD4TravelPolicy.docx

Attachment 3A
Administrative Services Division
Procurement Approval Request Form

A signed Procurement Approval Request Form (ASD-15) is required for all ***new contracts*** and ***renewal of existing contracts*** procured by the Administrative Services Division **over $100,000**.

EXEMPTIONS:

1) New contracts or renewals under $100,000 still require approval at the local level through Cardinal but do not require a signed ASD-15.
2) Six Year Improvement Plan related consultant services contracts and related task orders.
3) Emergency procurements related to the prevention of loss of life, limb, property, or essential services.
4) Stone and asphalt procurements

REQUIRED FOR:

1) All Contracts . . . new *and* renewals

2) Goods or non-professional services if total procurement value (award plus all possible contract renewals) is over $100,000.

3) All Consultant (professional) services *unless directly related to the Six Year Improvement Plan* if total procurement value (award plus all possible contract renewals) is over $100,000.

Subject to budget authority, the required levels of approval are as follows:

- Procurement value up to $250,000 — Assistant District Administrator or CO Division Administrator
- Procurement value up to $500,000 — District Administrator or CO Chief
- Procurement value over $500,000 — Director of Administrative Services Division

To obtain approval from the Director of Administrative Services Division, submit completed form, approved and signed by the District Administrator or CO Chief via e-mail as follows:

- District requests should be sent to the local District Procurement Manager who will forward to Lisa Pride, Director of ASD with a copy to Sandi Kackley, ASD Executive Assistant.
- Central Office requests should be sent to Lisa Pride, Director of ASD with a copy to Sandi Kackley, ASD Executive Assistant.

All approved and signed Procurement Approval Request Forms should be attached to the Cardinal requisition and forwarded to the ASD District Procurement Office or Central Office Procurement Office as appropriate.

Note that this approval is required prior to requesting a new contract or renewing an existing contract.

Attachment 3A
Administrative Services Division
Procurement Approval Request Form

Request Date: _____ Requesting Location: _____

Requestor's Name: _____ Requestor's Phone #: _____

1) What is the purpose of the good or service requested?

2) What service will be performed or items purchased?

3) Is this request for a new contract or contract renewal? _____
4) What total period of time is covered by the requested contract? _____
5) Estimated cost – for new contracts include the value of all renewal periods; for renewals include current period only: _____
6) What would be the consequences if this purchase is not approved?

7) Current contract # (if applicable): _____
8) What budget(s) will be used to pay for goods/service? _____
9) Is funding available within the current budget? _____
10) If applicable, does the current maintenance spend plan include funding for these goods/services? Yes ☐ No ☐
11) Are these goods/services part of any commitment for budget reduction? Yes ☐ No ☐
12) Additional justification supporting the necessity of the procurement request:

To be completed by authorized approver (see instructions)

Do you approve this request? Yes ☐ No ☐

Additional comments: _____

Asst District Administrator/CO Division Administrator (Up to $250,000):

Signature Printed Name Date

District Administrator/CO Chief (Up to $500,000):

Signature Printed Name Date

Director of Administrative Services Division (over $500,000):

Signature Printed Name Date

Attachment 3B

Form **ASD-03**
Rev 08/13

ADMINISTRATIVE SERVICES DIVISION
DOCUMENT TO FILE/MANAGER APPROVAL

Type of Solicitation	Requisition:
☐ Sealed	Purchase Order/Contract #:
☐ Unsealed	District/Division:
	Commodity:

☐	Addendum Approval		☐	Contract Renewal Over Delegated Authority
☐	All Bids Rejected		☐	Multi-District or Statewide Procurement
☐	Award During Protest		☐	Proprietary Specification
☐	Award to Other Than Lowest Responsive and Responsible Bidder		☐	Single Bid/Proposal Price Reasonableness
☐	Award to Other Than the Highest Ranked Offeror		☐	Sole Source Purchase
☐	Award Over Delegated Procurement Authority		☐	Solicitation Approval (All Types)
☐	Bidder/Offeror Determined Non-Responsible		☐	Two-Step IFB Written Determination
☐	Bidder/Offeror Determined Non-Responsive		☐	Use of Competitive Negotiation (RFP)
☐	Bidder/Offeror Mistake in Bid/Proposal		☐	Use of Liquidated Damage Clause
☐	Cancellation of Bids/Proposals		☐	Waiver of Informality
☐	Change Order Exceeding 25% (up to $50,000)		☐	Waiver of Posting of the Notice of Intent to Award
☐	Change Order Exceeding 25% (over $50,000)		☐	Waiver of Pre-Bid/Proposal Conference
☐	Contract Cancellation		☐	
☐	Contract Modification		☐	
☐	Contract/Purchase Order Terminated for Default		☐	Other _____

Contract Officer's Signature Date

Supervisor's Signature Date

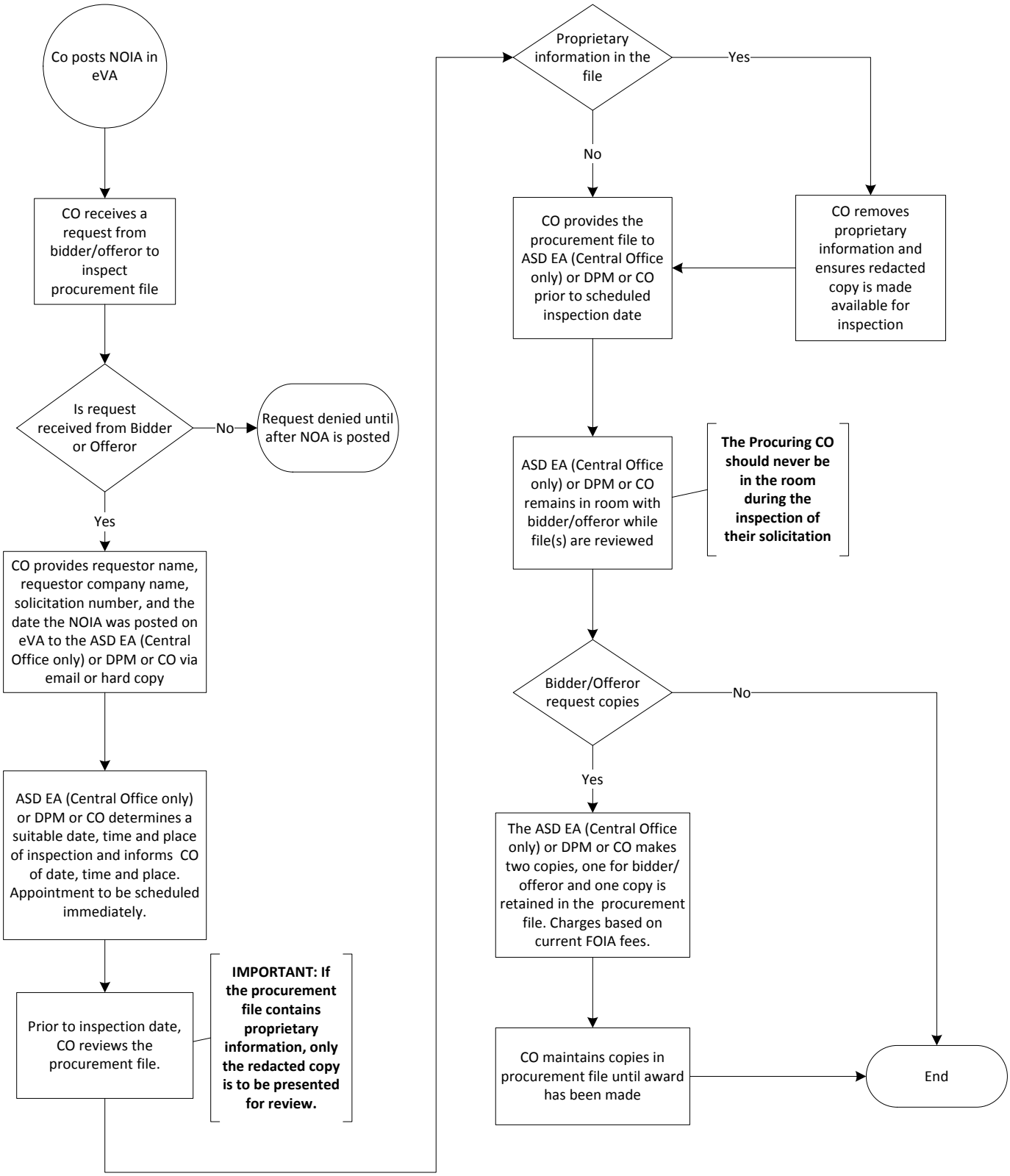
ADDITIONAL INFORMATION/COMMENTS

Regional Procurement Manager Signature (if required) Date

Director of Administrative Services Division (if required) Date

Approvals Required

- ❑ **Addendum Approval** (Requires approval of Central Office Procurement Manager or District Procurement Manager)
- ❑ **All Bids Rejected** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Award During Protest** [(See § 2.2 4362 VPPA) Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager, Director of ASD]
- ❑ **Award to Other Than Lowest Responsive and Responsible Bidder** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager and Director of ASD)
- ❑ **Award to Other Than the Highest Ranked Offeror** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager and Director of ASD)
- ❑ **Award Over Delegated Procurement Authority** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Bidder/Offeror Determined Non Responsible** (Approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Bidder/Offeror Determined Non Responsive** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Bidder/Offeror Mistake in Bid** (Requires approval of Central Office Procurement Manager or District Procurement Manager)
- ❑ **Cancellation of Bids/Proposals** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager and Director of ASD)
- ❑ **Change Order or Modification Exceeding 25% of Contract/Purchase Order for purchases up to $50,000** (Approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager and ASD Director)
- ❑ **Change Order or Contract Modification Exceeding 25% or $50,000 whichever is greater for purchases over $50,000** (Approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager, ASD Director, Commissioner, and DPS)
- ❑ **Contract Cancellation** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Contract Modification** (Requires approval of Central Office Procurement Manager or District Procurement Manager)
- ❑ **Contract/Purchase Order Terminated for Default** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager and Director of ASD)
- ❑ **Contract Renewal over Delegated Authority** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager as appropriate)
- ❑ **Multi-district or Statewide Procurement** (Requires approval of all affected District Procurement Managers prior to advertisement and award)
- ❑ **Proprietary Specification** (Contract Officer Documentation and approval by CO Procurement Manager or District Procurement Manager)
- ❑ **Single Bid/Proposal Price Reasonableness** (Requires approval of Central Office Procurement Manager or District Procurement Manager)
- ❑ **Sole Source Purchase** (If under $50,000 Director of ASD and if above $50,000 Chief of Administration then DPS)
- ❑ **Solicitation Approval - all types including eVA Quick Quote, IFB, RFP** (Requires approval of Central Office Procurement Manager or District Procurement Manager or Regional Procurement Manager)
- ❑ **Two Step IFB Written Determination** (Requires approval of Central Office Procurement Manager and Regional Procurement Manager and Director of ASD)
- ❑ **Use of Competitive Negotiation** [(RFP) Requires approval of Central Office Procurement Manager and Regional Procurement Manager and Director of ASD]
- ❑ **Use of Liquidated Damage Clause** (Requires approval of Central Office Procurement Manager or District Procurement Manager)
- ❑ **Waiver of Informality** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Waiver of Posting of the Notice of Intent to Award** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)
- ❑ **Waiver of Pre-Bid/Proposal Conference** (Requires approval of Central Office Procurement Manager or District Procurement Manager and Regional Procurement Manager)


Co posts NOIA in eVA
CO receives a request from bidder/offeror to inspect procurement file
Is request received from Bidder or Offeror
No
Request denied until after NOA is posted
Yes
CO provides requestor name, requestor company name, solicitation number, and the date the NOIA was posted on eVA to the ASD EA (Central Office only) or DPM or CO via email or hard copy
ASD EA (Central Office only) or DPM or CO determines a suitable date, time and place of inspection and informs CO of date, time and place. Appointment to be scheduled immediately.
Prior to inspection date, CO reviews the procurement file.
IMPORTANT: If the procurement file contains proprietary information, only the redacted copy is to be presented for review.
Proprietary information in the file
Yes
No
CO removes proprietary information and ensures redacted copy is made available for inspection
CO provides the procurement file to ASD EA (Central Office only) or DPM or CO prior to scheduled inspection date
ASD EA (Central Office only) or DPM or CO remains in room with bidder/offeror while file(s) are reviewed
The Procuring CO should never be in the room during the inspection of their solicitation
Bidder/Offeror request copies
No
Yes
The ASD EA (Central Office only) or DPM or CO makes two copies, one for bidder/ offeror and one copy is retained in the procurement file. Charges based on current FOIA fees.
CO maintains copies in procurement file until award has been made
End

DMBE CERTIFIED SMALL BUSINESS WAIVER REQUEST

DATE OF REQUEST: Click here to enter a date.

SET ASIDE WAIVER: ☐ SBSP WAIVER: ☐

SOLICITATION TITLE: _____ SOLICITATION #: _____

ANTICIPATED ADVERTISEMENT DATE: _____

COMMODITY CODE: _____ ESTIMATED VALUE: _____

DISTRICT/DIVISION: _____ LOCATION/RESIDENCY: _____

PROCUREMENT OFFICER: _____ PHONE: _____

1. Has this service/commodity been solicited previously? (Y/N) Choose an item.

   Solicitation #: _____ Date: Click here to enter a date.

   What was the result of the previous solicitation? (Check appropriate box)

   Set Aside: ☐ SBSP: ☐

   Readvertised: ☐ Cancelled: ☐ Awarded: ☐

   Provide explanation:

2. Have you performed a search on DMBE's website for vendors registered in this commodity? (Y/N) Choose an item.

   Search date: Click here to enter a date.

   How many identified? Choose an item.

Procurement Manager Recommendation:

Approve ☐ Deny ☐ Signature: _____

DMBE Certified Small Business Advocate Recommendation:

Approve ☐ Deny ☐ Signature: _____

Comments:

Division Administrator:

Approve ☐ Deny ☐ Signature: _____

Comments:

DEPARTMENT OF TRANSPORTATION
INSTRUCTIONS FOR
SWAM COMPLIANCE REPORT

The Prime Contractor is required to submit a SWaM Compliance Report to the Contract Officer on payments made to all subcontractors as specified in Small Business Subcontracting Plan in the Special Terms & Condition to include Small, Women-owned and Minority-owned Business Enterprises (SWaM) certified by DMBE and non- SWaM businesses for the designated quarterly reporting period if required. All amounts paid to certified SWaM businesses are subject to monitoring and enforcement mechanisms. It is the responsibility of the prime contractor to provide evidence of SWaM payments in response to the small business plan provided in the solicitation for this contract.

The instructions below correspond to each item on the report. Please follow the instructions.

1. **Contractor/ Tax I.D. No**. enter the complete name of the prime contractor and their federal tax identification number.
1a. **Contract Name** indicate the name of the contract as it appears on contract documents
1b. **District** indicate the VDOT responsible district where the contract is being performed. See list of districts in these instructions
1c. **Contract No.** provide contract number
2. **Period Ending** indicate the reporting period based on the Reporting Schedule listed in these instructions
3. **Subcontractor/Vendor Telephone Number and Certification Number** enter the names of all subcontractors and suppliers that participate on this contract whether SWaM or not if required. For SWaM vendors please provide the certification number provided by the Virginia Department of Minority Business Enterprise (DMBE)
4. **Tax I.D. No.** insert the tax identification number of the vendor that appears in the preceding column
5. **SWaM Category S,W,M, None** indicate the SWaM status of each vendor identified as a subcontractor or vendor. This number is issued by DMBE and can be located on their website at www.dmbe.virginia.gov.
6. **Subcontract Amount** indicate the subcontract amount for any vendor listed on this form.
7. **Subcontractor Payment** this section identifies the prime expenditures to vendors listed on this form for SWaM vendors on contracts valued at or above $100,000 and non-SWaM vendors for contracts valued at or above $200,000.
7a. **This Quarter** indicate the amount paid to each subcontractor per reporting period. If no payments were made during this period enter $0.
7b. **Year to Date** summarizes all payments made to the vendor to date.
8. **Type of Work or Commodity** indicate scope of work or commodity acquired from the subcontractor

Effective October 5, 2007 all Form ASD-63's for a particular reporting period shall be submitted preferably in an electronic format to the Contract Officer or responsible district personnel by the dates of each calendar year.

REPORTING SCHEDULE

QUARTER	REPORTING PERIOD	DATE DUE TO CONTRACT ADMINISTRATOR
1st	July 1 – September 30	Five(5) working days after the reporting period
2nd	October 1 – December 31	Five(5) working days after the reporting period
3rd	January 1 - March 31	Five(5) working days after the reporting period
4th	April 1 – June 30	Five(5) working days after the reporting period

If the submittal date falls on a weekend/holiday, the forms shall be submitted to the VDOT Contract Officer on the following business day.

DISTRICTS

Central Office	Hampton Roads
Bristol	Fredericksburg
Salem	Culpeper
Lynchburg	Staunton
Richmond	NOVA
Statewide	

Attachment 3E

ASD-63
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SWAM COMPLIANCE REPORT

(1) Contractor/Tax I.D. No. _____ **Page** _____ **of** _____

(1a) Contract Name _____ **(1c) Contract No.**_____ **(2) Period Ending** _____

(1b) District _____

(3) Subcontractor/ Vendor Tele No., Certification No.	(4) Tax I.D. No.	(5) SWaM Category S, W, M, None	(6) Sub-Contract Amount	(7) Subcontractor Payment		(8) Type of Work or Commodity
				(7a)This Quarter	(7b) To Date	

All amounts paid to subcontractors/vendors are to be reported and submitted by VDOT's quarterly submittal schedule. See instructions

I/We under penalty of law that the information provided herein is accurate, current and complete to the best of my/our knowledge.

Signature and Title of Company Official _____ Date _____

Print Name and Phone No. of Individual Completing Report _____

SECTION 4

GENERAL PROCUREMENT GUIDELINES & PLANNING

4.1 **Procurement Checklist –** The Procurement Checklist Form ASD-17 (See Attachment 4A) provides general information for Divisions and Districts relevant to documentation needed for each procurement request. The form should be used for general guidance when gathering documents needed to submit with the procurement request.

4.2 **Lead Time** – Generally, a minimum of 45 days is required to solicit bids or 90 days to solicit proposals and establish a contract. This may vary depending on the complexity of the procurement. This time period does not include the planning process.

4.3 **Preparing the Written Solicitation** – All procurement requests above the district or division authority-level must be submitted to the local ASD procurement office by entering and approving a requisition in Cardinal. Attach signed Procurement Approval Request Form ASD-15 if greater than $100,000, Specification/scope of work, Supplemental Requisition Form ASD-30 (See Attachment 4B), and/or any special terms specific to the need as applicable.

(a) **Federal Funds** – Procurements that are federally funded, in whole or partially, have additional requirements and approvals. Refer to Federal Funding Procedures in Attachment 4C.

(b) **Road Maintenance Projects** - Guidance has been established by Construction Division and ASD on deciding which division will procure certain road maintenance projects. The Decision Tree document is at Attachment 4D and at the following link: https://insidevdot.cov.virginia.gov/div/ADS/CM/Source%20Documents%20for%20Hyperlinks/ASDorCD.pdf

(c) **Templates** - Contract templates have been approved for use when procuring certain commodities. These templates may not be changed without approval from the Regional Procurement Manager and Contracts Section of the Maintenance Division. Templates can accessed at this link: https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Contract%20Templates/Forms/AllItems.aspx

(d) **Contract Types**

i. **Requirements Contracts** - All requirements contracts will include an estimated quantity based on the work to be performed. Use the

word "estimated" when referring to quantities that are uncertain, *not* "approximate".

ii. **Time and Materials Contracts (T&M)** – Generally, T&M contracts are difficult to administer and may have higher costs and require more resources to manage. As a result, the use of T&M contracts must have written approval of the District or Division Administrator. The written approval will be part of the procurement file documentation.

iii. **Construction** – Procurement of general construction services for facility repair and maintenance where architectural engineering design services are *not* required is conducted in accordance with *APSPM* guidelines for non-professional services. Note the Facility Manager must ensure drawings, if required, have been reviewed, approved, and signed by the Assistant Director of Capital Outlay prior to soliciting bids. Approved drawings, if required, must be submitted with scope of services to the local ASD procurement office for procurement processing.

Construction projects without an A/E are mainly limited to:

- Roof replacement limited to less than 25% of roofing area
- Replacement in kind of steep-slope (4/12) asphalt shingle roofing
- Ordinary repairs & maintenance (does not require a building permit)
- Replacement in kind (does not require a building permit)

Procurement of professional and construction services for Capital Outlay and Maintenance Reserve Projects which require architectural engineering design services is governed by the rules of the *Construction and Professional Services Manual (CPSM)* and procured by ASD Capital Outlay. Please refer to Section 15 of this manual for guidance.

(e) Specification and Scope of Work – Words like "similar" or "like" shall be replaced with statements that *accurately* define the item or service. Example: The contractor shall have had previous experience in furnishing drawbridge operators. Some other things to consider when developing specifications include:

i. I**nformation Technology (IT) and Telecommunications** – Requests to procure IT goods and services are processed by submitting an IT-96 to VDOT Technology Procurement mailbox.

For certain IT goods and services, ASD may be delegated authority by VDOT Information Technology Division (ITD) to process the procurement. In these instances, ASD Contract Officers will work closely with VDOT Information Technology Division (ITD) Contract Administrator and/or Project Manager to ensure that the procurement is conducted in accordance with policy and procedures for review of technology procurements, agreements, or contracts for amounts exceeding $100,000 as defined by the Secretary of Technology and Virginia Information Technologies Agency (VITA).

ii. **Materials** - All materials purchased by VDOT and all materials purchased by Contractors for use in construction and maintenance work must be approved by the Materials Division, or its authorized representative, before they may be used. For specific information: http://www.virginiadot.org/business/materials-download-docs.asp

iii. **Road and Bridge Specifications -** A book of Specifications that is standard for all contracts awarded by the Commonwealth Transportation Board. Excerpts of section can be taken from the book in developing goods or services contracts. http://www.virginiadot.org/business/const/spec-default.asp

iv. **Road and Bridge Standards -** There are two volumes of detailed drawings and specifications that can be used in goods and services solicitations. http://www.virginiadot.org/business/locdes/road-and-bridge-standards.asp

v. **Safety Equipment -** VDOT's Safety and Health Division issues all specifications for safety equipment such as personal protective equipment, hazard labels, extinguishers and other safety items. No changes or modifications shall be made to the safety equipment for VDOT employees use without written permission from the Division Administrator of Safety and Health or designee. All safety equipment issued under the MANCON contract is in accordance with current federal/state safety regulations, codes and national standards and specifications.

vi. **Traffic Control Devices** – Traffic Engineering has a listing on VDOT's external site of Traffic Control Devices that are approved. Information can be accessed at:
http://www.virginiadot.org/business/trafficeng-productlists.asp

vii. **Work Area Protection Manual** – These standards and guidelines for temporary traffic control within the VDOT right of way must be

included in all contracts where traffic control is required. Manual and additional information may be accessed on the VDOT Internet site at: http://www.virginiadot.org/business/trafficeng-WZS.asp

viii. **Equipment with Operator**

(1) **Snow Removal Services –** These services will be procured using competitive bidding processes or Maintenance Division M7B "Hired Equipment" program. Specific information related to the M7B program can be found in Maintenance Division Best Practices Manual (BPM): https://insidevdot.cov.virginia.gov/div/maint/MTNP/MPLG/Best%20Practices%20Manual%20July%2030%202010/Best%20Practices%20Manual,%20July%2030,%202010.pdf

(2) **Other Equipment Services** – These services will be procured using competitive bidding processes.

(3) **Equipment Inspections** – Inspections may be required prior to contract award. Vendor Qualification/Equipment Certification Form ASD-08 (See Attachment 4E) should be included in solicitations when such inspections are required. Only equipment listed should be inspected and verification of ownership, lease, rental or subcontracted status will be confirmed prior to award.

ix. **Tree Pruning and Removal Services –** Procurement of tree pruning and removal services is processed by Central Office ASD Procurement Office. There is a policy that governs tree pruning and removal operations on VDOT right-of-way by employees, agents, and contractors that has been approved by the CTB and implemented by Maintenance Division for use in developing contracts.

x. **Aggregates**

(1) **Delivered –** Statewide needs are advertised and awarded on a two-week cycle. District requests are submitted via an approved requisition in Cardinal which will be routed to the Central Office ASD Procurement Office to consolidate all needs and issue one solicitation.

(2) **Free on Board (FOB)** – Purchases picked up from local quarries by VDOT will be processed by the local ASD Procurement Office using proper purchases procedures. Refer to Section 8, Sole Source for more information.

xi. **FOB Asphalt and Ready-Mix Concrete**
Purchases will be processed by the local ASD Procurement office using proper purchases procedures. Refer to Section 8, Sole Source for more information.

(f) Other Considerations

i. **Complex and non-routine procurement** – Some procurement requires more in-depth analysis and planning to ensure the resultant contract meets user needs and can be administered effectively. Refer to Attachment 4F for *Guidance in Procurement Planning for Complex, Non-routine Contracts* for more information and questions to consider during the procurement planning.

ii. **Pre-bid or Pre-proposal Conferences** – Unless a waiver is requested and approved on the DTF Form ASD-03 for procurements over $100,000, ASD will conduct conferences/site visits when the procurement is for complex or critical requirements or determined to be beneficial by the Contract Officer. A technical representative provided by the requestor will be present at all conferences.

iii. **Insurance** - Any contract that requires insurance will include the appropriate terms and conditions in the solicitation. For each type of insurance required by the contract, Contract Officer will obtain a copy of the insurance certificate and related endorsement which names the Commonwealth of Virginia as an additional insured with respect to the contract.

iv. **Security (CII/SSI)** – The procurement of goods or services that may present a security risk by the access to Critical Infrastructure (CI) and/or release of either Critical Infrastructure Information (CII) or Sensitive Security Information (SSI) must include VDOT special term and condition, *Security Requirements*, and comply with Department Memorandum (DM) 1-25 on the Criminal History Record Check program.

4.4 **Debarment, Enjoinment, Prohibited and Suspended Listing** – Prior to award of any contract, Contract Officers must check the state and federal listing to ensure bidder/offeror can be awarded a state or federally funded contract. The state debarment, enjoinment prohibited listing can be accessed here: http://www.eva.virginia.gov/

The federal suspended and debarment listing can be accessed here: https://www.epls.gov. At the home page, select the search box to the left "browse all parties", you can get that "A-Z" listing.

Attachment 4A

ASD-17
Rev 08/13

PROCUREMENT CHECKLIST

Refer to the checklist below as a guideline when preparing your requests. All supporting documentation must be included when submitting your request to Procurement.

Purchase Order
Used when threshold limit is over $5,000 and contract is not in Cardinal

Quick Quote
Used for non-contract items with threshold limit of $5,000 - $100,000

IFB
Used for contracts with renewals

IFB 2-Step
Used for contracts requiring technical evaluation and competitive bidding

RFP
Negotiating with offerors as distinguished from competitive bidding in IFB process.

Sole Source
Used when there is only one source practicably available for goods or services.

Emergency
Used when an occurrence of a serious and urgent nature demands Immediate action.

	Purchase Order	Quick Quote	IFB	IFB 2-Step	RFP	Sole Source	Emergency
Requisition Must be approved in Cardinal	✓	✓	✓	✓	✓	✓	✓
Quotes	✓					✓	✓
Suggested Vendors		✓	✓	✓	✓	✓	✓
Specifications A detailed scope of work/statement of needs		✓	✓	✓	✓	✓	
ASD 30			✓	✓	✓	✓	
Pre-Bid / Site Visit/Pre-Proposal conference			✓	✓	✓		
Procurement Approval Form Procurements > $100,000			✓	✓	✓	✓	
Sole Source Form Letter from Vendor.						✓	
Declaration of Emergency Form							✓

Attachment 4B

Supplement Form for Requisitions *(Attach to Cardinal Requisition)*

Date:		Requisition #:	
District/Residency/Division:			
Description of Commodity or Service:			
Contract Administrator (CA):			
CA Email Address:	@vdot.virginia.gov	CA Phone #:	
		CA Fax#:	
Additional Contact Name:		Additional Contact Phone #:	
Contract Period:		#of Renewals:	
Estimated Value: (Initial Period)	$	Estimated Total Value: (initial period + renewals)	$
Pre-Bid/Proposal Conference:	☐ Yes ☐ No	Mandatory:	☐ Yes ☐ No
Conference Location:			
Current Contract Exist for this Commodity/Service:	☐ Yes ☐ No	Contract #:	
Expiration Date:		Contractor Name:	
Funding Source(s):	☐ Maintenance ☐ Construction ☐ Federal	Federal Project #:	
Ship To:		Invoice To:	
Suggested Vendors:			

FEDERAL FUNDING PROCEDURES
ASD Invitation for Bids (IFB)/Request for Proposals (RFP)
Utilizing federal funds

1. End User (EU) determines work is federally eligible and completes the ASD-15 Procurement Approval Request Form (if applicable) and obtains appropriate approvals to begin procurement.

2. EU enters project into Project Pool, submits initiation request, and Programming Division-Finance Section (PMD Finance) establishes a Universal Project Code (UPC).

3. EU updates Project Pool, assigns Phase Job Numbers, and updates the Integrated project Management system (iPM) as appropriate and obtains Environmental and Right Of Way clearance.

4. EU submits "Scope of Work" or "Statement of Needs" to the Federal Highway Administration (FHWA) for preliminary review and final eligibility and participation concurrence.

5. FHWA provides written email confirmation of concurrence. NOTE: This is not permission to advertise the project.

6. The Program Management Division – Federal Section (PMD Federal) assigns a federal project number based on approved "Scope of Work" or "Statement of Needs"

7. The EU develops and uploads budget estimate into the Project Cost Estimating System (PCES). The EU works with the Regional Operations Business Administrator (ROBA) or Assistant District Maintenance Engineer (ADME) to send Funding Transfer (PD-24) form to Program Management Division – Program Section (PMD Program). PMD Program verifies funding on transfer is available and works with the Financial Planning Division and Fiscal Division to complete funding transfer.

8. The EU enters requisition in Cardinal and uploads/attaches the following documents to the requisition in Cardinal:
    a. Approved ASD-15 Procurement Approval Form (if applicable)
    b. ASD-30 Supplement Form For Requisitions
    c. "Scope of Work" or "Statement of Needs" with FHWA approval
    d. Cost Estimate
    e. Federal Criteria Sheet and supporting documentation (*see pages 6* & 7)

ASD Procurement Process Begins

9. ASD Regional Procurement Manager (RPM) or Central Office Procurement Manager (COPM) assigns a Contract Officer (CO) to handle the procurement. The CO works with the EU to develop and finalize the solicitation. See additional information on page 7 and at the links below.

   VDOT forms
   https://insidevdot.cov.virginia.gov/Search/Pages/FormsResults.aspx?k=Vdot%20Forms&r=fsdivision%3D%22ARcBU2NoZWR1bGluZyBhbmQgQ29udHJhY3QKZnNkaXZpc2lvbgECXiICliQ%3D%22

   List of Federal Specifications required for federally funded construction projects (Guide 2 _Check_List-Fed_Funds – the 6th option down)
   https://insidevdot.cov.virginia.gov/div/sc/Design/Specs/2007/2007_Standard_Specifications/Forms/AllItems.aspx

10. ASD CO verifies items as noted on Page 7 and forwards complete package to the Civil Rights Division (CRD) for Disadvantaged Business Enterprise (DBE) goal determination. CRD sets DBE goals for all federal projects including locally administered projects and includes all DBE related documents to be included in the solicitation.

    List of forms required for Civil Rights Division ("Required Contract Provisions and Forms Matrix") may be found on page 9 of this document.

11. CRD sends information back to ASD CO with DBE goal, any civil rights contract language needed, and verifies that correct forms are included in the solicitation.

12. ASD CO submits package to PMD Federal with copy to FHWA, SWaM Advocate (SA) and EU.

13. PMD Finance verifies funding is programmed in "Live Six Year Plan (SYP)" and obtains Chief of Planning and Programming (CoPP) approval. PMD Finance sends copy of the Approved PD4 Funding Verification to EU and ASD CO.

14. PMD Federal programs federal funds, processes authorization request in the Federal Management Information system (FMIS), and retains complete package, which includes the final RFP/IFB solicitation.

15. FHWA reviews authorization requests and approves in FMIS.

16. PMD Federal reviews daily FMIS approvals and will notify ASD CO of approval for advertisement. FMIS data automatically downloads into the Project Pool.

17. ASD CO prints Federal-Aid Project Agreement from Project Pool and advertises RFP/IFB (Note: pre-bid/proposal conference and/or solicitation closing date may change).

18. ASD CO receives and reviews bids/proposals.

19. For IFBs with an aspirational DBE goal, ASD CO evaluates bid package and determines lowest responsive, responsible bidder. Proceed to Step 25.

    For IFBs with a firm DBE goal, ASD CO forwards bid package of apparent lowest responsive, responsible bidder to CRD. Proceed to Step 22.

20. For all RFP and 2-step IFBs, ASD CO sends all SWaM attachments, signature page and cost if applicable to the SA for evaluation and scoring. SA provides scoring for SWaM evaluation to the ASD CO.

21. For all RFP and 2-step IFBs with a firm DBE goal, ASD CO sends proposals to CRD for evaluation after SA review.

22. CRD reviews bids/proposals and provides results of DBE evaluation to ASD CO.

23. ASD CO notifies bidder/offeror if bid/proposal does not meet DBE goal. CRD schedules Good Faith Effort (GFE) panel hearing as required. CRD communicates panel decision to ASD CO. If GFE is met then ASD CO will proceed. If not met, then CO evaluates the next bidder/offeror.

24. For RFP and 2-step IFBs, ASD CO meets with evaluation team and conducts oral presentations (RFP) and/or negotiation sessions as needed.

25. ASD CO verifies funding with EU and the EU approves lowest responsive, responsible bidder or selected offeror.

26. ASD CO submits award request package to PMD Federal and copy FHWA for processing and FHWA concurrence.

27. If award amount is higher, PMD Federal will request PMD Finance to obtain CoPP approval. PMD finance will coordinate with PM on transfers and PMD Program will process the transfer request per PD24 submittal. PMD Federal requests and receives FHWA approval for award and notifies ASD CO and EU.

28. ASD CO posts the Notice of Intent to Award in eVA.

29. ASD CO submits Title VI documentation to CRD.

30. EU prepares resolution for Commonwealth Transportation Board (CTB) approval, if required.

31. If CTB does not approve, ASD makes adjustments required and EU resubmits for CTB approval.

32. If CTB approves, ASD posts Notice of Award in eVA and notifies EU and PMD Finance.

33. PMD Finance and Fiscal opens UPC to charges.

Key:

ADME – Assistant District Maintenance Engineer
ASD – Administrative Services Division
COPM – Central Office Procurement Manager
CoPP- Chief of Planning & Programming
CRD – Civil Rights Division
CTB - CommonwealthTransportation Board
DBE – Disadvantaged Business Enterprises
EU – End User
FHWA – Federal Highway Administration
FMIS – Federal Management Information System
GFE – Good Faith Effort
IFB – Invitation for Bid
iPM – Integrated Project Management (System)
OPC – Operational Project Code
OPD – Operations Planning Division
PCES – Project Cost Estimating System
PMD – Program Management Division
PE- Preliminary Engineering
RFP – Request for Proposal
ROBA – Regional Operations Business Admin
RFR – Request For Requirements
SA – SWaM Advocate
SBSP – Small Business Subcontracting Plan
SWaM – Small, Woman, and Minority
SYP- Six Year Plan
UPC – Universal Project Code

VDOT Program Management Division Contacts

Finance Section Contacts:

Hampton Roads, Bristol, Fredericksburg, Statewide: Armenta Delaney (Team Leader), Agnes Scott
Richmond, Staunton: Tina Willis (Team Leader), Linda Harris
Nova, Salem: Deneka Gary-Parham (Team Leader), Sophia Houchens
Lynchburg, Culpeper: Nutan Pande (Team Leader), Linda Harris, Sophia Houchens

Copy: Yolanda Newton
Program Management Division - Finance Section Manager

Federal Section Contacts:

Hampton Roads, Bristol, & Fredericksburg: Charnelle Kelly, Team Leader; VACANT, Team Member
Richmond, Staunton: Iris Winfield, Team Leader; Tracy Mayo, Team Member
NoVa, Salem, & Statewide: Angela Wofford, Team Leader, Shelley Christian, Team Member
Lynchburg & Culpeper: Chantell Mahmood, Team Leader, Team Members: Shelley Christian (Culpeper) & Tracy Mayo (Lynchburg)

Copy: Deborah A. Grant
Program Management Division - Federal Section Manager

Program Section Contacts:

Hampton Roads, Bristol, & Lynchburg: Bernie Campbell
Richmond, Staunton: Monique Bailey
NoVa, Culpeper: Karen Smith
Fredericksburg, Salem: Karen Strickler

Copy: Craig Ahlin
Program Management Division - Program Section Manager

FEDERAL CRITERIA SHEET

WORK TO BE ACCOMPLISHED BY:

VDOT STATE PROJECT#:

FEDERAL PROJECT #:

UPC: 000

_____ _____

Signee Date

I certify for the subject project the following critical items have been checked and that we are advertising Federal Aid Projects in accordance with Federal Aid Requirements.

1. An approved environmental document and all identified environmental commitments have been included into the plans and proposals.

2. All permits have been obtained.

3. All design is in accordance with appropriate design criteria.

4. All Right of Way is clear or will be clear prior to project execution, R/W Certificate.

5. All Utility and Railroad relocations and certification have been included appropriately, or satisfactory arrangements have been made.

6. The project meets the requirements of VDOT's Public Involvement Manual (approved by FHWA) in regards to the public hearing process.

7. All appropriate Federal Aid Project information, including Minimum Wage Rates and EEO provisions have been included.

8. Hazardous wastes have been identified when appropriate, and provisions are provided within the proposal for their safe disposal.

11-Point Checklist

Note: Approvals from Divisions listed below must be documented and attached to the Federal Criteria Form when submitting to the Programming Division.

Local Administered Project's Bidding document ((include Davis Bacon, Federal Provisions, no negotiation clause in accordance with CFR 635.113 if Federal Participating) (and testing of materials if applicable, payment method, and special provisions)) must be reviewed.

The following must be addressed before advertisement and Federal Agreement obtained on Federal Participating Projects.

1. Environmental Study and Document produced and Form EQ200 (Federal Participating Projects) which is the overall document indicating all Environmental issues have been addressed. Include document type and approval date.
2. Waterway Permit (if applicable) must be obtained or noted as not needed. (Environmental Division)
3. Design criteria must be provided on Form LD442. (Location & Design Division)
4. Right-of-Way Certificate indicating it is clear (can be a letter from a Local Government indicating all needed Right-of-way has been purchased). (Right of Way Division) [Should include R/W Certificate type and clearance date]
5. Utilities and Railroad relocations must have a satisfactory arrangement made. (Right of Way and Utilities)
6. Notice of Public Hearing must be posted and/or already held. (Location & Design Division)
7. Davis Bacon Wage Rates (Federal Participating Project) and EEO provisions must be included. (Civil Rights Division)
    a. C-104
    b. C-105
    c. C-111
    d. C-112
    e. Davis-Bacon Act – Predetermined Wage Rates
    f. C-48 (Subcontractor/Supplier Solicitation and Utilization Form
    g. C-49 (DBE Good Faith Efforts Documentation)
    h. SF010CF-0309 - FHWA 1273 (Required Contract Requirements Federal-Aid Construction Contracts)
    i. S102C0B-0702 – Use of Domestic Material
    j. SF01AF-0702 – Required Contract Provision Federal Aid Construction Contracts
    k. SF030AF-0708 - Executive Order 11246 (Requirement For Affirmative Action To Ensure Equal Employment Opportunity
    l. S107HF1-0211 – Road and Bridge Specification Special Provision 107.15 - Use of Disadvantaged Business Enterprises
8. Hazardous Wastes removal must be addressed (if identified in the Environmental Documents). Environmental Division
9. Prove that project is within STIP-TIP-MPO which ever applies. (Provided by End User to Programming Division and Construction Division)
10. Allocated Funds are sufficient to construct project. (OPD24 for Program 604 Projects)
11. Current Estimate (Uploaded into PCES)

Contract Officer responsibilities for Federal Funded Solicitations

1. Upon being assigned an IFB/RFP, determine/verify if federal funds are to be used.

2. Incorporate the appropriate forms listed on page 7 into the IFB/RFP and forward the IFB/RFP to Civil Rights Division for review and concurrence. Civil Rights Division must review all IFBs/RFPs to ensure appropriate language is incorporated into the solicitation.

3. Federal forms must be included in the IFB/RFP. Contact Wayne Fedora at FHWA r.wayne.fedora@dot.gov or 804-775-3344 with questions about federal forms to be included in the IFB/RFP.

   Below are some helpful links to federal forms/guidelines.
   http://www.fhwa.dot.gov/programadmin/contracts/coretoc.cfm FHWA core curriculum manual

   http://www.fhwa.dot.gov/programadmin/contracts/1273.cfm 1273 web address

   http://www.fhwa.dot.gov/programadmin/contracts/core02.cfm#s2B02 DBE requirements

   Note: The IFB/RFP must be approved by FHWA and the Programming Division prior to advertising. Failure to obtain the appropriate approvals will cause the IFB/RFP to lose federal funding automatically.

Civil Rights Division Required Contract Provisions and Forms

	Applicable with Funding Source		Non-Professional Services RFP or IFB		Professional Services RFP or IFB		Required in contract
Document	**Federal**		**With Goal**	**W/O Goal**	**With Goal**	**W/O Goal**	
FHWA 1273	●		●	●			●
EO 11246	●		●	●			●
USDOT 1050.2 Title VI Assurance Appendix A	●				●	●	●
Form C-28 - Basic Hourly Rate Paid By Contractor	●		●	●			
Form C-48 - Subcontractor/Supplier Solicitation and Utilization Form	●		●				●
Form C-49 - DBE Good Faith Efforts Documentation	●		●		●		●
(WH-347) Certified Payroll	●		●	●			
Form C-56 (WH-348) - Statement of Compliance	●		●	●			
Form C-57 -Highway Construction Contractors Monthly EEO Report	●		●	●			
Form C-58 - Notice on Title 18 US Code Section 1020	●		●	●			
Form C-59 - Wage Rate Information	●		●	●			
Form C-61			●		●		
Form C-63 - DBE/SWaM Payment Compliance Report	●		●	●	●	●	
Form C-64 - EEO Information Request	●		●	●			
Form C-111 - Minimum DBE Requirements	●		●		•		●
Form C-112 Certification of Binding Agreement	●		●		•		●
Firm Data Sheet	●				●	●	●
Title VI Evaluation Report	●				●	●	
Davis-Bacon Prevailing Wage Rates	●		●	●			●
Section 107.13 - Labor and Wages of the 2007 Virginia Road and Bridge Specifications			●	●			•
Special Provision for Section 107.15 Use of Disadvantaged Business Enterprises (DBEs)	●		●				●
DBE Policy Statement	●		●	●	●	●	●

DECISION TREE

Do I use the Administrative Services Division (ASD) or the Construction Division (CD) for my contract?

To help you decide whether to work with ASD or CD, this document provides a:

- Description of CD and ASD contracts.
- Guidance to walk you through the defined decision points.
- List of specific examples to provide further clarity.
- List of contacts if you still are unsure of whether to work with CD or ASD.

DESCRIPTION

CD Contracts

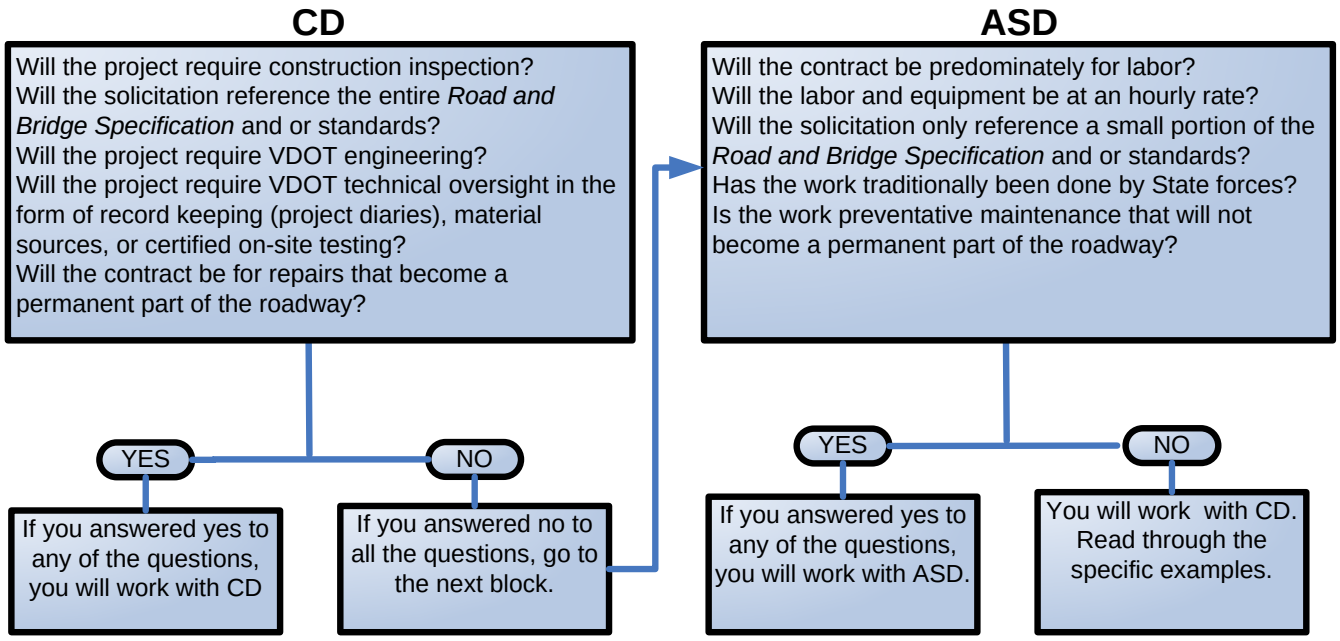
Contracts by CD are generally for transportation-related projects funded by federal or State money. All CD contracts are governed by the Virginia Public Procurement Act (VPPA), follow the current *VDOT Road and Bridge Specifications*, and follow the Concurrent Engineering Process or Special Advertisement and Award Process (*SAAP) Manual*. These contracts are generally awarded based on unit prices. Solicitations for CD contracts are in the form of Invitation for Bid (IFBs) and are only sent to VDOT pre-qualified contractors. CD advertises their IFBs twice each month according to a fixed schedule.

ASD Contracts

ASD contracts are generally for goods and services. ASD contracts are also governed by VPPA but follow the *Agency Procurement, Surplus Property Manual* (APSPM), and the *Vendor's Manual*. Solicitations are in the form of IFBs or Requests for Proposal (RFPs) and are open to public bid. Currently, ASD solicitations can be advertised at any time.

DECISION TREE

For the most part, there is a clear distinction between the types of contracts issued by the Construction Division (CD) and the contracts issued by the Administrative Services Division (ASD).



A printed document may not be the most recent version. See the ASD Procurement and Contract Management team site on InsideVDOT for the most current version.

Attachment 4D

SPECIFIC EXAMPLES

Use CD for:	Use ASD for:
▪ All projects for the construction maintenance, or repairs and improvement of the roads. ▪ Bridge repair including shotcrete. ▪ Construction contracting. ▪ Drainage improvements. ▪ Federally funded transportation projects (labor, equipment, and materials to complete a turnkey job). ▪ Fencing installation and repairs for right of way. ▪ Guardrail including on-call repairs. ▪ Landscape installation contracts. ▪ On-call contracts that become a permanent part of the roadway. ▪ Paving roadway more than 500 contiguous feet ▪ Pipe restoration and under-drains. ▪ Retaining walls including repairs. ▪ Road reclamation. ▪ Shoulder restoration. ▪ Sidewalk curb and gutter including on-call incidental concrete repairs.	▪ All goods, professional services, and non-professional service type contracts. For example: signs, tree trimming, mowing, and professional engineering services. ▪ Hired equipment contracts using construction funds or a mixture of construction and maintenance funds. ▪ Hired equipment with operator, for incidental ordinary maintenance, random locations, and "as-needed basis", during the course of a specific contract period. ▪ Installation of private entrances. ▪ Maintenance of overhead lighting. ▪ Mechanized pothole patching for temporary patches. ▪ On-call contracts for temporary repairs. ▪ Ordinary maintenance shoulder repair. ▪ Pothole patches that require "squaring up" and become a permanent part of the roadway up to 500 feet. ▪ Projects that do not require engineering and are not project specific. ▪ Replacement of traffic loop detectors. ▪ Sign cleaning and repairs.

CONTACTS

If after working through the decision tree and specific examples, you still have a question about which Division you should use, please contact:

Construction Division Don Silies (Don.Silies@VDOT.Virginia.gov)

Administrative Services Division Gary Cole – Southwest Region (Gary.Cole@VDOT.virginia.gov)
Robin Dolatowski – Central Region (Robin.Dolatowski@VDOT.virginia.gov)
Toya Peterson – Northern Region (Toya.Peterson@VDOT.virginia.gov)

They will work together to sort out any overlap between ASD and CD and will provide you with guidance.

A printed document may not be the most recent version. See the ASD Procurement and Contract Management team site on InsideVDOT for the most current version.

Attachment 4E

VENDOR QUALIFICATION / EQUIPMENT INVENTORY
CERTIFICATION FORM

All bidders/offerors responding to this IFB/RFP are required to complete a full equipment listing with ID numbers for each piece of equipment applicable to performing the work. Place N/A beside all questions that do not apply.

Failure to complete this attachment in its entirety will render the bid non-responsive.

1. Name of Business: _____

2. Name of Owner or Chief Executive Officer: _____ Telephone Number: _____

3. Emergency or After Hours contact name: _____ Telephone Number: _____

4. How many years has the firm been in the business of performing the services called for in this IFB/RFP? _____

5. How many persons are currently employed by the firm?_____

6. List all licenses or permits the firm possesses that are applicable to performing the services required in this IFB/RFP.
_____

_____

7. Is the firm currently removed from a vendor list or debarred from doing business with any Commonwealth of Virginia Agency?
Yes_____ No_____ If yes explain: _____

_____

8. Provide the firm name, contact person, email address and telephone / fax numbers of three (3) customers, for which your firm has provided services of the same scope as those requested in this inquiry. We may contact these customers as references.

FIRM'S NAME	CONTACT PERSON	EMAIL ADDRESS	TELEPHONE / FAX #

Complete the following if equipment requirements are included in the Scope of Work and/or Specifications.

9. All equipment intended for use in performing the services required in this IFB/RFP must be listed below. Add additional sheets if needed.

OWNED EQUIPMENT (All blocks must be completed)

YEAR	MAKE	MODEL	ID #	CAPACITY	COMPLETE DESCRIPTION

Attachment 4E

10. If not owned, how will the equipment be obtained within the required time in the event of award?

_____

_____

If equipment will be rented, leased or subcontracted, please provide a letter from the applicable entity on company letter head stating the type of equipment and availability for the duration of the contract period.

Rented, leased or subcontracted equipment: Prior to award, VDOT will require the bidder/offeror to provide a copy of the rental or
lease agreement, for any equipment intended for use to perform services of this IFB/RFP.

Future equipment purchase: Prior to award, VDOT will require the bidder/offeror to provide proof of purchase for any equipment
intended for use to perform services of this IFB/RFP.

RENTED/LEASED/SUBCONTRACTED EQUIPMENT (All blocks must be completed)

IS EQUIPMENT RENTED/LEASED/SUBCONTRACTED? Indicate agreement type below	COMPLETE DESCRIPTION

11. Is any of the equipment listed above currently committed on other contracts including VDOT contracts? ___Yes____ No
If yes, identify which equipment (year, make, model, ID#), where the equipment is committed, contract number(s) and name the party to the contract. _____

_____

12. Identify any VDOT locations for which your firm is currently working, the contract number associated with the work and the location where the work is being performed.

_____

_____

Attachment 4F

Administrative Services Division

Guidance in Procurement Planning for complex, non-routine contracts

1) Identify district/division that will serve as project lead.

2) What is the appropriate procurement method? (competitive negotiation, competitive sealed bidding, or competitive sealed bidding – 2-step) If competitive negotiation or competitive sealed bidding - 2-step, justification needs to be discussed, prepared and submitted for approval.

3) Will contract period, including renewals, be more than the standard 5 years? Justification is required for contracts which exceed 5 years.

4) Identify all internal and external stakeholders. Who will need to have input into this project? (i.e. FHWA, VITA, Civil Rights, other divisions within VDOT, etc.)

5) Does the project impact critical infrastructure and/or information network? If so, what are the security requirements?

6) Will the contract generate revenue for VDOT?

7) Do you anticipate subcontractors as a result of this procurement? If so, will VDOT require an enhanced Audit clause in Special Terms and Conditions to extend audit rights to all subcontractors as well as contractor? Confer with VDOT Assurance & Compliance Office for guidance.

8) Does VDOT have the expertise in house to handle the procurement or project management for this project? What specialty resources may be needed to develop the solicitation and/or evaluate responses to this procurement? (i.e., financial analysts, IT, engineering, etc.)

9) Will the project require CTB approval prior to award?

10) Will the award be made to a single contractor or multiple contractors?

11) How will the Pricing Schedule be structured so the total cost for each bid/proposal can be determined? Will a pricing model that incorporates past usage be used? How will the total cost be calculated? Will the contract be awarded on a line item basis, grand total or lots?

12) Who will comprise the evaluation committee, and why were they selected? Are technical committees needed also?

13) Will price adjustments be allowed during the course of the contract? How often? Will the Consumer Price Index (CPI) or Producer Price Index (PPI) be used to evaluate price increase

requests? What does the contractor need to provide VDOT for a price increase request to be considered?

14) What specific requirements must each bidder/offeror provide in their proposal? In the RFP, organize these requirements into groups (Tab 1, Tab 2, etc.) according to the evaluation critieria (Experience, Methodology, etc.) and request bidder/offeror to provide this information in separate tabs in their proposal.

15) After the award of the contract, how will the VDOT contract administrator implement the contract, monitor/measure contractor performance? How will the contract administrator confirm prices charged are according to contract? Are there any disincentive charges?

16) After award, what kind of reports must the contractor provide the VDOT contract administrator? What information must be included in the reports and what format should reports be in (Word, Excel, etc.)? What frequency should reports be provided to VDOT (monthly, quarterly, annually)?

NOTE: This list is not all inclusive. It should be used as a starting point to gather information and engage stakeholders to procure complex, non-routine contracts.

SECTION 5

SMALL PURCHASES

5.1 **General** – The guidelines in the *APSPM* shall be followed for small purchases not expected to exceed $100,000.

5.2 **Small Purchase Charge Card (SPCC) Program –** This program offers VDOT the opportunity to streamline procedures for procuring small dollar goods and services *not to exceed $5,000.* Purchasing card must be obtained through participation in the statewide contract administered by the Department of Accounts (DOA), in conjunction with DGS/DPS.

ASD is responsible for statewide SPCC Program Administration for VDOT through coordination with local SPCC Program Administrators in each District.

Location	**Primary Administrator**	**Backup Administrator**
Central Office/Statewide	Patricia Rhodes	Debbie Bayles
Bristol	Debby Teasley	Karl Reedy
Salem	Michele Thompson	Russell Beckner
Lynchburg	Rebecca Ranson	Robert Dowdle
Staunton	Pam Sprouse	Pam Turner
Richmond	Lezlie Ellis	Cathy Layne
Hampton Roads	Betty Jackson	Cindy Vaughan
Culpeper	Ellen Weber	Donna Backe
Fredericksburg	Karen Altman	Jacqueline Brunson
NOVA	Angie Babb	Bryan Bailey

Buyers and Small Purchase Charge Card (SPCC) Holders - VDOT personnel identified by Divisions or Districts to make purchases up to $5,000 (single quote limit), process requisitions and/or purchase orders against existing VDOT contracts in Cardinal. See Attachment 5A for Purchasing Card Request Form ASD-31 and Attachment 5B for SPCC Card Update Request Form ASD-32.

Training Requirements:

(a) SPCC card holder, Gold card holder, and their supervisor must take the following training:

<u>Cardholder Only:</u>

i. DOA SPCC Cardholder training -taken annually on-line through DOA
ii. Improving SWaM Performance for SPCC Holders – taken annually on-line through VDOT-U and as a refresher whenever the policy is updated.

iii. Small Purchases up to $5,000 – Instructor Lead Training (ILT) offered by ASD and retaken every 2 years)
iv. SPCC User Guide Training – on-line through VDOT-U and as a refresher whenever the policy is updated.

Supervisor Only:

i. DOA Supervisor Reviewer training taken annually through DOA
ii. SPCC User Guide Training – on-line through VDOT-U and as a refresher whenever the policy is updated.

(b) Program Administrators - DOA SPCC Program Administrator training

(c) Cardinal Training – All Card Holders

i. Intro to Cardinal (INTRO 101)
ii. Using and Maintaining P-Cards (PROC 349a)

(d) Cardinal Training - Buyers

i. Intro to Cardinal (INTRO 101)
ii. Procurement Overview (INTRO 140)
iii. Navigation in Cardinal (NAV201)
iv. Processing Requisitions (PROC 342)
v. Processing Purchase Orders (PROC 344)
vi. Small Purchases up to $5,000 – Instructor Lead Training (ILT) offered by ASD and retaken every 2 years)

Completion of training is required prior to issuance and receipt of a SPCC or Gold Card or processing procurements up to $5,000 and/or purchase orders from approved DPS and VDOT contracts for unlimited dollar amounts.

A list of employees who have completed training can be found at this link: https://virtualcampus.vdot.virginia.gov/LGXReports/rdPage.aspx?rdReport=myreports.74cd21fcc82d4a01a76e727f50958271_contractmanagementreport

5.3 **SPCC Gold Card Program** – VDOT participates in the Commonwealth's Gold Card program which is administered by Department of Accounts (DOA). This program has controls, policies and procedures that differ from the SPCC program defined in the DOA CAPP Manual Topic 20355. Procurement limits are the same as SPCC goods and services purchases *not to exceed $5,000.* Gold Cards are intended for use as a payment tool for those purchases made with an approved purchase order and/or recurring charges which may be exempt from purchase orders including utility payments, UPS, real estate leases, newspaper advertisements, etc. Only a minimum number of cards of this type are issued. For additional information, consult the VDOT Statewide/Central Office Program Administrator.

5.4 **Making a Small Purchase up to $5,000 –** Whenever possible, SPCC should be used to pay for all small purchases up to $5,000. Please refer to DOA CAPP Manual Topic 20355 and Cardholder SPCC User Guide using the following links:
http://www.doa.virginia.gov/Admin_Services/CAPP/CAPP_Topics/20355.pdf
https://insidevdot.cov.virginia.gov/div/ADS/CM/Source%20Documents%20for%20Hyperlinks/CardholderSPCCUserGuide.pdf

For purchases made by purchase order, a complete file shall be maintained in one place for each transaction. The file must contain all the information necessary to understand the why, who, what, when, where and how of the transaction, and must include at a minimum a copy of the Purchase Order, the vendor search/selection (including DMBE), price quote(s), contact names, and receiving report. The General Procurement Checklist Form ASD-34 can be used as a tool to ensure the procurement file is complete and contains all information necessary to understand the why, who, what, when, where and how of the transaction (Attachment 5C).

See detailed processes in Attachment 5D for Small Purchases up to $5,000 No SPCC and Attachment 5E for Small Purchases up to $5,000 Using SPCC.

5.5 **Small Purchases between $5,000 and $100,000** require an approved requisition in Cardinal and scope of work, if applicable. Each requisition will be routed in Cardinal to the local ASD Procurement Office and assigned to a Contract Officer for procurement.

See detailed processes in Attachment 5F Small Purchases $5,000 to $100,000 eVA Quick Quote and Attachment 5G Unsealed Bids $5,000 to $100,000.

5.6 **Renewals on eVA Quick Quotes** are allowed as per *APSPM* for procurements over $15,000, but under $100,000 with a Cardinal PO issued each renewal year, as long as the specifications are clear and concise with a fixed unit price. Examples of services that may be procured using eVA Quick Quote with renewals are janitorial, floor mats, grounds maintenance and refuse collection.

See Attachment 10E for the Contract Renewal process.

Attachment 5A

ASD-31
Rev 05/13

Commonwealth of Virginia Corporate Purchasing Card Request

VDOT/501 _____ _____
District Division

TO:_____**Date of Request:** _____
Program Administrator

A purchasing charge card is hereby requested for the following employee under my supervision **(please print or type all information as requested below).**

Name as it should appear on the card:

_____

Employee Business Mailing Address: _____

Employee's Work Phone _____
Employee's Email: _____
Cardinal Number: _____
Dept.ID:_____

I hereby certify that I have examined this employee's duties and estimate that the purchasing card will be used for approximately ____ transactions per month at a dollar value range of $_____ per transaction (attach analysis).
[NOTE: A "transaction" is one order placed with a vendor who accepts the card.]

Based on these estimates, I am requesting limits of $_____per transaction (not to exceed $5,000) and $ _____ total per month (not to exceed $100,000) be placed on this card.

I agree and understand that at least annually the activity on all purchasing cards will be reviewed to ensure limits and card restrictions are appropriate for the card's usage. I will provide written recommendations regarding any limit changes.

I further certify that I will review and approve this cardholder's transactions and supporting documentation on a monthly basis.

Requesting Authority (Supervisor):

_____ _____ _____
Signature Printed Name Date

Employee:

_____ _____
Signature Date

Approved by Program Administrator:

_____ _____
Signature Date

Date entered into Cardinal: _____

Attachment 5B

ASD-32
Rev 05/13

VDOT Small Purchase Charge Card Program (SPCC)
SPCC Card Update Request

VDOT/501 _____ _____
District Division

TO:_____**Date of Request:** _____
Program Administrator (SPCC PA)

This card update action is hereby requested for the following SPCC Cardholder under my supervision (please print or type all information as requested below).

Name, as it appears on the card: _____

Employee's Work Phone (_____) _____

Check and complete only the items to be updated below:

☐ Employee's Name Changed to: _____

☐ New Work Mailing Address _____

☐ Transaction limit change from $_____ to $_____ (not to exceed $5,000)
Justification: _____

☐ Monthly limit change from $_____ to $_____ (not to exceed $100,000)
Justification: _____

☐ Temporary suspension of card (Card should be returned to SPCC PA for safekeeping)
Reason for temporary suspension: ☐ Extended leave (VSDP/FMLA/WC or other)
☐ SPCC Policy Non-compliance
Estimated Re-activation Date: _____

☐ Cancellation of card **(Card must be destroyed and returned to SPCC PA immediately)**
Reason for cancellation:
☐ Card no longer required or justified
☐ Transfer (within VDOT or to another agency)
☐ Separation/Retire - effective date: _____
☐ SPCC Policy Non-compliance

I certify that I will continue to review and approve this cardholder's transactions and supporting documentation (unless canceled) on a **monthly basis** and will examine this cardholder's activity at least **annually** and provide written recommendations regarding limit or other changes, as applicable.

Signature: _____ Date: _____ Phone: _____
Cardholder's Supervisor/Approver

Approved By: _____ Date Request Processed: _____
SPCC Program Administrator

Attachment 5C

GENERAL PROCUREMENT CHECKLIST FOR PURCHASES UP TO $5,000 (SINGLE QUOTE) **OPTIONAL

DATE: _____

Set-Aside For Small Business? Yes ☐ No ☐

Requisition Number: _____

Cardinal Vendor ID#: _____

Description: _____

Vendor Name: _____

Purchase Order #: _____

Waivers / Justification / Documentation

☐ Justification if other than Small Business Set-Aside

☐ Mandatory Source Waiver/Release

☐ Non-SWAM Vendor Form w/ DMBE Search Results

☐ Documentation of non-eVA Vendor

≤ $5,000 Purchases (non-contract)–documented quote required

☐ Written Request from requestor, if not using a requisition

☐ Approval to purchase from end user (email confirming price and item/service)

☐ Print of Approved Requisition

☐ Proof of Insurance for all services

☐ Phone Quote Form ☐ Fax Quote ☐ Vendor Quote

☐ Print of Purchase Order

☐ Contractor License (if applicable)

Change Orders - record change order number, date, and document the reason for the change

_____ _____

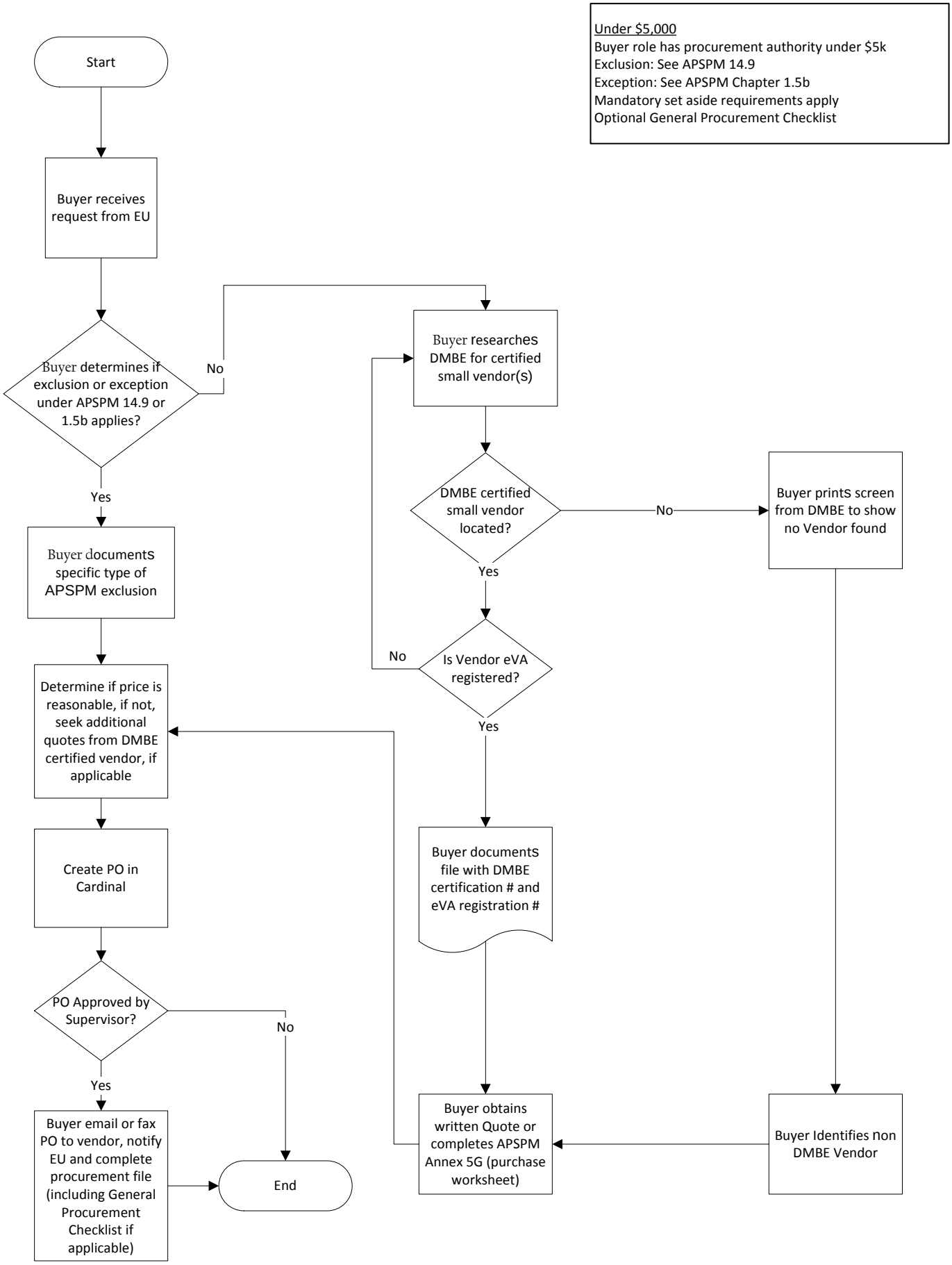
Buyer Signature Date

**This checklist is optional and can used as a tool to ensure the procurement file is complete and contains all information necessary to understand the why, who, what , when, where and how of the transaction (APSPM 10.3).

VDOT ASD Procurement

Attachment 5D
Small Purchase Up to $5000 **NO SPCC**

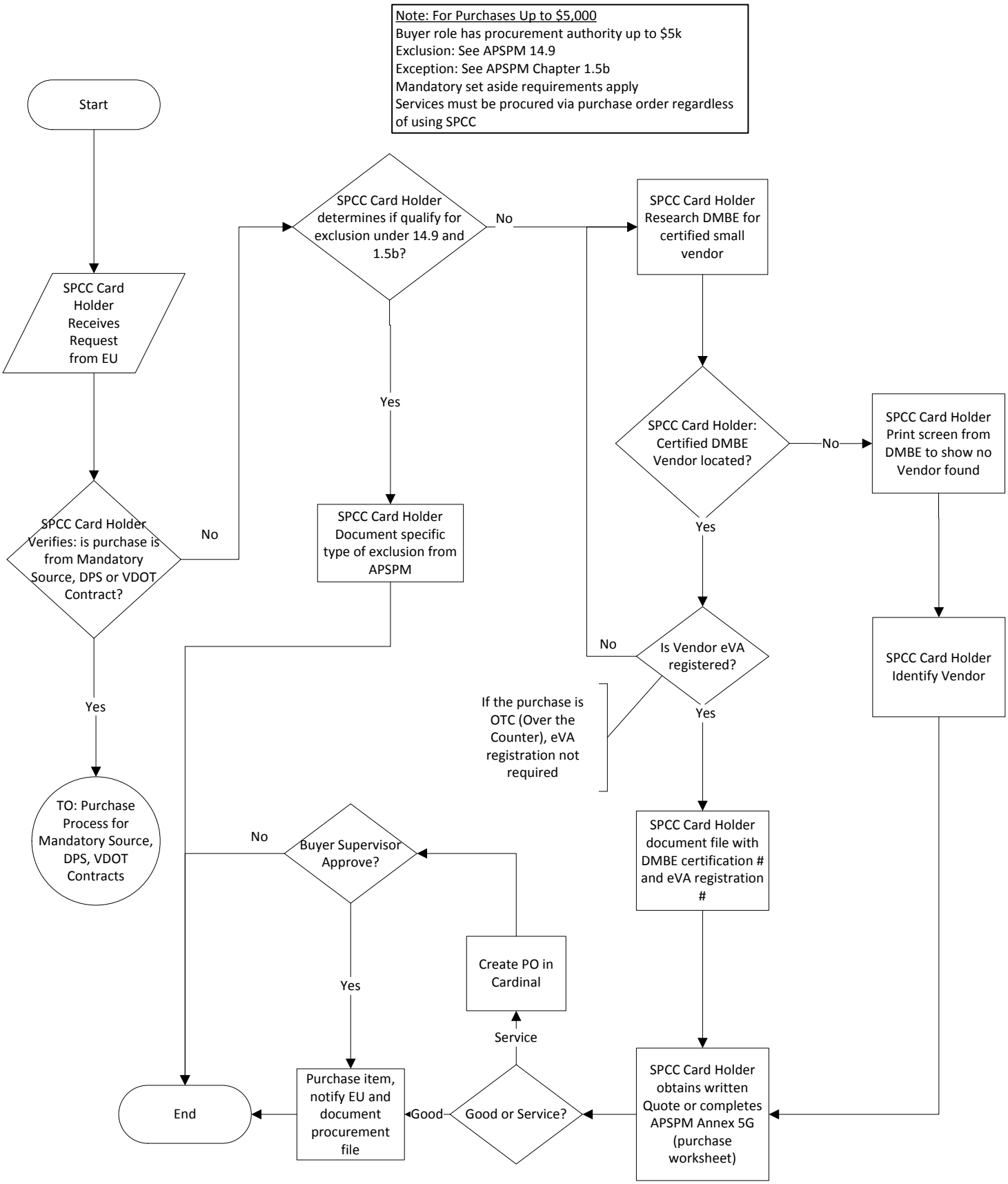
2013



VDOT
ASD Procurement

Attachment 5E
Small Purchases Up to $5,000 Using SPCC

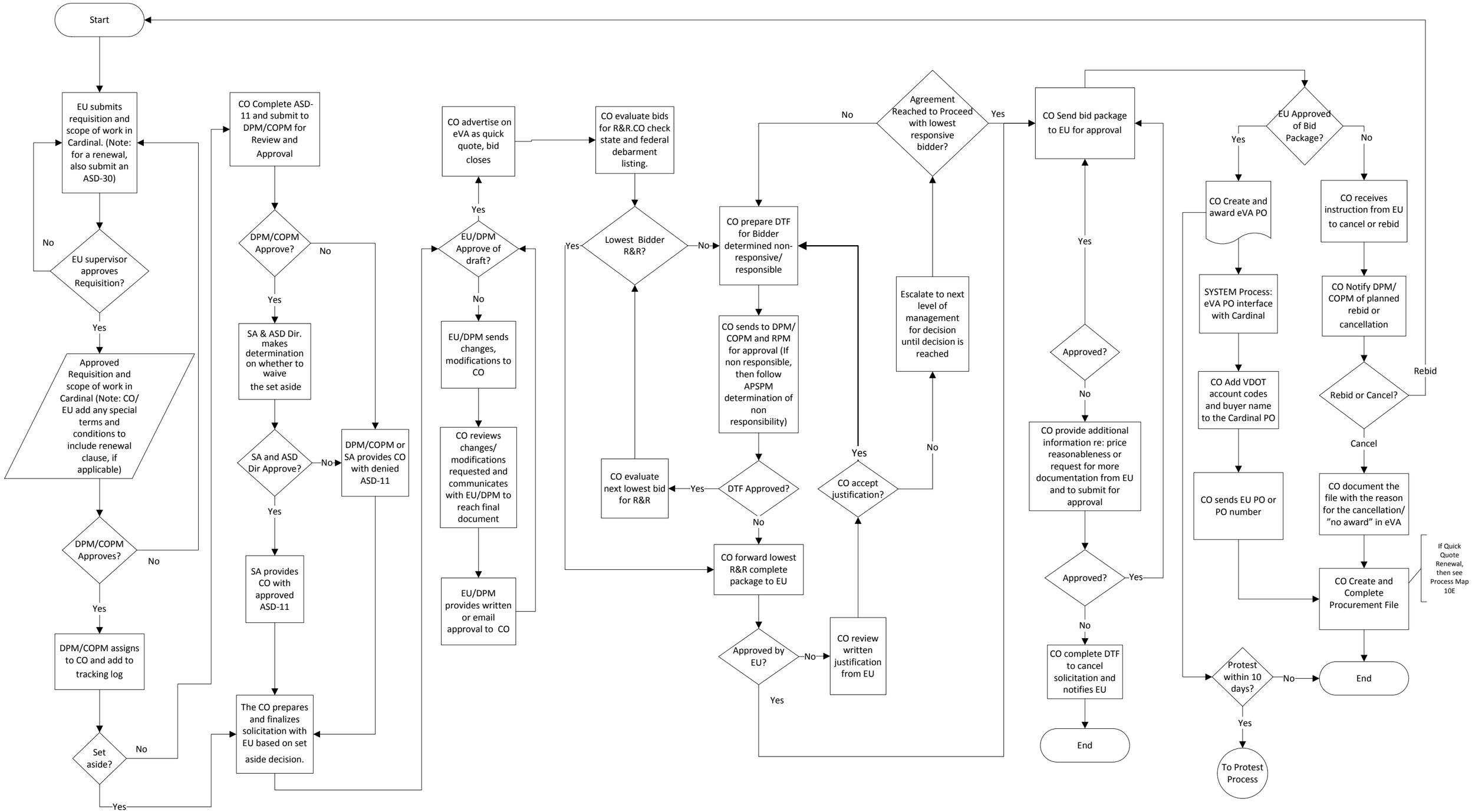
2013



VDOT ASD Procurement

Attachment 5F
Small Purchases $5,000-100,000 eVA Quick Quote

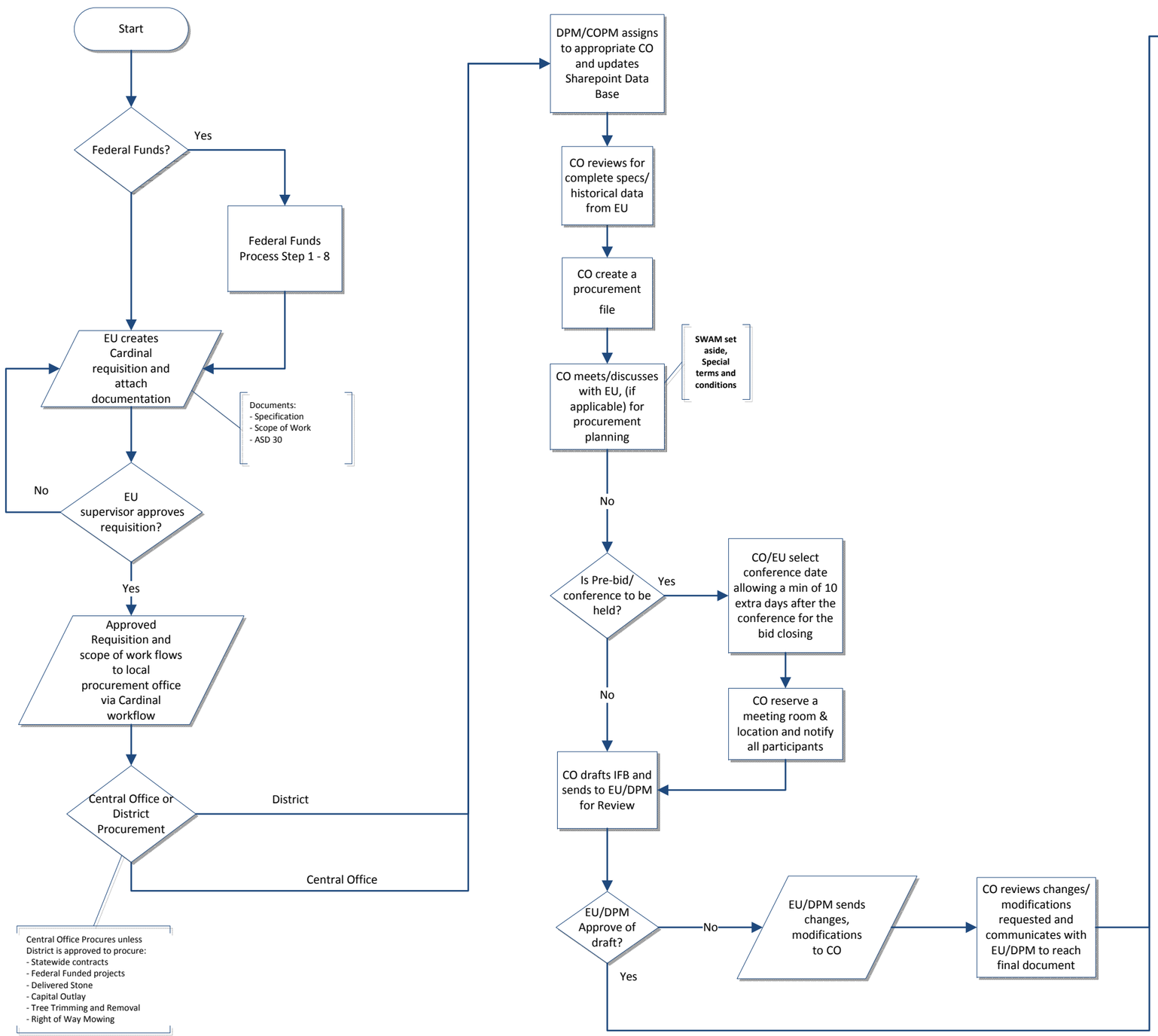
2013

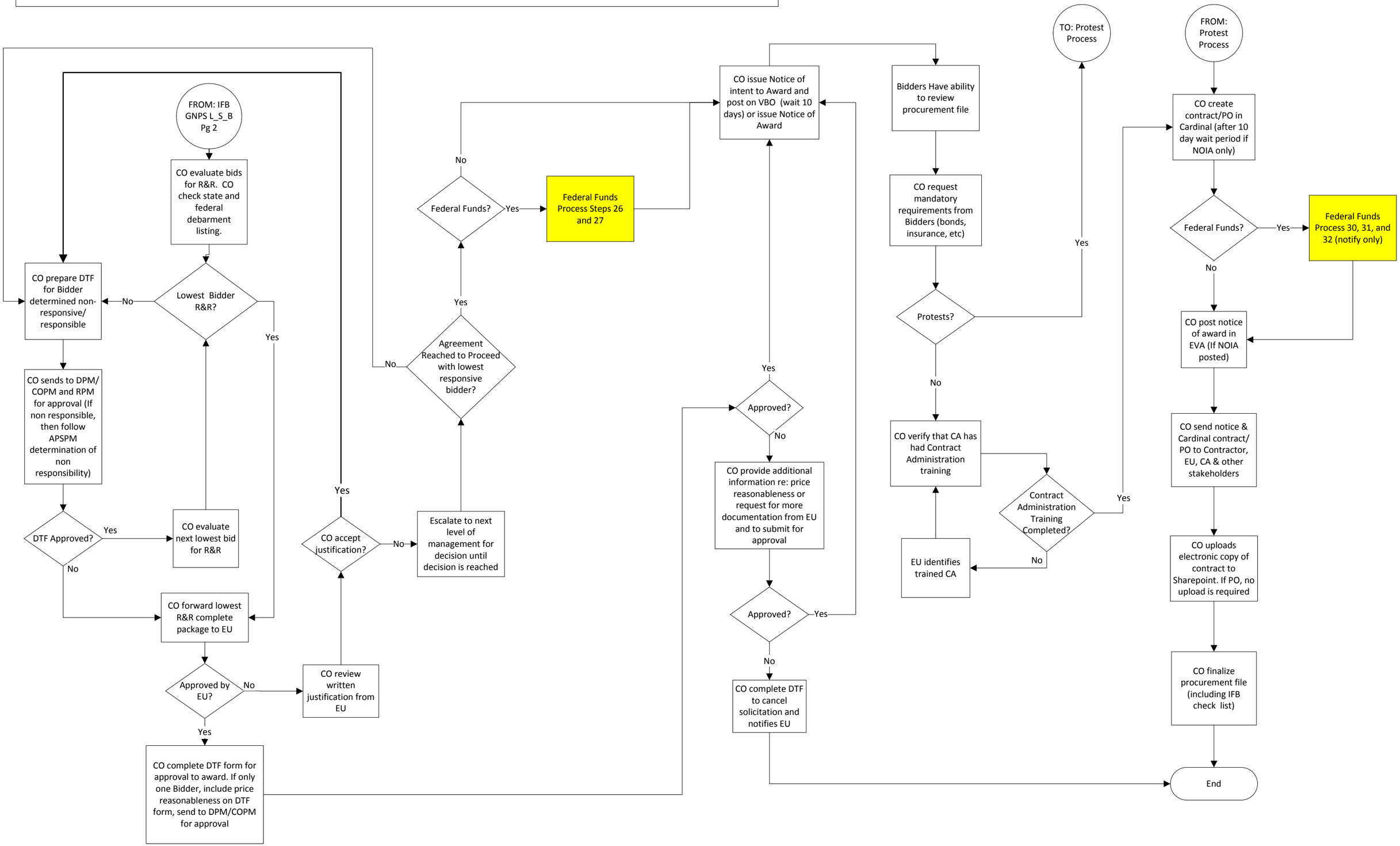


VDOT
ASD Procurement

Attachment 5G
Unsealed Bid $5,000 to $100,000 Pg. 1 of 2

2013




FROM: IFB GNPS L_S_B Pg 2
CO evaluate bids for R&R. CO check state and federal debarment listing.
Lowest Bidder R&R?
No
Yes
CO prepare DTF for Bidder determined non-responsive/ responsible
CO sends to DPM/ COPM and RPM for approval (If non responsible, then follow APSPM determination of non responsibility)
DTF Approved?
Yes
No
CO evaluate next lowest bid for R&R
CO forward lowest R&R complete package to EU
Approved by EU?
No
Yes
CO review written justification from EU
CO complete DTF form for approval to award. If only one Bidder, include price reasonableness on DTF form, send to DPM/COPM for approval
Yes
CO accept justification?
No
Escalate to next level of management for decision until decision is reached
No
Agreement Reached to Proceed with lowest responsive bidder?
Yes
Federal Funds?
Yes
No
Federal Funds Process Steps 26 and 27
CO issue Notice of intent to Award and post on VBO (wait 10 days) or issue Notice of Award
Yes
Approved?
No
CO provide additional information re: price reasonableness or request for more documentation from EU and to submit for approval
Approved?
Yes
No
CO complete DTF to cancel solicitation and notifies EU
Bidders Have ability to review procurement file
CO request mandatory requirements from Bidders (bonds, insurance, etc)
Protests?
Yes
No
TO: Protest Process
CO verify that CA has had Contract Administration training
Contract Administration Training Completed?
Yes
No
EU identifies trained CA
FROM: Protest Process
CO create contract/PO in Cardinal (after 10 day wait period if NOIA only)
Federal Funds?
Yes
No
Federal Funds Process 30, 31, and 32 (notify only)
CO post notice of award in EVA (If NOIA posted)
CO send notice & Cardinal contract/ PO to Contractor, EU, CA & other stakeholders
CO uploads electronic copy of contract to Sharepoint. If PO, no upload is required
CO finalize procurement file (including IFB check list)
End

SECTION 6

COMPETITIVE SEALED BIDDING

6.1 **General –** All Invitation for Bids (IFB) shall be issued by the appropriate ASD Procurement Office. Generally, a minimum of 45 days lead-time is required for IFBs advertisement and award. A minimum of 90 days lead time is required for Two-Step IFB advertisement and award.

IFB Checklist Form ASD-06 (See Attachment 6A) and IFB Two-Step Checklist Form ASD-18 (See Attachment 6B) must be used to ensure statewide consistency from contract initiation through award.

6.2 **Preparation, Issuance, and Evaluation of IFBs –** All requisitions for IFBs must be approved in Cardinal and include ASD-30, approved ASD-15, and scope of work if applicable. Each requisition will be routed in Cardinal to the local ASD Procurement Office and assigned to a Contract Officer for procurement.

For reference, an IFB template is available on ASD's Procurement and Contract Management site:
https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Contract%20Templates/Forms/AllItems.aspx

For planning and additional guidance on complex and non-routine procurements, refer to Attachment 4F *Guidance in Procurement Planning for Complex, Non-routine Contracts.*

When evaluating bids, use the letter template in Attachment 6C to confirm bids that are lower that the next lowest bid by 25% or more.

See Attachment 6D for detailed process IFB – Goods and Services.

6.3 **Preparation, Issuance and Evaluation of Two-Step IFBs –** VDOT uses this method for Turnkey Asset Management Services (TAMS) and other services as deemed appropriate. Requests to use Two-Step IFB must be justified by the District or Division Administrator or his designee in writing and demonstrate the rationale and advantages for using this procurement method. The justification shall be documented by the Contract Officer and approved by the ASD Administrator and retained in the procurement file.

When evaluating proposals, Contract Officer will ensure DMBE certification is valid prior to sending the proposal packages to the evaluation committee or SWaM

Advocate. The SWaM Evaluation Process (IFB Two-Step and RFP) is shown in Attachment 6E.

See Attachment 6F for detailed process IFB Two-Step – Goods and Services.

6.4 **Pre-bid Conference** – If a pre-bid conference will be held, Contract Officers will use the information in Attachment 6G which includes detailed process map, checklist and meeting example for conducting conferences.

The Pre-bid/Pre-Proposal Conference Attendance Form ASD-09 (See Attachment 6H) will be posted on eVA for all procurements.

If attendance at the pre-bid conference is mandatory, Contract Officers should use the letter template in Attachment 6I to return bid(s) received from bidder(s) not in attendance.

6.5 **Bid Receipt, Opening and Tabulation Support** – Contract Officers provide a copy of all solicitations posted in eVA to the Bid Tabulator or non-procuring Contract Officer to ensure bid receipt, opening and tabulation processes are objective and handled in accordance with procurement best practices. The following forms will be used to document bids receipt and opening:

- Record of Bids/Proposals Received Form ASD-14 (Attachment 6J)
- Public Opening Log Form ASD-04 (Attachment 6K)

A detailed process map for bid/proposal receipt is included in Attachment 6L.

A reference guide and process map for conducting public openings is in Attachment 6M.

6.6 **Reference Check –** Contract Officers will use Contract Reference Check Form ASD-12 (See Attachment 6N) to document reference checks.

6.7 **Standard Contract**

(a) Contracts awarded by IFBs include signed Bid, Notice of Award and Cardinal Contract.

(b) The standard two-party contract in the *APSPM*, Annex 7-D, shall be used with Two-Step IFBs. See Attachment 7E.

Attachment 6A

ASD-06
Rev 06/13

VDOT PROCUREMENT CHECKLIST – INVITATION FOR BIDS (IFB)

Instructions:

- This form is to be completed by the Contract Officer and retained in the Contract File.
- Place a √ beside each task as completed and add other data requested
- For tasks that are Not Applicable (NA), please use NA on the line associated with that task.
- Contract Officer is to sign and date completed form.

Contract Officer's Name _____ **Requisition #** _____
Division/District _____ **IFB #** _____
Requisitioning Unit _____ **Contract(s) #** _____
Project Descript/Commodity _____
Contact Name/Requestor _____

CONTRACT FILE SECTION A

Request

____ Requirements and Specifications assigned to Contract Officer on _____
____ Include appropriate funding approvals for procurements over $100,000.00
____ Include copy of Requisition
____ Include copy of the Supplemental Form for Requisitions ASD-30
____ If Federal Funds are being used include appropriate Federal Forms, and:
____ Written FHWA Approval ____ Federal-Aid Project Agreement (from Programming Division)
____ Is the request covered by an Administrative Exemption or an Exemption to Competitive Requirements?
☐ Yes ☐ No If yes include written justification

Bid Preparation

____ Revised specifications (IFB) sent for review to Name Date:
____ Revised and approved specifications (IFB) returned by (Name) Date:
____ Determine if the procurement is a set-aside ☐ Yes ☐ No
_____ If yes, include set-aside language on the face of the bid
____ Include latest version of General Terms and Conditions
____ Review and determine the Special Terms and Conditions required.
____ Include Vendor Qualification/Equipment Inventory Verification if required (ASD-08)
____ Include Small Business Subcontracting Plan if procurement is over $100,000 & procurement is not a set-aside
____ Include shop drawings (if needed)
____ Document Procurement Manager's/ Supervisor's approval of final IFB document – signed DTF

Bid Distribution

DMBE Certified Small Business (Small, Woman-Owned and Minority-Owned businesses)

_____ Contract Officer searched DMBE website for DMBE certified small businesses (SWaM)
_____ Attach DMBE screen print that verifies NO DMBE vendors were found on DMBE website.
_____ Posted on eVA
_____ Include copy of VBO Solicitation Print View
_____ Include email notification from eVA & VBO notification sheet verifying IFB was emailed to registered vendors

Pre-Bid Conferences

____ Optional ☐ or Mandatory ☐ Admittance deadline for Mandatory pre-bid for vendors
____ Include written approval of Procurement Manager for Contract Officer not attending pre-bid in person or attending via a video conference
____ Include waiver from Regional Procurement Manager if not holding a pre-bid conference and Procurement is over $100,000.00
____ Include attendance roster signed by attendees. Date roster posted in eVA _____
____ Include minutes, tape or scribe notes, questions and answers from pre-bid conference in the procurement fi
____ Include necessary addendums as a result of pre-bid conference
____ Include Procurement Manager's approval of addendums
____ Site visit (if required and separate from pre-bid conference)

CONTRACT FILE SECTION B

Bid Receipt

___ Bids routed to Bid Tabulator Date _____ List of bids returned (received late)
___ Bid tabulation and package returned to Contract Officer on _____
___ Bid tabulation matches bids delivered to Contract Officer
___ Copy of bid tab
___ Include all unsuccessful bids in file
___

Bid Analysis

___ Low Bidders' bid reviewed for responsiveness
___ Low bidder's bid reviewed for responsibility
___ Validate copy of vendor's contractor's license (if applicable)
___ Validate with Department of General Services that vendor has not been debarred from doing business with the Commonwealth.
___ Copies of bid documents sent to appropriate end user for review on _____ (date)
___ Award approval returned on (date) _____from end user
___ Include price reasonableness (if required)
___ If a low bid does not meet the specifications, responsiveness, and/or responsibility criteria, include written documentation and signed DTF
_____ Include approved copy of written notification of non-responsible determination sent to bidder
_____ Include bidder response (date received) _____
___ Contract awarded to other than lowest bidder ☐ Yes ☐ No
_____ If yes, include sign-off from ASD - Director
___ Include documentation on all checked references (if references required)
___ Contract Officer requests insurance documents from selected vendor.
___ Date requested _____ Date received _____
___ Contract Officer verifies Commonwealth of Virginia/VDOT is named "additional insured", if applicable
___ Contract Officer requests Bonds (if necessary) & verifies if effective during contract term
Date requested _____ Date received _____
___ Contract Officer requests other needed documents (certificates or licenses)
Date requested _____ Date received _____

Bid Award

_____ Contract Officer prepares Notice of Intent to Award and posts on eVA, include VBO solicitation print view
_____ Contract Officer prepares Award Document Contract Number _____
_____ Contract Officer posts Notice of Award on eVA on _____ include VBO solicitation print view
_____ Bid tabulation form posted to eVA on _____ include VBO solicitation print view

Obtain necessary approval if award exceeds Contract Officer's delegated procurement authori

Contract Administration

_____ Contract Officer confirms Contract Administrator attended CA class within last 2 years
_____ Contract Officer prepares and forwards Contract Administration Designation Letter
_____ If procurement contract is complex, meet with designated Contract Administrator
Contract Officer received signed copy of above letter from designated Contract Administrator

Award Document

_____ Contract copies sent to end user, designated Contract Administrator and district procurement office
Contract Award package for file to include: Cardinal Contract, Notice of Award, Notice of Intent to Award, Contractor's bid document, IFB, insurance certification, contractor license, signed Contract Administrator Designation Letter
_____

Contract Officer: _____ **Date:** _____

(This form is to be completed by the Contract officer and retained in the Procurement File)

Comments

_____
_____
_____

CONTRACT FILE SECTION C

Post Award Documentation

ASD-36 Contractor Performance/Recommendation for Renewal Form submitted by Contract Administrator
Date Received _____
_____ Contract Renewal Documentation, to include Cardinal Contract Renewal
_____ Other Post Award Documentation

Section A
IFB PREPARATION DOCUMENTS

_____**Solicitation review check list** (copy of steps followed and information required for solicitation)

_____ **Copy of Final Advertised IFB –** place a copy of the approved (end user, DPM, etc) official advertised copy of the IFB

_____**ASD-30** (supplement) **and copy of approved requisition** (Cardinal)

_____**Written determination for use of** (if applicable, provide justification of determination)

- Funding Approval(s) procurements over $100,000.
- Proprietary - Justification
- Administrative Exemption and/or Exemption to Competitive Requirements
- Other (indemnification clause , etc)

_____**Specifications** (specs provided by and worked on with end user)

_____ **Working papers** - draft of solicitation with any applicable terms and conditions, set-asides, comments from end user, reference request, Vendor Data Sheet, drawings and etc. **All correspondence prior to the advertisement of the IFB/Solicitation.**

_____**Copy of Previous contract with prices** - copy if a previous contract *(This is the bottom Tab and the first to go in the folder)*

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under IFB Preparation/prior to advertisement.

Other _____

_____

_____

Section A
(Continued)
IFB ADVERTISEMENT DOCUMENTS

_____**VBO/newspaper advertising/posting notice** (copy of eVA/VBO posting and/or newspaper posting)

_____**Bidder mailing list** (copy of electronic mailing list from eVA/VBO posting, notification of eVA registered vendors emailed and list of vendors that solicitation was mailed with mail date, and DMBE listing)

_____**Pre-bid Meeting** (copy of attendees list, and any notes taken during conference waiver for ASD Director/Designee if not holding a pre-bid meeting)

_____**Addendum(s) to solicitation** (copy to show any changes made since original solicitation posting and copy of addendum posting with post date/VBO printout)

_____**Correspondence after advertisement but prior to bid closing -** questions from vendors about solicitation and responses from CA/end user, etc.

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under IFB Advertisement Documents

Other _____

_____

_____

Section B
BID RECIEPT, BID TAB, ANALYSIS AND CORRESPONDENCE

_____**Notice of Award** – (NOA copy and eVA/VBO print out showing posting date)

_____**Notice of Intent to Award –** (NOIA copy and eVA/VBO print out showing posting date)

_____**Pre-award determination and correspondence,** such as:
Documentation to support

- Approval end user (to award and meets specifications)
- Submittals – insurance, Background checks (Security), eVA Registration, Contractor's License, Business License, DMBE certification, SCC (State Corporation Commission), etc.
- Price reasonableness determination
- Vendor not on Debarment list
- Bid evaluation responsive, responsible
- DTF if required if low bid not responsive, responsible and/or doesn't meet specs
- Contract awarded to other than lowest bidder
- References if required/Equipment Verified (ref. Attachment A)
- Approval ASD Director if other than lowest
- Request for submittals (License, Insurance, etc)
- Other correspondence after advertisement of bid/IFB but prior to award

_____**Bid tabulation/sheets** (copy of bid tab, records of bid(s) routed to bid tabulator, correspondence with end user) (See section **C** for unsuccessful bids/bid packages)

_____**Correspondence after bid closing during evaluation, Notice of Intent up to Award**- correspondence about closing, bid tab or from CA/end user, etc.

_____**Blank Tab –** for use by Procurement Officer for anything that falls under receipt of bid and correspondence up to NOA Documents

Other _____

_____

_____

Section B
(Continued)
AWARD/CONTRACT AND MODIFICATIONS/RENEWALS

_____**Contract award document,** to include:
Signed Contract Agreement/IFB (to include Cardinal Contract Print-out document and/or Purchase Order)

- Contractor's original bid/IFB and any addendum(s)
- Subsequent changes to the contract/Contract modifications
- Subsequent contract renewal(s)

_____**Insurance Documents/Certificates & Licenses** (copy of required insurance certificate with Commonwealth named as additional insured and any other certificate & licenses copy)

_____**Bonds** (copy of performance and/or bid bonds, if required)

_____**Contract administration** (CA), to include:

- **Notification to contract users** (provide a copy to end user and assigned CA)
- **Assignment of post award contract administrator and responsibilities.** (copy of signed letter received back from CA acknowledging receipt and understanding of duties)

Other _____

_____

_____

POST AWARD DOCUMENTATION
Section C

_____**Post award correspondence** (copies of any vendor/contractor or end user correspondence after award)

_____**Contract performance evaluation** (copy of the ASD 36 form that CA completes and submits as required)

_____**Compliance Issues & Vendor complaint forms and responses** (copy of any complaint or performance issues and responses)

_____**Unsuccessful bids** (copy of each unsuccessful bid/proposal to be included or note location of documents)

_____**Blank Tab –** for use by Procurement Officer for anything that falls under Post-Award Documents

Other _____

_____

_____

Attachment 6B

ASD-18
Rev 06/13

VDOT PROCUREMENT CHECKLIST
TWO STEP INVITATION FOR BIDS (IFB)

Instructions:

- This form is to be completed by the Contract Officer and retained in the Contract File.
- Place a √ beside each task as completed and add other data requested
- For tasks that are Not Applicable (NA), please use NA on the line associated with that task.
- Contract Officer is to sign and date completed form.

Contract Officer's Name _____ **Requisition #** _____
Division/District _____ **IFB #** _____
Requisitioning Unit _____ **Contract(s) #** _____
Project Descript/Commodity _____
Contact Name/Requestor _____

CONTRACT FILE SECTION A

Evaluation Team Members

Name	E-Mail Address	Telephone Number

Chairperson:

_____

Request

___ Requirements and Specifications assigned to Contract Officer on _____
___ Include appropriate funding approvals for procurements over $100,000.00
___ Include written justification for the use of two-step approved by Procurement Manager, Regional Procurement Manager, and Director ASD
___ Include copy of Requisition
___ Include copy of the Supplemental Form for Requisitions ASD-30
___ If Federal Funds are being used include appropriate Federal Forms, and:
___ Written FHWA Approval _____ Federal-Aid Project Agreement (from Programming Division)
___ Is the request covered by an Administrative Exemption or an Exemption to Competitive Requirements?
☐ Yes ☐ No If yes include written justification

Bid Preparation

_____ Revised specifications (IFB) sent for review to (Name) on (date)
_____ Revised and approved specifications (IFB) returned by (Name) on (date)
_____ Determine if the procurement is a set-aside ☐ Yes ☐ No
_____ If yes, include set-aside language on the face of the bid

_____ Include latest version of General Terms and Conditions
_____ Review and determine the Special Terms and Conditions required.
_____ Include Vendor Qualification/Equipment Inventory Verification if required (ASD-08)
_____ Include Small Business Subcontracting Plan if procurement is over $100,000 and procurement is not a set-aside
_____ Include shop drawings (if needed)
_____ Document Procurement Manager's/ Supervisor's approval of final IFB document – signed DTF

Bid Distribution

DMBE Certified Small Business or DBE vendors If FHWA funded

_____ Contract Officer searched DMBE website for DMBE certified small businesses (SWaM)
_____ Attach DMBE screen print that verifies NO DMBE vendors were found on DMBE website.
_____ Posted on eVA
_____ Include copy of VBO Solicitation Print View
_____ Include email notification from eVA and VBO notification sheet verifying IFB was emailed to registered vendors

Documents to Evaluation Committee

Evaluation Committee Letter with Instructions
Date of meeting with Evaluation Committee to review evaluation process _____
_____ Understanding of Responsibility
_____ Ethics Article
_____ Non-Disclosure Statement
_____ Evaluation Sheet

Pre-Bid Conferences

____ Optional ☐ or Mandatory ☐ Admittance deadline for Mandatory pre-bid for vendors
____ Include written approval of Procurement Manager for Contract Officer not attending pre-bid in person or attending via a video conference
____ Include waiver from Regional Procurement Manager if not holding a pre-bid conference and Procurement is over $100,000.00
____ Include attendance roster signed by attendees. Date roster posted on eVA. _____
____ Include minutes, tape or scribe notes, questions and answers from pre-bid conference in the procurement fi
____ Include necessary addendums as a result of pre-bid conference
____ Include Procurement Manager's approval of addendums
____ Site visit (if required and separate from pre-bid conference)

CONTRACT FILE SECTION B

Bid Receipt

___ Bids routed to Bid Tabulator _____ List of bids returned (received late)
___ Bid tabulation and package given to Contract Officer on _____
___ Bid tabulation matches bids delivered to Contract Officer
___ Copy of bid tab

Proposal Evaluation

___ Bidders' proposal reviewed for responsiveness and SWaM verification

___ Bidder's proposal reviewed for responsibility and responsiveness.

_____ Include approved copy of written notification of non-responsible determination sent to bidder

_____ Include bidder response (date received) _____

___ Provide copies of each proposal to each evaluation member

___ Include documentation on all checked references (if references required)

___ Validate copy of vendor's contractor's license (if applicable)

___ Validate with DGS that vendor has not been debarred from doing business with the Commonwealth

___ Include signed Non-Disclosure Statement from each evaluation member

___ Date of Evaluation Committee Scoring Meeting _____

___ Completed evaluation forms from each team member on each proposal

___ Completed consensus evaluation Form

___ Notification to all Bidders who submitted a proposal that pricing is going to be opened for those proposals deemed acceptable

___ Date _____

___ Return unopened pricing and bid bond if required, to Bidders whose proposals were deemed not acceptable

---

Bid Evaluation

___ Pricing sent to end user for approval on (date) _____

___ Award approval returned on (date) _____

___ Include price reasonableness (if required)

___ Contract awarded to other than lowest bidder ☐ Yes ☐ No

_____ If yes, include sign-off from ASD - Director

___ Contract Officer requests insurance documents from selected vendor.

Date requested _____ Date received _____

___ Contract Officer verifies Commonwealth of Virginia/VDOT is named "additional insured", if applicable

___ Contract Officer requests Bonds (if necessary) & verifies if effective during contract term

Date requested _____ _____ Date received _____ _____

___ Contract Officer requests other needed documents (certificates or licenses)

Date requested _____ Date received _____ _____

Bid Award

_____ Contract Officer prepares Notice of Intent to Award and posts on eVA, include VBO solicitation print view

_____ Obtain CTB approval if required Date received _____

_____ Contract Officer prepares Award Document Contract Number _____

_____ Contract Officer posts Notice of Award on eVA on _____ include VBO solicitation print view

_____ Bid tabulation form posted to eVA on _____ include VBO solicitation print view

Obtain necessary approval if award exceeds Contract Officer's delegated procurement authority

---

Contract Administration

_____ Contract Officer confirms Contract Administrator attended CA class within last 2 years
_____ Contract Officer prepares and forwards Contract Administration Designation Letter
_____ If procurement contract is complex, meet with designated Contract Administrator
_____ Contract Officer received signed copy of above letter from designated Contract Administrator

Award Document

___ Contract copies sent to end user, designated Contract Administrator and district procurement office
___ Contract Award package for file to include: Cardinal Contract, Notice of Award, Contractor's proposal and pricing, insurance certification, contractor license, signed Contract Administrator Designation Letter.

Contract Officer: _____ **Date:** _____

(This form is to be completed by the Contract officer and retained in the Procurement File)

Comments

_____
_____
_____

CONTRACT FILE SECTION C

Post Award Documentation

ASD-36 Contractor Perfomance/Recommendation for Renewal Form submitted by Contract Administrator
Date Received _____
_____ Contract Renewal Documentation, to include Cardinal Contract Renewal
_____ Other Post Award Documentation

Section A
IFB TWO-STEP PREPARATION DOCUMENTS

_____**Solicitation review check list** (copy of steps followed and information required for solicitation)

_____ **Copy of Final Advertised IFB –** place a copy of the approved (end user, DPM, etc) and official advertised copy of the IFB

_____**ASD-30** (supplement) **and copy of approved requisition** (Cardinal)

_____**Written determination for use of** (provide justification of determination)

- Funding Approval(s) procurements over $100,000.
- Proprietary - Justification
- Administrative Exemption and/or Exemption to Competitive Requirements
- Other (indemnification clause , etc)

_____**Specifications** (specs provided by and worked on with end user)

_____**Working papers** - draft of solicitation with any applicable terms and conditions, set-asides, comments from end user, reference request, Vendor Data Sheet, drawings and etc. **All correspondence prior to the advertisement of the IFB Two-Step/Solicitation.**

_____ **Evaluation Team Member** – List containing names of member, email address and telephone number

_____**Copy of Previous contract with prices** - copy if a previous contract *(This is the bottom Tab and the first to go in the folder)*

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under IFB Preparation/prior to advertisement.

Other _____

_____

_____

Section A
(Continued)
IFB TWO-STEP ADVERTISEMENT DOCUMENTS

_____**VBO/newspaper advertising/posting notice** (copy of eVA/VBO posting and/or newspaper posting)

_____**Bidder mailing list** (copy of electronic mailing list from eVA/VBO posting, notification of eVA registered vendors emailed and list of vendors that solicitation was mailed with mail date, and DMBE listing)

_____ **Evaluation Committee** – Documents – Evaluation Committee Letter with instructions, Date of Meeting and review evaluation process, Understanding of Responsibility, Ethics Article, Non-Disclosure Statement, Evaluation Sheet

_____**Pre-bid Meeting -** (copy of attendees list, and any notes taken during conference waiver for ASD Director/Designee if not holding a pre-bid meeting)

_____**Addendum(s) to solicitation** (copy to show any changes made since original solicitation posting and copy of addendum posting with post date/VBO printout)

_____**Correspondence after advertisement but prior to bid closing -** questions from vendors about solicitation and responses from CA/end user, etc.

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under IFB Advertisement Documents

Other _____

_____

_____

Section B
BID RECEIPT, BID TAB, ANALYSIS AND CORRESPONDENCE

_____**Notice of Award** – (NOA copy and eVA/VBO print out showing posting date)

_____**Notice of Intent to Award –** (NOIA copy and eVA/VBO print out showing posting date)
_____**Bid Evaluation** (correspondence)
Documentation to support

- Approval end user (to award and meets specifications)
- Submittals – insurance, Background checks (Security), eVA Registration, Contractor's License, Business License, DMBE certification, SCC (State Corporation Commission), etc.
- Price reasonableness determination (if applicable)
- Vendor not on Debarment list (*APSPM 4.31, Vendor's Manual 7.20, Virginia Public Procurement Act § 2.2 - 4321.1*) or eVA Delinquent Vendor's List *(Virginia Debt Collection Act, Code of Virginia § 2.2-4800 through 2.2-4809 and the Commonwealth Accounting Policies and Procedures (CAPP) Manual)*
- Bid evaluation responsive, responsible
- DTF if required if bid is not responsive, responsible and/or doesn't meet specs
- Contract awarded to other than lowest bidder
- References if required/Equipment Verified (ref. Attachment A)
- Approval ASD Director if other than lowest
- Request for submittals (License, Insurance, etc)
- Other correspondence after advertisement of bid/IFB but prior to award

_____**Bid Receipt -** tabulation/sheets (copy of bid tab, records of bid(s) routed to bid tabulator, correspondence with end user) (See section **C** for unsuccessful bids/bid packages)

_____ **Proposal Evaluation –**

- Bidders proposal reviewed for responsiveness, responsibility and SWaM verification
- Provide copies of each proposal to each evaluation member (list), include evaluators remarks, notes, suggestions, etc.
- References (if required) and documentation
- List of approved proposals and all correspondence for the accepted and denied proposals – after evaluation return unopened bid package for the proposals that did not meet requirements or were not accepted
- Signed non-Disclosure Statement and Understanding of Responsibility from each evaluation member

_____**Correspondence after bid closing during evaluation, Notice of Intent up to Award**- correspondence about closing, bid tab or from CA/end user, etc.

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under receipt of bid and correspondence up to NOA Documents

Other _____

_____

Section B
(Continued)
AWARD/CONTRACT AND MODIFICATIONS/RENEWALS

_____**Contract award document,** to include:
Signed Contract Agreement/IFB (to include Cardinal Contract Print-out document and/or Purchase Order)

- Contractor's original bid/IFB and any addendum(s)
- Subsequent changes to the contract/Contract modifications
- Subsequent contract renewal(s)

_____**Insurance Documents/Certificates & Licenses** (copy of required insurance certificate with Commonwealth named as additional insured and any other certificate & licenses copy)

_____**Bonds** (copy of performance and/or bid bonds, if required)

_____**Contract administration** (CA), to include:

- **Notification to contract users** (provide a copy to end user and assigned CA)
- **Assignment of post award contract administrator and responsibilities.** (copy of signed letter received back from CA acknowledging receipt and understanding of duties)

Other _____

_____

_____

POST AWARD DOCUMENTATION
Section C

_____**Post award correspondence** (copies of any vendor/contractor or end user correspondence after award)

_____**Contract performance evaluation** (copy of the ASD 36 form that CA completes and submits as required)

_____**Compliance Issues & Vendor complaint forms and responses** (copy of any complaint or performance issues and responses)

_____**Unsuccessful bids/proposals** (copy of each unsuccessful bid/proposal to be included or note location of documents)

_____ **Blank Tab –** for use by Procurement Officer for anything that falls under Post-Award Documents

Other _____

_____

_____

Attachment 6C

Date:

Company Name
Attention
Street Address
City / State / Zip

Regarding: (District) (Solicitation Number) (Title)

Dear:

Your bid of $ 00.00 for the above solicitation was received and evaluated. This bid is to be awarded to the responsible bidder based on the lowest grand sum total associated with the goods/services to be provided. In comparison with other bids received, your company's bid is the apparent lowest responsive bid; however it is 25% or more lower than the next low bid. In accordance with Sections 5.13 and 5.14 of the Commonwealth of Virginia *Vendor's Manual*, we wish to confirm in writing that your total bid price quoted is correct.

If your bid price is correct, please check the appropriate box below, sign and return this letter.

If your bid price is incorrect and a non judgmental error was made as defined in Section 5.13 of the *Vendor's Manual,* check the appropriate box below; provide written documentation verifying the nonjudgmental error, sign and return this letter.

If your bid price is incorrect and a judgment error was made, check the appropriate box below, confirm your bid price, sign and return this letter.

You will be notified in writing of our award decision. Please verify below your intent and return this letter by close of business [Date] to:

Name: _____
Email: _____ Fax: _____ Phone: _____
Address: _____City: _____State: _____ Zip: _____

[ ] The bid price referenced above is correct; no error was made and the services/goods will be provided at the quoted price

[ ] I verify that the following error(s) was made in the above referenced bid and have provided written documentation verifying the error(s) and request permission to withdraw the bid:

____ Arithmetic error(s)
____ Transposition error(s)
____ Other, please explain in detail
____ Error in extending unit prices
____ Typographical error(s)

[ ] I verify that a mistake was made attributable to errors in judgment. I understand that such mistakes may not be waived or withdrawn.

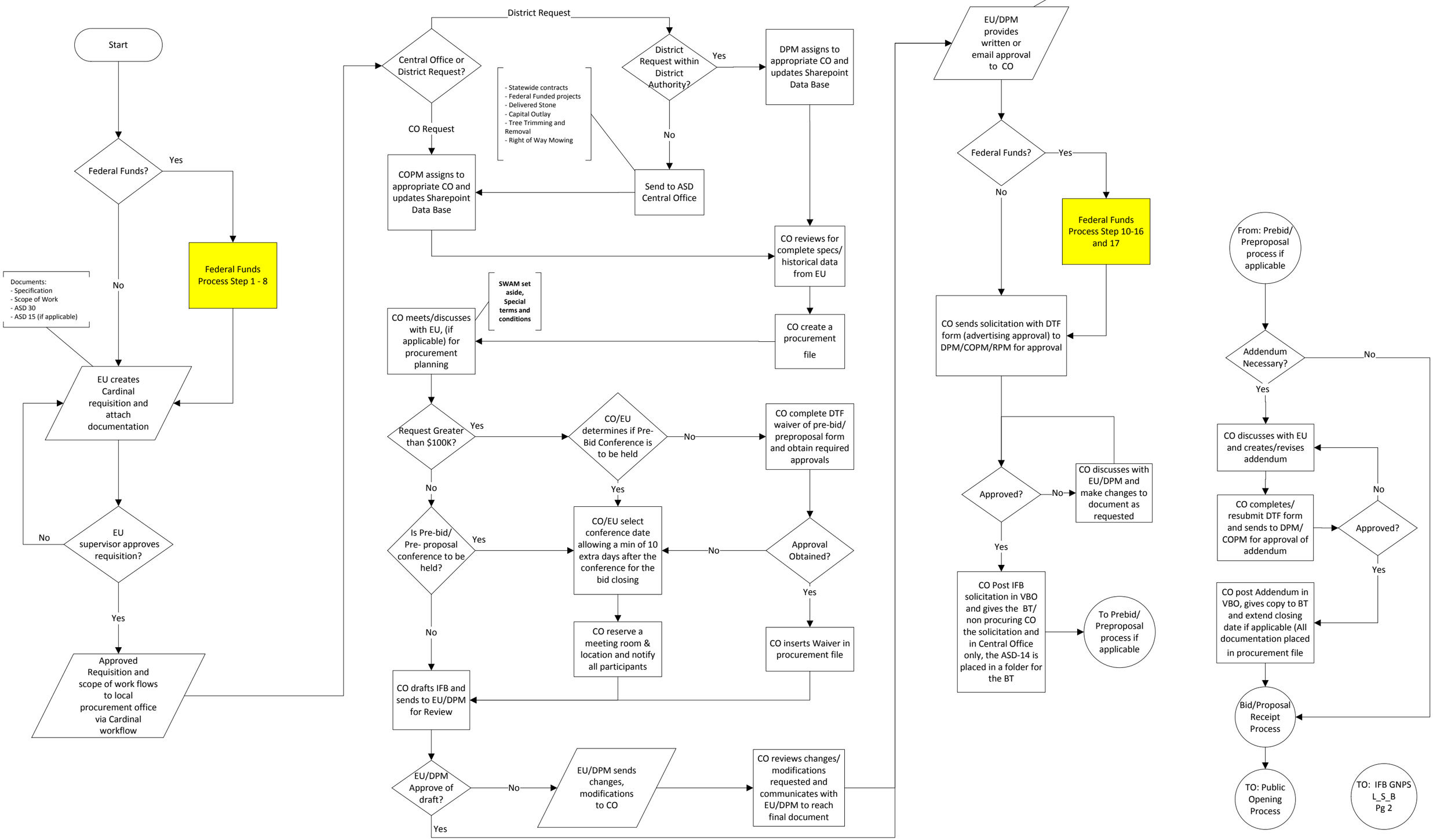
Signature: _____ Print: _____

Title: _____ Phone: _____

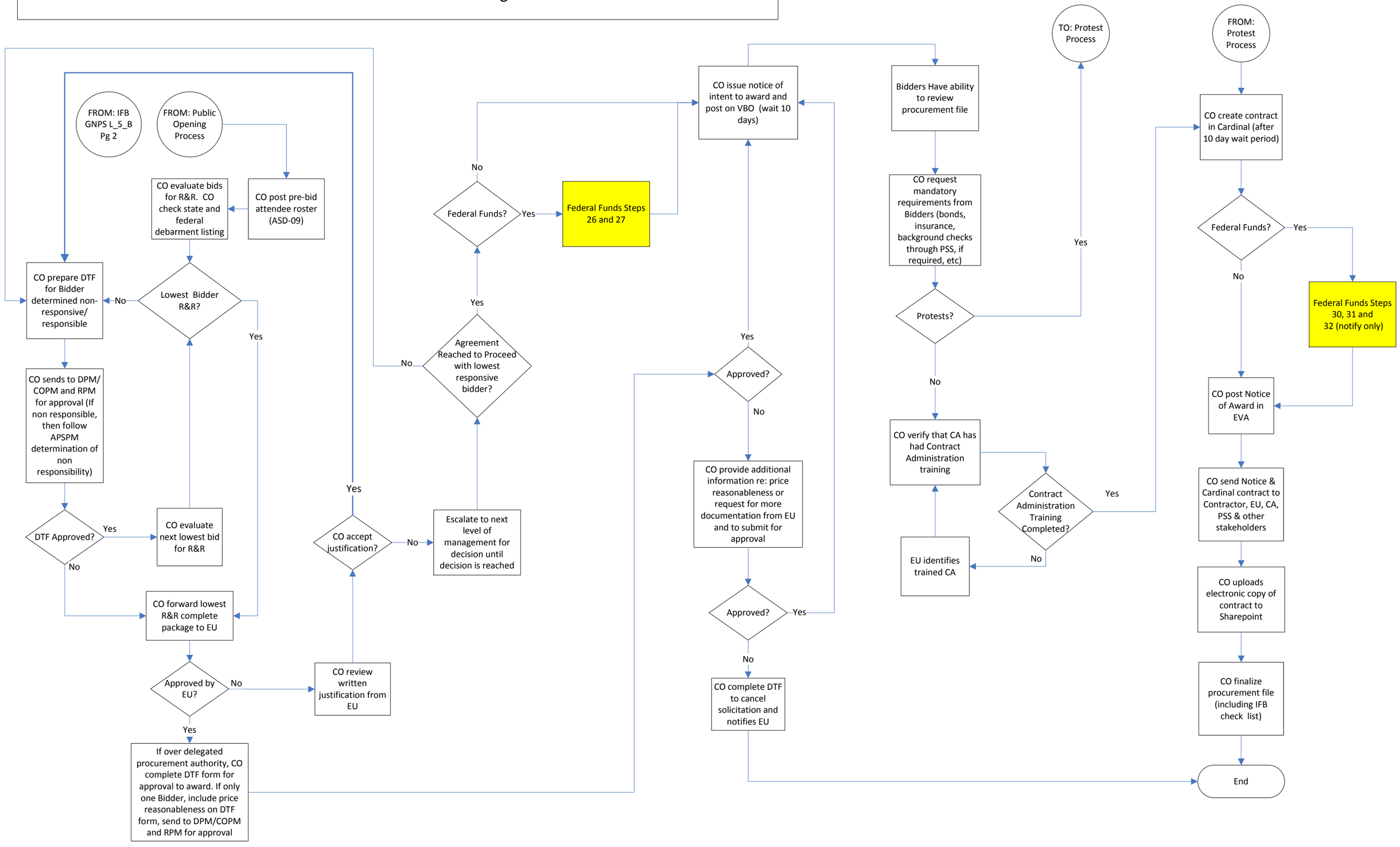
VDOT
ASD Procurement

Attachment 6D
IFB Goods and Services Process Pg. 1 of 2

2013



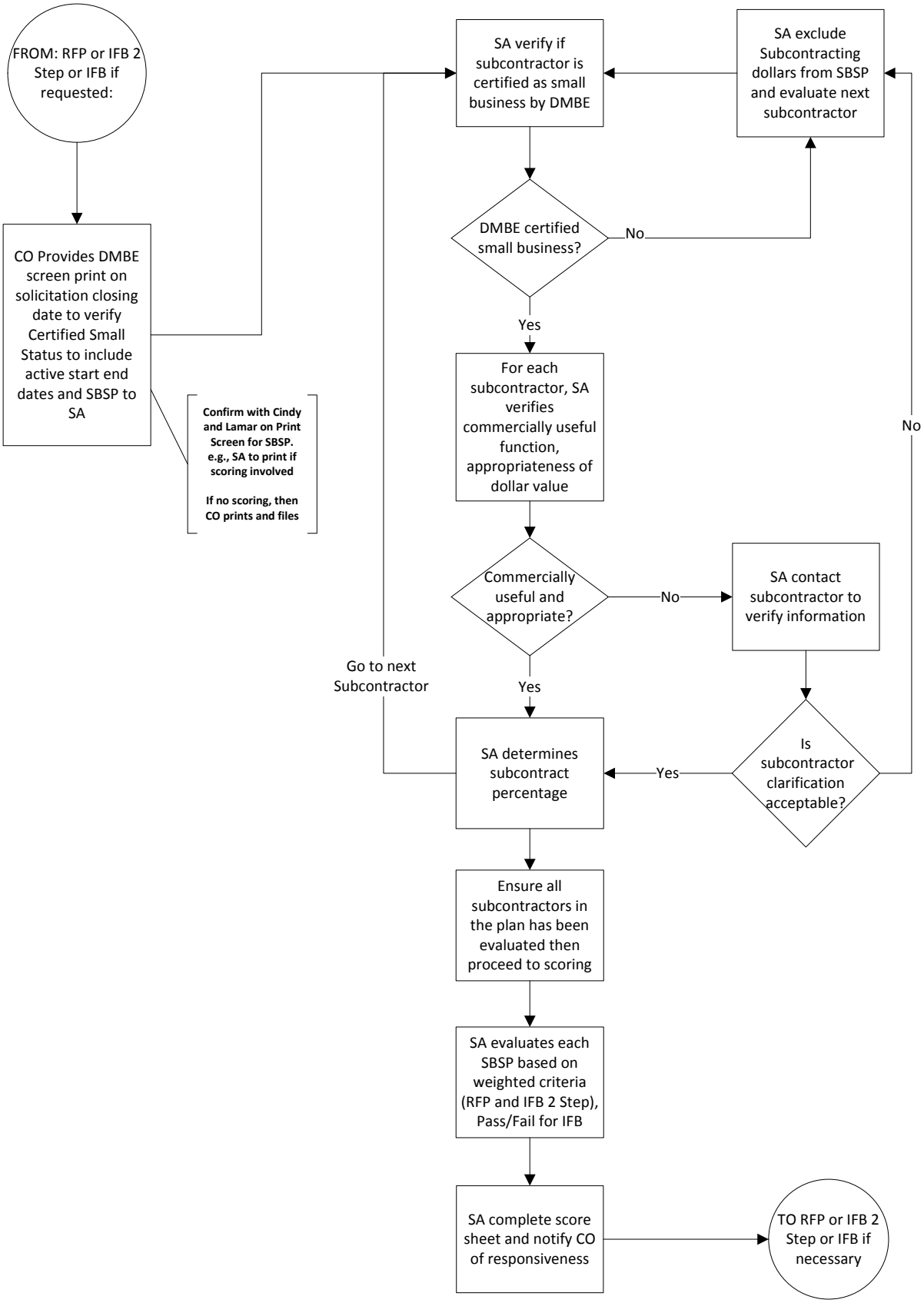
VDOT ASD Procurement	Attachment 6D IFB Goods and Services Process Pg. 2 of 2	2013



VDOT
ASD Procurement

Attachment 6E
SWAM Evaluation Process

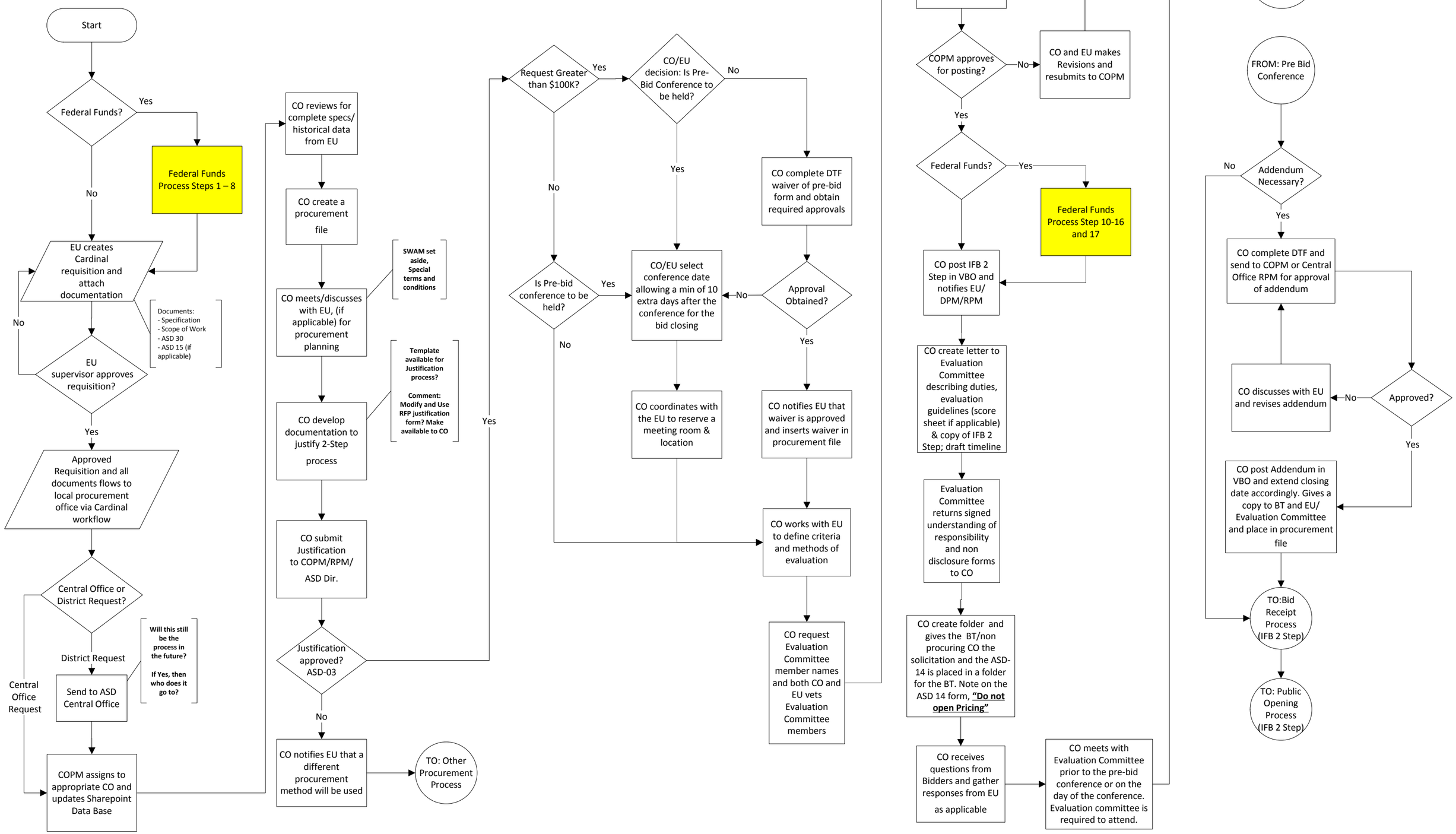
2013



VDOT
ASD Procurement

Attachment 6F
IFB Two Step : Goods & Non Professional Services
Pg. 1 of 2

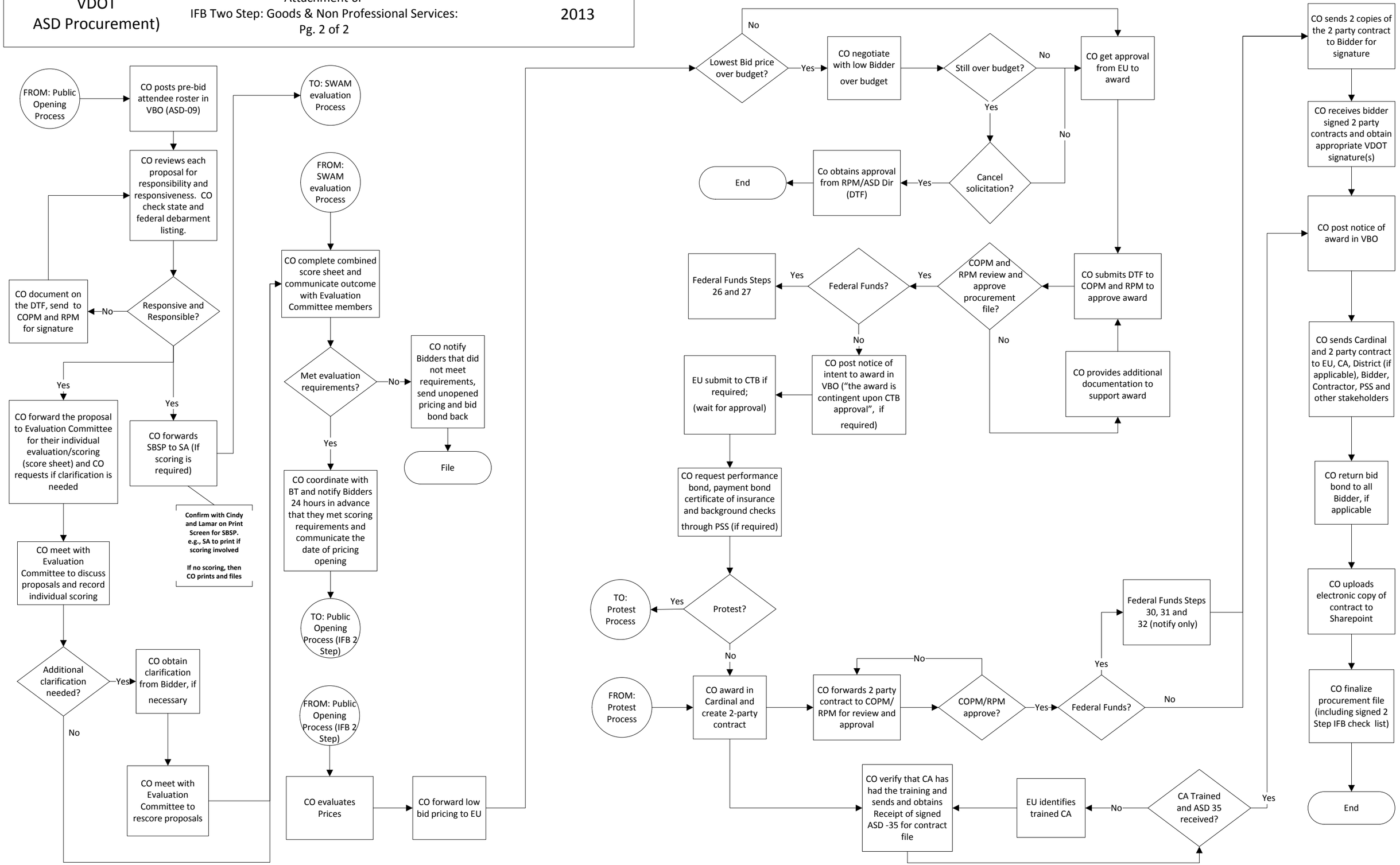
2013



VDOT
ASD Procurement)

Attachment 6F
IFB Two Step: Goods & Non Professional Services:
Pg. 2 of 2

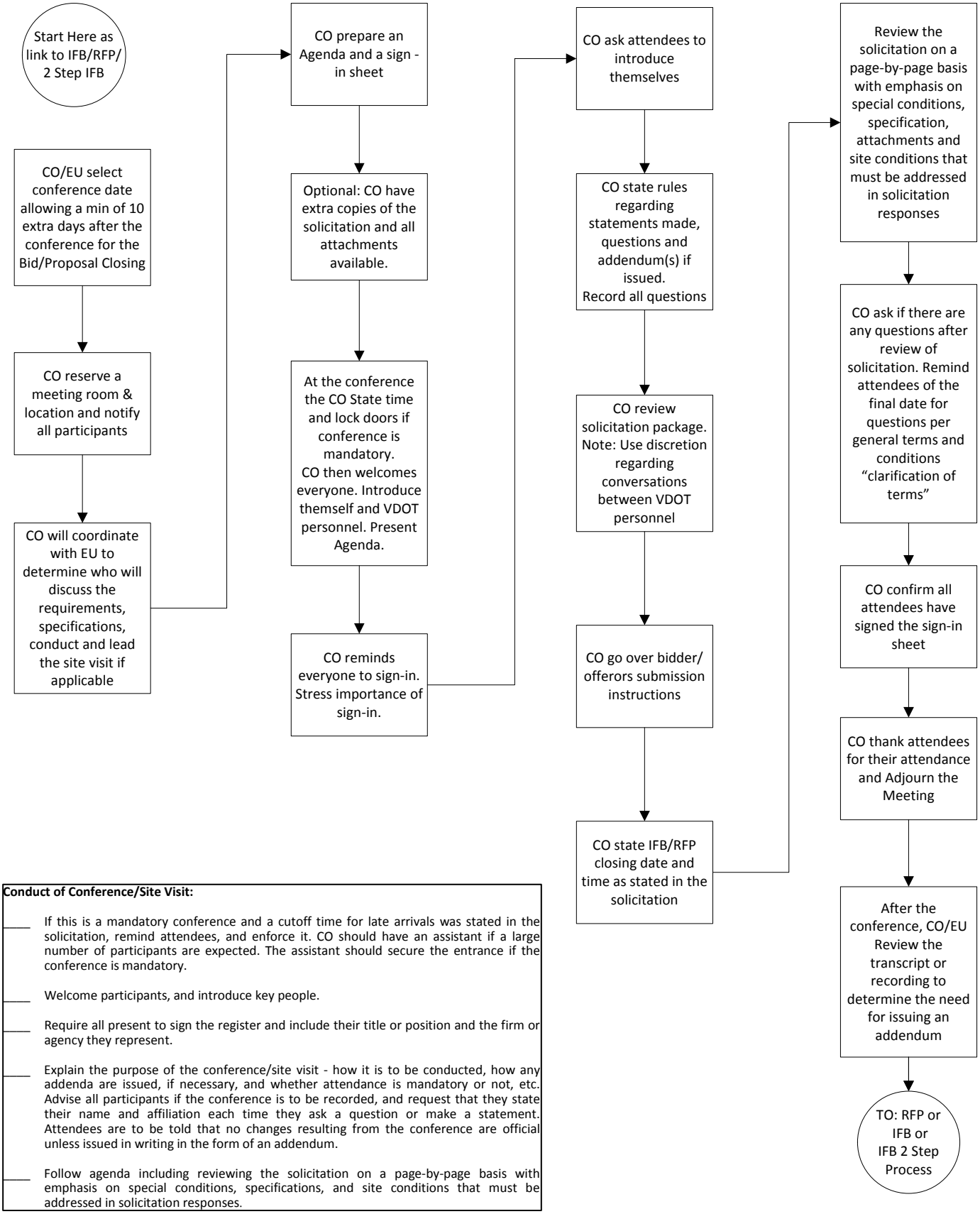
2013



VDOT ASD Procurement

Attachment 6G
Pre-Bid/Pre-Proposal Conference Process and Guidance

2013



Conduct of Conference/Site Visit:

____ If this is a mandatory conference and a cutoff time for late arrivals was stated in the solicitation, remind attendees, and enforce it. CO should have an assistant if a large number of participants are expected. The assistant should secure the entrance if the conference is mandatory.

____ Welcome participants, and introduce key people.

____ Require all present to sign the register and include their title or position and the firm or agency they represent.

____ Explain the purpose of the conference/site visit - how it is to be conducted, how any addenda are issued, if necessary, and whether attendance is mandatory or not, etc. Advise all participants if the conference is to be recorded, and request that they state their name and affiliation each time they ask a question or make a statement. Attendees are to be told that no changes resulting from the conference are official unless issued in writing in the form of an addendum.

____ Follow agenda including reviewing the solicitation on a page-by-page basis with emphasis on special conditions, specifications, and site conditions that must be addressed in solicitation responses.

Attachment 6G

PRE-BID OR PRE-PROPOSAL CONFERENCE CHECKLIST

Preparation:

____ Reserve a meeting room suitable to accommodate the anticipated attendance. Be sure the site is accessible; if outside, specify an alternate date in the event of inclement weather.

____ Coordinate with the end-user to determine who will speak for the requisitioning activity and conduct the site visit. NOTE: The Contract Officer conducting the pre-bid should be the only one speaking at the meeting for VDOT (let the Contract Administrator know that if you need to ask them a question, you should leave the room to discuss).

____ Prepare an agenda and a sign-in sheet

____ Have extra copies of the solicitation and all attachments available (optional, as vendors are reminded in the solicitation to bring their copy)

____ Plan on arriving at the conference site at least an hour prior to the scheduled meeting time

Conduct at Conference:

____ If this is a mandatory conference and a cutoff time for late arrivals was stated in the solicitation, remind attendees, and enforce it.

____ Welcome participants, and introduce key people.

____ Require all present to sign the register and include their title or position and the firm or agency they represent.

____ Explain the purpose of the conference/site visit - how it is to be conducted, how any addenda are issued, if necessary, and whether attendance is mandatory or not, etc. Advise all participants if the conference is to be recorded, and request that they state their name and affiliation each time they ask a question or make a statement. Attendees are to be told that no changes resulting from the conference are official unless issued in writing in the form of an addendum.

____ The solicitation serves as the agenda for the conference. Review the solicitation on a page-by-page basis with emphasis on special conditions, specifications, attachments and site conditions that must be addressed in solicitation responses.

After the conference:

____ Review the transcript or recording to determine the need for issuing an addendum.

____ If an addendum is to be issued, prepare it as indicated in the example provided in Annex 6-F.

NOTE: The Contract Officer for the agency should:

- Control the conference/site visit;
- Consider all vendor comments;
- Encourage vendor participation; and
- Repeat all questions and answers to ensure that they are heard and understood; and

State personnel at the conference should not:

- Express opinions on the validity of the requirements;
- Tell vendors how to do their job;
- Discuss the pros and cons of vendor questions with other State personnel in front of the vendors
- Argue with vendors at the conference.

Attachment 6G

MEETING EXAMPLE

Contract Officer will lead the conference.

Welcome everyone

Introduce yourself and VDOT personnel – make sure and point out who will be the Contract Administrator

Ask attendees to introduce themselves

Pass around sign-in sheet

[state that]This will be a very informal meeting, if you have any questions please feel free to ask them as we go along; but [make sure to point out that] anything said today is just that ***said***. It does not imply any changes to the solicitation you have received. If there are to be any changes, they will be issued as an addendum to the solicitation.

I will now go over the bid package - there may be times that you will need to confer with [contract administrator] in order to answer or address some of the questions – if so, you should excuse yourselves and leave the room for this discussion

GO OVER BIDDERS SUBMISSION INSTRUCTIONS FIRST

You should point out that this is a sealed bid, so all bids must be submitted in a sealed package and should have the bid number, contract officer's name, the bidding company's name, solicitation title and closing date as well as the bid acceptance location

NEXT GO OVER THE SCOPE OF WORK OUTLINED

Make sure to go over the attachments - you might also mention any websites the bidders may need – examples are

(SCC website www.scc.virginia.gov)
(DMBE website www.dmbe.virginia.gov)

Thank attendees for their attendance.

Adjourn

Attachment 6H

ASD-09

Administrative Services Division - Procurement Operations

Mandatory/Optional
Pre-Bid/Proposal Conference Attendance Sheet

IFB/RFP# _____ Description _____

Date/Time: _____ (No one admitted after_____) at _____

CLOSING DATE: _____

Contract Officer: _____

******* Please Print******* ******* Please Print*******

Company Name and Address	Representative	Telephone/ Fax	Email Address

Attachment 6I

Date

Vendor Name
Vendor Address
Vendor City, State Zip

Dear [Vendor Name]:

The Virginia Department of Transportation is in receipt of [Vendor Name] [bid/proposal] for [Solicitation ID# and Name] which closed on [Solicitation Closing Date].

In accordance with section [x, xx] of the [IFB/RFP/2-Step IFB #], [bidder/offeror] attendance at the [pre-bid/pre-proposal] conference is required in order to submit a [bid/proposal]. [Vendor Name] was not represented at the [pre-bid/pre-proposal] conference held on [Date of Conference].

Therefore, [Vendor Name] [bid/proposal] cannot be considered in response to [Solicitation ID# and Name]; and its unopened [bid/proposal] is enclosed.

Thank you for your interest in business opportunities with the Virginia Department of Transportation.

Sincerely,

Contract Officer

Attachment 6J

RECORD OF INVITATION FOR BIDS (IFBs)/REQUEST FOR PROPOSALS (RFPs) RECEIVED

Commodity Description:_____IFB/RFP Number:_____

Closing Date:_____ Time:_____

Opening Date:_____ Time:_____

	Date Received	Company Name	Cardinal Vendor ID Number
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			

Total Number of Bids/Proposals Received: _____ Read By: _____

Attachment 6K

ASD-04
Rev 08/13

Administrative Services Division
Procurement Section
Public Opening

Location:_____
IFB/RFP # _____
Commodity Description: _____

OPENING DATE: _____TIME: _____

***** PLEASE PRINT*******

Company Name	Address	Representative	Telephone & Email Address

Attachment 6K

Administrative Services Division

Procurement Section

Public Opening, Page 2 of 2

Location:_____

IFB/RFP # _____

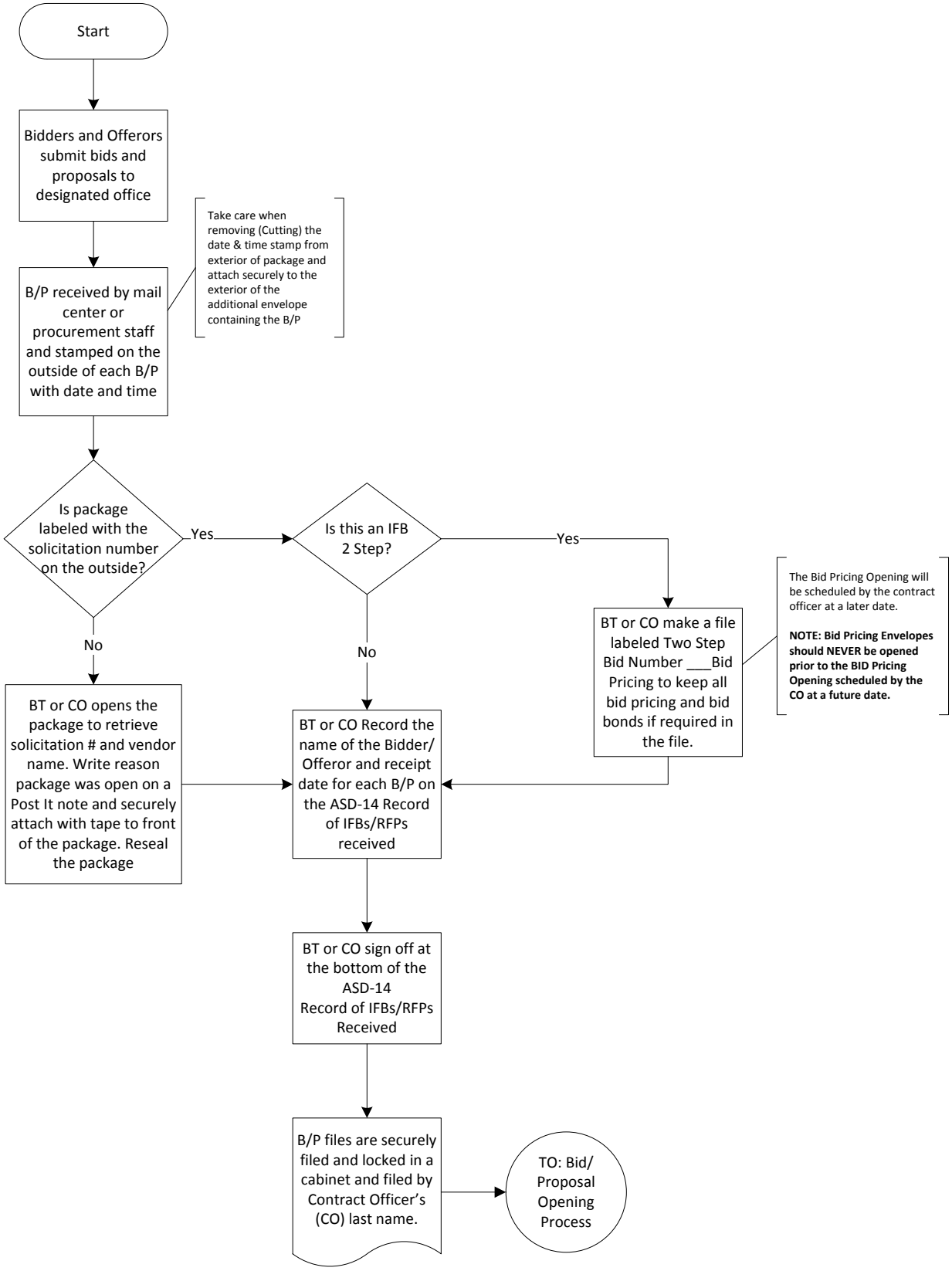
Commodity Description: _____

OPENING DATE: _____TIME: _____

***** PLEASE PRINT*******

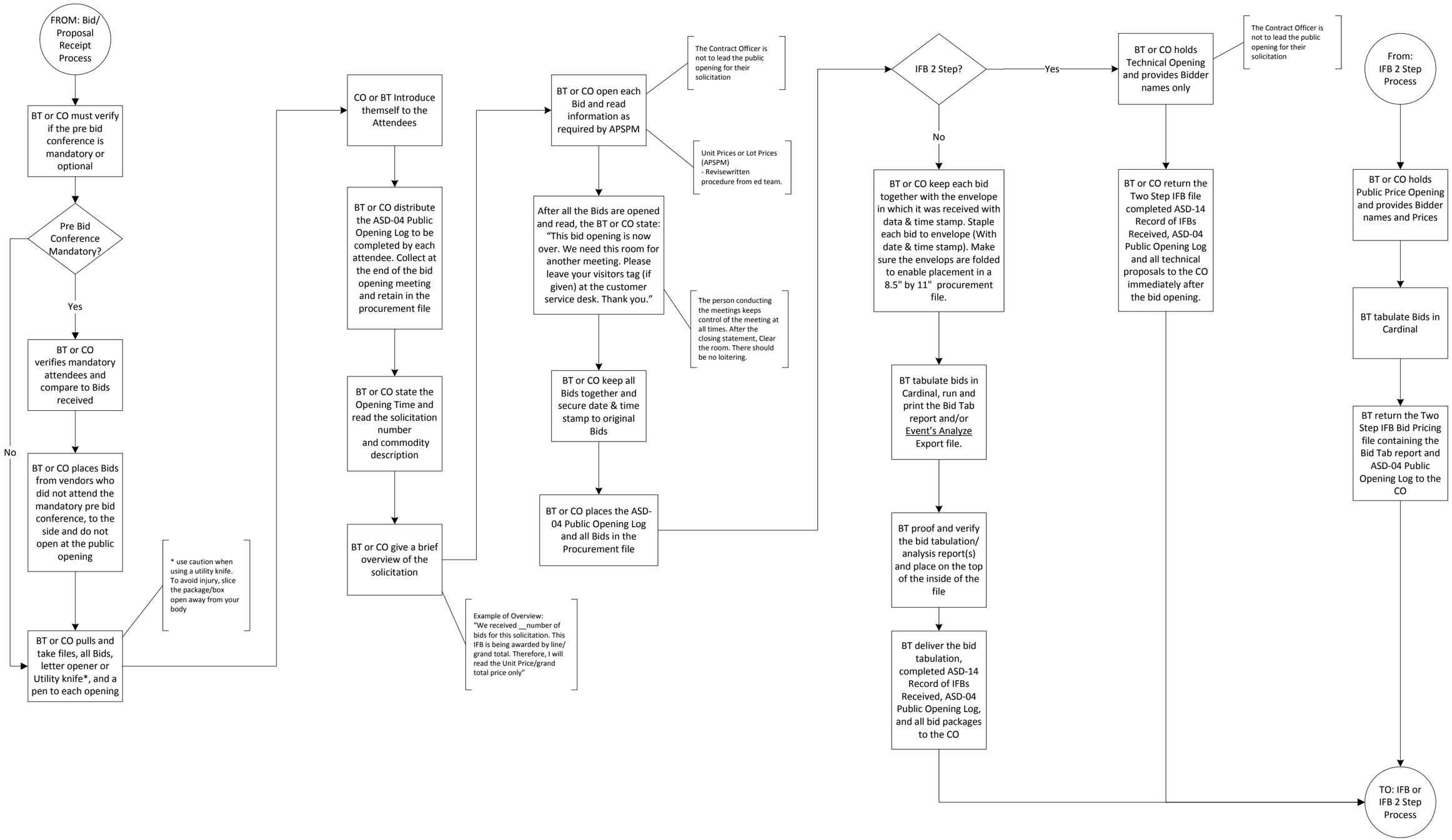
Company Name	Address	Representative	Telephone & Email Address

VDOT ASD Procurement	Attachment 6L Bid/Proposal Receipt Process	2013



VDOT ASD Procurement	Attachment 6M Public Opening Process (No Public Openings will be held for RFPs)	2013

CONDUCTING THE IFB/IFB 2 STEP PUBLIC OPENING



Attachment 6M

BID/PROPOSAL RECEIPT AND PUBLIC OPENING PROCESS: (per APSPM 3.1e)

- Bids and proposals should be received at one central location.
- Bids and proposals are received and stamped on the outside of each bid/proposal. Occasionally, the original envelope/box with date and time stamp contains additional envelopes. Take care when removing (cutting) the date & time stamp from exterior of package and attach securely to the exterior of the additional envelope containing the bid/proposal.
- If a bid is received and opened by VDOT staff due to incorrect/insufficient labeling, attach and initial documentation to the bid explaining the reason that the bid was opened before the public opening.
- Record the name of bidder/offeror and receipt date for each bid/proposal on the ASD-14 Record of IFBs/RFPs Received.
- Receive bids and proposals until the due date and time specified in the IFB/RFP. When the receipt deadline has arrived, no further bids/proposals will be accepted.
- Prior to the public opening, verify that all bids/proposals received are from vendors who attended the mandatory pre-bid/pre-proposal conference, if applicable. The procuring Contract Officer (CO) must ensure that mandatory conference attendance lists are given to the person conducting the public opening to ensure those bids/proposals are not read at the public opening.

CONDUCTING THE PUBLIC OPENING

Invitation for Bid (IFB) - IFB files are securely filed and locked in a file cabinet and filed by Contract Officer's (CO) last name.

1. Take IFB file, bids, letter opener or utility knife***,** and a pen to each bid opening.
2. Introduce yourself to attendees.
3. Distribute the ASD-04 Public Opening Log to be completed by each attendee and collected at the end of the bid opening meeting to be retained in the procurement file.
4. State the Opening Time and read IFB number and commodity description.
5. Give a brief overview of the bid opening. For example, "We received __ number of bids for this solicitation. This IFB is being awarded by line. Therefore, I will read the Unit Price of each line." Or "…This IFB is being awarded by Grand Total. Therefore, I will read the Grand Total only."

6. Open each bid & read the bidder's name, the unit price (if awarded by line) and/or grand total ONLY. When a bidder requests unit prices be read, ask the person's name and make a note beside requestor's name/company name on the attendee sign-in sheet.

7. If IFB calls for a make & model or other information, such as start and end dates, the information should be read. ***NOTE: Bidders should not be able to see anything you read.***

8. **IMPORTANT: No questions on other bid contents should be answered.**

9. The person conducting the meeting keeps control of the meeting at all times. After all bids are opened and pricing is read, state "This bid opening is now over. We need this room for another meeting. Please leave your visitors tag at the customer service desk. Thank you." Clear the room. There should be no loitering.

10. Keep each bid together with the envelope in which it was received with date & time stamp. Staple each bid to envelope (with date & time stamp). Make sure the envelopes are folded to enable placement in a letter-sized manila envelope.

11. Write the Cardinal Vendor ID number beside the name of each bidder on the ASD-14 Record of IFBs/RFPs Received. ***NOTE: Bids and proposals should <u>never</u> be written on. Notations should be written on post-it notes*.**

12. Sign off at the bottom of the ASD-14 Record of IFBs/RFPs Received.

13. Tabulate bids in Cardinal.

14. In Cardinal, run and print the Bid Tab report and/or the Event's Analyze Export file.

15. Proof and verify the bid tabulation/analysis report(s) and place on the top of the inside of the file.

16. Deliver the bid tabulation and all supporting documentation to CO.

Two-Step IFB – Two-Step IFB files are securely filed and locked in a file cabinet and filed by CO's last name.

1. Bidders are instructed on first page of the IFB "Sealed Technical Proposals, Price Envelopes and Bid Bonds in separately sealed envelopes as described herein…" When bids are received, prior to the opening, if a vendor failed to follow instructions and did not write the IFB number on the outside of the package, open the package to retrieve

IFB number and vendor name. Write the reason the IFB was opened on a Post It note and securely attach with tape to front of the package. Reseal the package.

2. If bidder failed to submit bid/proposal in two separate envelopes, and package is properly labeled [with vendor name and IFB number], do NOT open the package.

   IMPORTANT: The date and time is stamped on the exterior of the package when received by mailroom staff. It is VERY important to take care when removing (cutting) the date & time stamp AND the bidder's name and address label from exterior of package and affixed securely to the exterior of the original technical proposal. If a technical proposal is not labeled "Original", securely affix the date and time stamp and bidder's name label to the front of one of the technical proposals.

3. Make a file labeled Two Step Bid Number ____ Bid Pricing, and keep all bid pricing and bid bonds, if required, in the file in a securely locked file cabinet until the Bid Pricing Opening to be scheduled by Contract Officer at a later date. ***NOTE: Bid Pricing Envelopes should NEVER be opened prior to the Bid Pricing Opening scheduled by CO at a future date.***

4. Pull and take all two step IFB file and packages to the bid opening a few minutes before the bid opening.

5. Ask attendees (if any) to sign the ASD-04 Public Bid Opening Log.

6. Technical proposals are opened as close to the Opening time as possible (10:30 am or 2:00 pm).

7. If attendees are present, begin the bid opening by stating "Good morning/afternoon. It is __ am/pm and Two Step IFB number (read commodity description) has begun. Bidder's name only will be read. Proposals will be given to contract officer. Bid pricing openings are scheduled at a later date by the CO."

8. Open one package at a time and take care not to damage the date & time stamp on exterior of package.

9. Remove technical proposal and read the bidder's name and announce that the Bid Pricing envelope [and Bid Bond, if required] is included.
   NOTE: Bidders should not be able to see anything you read.

10. Open second package; repeat steps 8 – 9.

11. The person conducting the public opening keeps control of the meeting at all times. After all bids are read, state "This bid opening is now over. We need this room for

another meeting. Please leave your visitors tag at the customer service desk. Thank you." Clear the room. There should be no loitering.

12. Place the ASD-04 Public Bid Opening Log and all technical proposals in the Two Step IFB file (unless they do not fit in the file).

13. Because this is a two-step bid opening, tabulation is done at a later date.
14. Return the Two Step IFB file and technical proposals to CO immediately after the bid opening.

15. CO notifies bidders via email whether or not their proposal is acceptable. Proposals deemed unacceptable are returned to bidder along with unopened bid pricing envelope.

Two Step IFB Pricing Opening

1. Pull the two step bid pricing IFB file a few minutes before the public opening.

2. Distribute the ASD-04 Public Opening Log to be completed by each attendee and collected at the end of the bid opening meeting to be retained in the procurement file.

3. If attendees are present, begin the bid pricing opening by stating "Good morning/afternoon. It is (state time) and IFB (state #) bid pricing is being opened. I will read the names of the bidders deemed acceptable and the prices."

4. Open one package at a time and take care not to damage the date & time stamp [if package is stamped with a date & time stamp] on exterior of package.

5. Read the name of the bidder and bid price(s). ***NOTE: Attendees should not be allowed to see what you are reading.***

6. **IMPORTANT: No questions on other bid contents should be answered.**

7. The person conducting the meeting keeps control of the meeting at all times. When all bid pricing packages are opened and vendor names and pricing are read, state "This bid opening is now over. We need this room for another meeting. Please leave your Visitors tag at the customer service desk. Thank you." Clear the room. There should be no loitering.

8. Tabulate bids in Cardinal.

9. Return the Two Step IFB Bid Pricing file containing the Bid Tab report and ASD-04 Public Opening Log to the CO.

Attachment 6M

Request for Proposal (RFP) - RFP files are securely filed and locked in a file cabinet (or an office with a lock) and filed by CO's last name.

Note: Public Openings are not conducted for RFPs.

1. Keep all proposals together and secure date & time stamp to original proposal.
2. Return the ASD-04 Public Opening Log and all proposals to CO.

***Use caution when using a utility knife. To avoid injury, slice the package/box open away from your body.**

ASD-12

Contract Reference Check Worksheet

Cardinal Event Number:		Contract Description:	
Bidder/Offeror Name:			
Person Contacted/Name of Company:			
Phone Number:		Date of Reference Check:	

1. What is your relationship with the bidder/offeror?

2. In what capacity have you worked with the bidder/offeror?

3. How satisfied were you with the service provided?

4. How responsive was the bidder/offeror in addressing and correcting problems (if applicable)?

5. Can you describe the technical knowledge or expertise of the bidder/offeror?

6. Was the project completed on schedule? Within budget?

7. Did staff meet the expectations of the project?

8. Would you renew the contract with this bidder/offeror?

Additional Comments:

Reference Check Completed by_____

SECTION 7

COMPETITIVE NEGOTIATION

7.1 **General –** ASD Central Office Procurement Office will issue all Requests for Proposal (RFP) for goods and services for non-transportation projects. Generally, a minimum of 90 days lead time is required for advertisement and award. This may vary depending on the complexity of the procurement.

RFP Checklist Form ASD-02 (See Attachment 7A) must be used to ensure statewide consistency from contract initiation through award.

The District or Division Administrator or his designee is required to justify in writing why competitive negotiation is the most appropriate method to procure the requested goods or services. The justification shall be documented by the Contract Officer and approved by the ASD Administrator and retained in the procurement file.

7.2 **Preparation, Issuance and Evaluation of RFPs -** All requisitions for RFPs will be approved in Cardinal and include ASD-30, approved ASD-15, and scope of services. Each requisition will be routed in Cardinal to the Central Office ASD Procurement Office and assigned to a Contract Officer for procurement.

For additional guidance in completing complex and non-routine procurements, please refer to Attachment 4F for *Guidance in Procurement Planning for Complex, Non-routine Contracts.*

Contract Officer will send request for advertisement in newspaper(s) to Communications Division. The request must be sent timely to ensure advertisement prior to pre-proposal conference, if applicable.

Evaluation criteria weights will be posted in eVA within 1-3 days of RFP closing date.

When evaluating proposals, Contract Officer will ensure DMBE certification is valid prior to sending the proposal packages to the evaluation committee or SWaM Advocate. See detailed SWaM Evaluation Process in Attachment 6E.

See Attachment 7B for a detailed process on the RFP Competitive Negotiation Process.

7.3 **Evaluation Committee Selection and Guidance –** The Contract Officer will request the names of the evaluation committee prior to issuance of the RFP. The end user will be required to provide name, title and a brief rationale of each evaluation committee member selected.

(a) Instructions to the Evaluation Committee must be prepared in memorandum form and include Understanding of Responsibility for RFP Form ASD-07 (See Attachment) 7C) and Non-Disclosure Statement for RFP Form ASD-51 (See Attachment 7D) signed by each committee member prior to beginning the evaluation process.

(b) Evaluation Committee members shall not communicate with offerors. All contacts by offerors regarding the RFP must be referred to the Contract Officer.

7.4 **Pre-proposal Conferences** – If a pre-proposal conference will be held, Contract Officers will use the information in Attachment 6G which includes detailed process map, checklist and meeting example to conduct conferences.

The Pre-bid/Pre-Proposal Conference Attendance Form ASD-09 (See Attachment 6H) will be posted on eVA for all procurements.

If attendance at the pre-proposal conference is mandatory, Contract Officers should use the letter template in Attachment 6I to return proposal(s) received from offeror(s) not in attendance.

7.5 **Proposal Receipt, Opening and Tabulation Support** – Contract Officers provide a copy of all solicitations posted in eVA to the Bid Tabulator or Non-procuring Contract Officer to ensure proposal receipt and tabulation process is objective and is handled in accordance with procurement best practices. Attachment 6J Record of Bids/Proposals Received Form ASD-14 will be used to document proposals received. ASD does not conduct public openings for RFPs.

7.6 **Reference Check –** Contract Officers will use Contract Reference Check Form ASD-12 (See Attachment 6N) to document reference checks.

7.7 **Standard Contract –** The standard two-party contract in the *APSPM*, Annex 7-D, shall be used with RFP's. See Attachment 7E.

VDOT PROCUREMENT CHECKLIST – REQUEST FOR PROPOSAL (RFP)

Instructions:

This form is to be completed by the Contract Officer and retained in the Contract File
Place a √ beside each task as completed and add other data requested.
For tasks that are Not Applicable (NA), please use NA on the line associated with that task.
Contract Officer is to sign and date completed form.

Contract Officer's Name _____
Division/District _____
Requisitioning Unit _____
Project Description _____
Contact Name _____
Requisition # or Purchase Order # _____
RFP Contract # _____

Evaluation Team Members

Name	E-Mail Address	Telephone Number

Chairperson:

_____ _____ _____

Request

_____ Include transmittal of Procurement Request from End User or e-Mail Notification from Procurement Manager
_____ Include Cost Analysis (if applicable)
_____ Include Make or Buy Analysis (if applicable)
_____ Include written justification for use of competitive negotiations, approved by Procurement Manager and Regional Procurement Manager

Proposal Preparation

_____ Initial specifications/scope of work/statement of work/statement of needs/project background info received from end user on (date) _____
_____ Final specifications/scope of work/statement of work/statement of needs/project background info received from end user on (date) _____

VDOT PROCUREMENT CHECKLIST – REQUEST FOR PROPOSAL

_____ Determine if the procurement is a set-aside ☐ Yes ☐ No
☐ If yes, include set-aside language on the face of the proposal
☐ If yes, confirm that the set-aside clause is included in the General Terms & Conditions
_____ Include latest version of General Terms & Conditions
Review, determine and develop the Special Terms & Conditions required
_____ Are Federal Funds being used in project _____ Yes _____ No
_____ If yes, include appropriate Federal forms ☐ ☐
_____ If yes, receive approval of solicitation in writing from Federal Highway (FHWA) prior to issuance.
_____ Include Evaluation Criteria
_____ Include special eVA terms (including the term that specifies the number purchase orders anticipated to be issued during contract term)
_____ Include Small Business Subcontractor Plan (if procurement is over $100,000 and **NOT** a set aside for DMBE Certified Small Businesses)
_____ If no Small Business Subcontracting opportunities exist, include written determination supported by factual evidence explaining in sufficient detail why no subcontracting opportunities exist signed by Director of Administrative Services Division
_____ Include "Award to Other Than Lowest Offeror" clause (if procurement is over $50,000 and is not a set a-side procurement)
_____ Include "Renewal" clause (if needed)
Include additional/specialized Insurance Clause (if needed)
_____ Include Vendor Data Sheet or Qualification Questionnaire (if required)
_____ Include reference requests (if required)
_____ Include shop drawings (if needed)
_____ Document Procurement Manager "sign-off" on final RFP solicitation prior to issuance
_____
_____

Proposal Distribution

DMBE Certified Small Business (Small, Woman-Owned and Minority-Owned businesses)

Were any DMBE certified small businesses (SWaMs) included on the Requisition from End User? ☐ **Y** ☐ **N**
Contract Officer searched eVA website for DMBE certified small businesses (SWaMs) ☐ **Y** ☐ **N**
Contract Officer searched DMBE website for DMBE certified small businesses (SWaMs) ☐ **Y** ☐ **N**
Contract Officer searched other sources for DMBE certified small businesses (SWaMs) (note source used) ☐ **Y** ☐ **N**

_____
_____ Include complete list of DMBE certified small businesses (SWAMs) solicited. Document SWaM status of each SWaM
_____ Include vendor's solicited list provided from End User
_____ Include documentation if the correct number of DMBE certified small businesses (SWAMs) were **NOT** included in the initial mailing list
_____ Post solicitation (specify date posted):
eVA posted on _____
Bid Board posted on _____
_____ Include copy of VBO Solicitation Print View
_____ Include notification email from eVA that the RFP was emailed to registered vendors
_____ Contact Public Affairs/Communications (VDOT Ads) to place RFP notification advertisement in the appropriate newspaper (date) _____
_____ Include copy of newspaper advertisement(s)

Pre-Proposal Conferences

☐Mandatory or ☐Optional

Pre-proposal date and _____ where

_____ Admittance deadline for vendors if Mandatory pre-proposal conference _____

_____ Include waiver from Regional Procurement Manager if not holding a pre-proposal conference and procurement is over $100,000

_____ Date of site visit (if required and separate of pre-proposal

_____ conference) Include attendance roster signed by attendees.

Date roster posted in eVA _____

_____ Include copy of questions, answers, and clarifications from pre-proposal conference (if held)

_____ Include necessary addendums as a result of pre-proposal conference

_____ Post evaluation criteria weights on Public Board and eVA no less than 24 hours prior to close date and time

Proposal Receipt

_____ Proposals received by Bid Tabulation Section

_____ Proposal tabulation and package given to Contract Officer on _____

_____ Proposal tabulation matches proposals delivered by Designee

_____ Include proposal tabulation form

_____ List of proposals returned

Proposal Evaluation

_____ Prepare written instructions for the evaluation team

_____ Provide instructions and copies of each proposal to each evaluation team member

_____ Include signed RFP Evaluation Committee Non-Disclosure Statement and Understanding of Responsibility from each evaluation team member

_____ Include completed evaluation forms from each team member on each proposal

_____ Date of Evaluation Committee Meetings __ _____

_____ Include consensus evaluation form

_____ Select at least two offerors to enter into negotiations with

☐ If a written determination is prepared documenting that only one offeror is fully qualified, or one offeror is clearly more qualified and suitable than the others under consideration, negotiate & award to that offeror

☐ Include Regional Procurement Manager's written approval of the decision

_____ Conduct negotiations with selected offerors

_____ Include documentation on any negotiated modifications

_____ Select offeror with best proposal to award

_____ Contract awarded to other than highest ranked offeror ☐ Yes ☐No

_____ If yes, include written approval from ASD Director

_____ Include written narrative summarizing rationale for overall ratings developed for each proposal

_____ received Contract Officer prepares Notice of Award or Notice of Intent to Award (if necessary) and

posts for 10 calendar days (date)_____

_____ Contract Officer requests insurance documents from selected offeror
Date requested _____
Date received _____

_____ Contract Officer requests Bonds (if necessary) Date requested _____
Date received _____

_____ Contract Officer requests other needed documents (certificates or licenses) Date requested _____
Date received _____

Obtain necessary approval if award exceeds Contract Officer's delegated procurement authority

Contract Administration

_____ Contract Officer validates that Contract Administrator has attended Contract Administration Class
_____ Contract Officer prepares and forwards Contract Administration Designation Letter
_____ Contract Officer received signed copy of above letter from designated Contract Administrator

Award Document

_____ Contract Officer prepares Award Document Contract # _____ or PO # _____
_____ If Award Document is a contract, copies of Award Document sent to field and designated Contract Administrator
_____ Include copy of the Contract Award package; a copy of the Notice of Award document, original RFP, copy of signed proposal from contractor, copy of insurance certificate, Cardinal print out, and a copy of the Contract Administrator Designation Letter

Post Award Documentation

_____ Award posted on eVA
_____ Include all unsuccessful proposals received
_____ Contract Officer makes copies of contract for ASD Contract file
_____ Forward contract file to Contract Administrator

Contract Officer: _____ **Date:** _____

(This form is to be completed by the Contract Officer and retained in the Contract File)

Comments

_____

_____

Section A

RFP PREPARATION

_____**Previous contract with prices** if there is a copy of the previous awarded solicitation for this service. *(This is the bottom Tab and the first to go in the folder)*

_____**Request for Requirements** (copy of approved Cardinal requisition, approved ASD-15, ASD-30, any VITA or FHWA approvals)

_____**Written determination (**provide justification of determination for competitive negotiation)

_____**Specifications/Statement of Needs review** (specs provided by and worked on with end user)

_____**Original working papers** (draft of solicitation with any applicable terms and conditions, set-asides, comments from end user, reference request, Vendor Data Sheet, drawings and etc.)

_____**Final Solicitation Approval** (signed ASD-03 form by Procurement Manager)

_____**Solicitation review check list** (copy of steps followed and information required for solicitation)

_____**Other** _____

_____**Other** _____

Section A

(Continued)

RFP PREPARATION, ISSUANCE AND ADDENDUMS

_____**Weights to be assigned to evaluation criteria** (copy of criteria posted within 1-3 days of RFP closing date)

_____**Evaluation panel assigned** (copy of written notification of panel members' assignment and responsibilities; statement why each member was selected)

_____**VBO/newspaper advertising/posting notice** (copy of eVA/VBO posting and/or newspaper posting)

_____**Offeror mailing list** (copy of eVA/DMBE SWaM website searches, electronic mailing list from eVA, notification of eVA registered vendors emailed and list of vendors that solicitation was mailed with mail date)

_____**Pre-Proposal conference** (waiver for ASD Director/Designee if not holding a pre-proposal conference over $100,000, copy of attendees list, and any notes taken during conference)

_____**Final RFP Document posted** (including appendices and attachments

_____**Addendum(s) to solicitation** (copy to show any changes made since original solicitation posting, copy of addendum VBO posting with post date, copy of vendors notified)

_____**Other** _____

_____**Other** _____

Section B

PROPOSAL EVALUATION AND NEGOTIATIONS

_____**List of Proposals Received** (from Bid Tab)

_____**Reference Documents** (if checked)

_____**SWAM Evaluation and Scoring**

_____**Price Scoring**

_____**1st Individual Initial Evaluation Score Sheets/Consensus Score Sheet**

_____**Clarification Questions**

_____**Oral Presentation** (if held)

_____**2nd Scoring/Consensus Score Sheet/Shortlisting Decision**

_____**Negotiations -** (negotiations conducted including questions and answers)

_____**3rd Scoring/Final Consensus Scoring/Award Determination**

_____**Narrative Summary of Ratings**

_____**Miscellaneous,** such as Determination of non-responsibility, Price reasonableness determination, Other pre-award correspondence

_____**Unsuccessful proposals** (copy of each unsuccessful proposal to be included or note location of documents)

_____ **FHWA Approval** if Federal Funds are used

_____**Procurement File ready for inspection by Offerors** (Confidential/Proprietary information removed, signed ASD-03).

_____**Final Approval to post Notice of Intent to Award** – Signed ASD-03 form

_____**Notice of Intent to Award –** (Copy of NOIA VBO posting)

_____**Notice of Award –** (Copy of NOA VBO posting and print out showing posting date)

Virginia Department of Transportation

Section C

MISCELLANEOUS

_____**Blank solicitation** (provide 1 copy of original solicitation)

_____**Addendum Copies** (provide 1 copy of each addendum issued before award)

_____**Other** _____

VDOT Virginia Department of Transportation

Section A

CONTRACT AWARD, MODIFICATIONS AND RENEWALS

_____**Contract administration** (CA), to include:

- **Notification to contract users** (provide a copy to end user and assigned CA)
- **Assignment of post award contract administrator and responsibilities (ASD-35).** (copy of signed letter received back from CA acknowledging receipt and understanding of duties) *(This is the bottom Tab and the first to go in the folder)*

_____**Contract distribution list** (copy of list of those provided copies of the awarded contract)

_____**Bonds** (copy of performance and/or bid bonds, if required

_____**Background checks**, if required

_____**Insurance Documents/Certificates & Licenses** - copy of required insurance certificate with Commonwealth named as additional insured and so endorsed to the policy or policies, and any other certificate & licenses copies.

_____**Contract award document,** to include:

Signed COV Standard Contract form, original signed Notice of Award VBO posting, Cardinal Contract Print-out document and/or Purchase Order)

- Contractor's original proposal and any addendum(s)
- Agency's and contractor's negotiated changes to proposal

_____**Contract Modifications/Renewals** *(This should be the top Tab and last to go into the folder)*

_____**Other** _____

_____**Other** _____

VDOT Virginia Department of Transportation

Section B

POST AWARD DOCUMENTATION

_____**Post award correspondence** (copies of any vendor/contractor or end user correspondence after award)

_____**Volume/Usage reports** (such as copies of any SWAM figures or purchases made against contract)

_____**Pre-contract renewal market research** (copy of any PPI, CPI documentation obtained from web or market changes determined for justification

_____**Contract performance evaluation** (copy of the ASD 36 form that CA completes and submits as required)

_____**Compliance Issues & Vendor complaint forms and responses** (copy of any complaint or performance issues and responses)

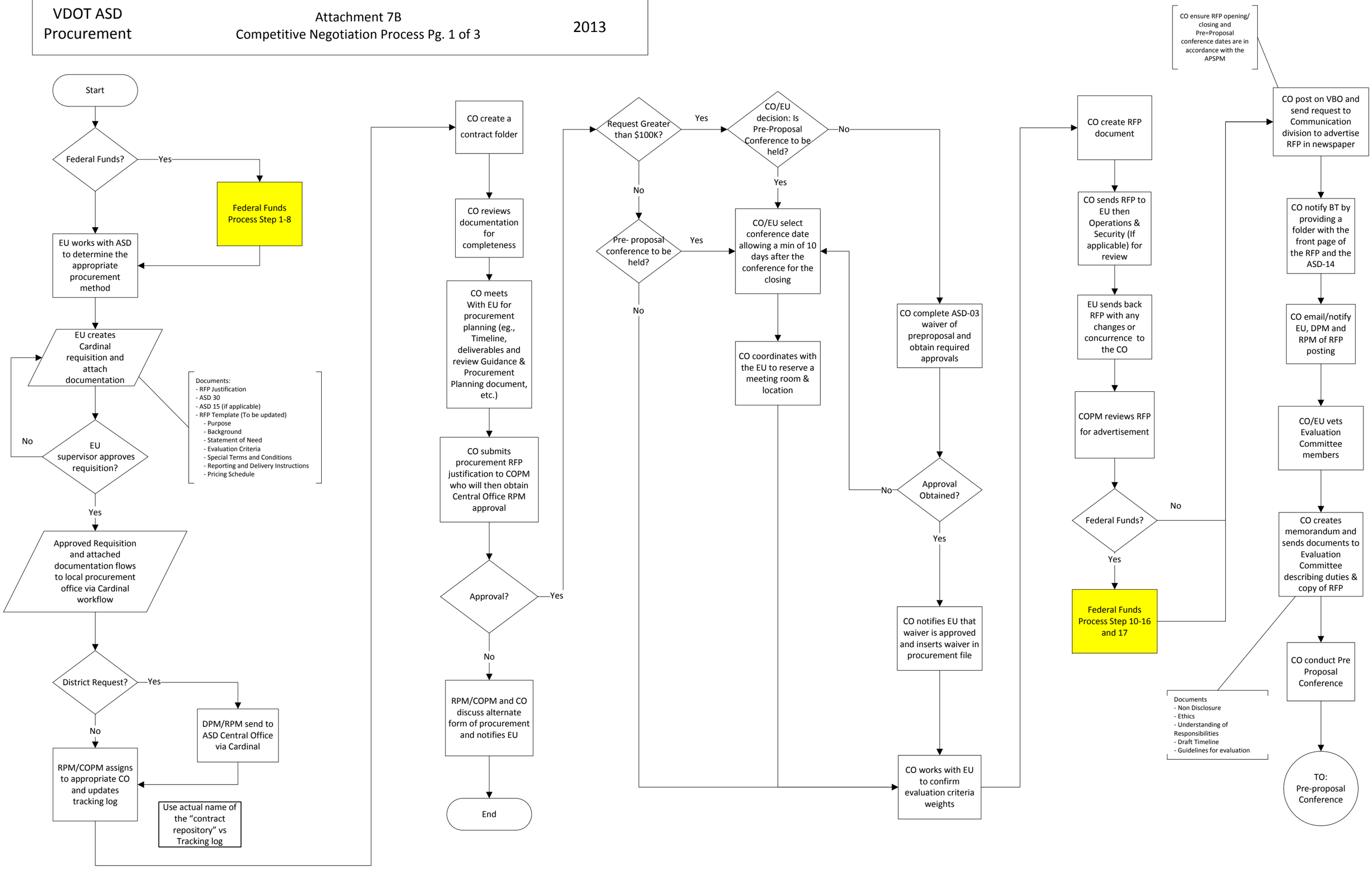
_____**Other** _____

_____**Other** _____

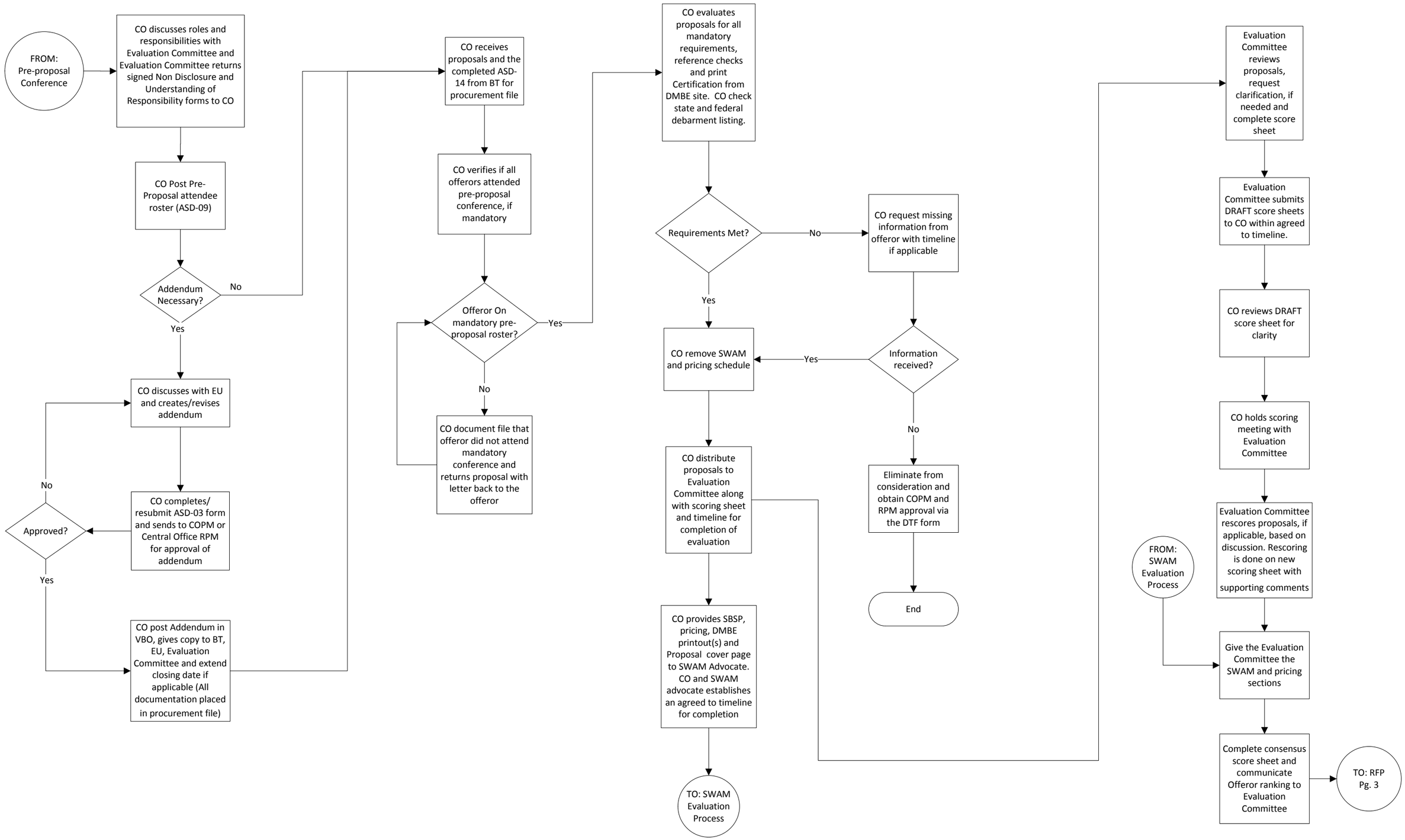
VDOT ASD Procurement

Attachment 7B
Competitive Negotiation Process Pg. 1 of 3

2013



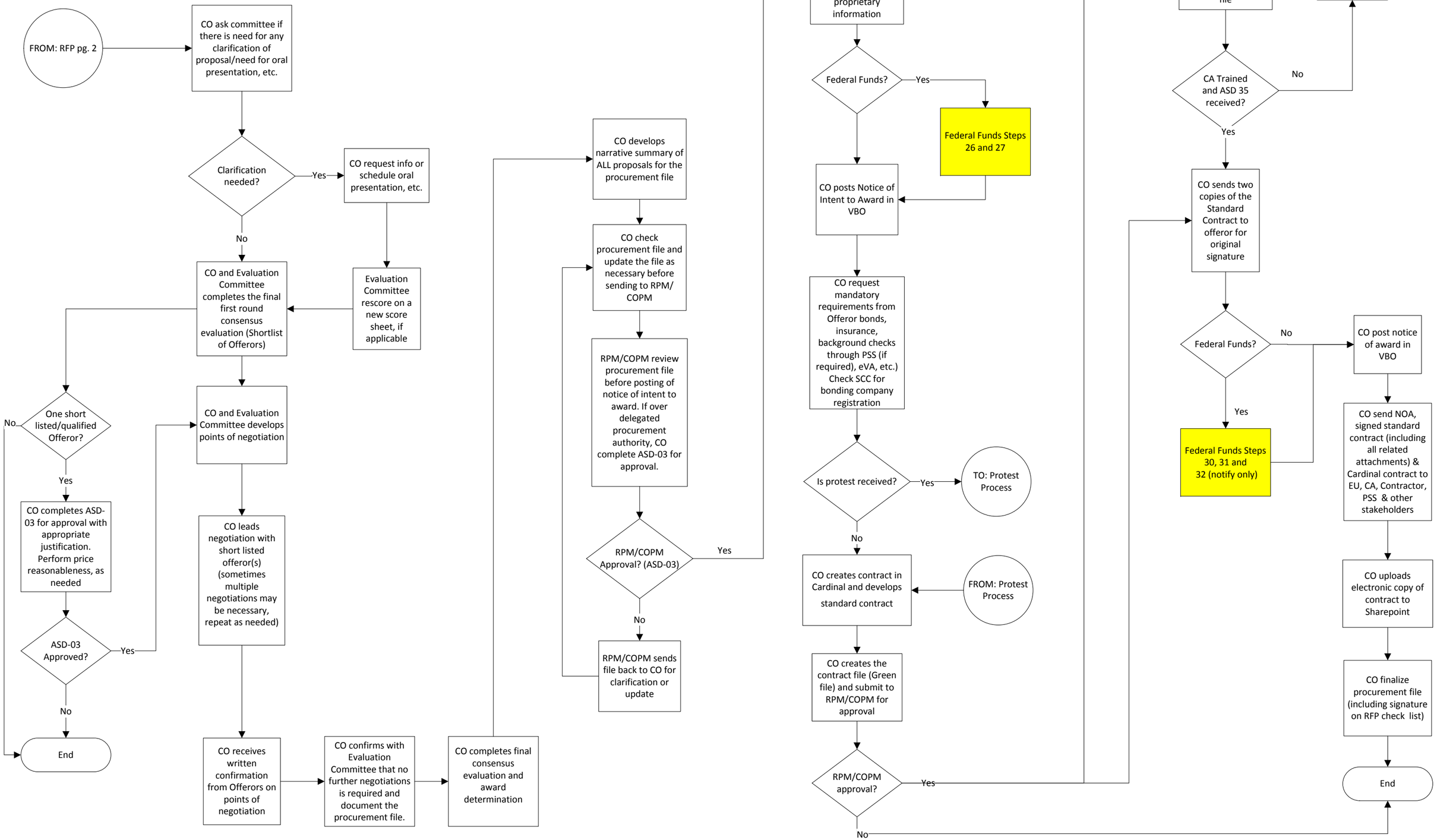
Attachment 7B
Competitive Negotiation Process Pg. 2 of 3 2013



VDOT ASD Procurement

Attachment 7B
Competitive Negotiation Process Pg. 3 of 3

2013



Attachment 7C

[Month Day, Year]

UNDERSTANDING OF RESPONSIBILITY

REQUEST FOR PROPOSALS #XXX-XXX

[RFP TITLE]

I have acquainted myself with the provisions of law identified in Article 6 of the Virginia Public Procurement Act (§ 2.2-4367 through § 2.2-4377 Code of Virginia).

I agree to conduct myself in accordance with these provisions of law and with the instructions of the Contract Officer in evaluating Request for Proposals #XXX-XX.

Signature:_____

Printed Name:_____

Title:_____

Date:_____

Entity:_____

Phone:_____Fax:_____

NON-DISCLOSURE STATEMENT

REQUEST FOR PROPOSAL # XXX-XX

[RFP TITLE]

The procurement of goods and services by a public body from a private enterprise is a sensitive process governed by law. We must be assured that all public parties involved in the selection process do nothing to contribute to **"any actual"** or the **"appearance"** of any impropriety or personal interest in the outcome of the procurement. Commonwealth law and policy requires that each individual be totally objective in arriving at their conclusions in the evaluation process. To better make you aware of the sensitivity of public procurements, each person serving on this evaluation/selection committee will be required to agree and comply with the following statements derived from *Article 6,* ***Ethics In Public Contracting*** *of Chapter 43 of Title 2.2 of the Code of Virginia (Virginia Public Procurement Act).*

A. I certify that I am not a paid officer or director of any firm which is expected to respond to this Request for Proposals (**RFP**). Similarly, no member of my immediate family is a paid officer or director of any firm which is expected to respond to this **RFP**. An immediate family member is defined as a spouse, children, parents, brothers and sisters, and any other person living in the same household as the employee *(See Code of Virginia, § 2.2-4368)*.

B. I certify that neither I, nor any member of my immediate family, owe money to any employee or officer of any firm which is expected to respond to this **RFP**.

C. I certify that I do not have any funds invested in any firm which is expected to respond this **RFP**. Similarly, neither I nor any member of my immediate family own or control an interest in any firm which is expected to respond to this RFP.

D. I certify that neither I nor any member of my immediate family, received lodging, entertainment, transportation, money or anything else of value offered by an employee or officer of any firm which is expected to respond to this **RFP**. (This includes but is not limited to tickets to sporting events or shows, meals or lodging, gifts, etc.). During and after the procurement process, I will not accept any of the forgoing from any employee or officer of any firm which is expected to respond or did respond to the **RFP**.

NOTE: Exceptions to D. must be approved by the Director of Administrative Services initiating the procurement action. Such approval could include acceptance of a meal which is widely offered to

many individuals inside and outside the agency (i.e. provided on-site at a conference or event when a break in the proceedings is not practicable.)

E. I certify that I have not received any compensation from any firm which is expected to Respond to this **RFP**. No member of my immediate family has received compensation, salary or wages in excess of $10,000 from any firm which is expected to respond to this **RFP**.

> **NOTE:** If at any time during the evaluation/selection process, I find that I, or any member of my immediate family, have a personal interest in any firm responding to this RFP, I will promptly notify the Contract Officer or Chairperson of this conflict and voluntarily remove myself from this evaluation/selection process.

F. During the course of this procurement, I understand that **all** communication with firms regarding this **RFP** must be handled by the Contract Officer. I agree to not contact firms responding to this **RFP**, and if any of these firms attempt to contact me directly, I agree to refer the firm to the Contract Officer or Chairperson. I also agree that the information acquired through this evaluation/selection process will not be divulged to anyone outside the panel until after award of the contract resulting from this process.

I further agree to abide by all the policies/procedures contained in this document relative to this procurement as well as any other instructions and directions issued by Contract Officer.

August 28, 2013

_____
Signature

_____
Printed Name

_____
Title

_____
Date

Attachment 7E

Annex 7-D

COMMONWEALTH OF VIRGINIA
STANDARD CONTRACT

(for use with Competitively Negotiated and Two-Step IFB contracts only)

Contract Number: _____

This contract entered into this ___ day of _____ 20___, by_____ hereinafter called the "Contractor" and Commonwealth of Virginia, _____ (Department, Agency, Division) called the "Purchasing Agency."

WITNESSETH that the Contractor and the Purchasing Agency, in consideration of the mutual covenants, promises and agreements herein contained, agree as follows:

SCOPE OF CONTRACT: The Contractor shall provide the goods/services to the Purchasing Agency as set forth in the Contract Documents.

PERIOD OF PERFORMANCE: From _____ through _____.

The contract documents shall consist of:

(1) This signed form;

(2) The following portions of the Request for Proposal dated _____:

(a) The Statement of Needs,
(b) The General Terms and Conditions,
(c) The Special Terms and Conditions together with any negotiated modifications of those Special Conditions;

Attachment _____, Date _____
Attachment _____, Date _____

(3) The Contractor's Proposal dated _____ and the following negotiated modifications to the Proposal, all of which documents are incorporated herein.

IN WITNESS WHEREOF, the parties have caused this Contract to be duly executed intending to be bound thereby.

CONTRACTOR:	PURCHASING AGENCY:
By: _____	By: _____
Title: _____	Title: _____

Note: This public body does not discriminate against faith-based organizations in accordance with the *Code of Virginia*, § 2.2-4343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or any other basis prohibited by state law relating to discrimination in employment.

SECTION 8

SOLE SOURCE PROCUREMENT

8.1 Request and Approval – Sole source procurement is authorized when there is only one source practicably available for the goods or services required.

All District and Central Office sole source procurement requests must be submitted via an approved requisition in Cardinal with attached ASD-15 if applicable, scope of work, vendor letter, quote and Sole Source Procurement Approval Form (See Attachment 8A). Each requisition will be routed in Cardinal to the local ASD Procurement Office for assignment to a Contract Officer to complete the procurement. The assigned Contract Officer is responsible for reviewing and verifying the justification supporting the sole source request.

Sole source procurements up to $50,000 require approval by the ASD Administrator.

Sole source procurements over $50,000 require approval by the Chief of Administration and DGS.

See Attachment 8B for detailed Sole Source Process.

8.2 Free on Board (FOB) Asphalt, Ready Mix Concrete and FOB Aggregates – This process is currently under review and evaluation. The current process and any future updates can be found at:
https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Policies/Forms/AllItems.aspx

Please contact the local ASD procurement office for guidance.

8.3 Wetland and Stream Mitigation Credits – VDOT has a five-year sole source approval to purchase credits where there is only one source. Environmental personnel in Districts or Central Office must submit a Cardinal requisition and attach supporting documentation from Regulatory In lieu fee and Bank Information Tracking System (RIBITS) to document the number of credit sources available. The local ASD Procurement Office will process accordingly by issuing an IFB (See Section 6) or awarding a Sole Source contract to purchase credits.

Attachment 8A

DGS 41-080

(Rev.7/10)

Annex 8-C

Sole Source Procurement Approval Request
Non-Technology Goods and Services

All requests for non-technology sole source purchases must meet the criteria established under § 2.2-4303 E. of the *Code of Virginia*. The agency head or designee, as required in 8.1 or 8.2, must sign this form. The Department of General Services/Division of Purchases and Supply (DGS/DPS) must review and approve all non-technology requests exceeding $50,000 except for entertainment (speakers, lecturers, musicians and performing artists) before issuance of any contract or purchase order. In addition, the agency must also (1) assign an identifying number to the request, (2) attach a brief description of the contract, and (3) attach the sole source justification in accordance with the instructions contained in 8.1 or 8.2 and Annex 8-C, *Agency Procurement and Surplus Property Manual*.

Agency Code _____ Request Number _____ Date _____

Agency Name _____

Agency Head Signature: _____
I certify that I am the agency head or designee and I am authorized to approve this request.

Print Agency Head Name_____

Contact Person _____ Telephone Number _____

Total Amount of Sole Source $ _____ Facsimile Number _____

Commodity Code _____ Description _____

_____

_____

_____

_____

_____

_____

_____

Division of Purchases and Supply

☐ **Approved**

☐ **Disapproved**

☐ **More information needed (specify and return to agency)**

Signature _____ Date _____

Attachment 8A

Note: This form must be filed with the contract/purchase order. Agencies and institutions are delegated authority to make contract award after appropriate approval. (Purchase using noncompetitive negotiation.)

Attachment 8A

JUSTIFICATION OF SOLE SOURCE PROCUREMENT

---

1. **Explain why this is the only product or service that can meet the needs of the purchasing agency**.

2. **Explain why this vendor is the only practicably available source from which to obtain this product or service.**

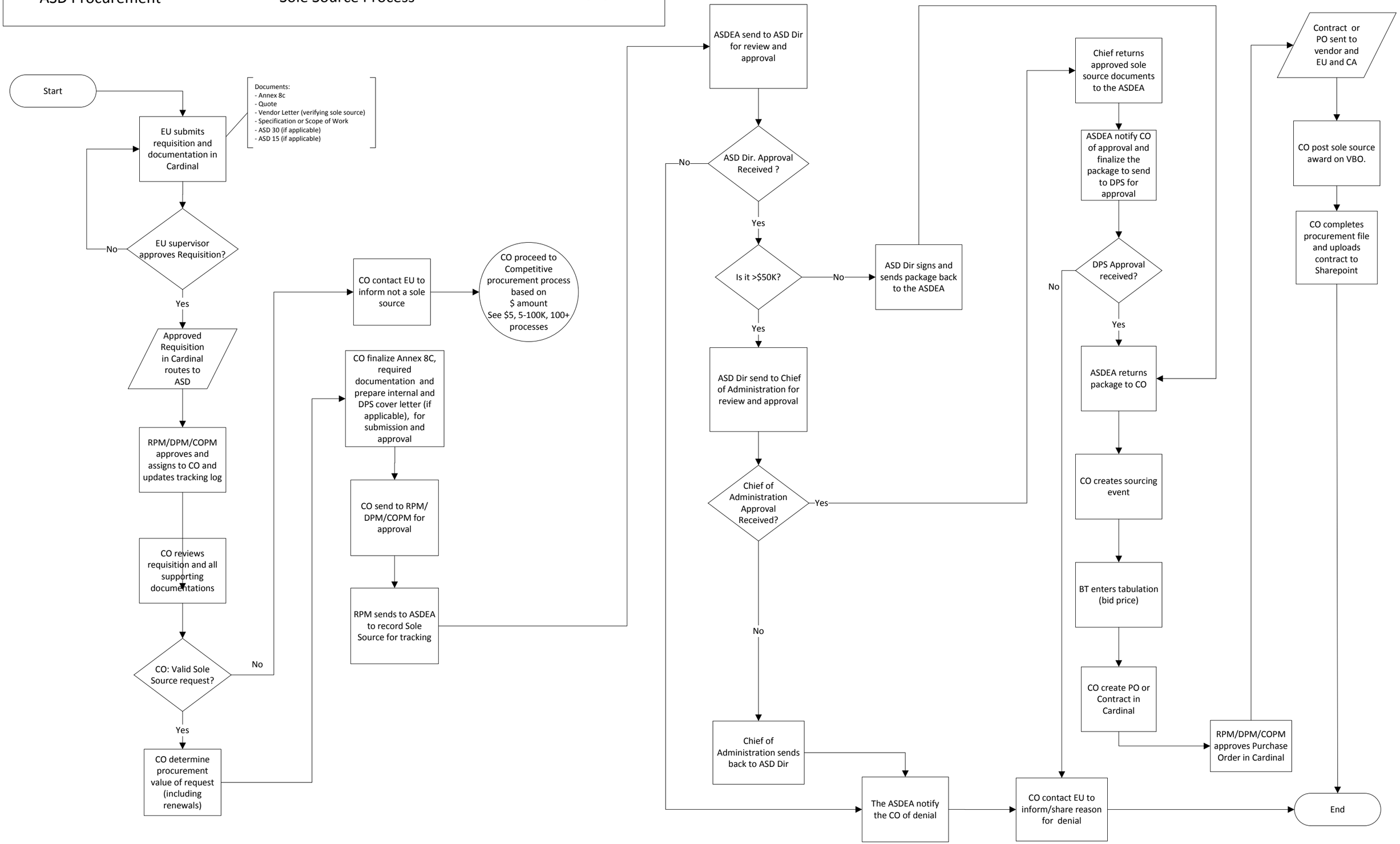
3. **Explain why the price is considered reasonable.**

4. **Describe the efforts that were made to conduct a noncompetitive negotiation to get the best possible price for the taxpayers.**

VDOT
ASD Procurement

Attachment 8B
Sole Source Process

2013



SECTION 9

EMERGENCY PROCUREMENT

9.1 **General –** Each local ASD Procurement Office is authorized to handle emergency procurements in accordance with the procedures in the *APSPM* and this manual.

The District Administrator or his designee must authorize emergency purchases for Districts only.

ASD Administrator is responsible for authorizing emergency purchases in the Central Office upon written request and justification from Central Office Division Administrators only.

9.2 **Award of Emergency Procurements** – Emergency purchases may occur prior to submitting an approved requisition in Cardinal. As soon as practical, end user must submit an approved requisition in Cardinal with attached Emergency Procurement Determination and Award Form ASD -16 (See Attachment 9A) that will route to the local ASD procurement office.

Contract Officer will issue a PO through an emergency sourcing event to process the emergency purchase in Cardinal.

See detailed process for Emergency Procurement in Attachment 9B.

Virginia Department of Transportation

Emergency Procurement Determination & Award

Date: _____

The procurement of the following goods and/or services is deemed to be an occurrence of a serious and urgent nature that demands immediate action. Only goods and/or services that are needed to remedy the immediate emergency will be procured under this determination.

Description of Goods and/or Services: _____

---

1) The following describes the nature of this emergency and how this emergency purchase will protect personal safety, public safety and/or property (i.e. life, limb, property, or essential services):

_____

_____

2) The following is/are the reason(s) that the contractor/supplier was selected to provide these goods/services:

_____

_____

3) Price Reasonableness Determination:

_____

_____

4) Contractor/Vendor (name and address):_____

_____

_____

APPROVED: _____ DATE: _____
Signature of Delegated Emergency Representative

_____
Printed Name

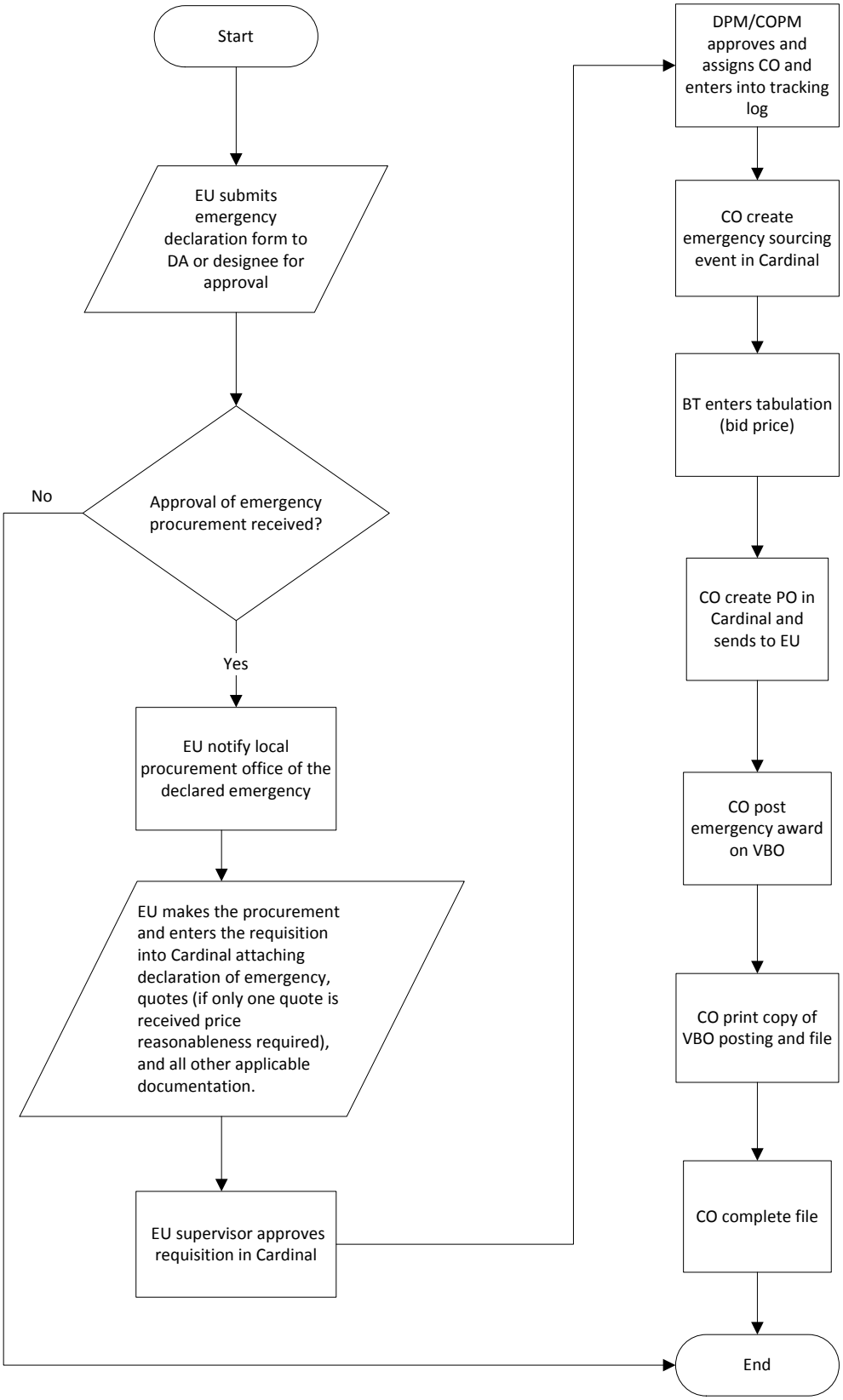
FOR ASD PROCUREMENT FILE:

Contract Officer: _____Cardinal Purchase Order/Contract Number: _____

Date of Award: _____ Date Award Posted in eVA: _____

Records pertaining to this procurement will be available for inspection as of the award date.

VDOT ASD Procurement	Attachment 9B Emergency Procurement Process	2014



SECTION 10

CONTRACT ADMINISTRATION

10.1 Contract Administrator Designation and Training– A Contract Administrator (CA) shall be designated before a contract is awarded. Designated CA must have completed the Contract Administration Training provided through ASD within the preceding 2 years.

Registration for Contract Administration Training is through VDOT University at: https://virtualcampus.vdot.virginia.gov/kc/login/login_vdot.asp?kc_ident=kc0001

Contract Administration Training is required every two (2) years. A list of employees who have completed training can be found at this link: https://virtualcampus.vdot.virginia.gov/LGXReports/rdPage.aspx?rdReport=myreports.74cd21fcc82d4a01a76e727f50958271_contractmanagementreport

10.2 Responsibilities of the Contract Administrator – The primary responsibility of the CA is to direct the contractor and ensure contract requirements are met. CA will be issued a Contract Administration Designation Letter Form ASD-35 (Attachment 10A) outlining the details of their responsibilities. The CA and Supervisor must sign this letter and return it to the Contract Officer acknowledging understanding of the CA duties. Should a CA delegate any portion of their responsibility, they are responsible for ensuring that person has the information needed to perform those functions. The responsibility of contract administration remains with the individual identified in the designation letter.

(a) Planning - It is recommended that a start up meeting be held between VDOT personnel and the contractor at the beginning of a contract to review expectations.

(b) Task Orders - For contracts which require issuance of task orders, no authorization to work exists without a task order signed by the CA. The CA is the individual responsible for preparing and authorizing task orders based on the scope of work and requirements set forth in the contract. Generally, the CA creates a numbered task order and a scope of work. Some contracts are awarded to multiple vendors, in which case the CA must first determine the appropriate vendor to perform the task. The CA contacts the vendor and provides them with a scope of work. The vendor reviews the scope and returns it with detailed pricing indicating the cost elements necessary to complete the task. The price must match the original contract unit price costs and show a breakdown of all proposed charges including staff, materials, and expenses. The CA reviews the information and determines if all charges are acceptable and within their estimate. The CA should discuss and resolve items that appear excessive, unnecessary, or unclear.

A task order is then prepared by the CA, which must include, but is not limited to:

- A dollar cap for performing the task
- All expenses as defined in the contract
- A completion date
- A reference to *State Travel Guidelines* for expense caps
- Identification of individuals and job classifications assigned to tasks
- All contract bill rates
- Deliverables to be provided
- Payment procedures
- Invoicing location and contact person

Task orders with a dollar value over $100,000 must be reviewed by the Contract Officer prior to issuance. This is not for approval of the work but a checkpoint for high dollar task orders.

All task orders must correspond to an approved purchase order in Cardinal referencing the task order number. Both the Cardinal purchase order and task order should be sent to the contractor as authorization.

(c) Task Order Changes - Only the CA is authorized to make changes to a task order. If necessary, the user will forward a request for a task order change to the CA indicating the reason for the change. Any change must be made within the scope of the original contract. Only the Contract Officer is authorized to make changes to the original contract. If there is doubt regarding changes, contact the Contract Officer for assistance. Any performance issues regarding the contract or associated purchase orders and task orders must be handled in coordination with the ASD Contract Officer for proper notification and resolution.

10.3 Contract Modification – Only the Contract Officer is authorized to make modifications to a contract. The CA may make recommendations for modifications to the Contract Officer. Any request for change affecting price, quality, quantity, delivery or cancellation requires a thorough written explanation.

Contractor Release from Contract Form ASD-05 (See Attachment 10B) may be required. This form should only be used for contracts awarded to multiple contractors.

Refer to Attachment 10C for the detailed Contract Modification process.

10.4 Contract Renewal - Requests to renew a contract shall be submitted by the CA to the Contract Officer at least 90 days prior to expiration of the contract or earlier if contract

terms provide for extended notice periods. This request should be sent via email and must include:

(a) an approved Procurement Approval Request Form ASD-15 if applicable
(b) Contractor Performance/Renewal Recommendation Form ASD-36 (Attachment 10D)

Contract expenditures and contractor performance should be evaluated by CA at the end of the contract period prior to renewal. All price increases requested by the contractor, if provided for in the original contract, should be negotiated by the Contract Officer and not exceed the index amount referenced in the original contract.

For requirements contracts, it is a best practice that estimated quantities are reviewed to determine if contract should be renewed or re-advertised. If actual quantities exceed estimates by a significant percentage, then the contract should be re-advertised.

It is the responsibility of the Contract Officer to contact the contractor regarding renewals.

See detailed Contract Renewal Process in Attachment 10E.

10.5 **Vendor Performance Complaint** – Contract Monitors may be assigned by the CA to review work completed and/or inspect goods received and provide confirmation of satisfactory completion and/or receipt to the CA. The CA is responsible to review vendor complaints submitted by Contract Monitors and end users prior to submitting to the Contract Officer. The CA may file a formal vendor complaint by submitting Vendor Complaint Form Annex 10H (Attachment 10F) to the Contract Officer. It is the Contract Officer's responsibility to review the complaint and forward to the contractor for response. All Vendor Complaint Forms shall be included in the procurement file.

10.6 **Termination for Default** – Regional Procurement Manager and ASD Administrator must approve any default action. ASD will maintain a list of all vendors placed in default or declared non-responsible. The list can be found at:
https://insidevdot.cov.virginia.gov/div/ADS/CM/ASD%20Policies/Forms/AllItems.aspx

Attachment 10A

ASD-35
Rev 06/13

INTER-OFFICE MEMORANDUM
Designation and Responsibilities of Contract Administration

TO:
FROM:
DATE:
The contract referenced below has been awarded and services or performance may commence. You have been assigned as the Contract Administrator for this contract and are assigned the following responsibilities. A copy of the contract, performance evaluation report sample, and other related information are attached for your use. Review this information, if you have any questions, please call the Contract Officer.

Contract Number: _____

Commodity: _____

Contractor: _____

Solicitation No: _____

Initial Period: _____ To _____

Renewals: _____ Successive _____

Contract Amount: $ _____

You, as Contract Administrator, are responsible for:

- Day to day coordination of the delivery of this service;
- Coordinating contract "start-up" activities with appropriate agency personnel (facilities, security, etc.);
- Assurance that services are delivered in accordance with the contract price, terms and conditions;
- Obtaining and approving job estimates, verifying labor hours and classifications, and issuing task orders if required;
- Certifying receipt of services or goods billed were delivered in accordance with the contract terms and conditions;
- Prompt reporting of delivery failures or contractor performance problems to the Contract Officer;
- Completing and submitting periodic evaluations of contractor performance (evaluation form attached);
- Initiating Procurement Complaint form if required;
- Ensuring that the contract amount is not exceeded without proper authorization from Contract Officer;
- Assurance that the contract terms and conditions are not extended, increased, decreased, or modified in any way without action through the Contract Officer;
- Recommending solutions to Contract Officer if performance problems or contract issues persist;
- Attending the VDOT Contract Administrator class within the last 2 years. (Date Attended). If you have not attended this class within the last 2 years, please call Contract Officer before signing and returning this form.
- Retaining documentation to support invoices.

I received the above referenced contract documents and understand my responsibility as the Contract Administrator. I also understand that if I delegate any portion of these duties to someone else, I am required to ensure that they have had contract administration training, and give that individual a copy of all contract documents.

Signed: _____*(Contract Administrator)*

Print Name: _____ Date:_____

Signed: _____*(Supervisor/Manager)*

Print Name: _____ Date:_____

Please sign and return one copy to immediately and retain a second copy for your records. Thank you.

Attachment 10B
CONTRACTOR RELEASE FROM CONTRACT FORM

ASD-05
Rev 07/12

1. DATE _____

2. CONTRACT # _____

3. CONTRACTOR'S NAME _____

4. THIS CONTRACTOR IS THE (CHECK ONE) _____ **PRIMARY** _____ **SECONDARY** _____ **THIRD**

5. DESCRIPTION OF WORK BEING REQUESTED, INCLUDING DATES _____

_____

_____

6. SPECIFIC REASONS WHY THE CONTRACTOR CANNOT PERFORM THE REQUESTED WORK _____

_____

_____

7. CONTRACT ADMINISTRATOR SIGNATURE _____ **DATE** _____

PRINT NAME

_____

8. THIS REQUEST TO BE RELEASED IS (CHECK ONE) **APPROVED** **DENIED**

COMMENTS AS TO WHY CONTRACTOR WAS APPROVED OR DENIED _____

_____

9. CONTRACT OFFICER SIGNATURE _____ **DATE** _____

PRINT NAME

_____

10. CONTRACTOR TO PERFORM WORK IN LIEU OF PRIMARY _____

THIS CONTRACTOR IS THE (CHECK ONE) **SECONDARY** **THIRD** **OTHER**

_____ _____ _____

COMMENTS: _____

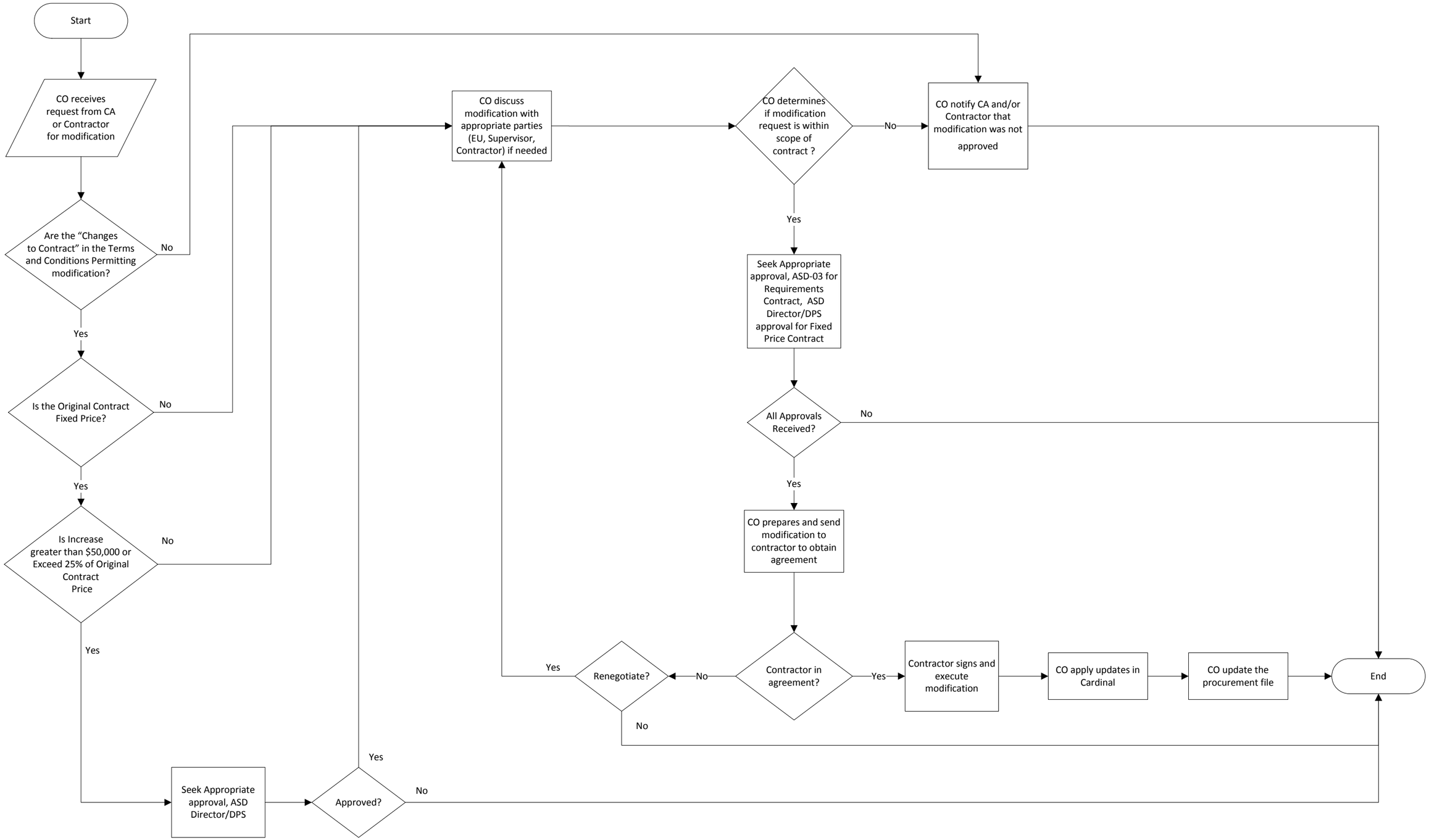
_____

_____

Required Documentation: Prior to completing this form the Contract Administrator should have written documentation from the Contractor (primary or alternate) indicating that Contractor is unable to report to an assignment. Contract Administrator should submit completed form and supporting documentation to Contract Officer for review and approval. If a Contractor (prime or alternate) declines an assignment **other than one approved in writing by VDOT**, he will be considered in default and held responsible for any resulting additional purchase and administrative costs in accordance with General Term and Condition Item P**. Default.**

Note: Original form must be sent to the Contract Administrator and forwarded to Contract Office to retain in procurement file.

VDOT ASD Procurement	Attachment 10C Contract Modifications Process	2013



CONTRACT PERFORMANCE/RENEWAL RECOMMENDATION FORM

Performance Rating Cycle: Yearly ☐ Bi-Yearly ☐ Quarterly ☐ Monthly ☐ Other? ☐ If other, specify _____

Contract Number: _____
Commodity Name: _____
Contractor Name: _____
District/Residency/Section _____
Buyer: _____
Contract Administrator: _____

Date of Award: _____
Original Award Value: _____
Initial Contract Period: _____
Evaluator: _____
Evaluation Period: _____
Expenditures for the Evaluation Period: $ _____

SECTION I. TO BE COMPLETED FOR PERFORMANCE REPORTING

RATING CRITERIA	BELOW EXPECTATION	NEEDS IMPROVEMENT	MEETS EXPECTATION	N/A	COMMENTS (Required)
1. CUSTOMER SERVICE					
A. Communicates problems with VDOT staff and assists in a timely resolution	☐	☐	☐	☐	
B. Accessible and responsive to the Contract Administrator	☐	☐	☐	☐	
2. PERFORMANCE					
A. Delivered service/goods per contract specifications	☐	☐	☐	☐	
B. Displays professionalism	☐	☐	☐	☐	
3. EQUIPMENT					
A. Provided requested equipment in operational condition	☐	☐	☐	☐	
B. Equipment breakdowns were kept to a minimum	☐	☐	☐	☐	
C. All VDOT equipment returned in "as issued" condition	☐	☐	☐	☐	
4. SAFETY					
A. All equipment presented in a safe, operable condition	☐	☐	☐	☐	
B. Contractor's employees, worksite, equipment in compliance with OSHA and contract regulations	☐	☐	☐	☐	

SECTION II. TO BE COMPLETED FOR OVERALL PERFORMANCE DURING THIS CYCLE

RATING CRITERIA	BELOW EXPECTATION	NEEDS IMPROVEMENT	MEETS EXPECTATION	N/A	COMMENTS (Required)
A. Indicate overall contractor performance	☐	☐	☐	☐	

_____ _____ _____
Authorized Signature for Performance **Date** **Phone Number**

SECTION III. TO BE COMPLETED FOR RENEWALS ONLY

Current Total Contract Expenditures $ _____ Renewals Remaining _____

Proposed Renewal Period: _____ Estimated Renewal Period Expenditures: $ _____

Renew this Contract Yes ☐ No ☐ If No, Please explain: _____

If requested, will current CPI-W Price Increase be considered? Yes ☐ No ☐ If No, Please explain: _____

_____ _____ _____
Authorized Signature for Renewal **Date** **Phone Number**

CONTRACT PERFORMANCE/RENEWAL RECOMMENDATION FORM

Form Preparation Instructions

HEADING: DISTRICT/DIVISION INFORMATION

1. Double click in box to indicate the Performance Rating Cycle being conducted. If other, indicate the performance cycle being conducted.
2. Insert contract number
3. Insert date of award
4. Insert commodity name
5. Insert original contract value (award amount)
6. Insert contractor's name
7. Insert initial contract period
8. Insert District/Residency/Section
9. Insert evaluator
10. Insert buyer
11. Insert evaluation period
12. Insert expenditure information (total amount spent during the evaluation period)

SECTION 1: PERFORMANCE REPORTING INFORMATION

1. Double click on box to indicate the contractor rating for each sub-section, 1 through 4, in reference to the specific contract. (All areas are required to be completed, either with one of the specified column ratings or N/A (not-applicable).
2. *Insert required comments to justify the rating.

SECTION II: OVERALL PERFORMANCE

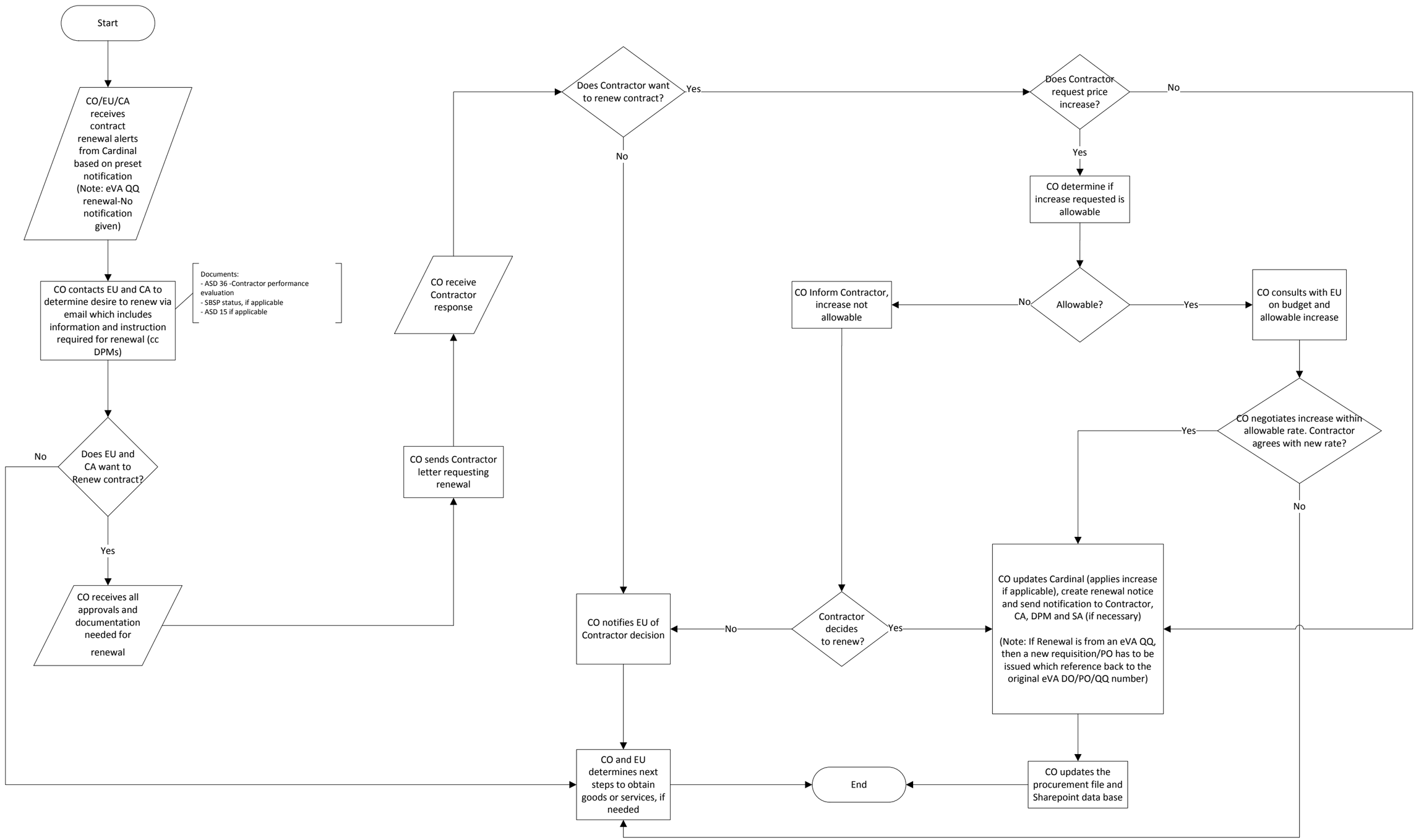
1. Double click on box to indicate the contractor's overall performance of the specific contract for the cycle being reviewed.
2. *Insert required comments to justify the rating.
3. Ensure that this portion of the form is signed and dated with the phone number of Evaluator.

SECTION III: RENEWAL

1. Insert Total Contract Expenditures (total amount spent during the entire contract period)
2. Insert the number of possible renewals that remain
3. Insert the proposed renewal period
4. Insert the estimated period expenditures (amount expected to spend during next contract period)
5. Double click on box to indicate if do or do not want to renew the contract. If the answer is "no" include a complete explanation supporting why the contract should not be renewed.
6. Double click on box to indicate if you do or do not support the CPI increase if the contractor requests one. If the answer is "no" include a complete explanation supporting why the CPI increase should not be granted.
7. Ensure that is portion of the form is signed and dated with the phone number of the person requesting the contract renewal.

*Comments are required to be given in each section with a given rating other than "N/A"

VDOT ASD Procurement	Attachment 10E Contract Renewal Process	2013



Attachment 10F

Annex 10-H

COMMONWEALTH OF VIRGINIA

Department of General Services

Division of Purchases and Supply

PROCUREMENT COMPLAINT FORM

INSTRUCTIONS FOR COMPLETING THE PROCUREMENT COMPLAINT FORM:

Form Preparation Instructions

Heading: Vendor /Agency information and distribution instructions.

1. Insert the full name and address of the vendor/agency and Insert the eVA Number when submitting the report.
2. Name the person that is to be contacted.
3. **Any responsible person's signature is acceptable (Authorized Vendor/Agency Signature).**
4. Insert phone number of contact person.

Closure: Agency and Order Entry Information

1. Insert the full name and address of the agency/vendor against which this report is filed.
2. Insert the agency representative/buyer/vendor you last contacted, including the phone number and extension.
3. Insert buyer /agency/vendor representative signature.
4. Insert date this form was initiated.
5. Insert the bid number if not an agency order.
6. Insert the purchase order number
7. Insert the purchase order date.
8. Insert the contract number if using state or single agency contract.
9. Insert generic commodity name of the item. Example: chair, etc.
10. Insert Agency Code/ eVA number.

Nature of Complaint: Insert (X) for principle reason (s) for complaint. Attach additional information and documentation.

NOTE:

1. Additional documentation can be attached to e-mail or faxed.
2. Transmit Copy by e-mail, fax or postal delivery.
3. Send via Email to: valerie.deloach@dgs.virginia.gov , fax (804) 786-5413 or mail to 1111 E. Broad Street, Richmond ,VA 23218-1199.
4. Agency/Vendor must print or save a copy for their files.
5. **This form may be used by both Agency and Vendor for complaint issues concerning contracts.**

DGS-41-024 revision: 06/2008

COMMONWEALTH OF VIRGINIA
Department of General Services
Division of Purchases and Supply
PROCUREMENT COMPLAINT FORM

FOR DPS USE ONLY	File Date:	Status:	File No:
	Action/Date:		

TO:

Name of Vendor and eVA# / Agency & Agency Code :		
Address:		
City:	State:	Zip Code:

Contact Name:	Title:
Signature:	
Phone No:	

NOTE: VENDOR/AGENCY MUST SUBMIT THEIR WRITTEN REPLY BELOW WITHIN TEN (10) DAYS OF RECEIPT OF THIS REPORT. INDICATE YOUR COUNTERMEASURE/CORRECTIVE ACTION BELOW AND MAIL A COPY TO THE ORIGINATING AGENCY AND A COPY TO THE CONTRACT COMPLIANCE OFFICER, DIVISION OF PURCHASES AND SUPPLY, P.O. BOX 1199, RICHMOND, VA 23218-1199. ATTACH ADDITIONAL SHEETS FOR YOUR RESPONSE IF REQUIRED.

FROM:

Agency/Vendor Name:		
Address:		
City:	State:	Zip Code:

Agency /Vendor Contact :
Phone No:
Buyer/Vendor Signature:

Date:	Agency Code/ Vendor eVA#:	Contract No:	P.O. No:	P.O. Date:	Description:

NATURE OF COMPLAINT

INVOICE/PAYMENT	**DELIVERY**	**SPECIFICATION/AGREEMENTS**	**OTHER**
☐ NON-PAYMENT	☐ DELIVERY REFUSED	☐ SPECS DELAYED	☐ AGENCY DELAYS
☐ LATE PAYMENT	☐ SHIPPED TO WRONG LOCATION	☐ MODIFICATION (NO CHANGE ORDER)	☐ UNAUTHORIZED CANCELLATION
☐ INCORRECT PAYMENT	☐ PARTIAL DELIVERY	☐ BID SAMPLE PROBLEMS	☐ UNAUTHORIZED PURCHASE FROM NON-CONTRACT VENDOR
☐ REFUSED LATE CHARGES	☐ TIME OF DELIVERY INAPPROPRIATE	☐ DID NOT MEET SPEC.	☐ POOR CUSTOMER SERVICE
☐ INVOICE PRICE INCORRECT	☐ IMPROPER METHOD OF DELIVERY	☐ UNAUTHORIZED SUBSTITUTION	☐ SHORT/OVER WEIGHT OR COUNT
☐ INCORRECT QUANTITY	☐ DAMAGED SHIPMENT	☐ DAMAGED PRODUCT	☐ UNSATISFACTORY INSTALLATION
☐ ITEMS DID NOT SHIP	☐ LATE/NO DELIVERY	☐ LACKS INSPECTION REPORT	☐ FAILURE TO IDENTIFY SHIPMENT PER CONTRACT TERMS
OTHER OR FURTHER EXPLANATION:			

COMMONWEALTH OF VIRGINIA

Department of General Services

Division of Purchases and Supply

PROCUREMENT COMPLAINT FORM

COUNTERMEASURES:

(Agency/Vendor: Be accurate, complete and factual. Indicate manner in which you suggest complaint be settled.)

FOR DPS USE ONLY	File No:
	Action/Date: Resolved_____ Removed from Bidder List _____ Suspension_____ Debarment_____ Contract Compliance Officer_____

SECTION 11

APPEALS AND DISPUTES

11.1 **Protest of Award –** Upon receipt, all protests shall be forwarded to the appropriate Regional Procurement Manager and ASD Administrator. Contract Officer and Central Office or District Procurement Manager will review the file and develop a draft response using the Letter Template in Attachment 11A.

The draft response, copies of the file and documentation to support the draft response will be forwarded to the appropriate Regional Procurement Manager for review and input from the Office of Attorney General, if needed.

The ASD Administrator will approve and deliver final protest response.

See detailed process for Protests and guidance document in Attachment 11B.

11.2 **Claims –** Upon receipt, all claims shall be forwarded to the appropriate Regional Procurement Manager along with copies of the file and documentation involved with the claim. The Regional Procurement Manager will confer with the ASD Administrator and Office of Attorney General to resolve all claims.

Attachment 11A

Date

Name
Title
Company Name
Address
County, State Zip Code

RE: Protest of [IFB or RFP] # XXXXXX

Dear Mr. or Ms.

We are in receipt of your protest letter dated *month, day, year* which was received in this office on *month, day, year* regarding [IFB or RFP] # XXXXXX. Your protest [is or is not] considered timely inasmuch as a Notice of Intent to Award was posted on *month, day, year.*

In your protest letter you state that *(insert the Protestor's points referenced in the protest letter)*

According to the [IFB or RFP or other reference document] *(insert VDOT's response to each point of the protest letter)*

VDOT's decision is *(insert the proposed decision).*

If you disagree with this decision, you are advised that the Department has elected not to provide an administrative appeal procedure under Section 2.2-4365 of the *Code of Virginia*. Thus, if you wish to do so, your recourse is to seek court review in the City of Richmond Circuit Court under Section 2.2-4360 and 2.2-4364 of the *Code of Virginia*.

Sincerely,

Name
Director, Administrative Services Division

VDOT ASD Procurement	Attachment 11B Protest Process	2013

Attachment 11B

PROTEST PROCESS AND EXPECTATIONS

In accordance with the *Code of Virginia* 2.2-4360 and Agency Procurement and Surplus Property Manual (APSPM) 11.2d, "Any bidder or offeror may protest the award or decision to award a contract by submitting such protest in writing to the procuring agency, or an official designated by the agency, no later than ten (10) days after public notice of the award or announcement of the decision to award, whichever occurs first."

1. VDOT receives letter of protest from bidder or offeror.

a) Contract Officer (CO) sends copy of letter to District Procurement Manager (DPM)/Central Office Procurement Manager (COPM), Regional Procurement Manager (RPM) and Director of ASD. (Letter shall be date and time stamped upon receipt).

b) CO and DPM/COPM meet and discuss merits of protest.

c) CO notifies end user of procurement status

2. Determine validity of protest. Is protest valid?

<u>If No</u> -

a) The CO and DPM/COPM draft response letter, with reference to APSPM Policy and *Code of Virginia* pertaining to points in protest letter.

b) The RPM reviews the draft response.

c) If protest is complex and legal advice is needed, RPM consults with end user and Attorney General's Office (OAG) for guidance on response.

d) Response letter stating the reasons for the action taken is finalized and signed by the Director of ASD and forwarded to the bidder or offeror.

e) Assistant to the Director of ASD sends response letter via certified US mail and email (optional), within ten (10) days of receipt of original protest letter.

f) Electronic copy of the protest letter, response letter, and copy of certified receipt are stored on the server in a shared folder labeled "Protests".

<u>If Yes</u> -

a) The CO and DPM/COPM draft response letter with reference to APSPM Policy and *Code of Virginia* pertaining to points in protest letter.

b) The RPM reviews the draft response.

c) If protest is complex and legal advice is needed, RPM consults with end user and Attorney General's Office (OAG) for guidance on response.

d) Response letter stating the reasons for the action taken is finalized and signed by the Director of ASD and forwarded to the bidder or offeror.

e) Assistant to the Director of ASD sends response letter via certified US mail and email (optional), to offeror or bidder within ten (10) days of receipt of protest letter.

f) Electronic copy of the protest letter, response letter, and copy of certified receipt are stored on the server in a shared folder labeled "Protests".

g) CO rescinds Notice of Intent to Award (NOIA) and cancels the solicitation, if required.

h) CO consults with end user to determine if goods and services are needed prior to new estimated time to award contract. If so, then appropriate method of procurement is determined and course of action taken.

i) CO re-issues solicitation (if required) or re-evaluates bids and issues a new NOIA and posts in eVA.

j) CO notifies end user that a new NOIA is issued and posted in eVA.

3) Does bidder or offeror file lawsuit in a Virginia Circuit Court? (must file within 10 days of protest response in accordance with APSPM 11.2d and g)

<u>If No</u> - CO proceeds with award and posts Notice of Award in eVA.

<u>If Yes</u> –

a) CO, DPM/COPM, RPM, and Director of ASD meet with OAG in response to court briefing and expected actions to be taken.

b) The CO notifies end user of lawsuit, guidance offered by OAG and affect on contract award.

c) If procurement is critical to award, ASD staff works with OAG and end user to award despite legal action.

NOTE: Because each protest that results in a lawsuit is specific to that particular procurement, the OAG will provide additional guidance at that time regarding the expected outcomes and next steps.

SECTION 12

STATE & FEDERAL SURPLUS PROPERTY

12.1 Surplus Property Officer – ASD Facility Manager is VDOT's state surplus property officer.

12.2 Removal of Surplus Property in Central Office – To coordinate the removal of surplus office furniture and equipment within the Central Office, contact ASD Facility Management at 804-371-6702 or cofacilitiesrequests@vdot.virginia.gov .

12.3 Removal of Surplus Property in Districts

(a) To coordinate the removal of rental, non-rental, and shop equipment and tools, provide a list to the Equipment Section of the Maintenance Division for removal.

(b) For all other surplus property in the district, provide a list to the District Asset and Inventory personnel for removal.

SECTION 13

PROCUREMENT SUPPORT AND ASSISTANCE

13.1 General – ASD's statewide procurement team is committed to providing support and assistance to all districts and divisions to meet procurement needs. Contact your local ASD Procurement Office for guidance, recommendations or additional information.

Location	Procurement Manager	Procurement, Review and Training (PRT) Team
Bristol (Southwestern Region)	**Gary Cole**	**Donald Colbert**
Salem	Michele Thompson	
Lynchburg	Joan Johnson	
Staunton	Pam Sprouse	
Fredericksburg (Northern Region)	**Toya Peterson**	**Margaret Sumiel**
Culpeper	Donna Backe	
NOVA	Angie Babb	
Central Office (Central Region)	**Robin Dolatowski**	**Leatha Dickerson**
Central Office RFP Team	Fred Haasch	
Central Office IFB Team	Caroline Hudgins	
Central Office Small Purchase Team	Patricia Rhodes	
Central Office Professional Services	Brenda Williams	
Richmond	Martin Fields	
Hampton Roads	Dave Merinar	

13.2 ASD Procurement and Contract Management Teamsite - contains information to assist with procurement training, planning, and implementation. All ASD forms, templates, and training documents can be found here.
https://insidevdot.cov.virginia.gov/div/ADS/CM/SitePages/Home.aspx

13.3 ASD Procurement Helpdesk – Support and assistance is available by sending an email with description of the issue to:
COASDProcurementHelpdesk@vdot.virginia.gov.

13.4 State Term Contracts – All state term contracts are listed on eVA and are updated as changes occur. See http://www.eva.virginia.gov/ for more information.

13.5 Contract Compliance Assistance – On contracts established by DGS/DPS, assistance is available by calling your local ASD Procurement Office. For VDOT contracts, contact the assigned Contract Officer for assistance.

13.6 Training – If you need procurement training, please contact the PRT personnel assigned to your district or central office for assistance. See Section 16 for more information.

SECTION 14

ELECTRONIC PROCUREMENT

14.1 Cardinal – Cardinal is VDOT's financial management and procurement system. All users must complete training before entering procurement documents in Cardinal. Cardinal training information and resources can be found at:

http://www.cardinalproject.vi.virginia.gov/VDOT%20toolbox%20general%20information.shtml

To obtain Buyer access in Cardinal, training must be completed and Cardinal Security Access Form must be forwarded to: COASDProcurementHelpdesk@vdot.virginia.gov for training verification and ASD approval. Cardinal Security Access Form can be found using the link above.

14.2 VDOT Use of eVA – VDOT's Cardinal system is the point of requisition for all procurement transactions. Cardinal interfaces with eVA daily and only limited transactions are entered directly in eVA. As such, only the following VDOT personnel have access to enter transactions directly in eVA:

(a) ASD Procurement staff
(b) District Fuel Coordinators, Approvers and respective backups
(c) Information Technology Division Procurement staff
(d) VDOT personnel responsible for posting RFPs for professional services on Virginia Business Opportunities (VBO).

A request form must be completed for eVA access. See Attachment 14A for Request Form for eVA User Profile. The eVA Acceptable Use Acknowledgement Document explains the appropriate use of the eVA user account and must be reviewed and signed before access is granted (See Attachment 14B). The eVA User Deactivation Form (Attachment 14C) should be completed when access to eVA is no longer required or when a designated individual leaves the position and/or Agency.

14.3 eVA Orders – Contract Officers may use eVA to create purchase orders against established DPS/DGS contracts and issue quick quotes which result in direct orders created in eVA. These purchase orders and direct orders will download into Cardinal each night and create a Cardinal purchase order to be used for receiving and payment processing. The Contract Officer is responsible for updating account information in Cardinal and notifying requesters when the Cardinal purchase order is available for use.

APPENDIX E REQUEST FOR *eVA USER PROFILE*

Name of individual submitting this form _____

Phone number _____ Email Address _____

Agency Number and Abbreviation	Required	
First Name	Required	
Last Name	Required	
E-Mail Address	Required	
eVA* Applications required** ***Only DGS may grant these applications	**Check all that are required**	☐**eMall/Shop Now (Ariba)** ☐**LogiXML Reporting** ☐**Quick Quote** ☐**VBO Buyer** ☐***Catalog Administration**** ☐***Data Management**** ☐***eProcurement/ (Full ADVANTAGE)**** ☐***User Management (Administration)**** ☐***VSS Administration**** ☐***Advanced VBO****
eMall/Shop Now (Ariba)	**Complete needed fields**	
Buysense Org Name	Required	
Catalog controller	Required	(*eVA*_eMall, unless otherwise specified)
Delegated Purchase Authority Amt **(Not normally utilized - requires additional setup in Buysense Org approvals)**	Optional $ amount	$
Phone Number	Required - format xxx-xxx-xxxx	
Deliver to name	Required - Person or location	
Employee Number	Optional May be required for some Users	
Expenditure Limit Amt	Optional $ amount	$
Expenditure Limit Type	Required if Exp Limit Amt is indicated Role or User	
Expenditure Limit Approver	Required if Exp Limit Amt is indicated Name and *eVA* User ID or Agency Approval Role	

Standard Roles needed by User:	Required for eMall	*eVA*-Rpt-Hier Axxx-AgencyQueryAll *eVA*-CreateRequisition (if user is to create requistions)
Additional Roles needed by User:	Optional	*Any approval roles and/or special roles(i.e. agency security)*
Ship to Address – Ship to Address Code	Required - *eVA* Address ID	
eVA Supervisor User ID	Required - Name and *eVA* User ID	
Report and Resource Center (LogiXML)	**Complete needed fields**	
Entity Access Value	Required	AXXX,
Report Threshold Limit	Optional	System default is 5k.
Advanced reporting needs (i,e, agency management, technical, security, audit)	Optional	
Quick Quote	**Complete needed fields**	
Additional Buysense Orgs QQ this user should be able to view	Optional - list any additional BSO's that this user should be able to view QQ	
Reverse Auction Access	Optional	
VBO Buyer	**Complete Needed Fields**	
VBO Home Unit	Required	VBO
VBO Fax Number	Optional - Format XXX-XXX-XXXX	
Data Management - ONLY COMPLETED BY DGS - may not be done by Entity Security Officer	**Yes or No**	**Additional forms need to be completed**
User Management - ONLY COMPLETED BY DGS - may not be done by Entity Security Officer	**Yes or No**	**Additional forms need to be completed**
eProcurement - ONLY COMPLETED BY DGS - may not be done by Entity Security Officer	**Yes or No**	**Additional forms need to be completed**
Advanced VBO - ONLY COMPLETED BY DGS - may not be done by Entity Security Officer	**Yes or No**	**Additional forms need to be completed**
VSS Admin Setup - ONLY COMPLETED BY DGS - may not be done by Entity Security Officer	Optional	**SEVADMN gives user access to State Entered Vendor entry component**
Additional *eVA* Applications required - Additional forms are required to be completed	**Check all that are required**	☐**Future Procurements** ☐***eVA* Billing DashBoard**
Authorized signature required if mailed or faxed		_____ Signature

eVA ACCEPTABLE USE ACKNOWLEDGEMENT

eVA Acceptable Use Acknowledgement

Revised
May 1, 2013

Statement of User Responsibility

A. To be an authorized user of *eVA*, you must have job responsibilities consistent with the purpose of *eVA*, have obtained approval for your *eVA* user account from your COVA Entity's *eVA* Security Officer, and be in good standing as a permanent, temporary, or contract employee of a COVA Entity.

B. As an authorized COVA Entity *eVA* user, you are responsible for the security and use of your *eVA* user account. You accept full responsibility for your account and for all activity performed on *eVA* under your *eVA* user account.

C. As an authorized COVA Entity *eVA* user, you are responsible for keeping user information current and accurate. This information includes email address, phone number, supervisor, delivery location and purchase card information.

D. It is prohibited for any *eVA* user other than the assigned *eVA* user account owner to use said *eVA* user account. Each authorized user is responsible for preventing unauthorized use of their *eVA* user account as well as refraining from using someone else's *eVA* user account.

E. As an authorized COVA Entity eVA user, you are responsible for protecting personally identifiable information (PII) from public access, including among others Social Security numbers, Federal Tax ID numbers, Patient Information, and Personal Banking Information, in accordance with Federal and State law and procurement regulations. This information is to be removed from procurement documents or procurement files when made available to the public. It is only to be included on *eVA* purchase orders if including such information is required by law. If you must include such information, you must ensure that the comment field and separate file attachment capability at the line level and header level are used and the box is checked indicating the comment or attachment is proprietary information.

Password Requirement

The minimum password length required by the system must be 8 characters. The system checks password history to ensure that passwords can not be reused for 8 logins. Passwords shall contain a combination of alphabetic characters (a-z/A-Z), numerical characters (0-9).

eVA users shall not utilize the password management functionality contained in Internet browsers. If technically feasible, the password management function shall be disabled.

Passwords shall not be written down and left in a place where unauthorized persons might discover them.

Passwords shall not be shared or revealed to anyone else besides the owner. To do so exposes the owner to responsibility for actions that the other party takes with the password.

Users are responsible for all activity performed with their personal user-IDs. Personal user-IDs shall not be utilized by anyone but the individuals to whom they have been issued. Users shall not allow others to perform any activity with their user-IDs. Similarly, users are forbidden from performing any activity with IDs belonging to other users.

All users shall be automatically forced to change their passwords at least once every ninety (90) days.

When the User has a blocked *eVA* account or has forgotten their password they shall use the "Password Problems? Click here" link at the *eVA* Portal Screen. Users should contact the Entity *eVA* Security Officer or Entity *eVA* Lead if they are unable to reset their password.

Definition of Appropriate Use

Valid uses of *eVA* include, but are not limited to, using *eVA* for the intended and stated purposes of:

- Bid development
- Bid and contract awards
- Purchase approvals
- Placing orders
- Placing requisitions
- Recording of receipts
- Training
- Administrative purposes

To appropriately use *eVA*, each *eVA* user must:

- Adhere to the copyright protection of licensed software and documentation.
- Secure your user account and password at all times.
- Log out of *eVA* or secure your computer if you are away from the active session.
- Follow all COVA and *eVA* policies, as well as all local, state, and federal laws and policies.

Definition of Inappropriate Use

Inappropriate uses of *eVA* include, but are not limited to:

- Using any other individual's *eVA* account or password.
- Managing your user account or access in a way as to make your password and/or *eVA* session available for use by others.
- Unauthorized copying, sending, or receiving of copyrighted or trade/service marked materials

It is a violation of Commonwealth of Virginia policy to use *eVA* for promoting outside business interests. *eVA* shall not be used for private consulting or personal gain. *eVA* may not be used to support or engage in any conduct prohibited by Commonwealth of Virginia or local COVA Entity statutes or policies, including the *eVA* Security Policy.

It is a violation of this policy to examine, or attempt to examine, another *eVA* user's or COVA Entity's files or data without authorization. Noted exceptions are personnel who must examine these files or data while performing their assigned duties during the auditing process, DPS reviews, COVA Entity controller reviews, technical reviews to identify or correct *eVA* problems, or other approved activities to monitor and manage COVA business.

It is a violation of *eVA* policy to post/send/display defamatory, harassing, pornographic, obscene, or sexually explicit materials. These violations are in addition to items prohibited by any section of the Statutes of the Commonwealth of Virginia, or other federal, state, or local law.

Reporting of Information Security Violations & Problems

All *eVA* users have a duty to report all known information security vulnerabilities -- in addition to all suspected or known policy violations -- in an expeditious and confidential manner to their assigned Entity *eVA* Security Officer or to the *eVA* Global Security Officer so that prompt remedial action may be taken.

Possible Sanctions for Misuse

The *eVA* Global Security Officer may monitor, record and store information about the use of *eVA*. If such monitoring, recording, and storage reveal possible evidence of inappropriate, unethical, or illegal activity within *eVA*, the *eVA* Global Security Officer will contact the COVA Entity's *eVA* Security Officer regarding the alleged violations of this policy.

It is not appropriate to use *eVA* in a way that is detrimental to the normal operation of *eVA*. Penalties for misuse of *eVA* may include, but are not limited to, suspension of the use of *eVA* and referral to the appropriate local law enforcement agency for possible prosecution.

Upon detection of a potential violation, the *eVA* Global Security Officer will disable the *eVA* user account. The *eVA* user account will remain inactive until:

1) The *eVA* Global Security Officer has determined no violations exist or corrective action has been taken by the COVA Entity *eVA* Security Officer.

2) The COVA Entity's *eVA* Security Officer has notified the *eVA* Global Security Officer of the correction(s).

3) The remedial actions have been validated by the *eVA* Global Security Officer.

If corrective action is not taken at the COVA Entity level, the *eVA* Global Security Officer may:

1) Recommend to the DPS Director that an *eVA* user be permanently suspended from use of the system.

2) Report to the user COVA Entity's Director of Purchasing with a recommendation for disciplinary action.

ACKNOWLEDGEMENT

My signature acknowledges that I have read, understood and will adhere to the *eVA* Acceptable Use Policy. I also acknowledge that I will report violations immediately to the COVA Entity *eVA* Security Officer, as well as the *eVA* Global Security Officer at *eVA*Security@dgs.virginia.gov.

Signature: _____

Printed Name: _____

Agency Name
and Number: _____

Title: _____

Date: _____

The *eVA* Entity's Security Officer shall maintain a copy of this form (hardcopy or electronic).

APPENDIX F REQUEST *eVA USER DEACTIVATION*

Name of individual submitting this form _____

Phone number _____ Email Address _____

Agency Number and Abbreviation	Required	
First Name	Required	
Last Name	Required	
E-Mail Address	Required	
PCARD - Does the user have a PCard that needs to removed from their account?	**Yes or No**	
Custodial Care - Does this user account need to be assigned to someone to complete Receiving or change orders? **Custodial Care may not occur until account has been deactivated for 24 hours** **List below the first name / last name / email of the individual being granted custodial care of the account.**	**Yes or No**	
	Required	
Is this user an Expenditure Limit Approver for other *eVA* users? **If yes - Must submit request to update users that are impacted and change the Expenditure Limit Approver to an active *eVA* account**	**Yes or No**	
Is this user a Supervisor for other *eVA* users? **If yes - Must submit request to update users that are impacted and change the Supervisor to an active *eVA* account**	**Yes or No**	
Does this user have any Approval Roles assigned? **If yes - Must submit request to update user(s) that should be assigned the Approval Roles**	**Yes or No**	
Additional *eVA* Applications that require deactivation. **If yes - Additional forms are required to be completed**	**Check all that is required**	☐**Future Procurements** ☐***eVA* Billing DashBoard**
Authorized signature required if mailed or faxed		_____ Signature

SECTION 15

CAPITAL OUTLAY

15.1 General - ASD's Capital Outlay Section is responsible for procurement of professional and construction services for capital outlay, maintenance reserve, and non-transportation facility improvement and construction projects statewide when professional engineering and design services are required in accordance with the *Construction and Professional Services Manual (CPSM).*

Responsibility	Contact
Capital Outlay Director	Randy Campbell
Capital Outlay Assistant Director	Tim Crooks
Program Manager- A/E	Jerry Davis
Capital Outlay Contract Officer	Tammy Webb

15.2 Professional Architect/Engineer (A/E) Design and Construction Administration Services - To initiate procurement for professional services, obtain District Administrator approval on the Request for Approval to Use Consultants Form ASD-33 (See Attachment 15A) and submit to the ASD Administrator for review and approval by the Chief of Administration. Form ASD-33 is not required for projects approved in the Six Year Plan or for Emergencies.

ASD Capital Outlay Section will work with end users to develop a scope of services and negotiate fee proposal with an Architecture and Engineering firm in accordance with *CPSM* guidelines

See detailed process for Capital Outlay Procurement for Professional Services in Attachment 15B.

15.3 Construction Services – Upon completion and acceptance of design by VDOT and DGS Bureau of Capital Outlay Management (BCOM), ASD Capital Outlay Section will advertise and award construction contract in accordance with *CPSM* guidelines.

See detailed process for Capital Outlay Procurement for Construction in Attachment 15C.

15.4 Facility Repair and Maintenance Projects – Routine repair and maintenance of facilities which do not require professional A/E and design services will be procured by the local ASD Procurement Office in accordance with *APSPM* requirements for nonprofessional services. Please refer to Section 4 of this manual for more information.

Attachment 15A

ASD-33
Rev 05/13

REQUEST FOR APPROVAL TO USE CONSULTANTS
Capital Outlay Professional Services

To: _____ _____
District Administrator Date

From: _____
Requestor

Project: _____

Purpose of contract:_____

Need for use of consultant:_____

Consequences of ***NOT*** executing contract:_____

Est. Contract Value: $_____ Contract period: _____

Source of funding:_____

Comments:_____

Signature _____ ☐Approve ☐Deny _____
District Administrator Date

To: _____ _____
Administrative Services Director Date

Comments:

Signature _____ ☐Approve ☐Deny _____
Administrative Services Director Date

To: **Grindly Johnson, Chief of Administration** _____
Chief of Administration Date

Comments:

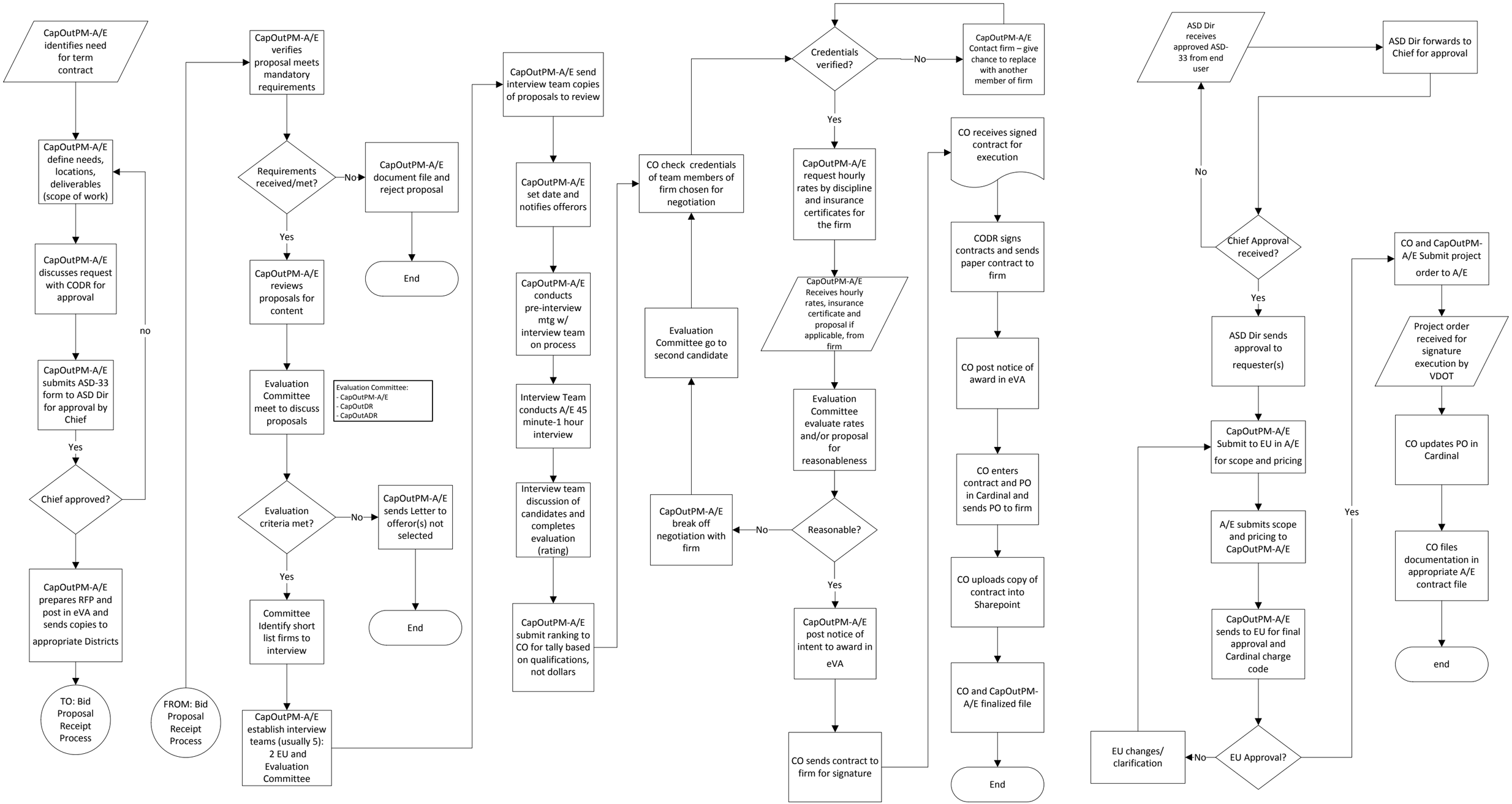
Signature _____ ☐Approve ☐Deny _____
Chief of Administration Date

VDOT ASD Procurement

Attachment 15B
Capital Outlay Procurement for Professional Services

2013

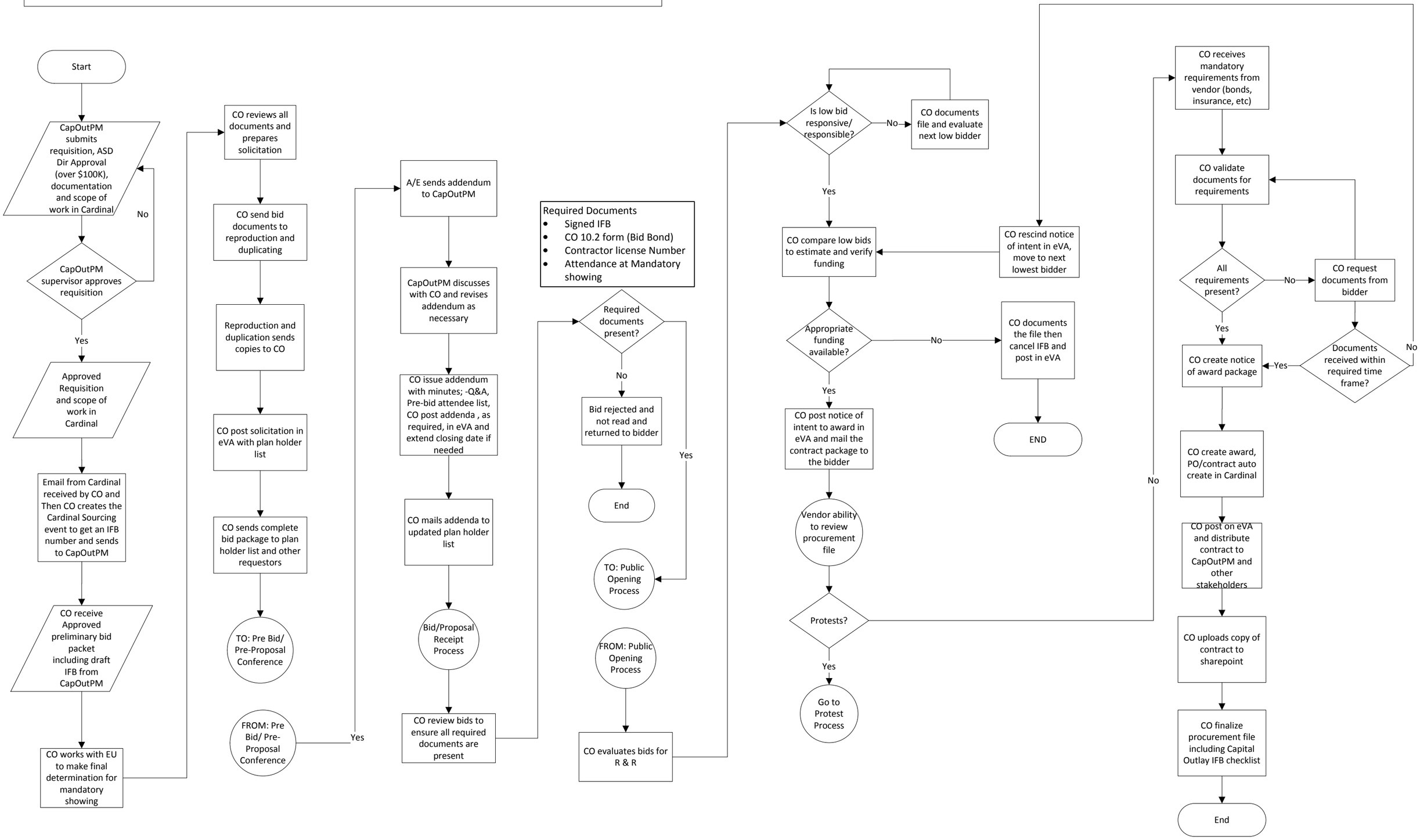
Capital Outlay Procurement for Professional Services Task Orders



VDOT ASD Procurement

Attachment 15C
Capital Outlay Procurement for Construction

2013



SECTION 16

ASD PROCUREMENT REVIEW AND TRAINING

16.1 General - ASD's Procurement Review and Training Section (PRT) will provide training and conduct reviews to ensure compliance with existing procurement laws and guidelines. Training and compliance reviews help ensure VDOT personnel:

(a) have the information needed to complete procurement transactions in accordance with established regulations and procedures.
(b) demonstrate understanding of and adherence to established regulations and procedures.
(c) manage contracts effectively.

16.2 Training – PRT provides procurement related policy training statewide to VDOT employees. All available procurement training can be found in VDOT University. https://virtualcampus.vdot.virginia.gov/kc/login/login_vdot.asp?kc_ident=kc0001

16.3 Compliance Reviews – Each District or Division will be reviewed annually. In some cases reviews may be more frequent.

ASD Administrator will notify the District or Division Administrator when a review is being scheduled for procurements processed by the district or division personnel and request that a single point of contact (SPOC) be identified to provide information.

PRT personnel will meet with SPOC to review the process and answer any questions. Selected vouchers and associated procurement documents will be reviewed by PRT personnel. After review, a draft report will be prepared. PRT personnel will meet with district or division personnel to discuss preliminary findings in the draft report. Subsequent information may be provided by districts or divisions to clarify uncertainties.

After comments have been received and incorporated into the draft report, a final report of findings and recommendations will be provided to the District or Division administrator, ASD Administrator, appropriate Executive Team Member, and Assurance and Compliance Office. The District or Division Administrator must respond to the report and outline the steps that will be taken to resolve non-compliance issues.

16.4 Freedom of Information Act (FOIA) Requests – FOIA requests are processed in accordance with Virginia's Freedom of Information Act (§ 2.2-3700 et seq. of the *Code of Virginia*). The PRT team coordinates information gathering and distribution in response to ASD FOIA requests. The PRT team will provide guidance to ensure that responses to requests for information are timely and appropriate.

Appendix A
Process Map Acronyms

ADISTA – Assistant District Administrator
A/E – Architectural Engineering
ASD – Administrative Services Division
ASD Dir. – ASD Director/ASD Division Administrator
ASDEA – ASD Director Executive Assistant
B/P – Bid/Proposal
BT – Bid Tabulator
Buyer – Authorized Division, District, Residency, Section: person with authority to create purchase orders and procure goods
CA – Contract Administrator
CapOutADR – Capital Outlay Assistant Director
CapOutDR – Capital Outlay Director
CapOutPM – Capital Outlay Project Manager
CapOutPM-A/E – Capital Outlay Project Manager Architectural Engineering
CFO- Chief Financial Officer
Chief – Directorate Chief
CO – Contract Officer
COPM – Central Office Procurement Manager
CRD – Civil Rights Division
CTB – Commonwealth Transportation Board
DA – District Administrator
DivA – Division Administrator
DPM-District Procurement Manager
DPS – Division of Purchases and Supply
DTF – Document to File
EU – End User
IFB – Invitation for Bid
NOA – Notice of Award
NOIA – Notice of Intent to Award
OAG – Office of the Attorney General
PM – Project Manager
PSS – Personnel Security Section
RFP – Request for Proposal
RPM – Regional Procurement Manager
R&R – Responsible and Responsiveness
SA – SWAM Advocate
SBSP – Small Business Subcontracting Plan
SPCC Card Holder – Small Purchase Credit Card Card Holder
SWaM – Small, Woman, and Minority
VBO – eVA – Virginia Business Opportunities/eVA
VDOT – Virginia Department of Transportation

Appendix B - Form Index

NOTE: The forms included in the manual are for illustrative purposes. To ensure you have the most current version, please access forms in the Sharepoint Corporate Document Center: https://insidevdot.cov.virginia.gov/Docs/Documents/Forms/AllItems.aspx?FilterField1=vdotDivision&FilterValue1=Administrative%20Services

Name	Title	Section #
ASD-02	RFP Checklist	7
ASD-03	Document to File Form	3
ASD-04	Public Opening Log	6
ASD-05	Contractor Release From Contract Form	10
ASD-06	IFB Checklist	6
ASD-07	Understanding of Responsibility Form	7
ASD-08	Vendor Qualification Questionnaire	4
ASD-09	Pre Bid Proposal Attendance Form	6
ASD-11	DMBE Certified Small Business Waiver Request	3
ASD-12	Contract Reference Check Worksheet	6
ASD-14	Record of Bids for Proposals Received	6
ASD-15	Procurement Approval Request Form	3
ASD-16	Emergency Procurement Determination and Award Form	9
ASD-17	Procurement Checklist	4
ASD-18	IFB Two-Step Checklist	6
ASD-30	Supplement Form for Requisitions	4
ASD-31	Commonwealth of Virginia Corporate Purchasing Card Request	5
ASD-32	SPCC Card Update Request Form	5
ASD-33	Request for Approval to Use Consultant Services	15
ASD-34	General Procurement Checklist Form	5
ASD-35	Designation and Responsibilities of Contract Administration	10
ASD-36	Contract Performance Renewal Recommendation Form	10
ASD-51	Non Disclosure Statement for RFP	7
ASD-63	SWaM Compliance Reports Form	3
COV-eVAFormAccess	Request Form for eVA User Profile	14

Appendix B - Form Index

Name	Title	Section #
COV-PurchasingCardRequest	Purchase_Card_Request	14
COV-UserForm-eVA	eVA Acceptable Use Acknowledgement	14
DGS Annex 8C Sole Source Procurement Approval Request	DGSAnnex8CSoleSourceProcurementApproval	8
DGS-Annex10H-ProcurementComplaintForm	DGSAnnex10HProcurementComplaintForm	10
DGS-Annex7D-StandardContractFormat	DGS Annex 7D Standard Contract Format	7