Monterey County Contracts/Purchasing

Standard Operating Procedures

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Table of Contents

SP1010 Choosing the Agreement Type and Agreement Process

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: Final
Audience: Requestors and Originators of goods and services	
Supporting Resources: *Contracts & Purchasing Decision Table, Contracts & Purchasing Lifecycle Model*	

Purpose

Requestors and Originators must choose the correct type of process for a desired Agreement for their purchases. Choosing the correct type of Agreement for your project allows you to identify the purchasing process to use. The purchasing process varies according to the Agreement amount, the terms and conditions used, and the type of services.

Where to Start

You should determine the Agreement type when you first identify a need for goods or services that a Contractor must provide. You should determine if your project could be determined to be a "work of public improvement." Agreements for those types of goods or services have other, different, requirements. If you are unsure, contact the Office of the County Counsel.

Steps for Choosing the Correct Agreement Type

You can determine the Agreement type by following the Contracts & Purchasing Decision Table (see Page 4) and answering a few questions.

1. Will the total contract be less than $50,000?

Informal Process	**Formal Process**
< $50,000	>= $50,000

   a. If less than $50,000, then use the "Informal Process" side of the table.

Note: There are exceptions for complex, lengthy, or potentially sensitive agreements. Contact Contracts/Purchasing if you are not sure.

b. If more than $50,000, then use the "Formal Process" side of the table.

2. What type of goods and services will you be purchasing? Choose one of the four rows listed here.

Need for Goods, Non-Professional Services, or Personal Property Leases	a. Examples include: i. Goods: Books, office supplies, some types of furniture, prescription medicines ii. Services: Cleaning or delivery services. iii. Leases: Computers or vehicles
Need for Professional or Design Professional Services	b. Examples include: i. Professional: Physicians, speakers, consultants ii. Design Professionals: Architects, engineers
Need for Goods or Services Involving Hazardous Materials	c. Examples include hauling of petroleum products, infectious agents removal (blood, used syringes).
Other Needs	d. Examples include works of public improvement, office leases, utilities, and no dollar amount contracts.

You have further narrowed your choices to one row on one side of the table (just two boxes).

3. What kind of Terms & Conditions (T&Cs) will you use with your Contractor? Choose the appropriate box within the row you've identified, on either the informal process or formal process side of the table. You should always start with Standard T&Cs where possible.

Standard	**Non-Standard**
County's T&Cs	Contractor T&Cs or Modified County T&Cs

a. If you can use the County's T&Cs without modifying them, then choose the Standard box.

b. If you must modify the County's T&Cs to work with this Contractor, then choose the Non-Standard box.

c. If the Contractor strongly prefers to use their own T&Cs, then choose the Non-Standard box.

Note: The vast majority of agreements with the County use the County's T&Cs (the Standard box). Delays are common for agreements with Non-Standard T&Cs due to additional documentation, as well as more intensive County Counsel and Risk reviews and input. In addition, Non-Standard T&Cs require Board of Supervisors approval.

4. Once you've found the box that best describes your project, then:

    a. Follow the advice listed there to find the type of process and Agreement you will need.

    b. Follow the process associated with the type of Agreement you will need. See the Contracts & Purchasing Lifecycle Model on Page 5.

Next Steps

- Review your need for goods or services with an Originator (finance person and/or dedicated contracts person) in your department to ensure that your request is in budget and in line with department priorities.
- Write a Statement of Work to define your project. See SP1090.

Tips & Pitfalls

- If you are unsure about the purchase amount, review previous Agreements, consult with your department's finance and/or dedicated contracts person, ask someone with similar Agreements in another department, or contact Contracts/Purchasing for advice.
- Even though the Agreement is for less than $50,000, a formal solicitation process may be required if your project is lengthy or complex. Projects that are sensitive may also require a formal solicitation process.
- If in doubt about the type of Agreement for your project, contact Contracts/ Purchasing.
- All Agreements with the County are "formal" Agreements, with written terms and conditions, regardless of whether or not a formal or informal process may be used to select a Contractor.
- The installation of goods, or the provision of certain services, may sometimes amount to a work of public improvement, which has different triggers for formal or informal bidding processes. You should confirm whether or not the proposed project should be considered a work of public improvement as soon as possible to avoid using the wrong process.

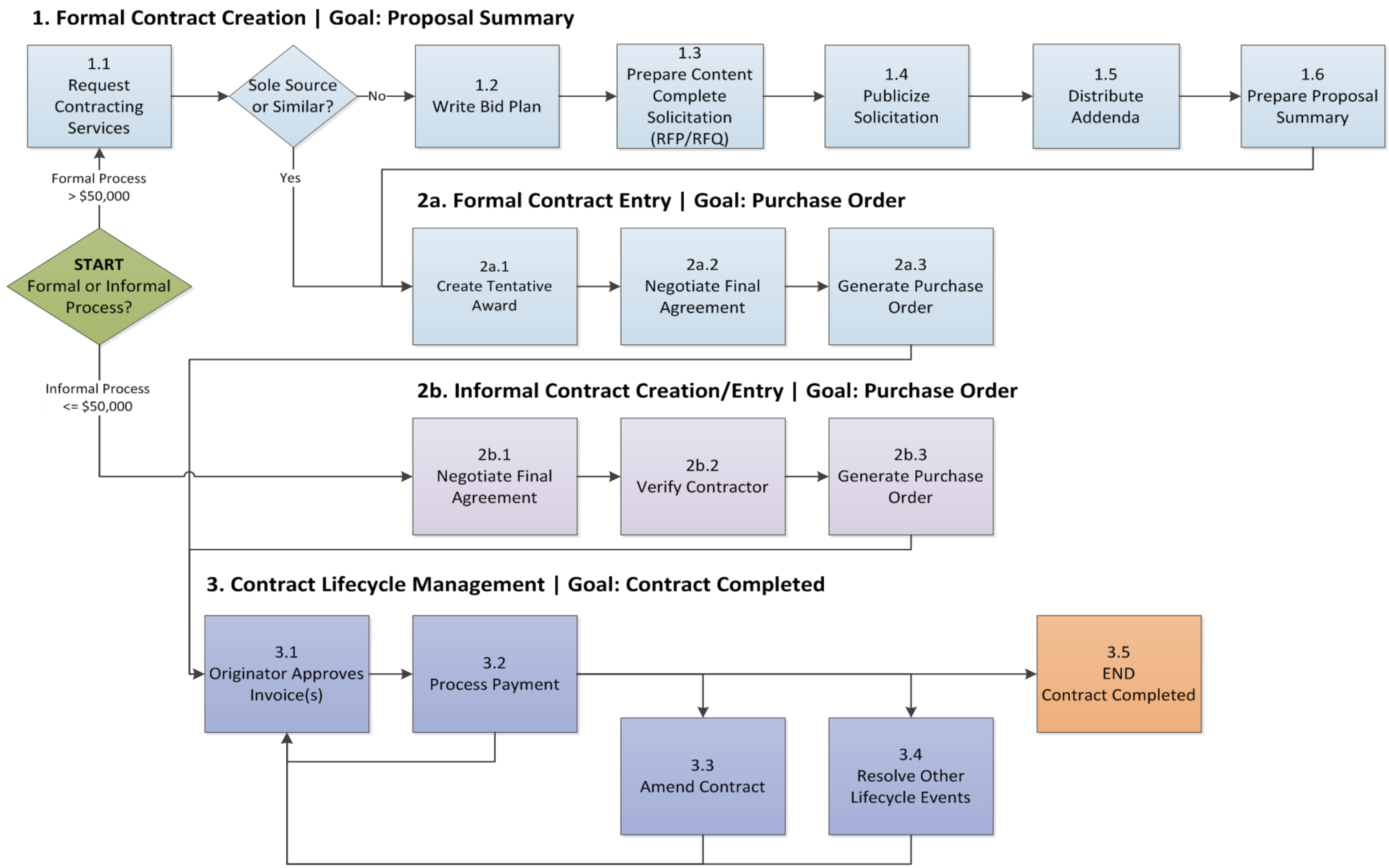
Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistency with style guide.

Contracts/Purchasing Decision Table

	Informal Process < $50,000		Formal Process >= $50,000	
	Standard County's T&Cs	**Non-Standard** Contractor T&Cs or Modified County T&Cs	**Standard** County's T&Cs	**Non-Standard** Contractor T&Cs or Modified County T&Cs
Need for Goods, Non-Professional Services, or Personal Property Leases	Use Standard Agreement See Informal Process Go to Step 2b.1 • Micro <$3,000 • Mini <$15,000 • Small < $50,000	Same as Standard EXCEPT: • Contractor or Modified Standard Agreement • Enhanced review and input by Counsel/Risk • Board of Supervisors Approval	Use Standard Agreement See Formal Process Go to Step 1.1 • If amount > $100K, then Board approval needed.	Same as Standard EXCEPT: • Contractor or Modified Standard Agreement • Enhanced review and input by Counsel/Risk • Board of Supervisors Approval
Need for Professional or Design Professional Services	Same as above EXCEPT: • Use PSA Agreement for architect or engineers (design professionals) • Use Speakers Agreement for speakers	Same as above	Same as above EXCEPT: • Use PSA Agreement if the services are for architect or engineers (design professionals)	Same as above
Need for Goods or Services Involving Hazardous Materials	Same as above EXCEPT: • Use Agreement for Services/Goods Involving Hazardous Materials	Same as above	Same as above EXCEPT: • Use Agreement for Services/Goods Involving Hazardous Materials	Same as above
Other Need	Consult with Contracts/Purchasing			

Contracts/Purchasing Lifecycle Model

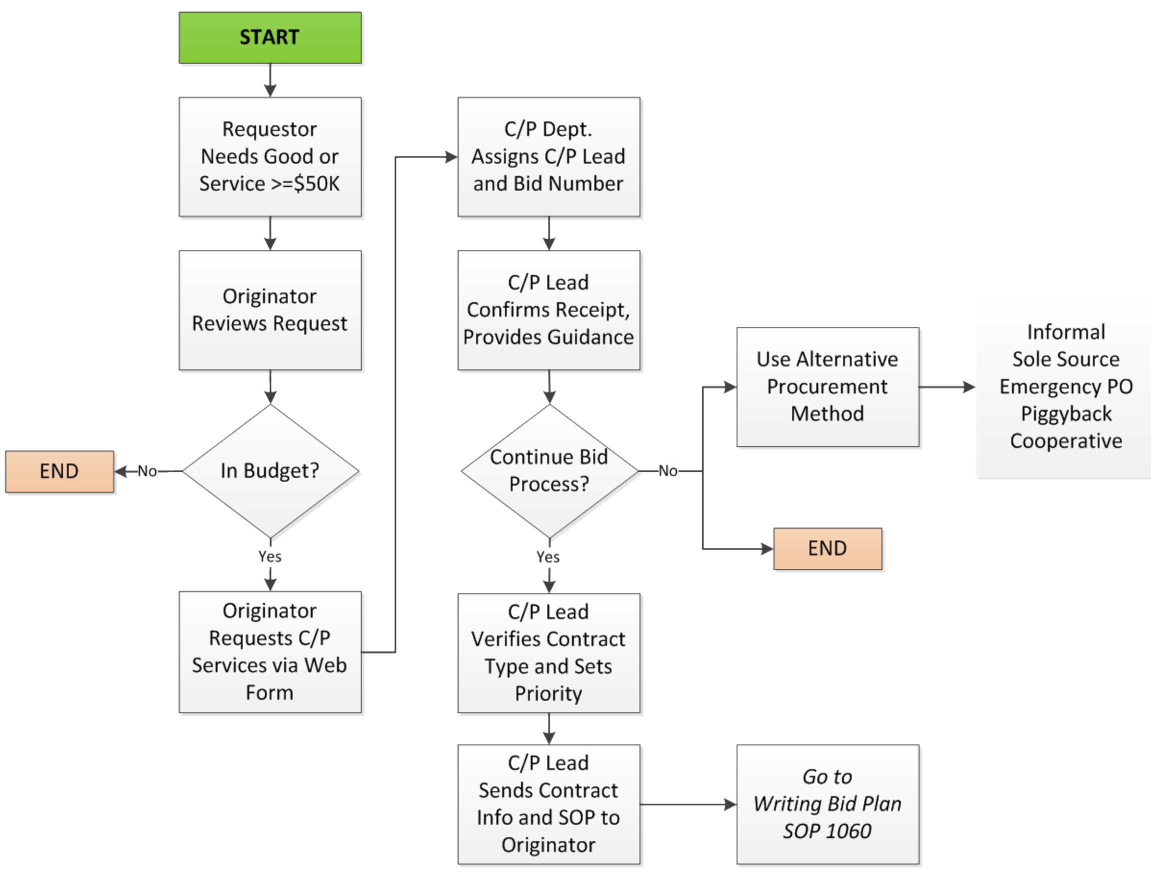


SP1020 Requesting Contracts/Purchasing Services

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: ILT100	

Purpose

When your purchase requires using the formal bid process, the first major task is to work through a number of steps with Contracts/Purchasing (C/P) to set up the project and to obtain a RFP/RFQ bid number. These steps are illustrated in the following flowchart.



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Requestor, Originator
Accountable	Originator
Consulted	C/P Lead, C/P Management
Informed	Requestor, C/P Management

Where to Start

Originator starts working with C/P on the formal bid process after determining that your goods and/or services will exceed $50,000 for the proposed term of the Agreement. See SP1010 for Choosing the Agreement Type.

Steps for Requesting Contract Services

1. The Requestor (the person in the department who has a need, such as the Department Head, Manager or Program Analyst) reviews the need for goods and/or services with the Department Originator (the person handling the project) in the same department. The Requestor and Originator confirm that the need is in the department budget and in line with department priorities.

   The Originator requests C/P services via the C/P website form: *https://www.in.co.monterey.ca.us/admin/rfp_q_submit.htm*.

   Include in the request:

   1. The desired Solicitation Type (for example, RFP/RFQ)

   2. A description of anticipated services or goods

   3. A list of possible vendors

   Note: You should hear back from C/P within two business days of making your request.

2. C/P will assign an C/P Lead to your project. The C/P Lead will contact you to discuss your project to determine objectives for your process and whether there are appropriate alternatives to formal bidding.

3. The C/P Lead will provide the Originator with specific information relative to the desired purchase and general information about the next steps as follows:

    1. A bid number

    2. A Standard Operating Procedure (SOP) that lists the next steps for the type of agreement the project requires

Next Steps

If your request will follow the formal bidding process, next steps include:

1. The Originator drafts the Scope of Work (SOW)

2. C/P Lead orchestrates a Stakeholder Meeting

3. C/P Lead writes a Bid Plan (see SP1060)

Note: To continue with other types of solicitation processes (for example, informal bidding for Micro Purchases, Mini Purchases or Small Purchases), follow the agreement process assigned by your Analyst.

Tips & Pitfalls

- A clear initial description of the project and a drafted SOW will make it easier for the C/P Lead to provide swift and effective guidance.
- A clear SOW will help expedite the process.
- Formal Bidding may have alternatives, such as Emergency Purchase Order or Sole Source, but those alternative procedures will be rarely appropriate when requests for goods or services meet or exceed the $50,000 threshold.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistency with style guide.

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SP1030 Selecting Alternative Agreement Types

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1020, Requesting Contracts/Purchasing Services	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide definitions and guidance related to purchasing mechanisms that do not require a Request for Proposal (RFP) or a Request for Quote (RFQ). These processes include: Piggyback Agreements, Cooperative Agreements, Sole Source Requests, Memorandum of Understanding (MOU) Agreements, Emergency Construction (ECT), and Emergency Purchase Order (EPO). Each of these is described separately in this SOP.

Where to Start

Refer to this SOP when you are using (or considering using) an alternative purchasing process to create your Agreement. You may have used one of these Agreement types in the past to purchase similar goods or services. Alternatively, when you request contracting services from Contracts/Purchasing (C/P), your C/P Lead may tell you that an alternative Agreement type or process is available or required for your project.

Piggyback

A Piggyback Agreement process is when Monterey County makes purchases using an existing Contractor Agreement that includes goods or services you want to purchase. Since the Contractor has completed the formal or informal bidding process, C/P may be able to tie (or "piggyback") your project to that existing Agreement.

1. Your C/P Lead will review your need for goods or services and advise you that a Piggyback Agreement is possible for your project.
2. The C/P Lead will review the contract and bidding process to ensure that there is a match between the existing Agreement and your project.
3. If so, the C/P Lead will assist you in developing and executing the appropriate Piggyback Approval document in order to move your

procurement forward. Once your project has been formally tied to the existing Agreement and the paperwork has been fully executed, your Contractor may begin to deliver the requested goods and/or services.

Cooperative

With Cooperative Agreements, multiple public entities pool their resources to make bulk purchases through cooperative purchasing organizations.

Monterey County obtains discounts by setting up master contracts for mass volume purchasing via these state or national purchasing organizations, including:

- CMAS: California Multiple Award Schedules
- GSA: General Services Administration
- NIGP: National Institute of Government Procurement
- NIPA: National Institute of Purchasing Alliance.
- NJPA: National Joint Powers Alliance
- NPP: National Purchasing Partners
- TCPN: The Cooperative Purchasing Network
- WSCA-NASPO: Western States Contracting Alliance-National Association of State Procurement Officials

Here are the major steps for participating in a cooperative agreement:

1. Your C/P Lead will review your need for goods and/or services and advise you that your project may be eligible to become part of an existing Cooperative Agreement.
2. Your C/P Lead will review a copy of the relevant purchasing organization's bid documents to determine if it meets the formal bidding requirements for your project.
3. If the project is a match, then the C/P Lead signs the purchasing organization's acknowledgement form. This authorizes Monterey County to use that Agreement for your project.

Once the C/P Lead signs the acknowledgement form that adds your project to the existing Master Agreement, then your Contractor may begin to deliver the requested goods and/or services.

Sole Source

A Sole Source Agreement is one where you ask only one Contractor to provide a quote for goods or services. Ordinarily, you obtain multiple quotes before awarding an Agreement, but in rare cases you may request one particular Contractor.

You may designate a single Contractor to provide a quote for the particular goods and/or services that you need when:

- Only one Contractor has the ability or expertise to provide the goods and/or services, OR
- Your request is in response to an emergency that will otherwise prevent a department from functioning or where there is an immediate danger to life and/or property.

When you believe that sourcing the goods and/or services from a particular Contractor is in the best interest of the County:

1. Obtain the Sole Source/Sole Brand Justification form from C/P.
2. Follow the instructions on the form to explain why using a sole source is the right answer for your project.
3. Obtain your Department Head's signature on the form.
4. Make a copy of the form to keep, and submit the original to C/P for authorization.

Once C/P approves your sole source request, you may obtain a quote for your project.

Emergency Purchase Order (EPO)

In an emergency, a designated person in your department may requisition the immediate goods and/or services necessary to continue essential department operations or to protect life and/or property without a written Purchase Order. Examples include:

- A malfunctioning HVAC system
- A broken refrigerator in the hospital
- A severe leak in a sewer line
- A toilet overflowing in the jail

Here are the immediate steps to take to respond to an emergency:

1. Identify the goods and/or services immediately necessary to stabilize the emergency condition.

2. Ensure that your department has sufficient funds in the appropriate account to cover the costs of responding to the emergency. If not, then obtain approval from the County Budget Office to use other funds.

3. Contact C/P to determine if there is a governmental contract in place for a Contractor who can meet the emergency need.

4. Use the Contractor recommended by C/P or if no government contract is available to meet the need, use another Contractor to provide the emergency goods and/or services. If after hours, weekends and/or holidays the services may be procured from any available Contractor.

Here are the steps to take after contracting a Contractor to resolve the emergency:

1. Write a backup request to explain the emergency and the necessary course of action. Send your request to 119-PurchasingEveryone@co.monterey.ca.us. Provide the following information:

    a. A full explanation of the circumstances of the emergency.

    b. A complete description of the goods/services necessary to meet the emergency.

    c. A list of Contractors solicited and the quotes/proposals received, clearly identifying the accepted quote/proposal.

    d. The reason for selection of a particular firm.

    e. The total costs required for the emergency procurement.

    f. The account code(s) from which funds are to be expended.

    g. The governmental entity and bid contract number, if applicable.

2. Check submitted written proposals and/or invoices submitted to the County in response to an emergency EPO for accuracy.

3. Check that any reimbursement requests for travel and/or other allowable business reimbursements are in full compliance with the County's approved Travel Policy, which can be accessed here: http://www.in.co.monterey.ca.us/auditor/pdfs/County_Travel_Business_Expense_Policy_12-5-12.pdf.

4. Submit written proposals and/or invoices to the Auditor/Controller for processing and payment.

5. When the immediate emergency is stabilized, and you need additional goods and/or services to fully address the situation, this can be handled in two ways:

    a. C/P may waive the competitive bidding process for continued emergency goods and/or services.

    b. Follow normal purchasing processes.

6. In some cases, you may be required to provide a report to the Board of Supervisors (BOS), informing them of the emergency action. This report must be provided within one of the next two regularly scheduled BOS meetings and must include:

    a. The purpose of the emergency action; and

    b. A request that the BOS ratify the actions taken by the Contracts/Purchasing Officer in approving the emergency procurement and waive any required competitive bidding requirements, if applicable; and

    c. All supporting emergency procurement documentation

Next Steps

- If your project can be added to a Piggyback or Cooperative Agreement, then your Contractor may provide services and/or goods once a C/P Lead has added your project to the existing Agreement.
- If your request to use a sole source is approved, you may then obtain a quote for your project.
- For EPOs, if the initial emergency response meets the need, then the project will be complete once your backup request is approved. If you must obtain additional goods and/or services to meet the emergency, then follow the direction of your C/P Lead to continue with an EPO or to follow normal purchasing processes.

Tips & Pitfalls

- Check with C/P to determine whether an existing Master Agreement might work for your project. If so, this will allow you to obtain your goods and/or services sooner than if you have to follow the solicitation process.
- For sole source justifications, remember that your personal preference for a particular Contractor or brand should not be a consideration.

- To use an EPO, ensure that the emergency is truly a dire circumstance—one that prevents your department from functioning or that presents a significant danger to life and/or property.
- Only use an EPO to stabilize an emergency situation or when you have a C/P Lead's approval.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistency with style guide.

SP1040 High-Level Informal Purchasing Process

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: Final
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1010 Choosing the Agreement Type and Agreement Process, ILT100	

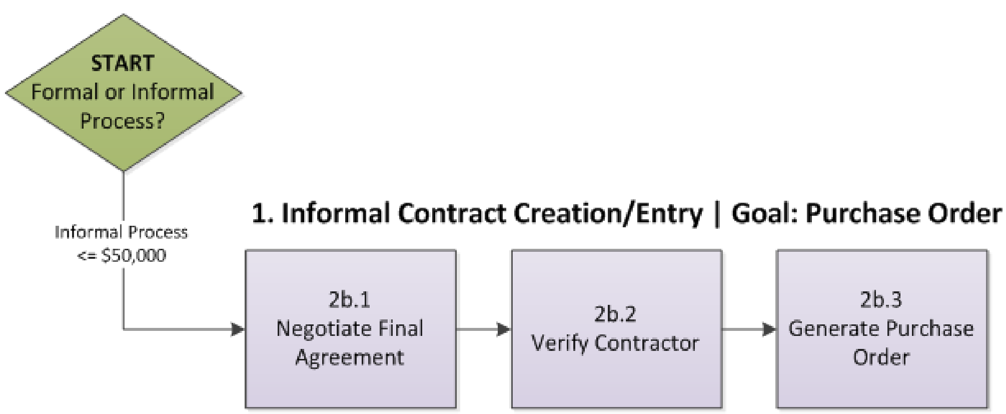
Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide a high-level overview of the informal process for soliciting Contractors—including an outline of the roles and responsibilities for all stakeholders. For details on each task in the informal purchasing process, see specific SOPs for each one.

Where to Start

Refer to this SOP once you've identified that you should use the informal purchasing process. See SP1010, Choosing the Agreement Type and Agreement Process, if you are not sure whether you should use the formal or informal process.

Major Tasks in the Informal Purchasing Process



Negotiate Final Agreement (2b.1)

1. The Requestor (the person who has a need, such as a manager or program analyst) initiates a request, describing needed goods or services.

2. The department Originator (the person at the department level who is responsible for the managing the project) confirms that the request is within budget and helps to determine the procurement type.

    1. Goods procurement types: Purchase Order (PO), Lease PO (LPO), Blanket PO (BPO), and Procurement Card

    2. Services procurement types: Service Contract (SC), Blanket SC (BSC), and Construction (CT)

    3. Other procurement types: Multi-Year Agreement (MYA), Master Agreement (MA), and Delivery Order (DO). The DO is the encumbering document used with either the MYA or MA.

3. Depending on the purchase type, there are different paths to selecting a Contractor and the type of Agreement needed. The major options are outlined here. For more details, see SP1290, Negotiating a Final Agreement.

    1. **County Procurement Card.** If you are using a procurement card, then you may select a Contractor and purchase certain types of goods. For those purchases that are permitted with a procurement card, the documentation of the agreement, which is generally a receipt, must be retained and provided to the Auditor-Controller's Office. Once all required documentation is submitted to A/C, the process is complete.

    2. **Goods Less Than $3,000.** Request a minimum of one quote. Select a Contractor based on the quote that best meets your needs. The quote serves as the support documentation for the purchase.

        Services Less Than $3,000. If a Contractor agrees to the County's Terms & Conditions (T&Cs), then request a minimum of one quote. Select a Contractor based on the quote that best meets your needs. If a Contractor requests changes to the County's T&Cs, consider whether another Contractor would agree to the County's standard T&Cs. If not, consult with Counsel, Risk, and/or C/P to negotiate T&Cs with Contractor. Assuming a successful negotiation, enter into an Agreement.

        If you cannot negotiate T&Cs that are acceptable to County approving departments and Contractor, your options are: 1) select a different Contractor, or 2) request a variance in Agreement terms from the Board of Supervisors (BOS).

3. **Sole Source Purchases Between $3,000 and $50,000.** Submit a Sole Source Justification request for review and approval by Contracts/Purchasing (C&P).

4. **Purchases Between $3,000 and $14,999.** Prepare a Scope of Work (SOW) to present to at least two potential Contractors in order to obtain a quote.). The SOW must include the County T&Cs. Contractor exceptions to the County T & C's will be negotiated with the Contractors in consultation with Counsel, Risk, and C/P.

   If you cannot negotiate T&Cs that are acceptable to County approving departments and Contractor, your option is to select a different Contractor.

5. **Purchases Between $15,000 and $50,000.** In this case, you will prepare an SOW and initiate the Request for Proposal (RFP) or Request for Quote (RFQ) process with C/P and send to at least three potential Contractors, although publication is not required. The more potential Contractors you use, the better the terms and price for the County. The Contractors will prepare proposals or quotes, and then you will negotiate the Agreement and select a Contractor.

   For services, use the County T&Cs or negotiate with the Contractors, in consultation with Counsel, Risk, and C/P.

   If you cannot negotiate T&Cs that are acceptable to County and Contractor, your option is to select a different Contractor.

6. The outcome of this task is that you will have selected a Contractor for your purchase and entered into an Agreement.

Verify Contractor (2b.2)

1. **Current Contractor.** The Originator verifies that the Contractor has all current documents on file in C/P: insurance certificates, Contractor Data Record (VDR), applicable State forms.

2. **New Contractor.** The Originator encourages the Contractor to log on the County website to register as a new Contractor through Contractor Self Service (VSS). In addition, the Originator verifies that the Contractor has all current documents on file in C/P: insurance certificates, Vendor Data Record (VDR), and the applicable State forms.

   In order to do business with the County, all Contractors must self-register at the County of Monterey Vendor Self Service (VSS) website: https://vendor-center.co.monterey.ca.us/

Contractors may also access the VSS website through the link on our website:
http://www.co.monterey.ca.us/admin/vendorinfo.htm

Generate Purchase Order (2b.3)

1. After verifying that the Contractor has all current documents on file, the Originator begins the PO process in Advantage.
2. The C/P Lead, Counsel/Risk, and the Auditor/Controller, as needed, review the PO in Advantage.
3. If the reviewers request changes, the Originator makes corrections and resubmits the PO.
4. Once the PO is ready for approval, the reviewers sign off. C/P Management makes the final approval.
5. Upon final approval, Advantage generates the PO, and the Originator sends it to the Contractor.

Next Steps

- Once the Contractor receives the fully executed PO, then they may provide services and/or deliver goods.
- For more details on each task in the informal process for soliciting agreements, see specific SOPs for each one.

Tips & Pitfalls

- To expedite approval, the Originator highlights for Approvers each and every non-standard term, condition or provision prior to circulating non-standard T&Cs for review and approval. See the County Counsel Checklist in ILT300.
- Departments do not have any inherent authority to sign contracts, except through authorized Purchase Cards. Only the Board of Supervisors, Purchasing Agent, or Board designee can execute Agreements to purchase goods or services.
- Do not allow your Contractor to begin services or deliver goods until you have a fully approved and executed PO.
- If your Contractor agrees to use the County's T&Cs, then the informal process for soliciting Contractors will generally take less time.
- For an overview of the formal purchasing process, see SP1050, High-Level Formal Purchasing Process.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistency with style guide.

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SP1050 High-Level Formal Purchasing Process

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-2014	Document Status: Final
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1010, Choosing the Agreement Type	

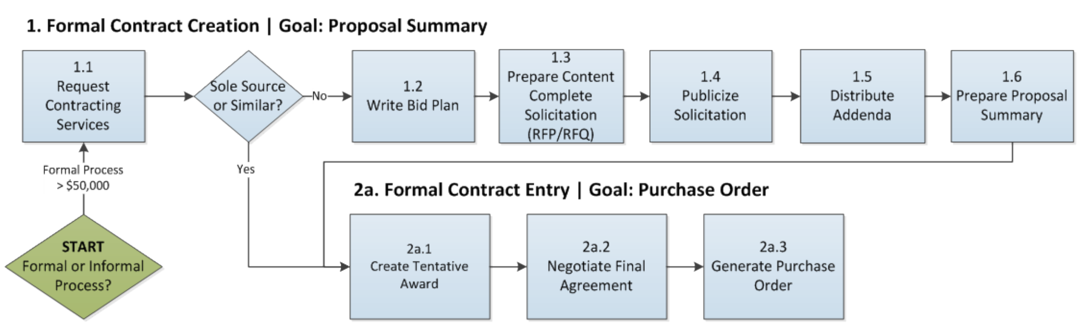
Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide a high-level overview of the formal purchasing process—including an outline of the roles and responsibilities for all stakeholders. For details on each task in the formal process, see specific SOPs for each one.

Where to Start

Refer to this SOP once you've identified that you should use the formal process for your purchase. See SP1010, Choosing the Agreement Type, if you are not sure whether you should use the formal or informal process.

Major Tasks in the Formal Purchasing Process



1.1 Request Contracting Services

1. The Requestor (the person who has a need, such as a Department Administrator, Manager or Program Analyst), initiates a request, describing needed goods and/or services.

2. The department Originator (the person who is responsible for coordinating and managing the project) confirms that the request is appropriate and within their department budget.

3. The Originator works with Contracts/Purchasing (C/P) to verify the need for the project and to determine the appropriate alternatives (for example: sole source, informal process, or other, etc).

4. The outcome of this task is that a C/P Lead sets the project priority and provides a bid number as appropriate.

1.2 Write Bid Plan

1. C/P Lead works with the Originator to identify stakeholders for the project, creates a Stakeholder Meeting agenda, and invites participants.

2. The C/P Lead facilitates the Stakeholder Meeting. Participants will include the Originator, C/P and may also include the Requestor, Counsel, Risk, and/or other County staff as needed.

3. During the Stakeholder Meeting, the Originator provides information for the following sections of the Solicitation Document (SD): Intent, Scope of Work (SOW), Background, proposed Calendar of Events, and the Selection Criteria.

4. The C/P Lead defines the Evaluation Protocol and Evaluation Team with assistance from the Originator.

5. The outcome of the Stakeholder Meeting is a Bid Plan. The Bid Plan includes key decisions, team roles and responsibilities, calendar of events, and a drafted Scope of Work.

6. The C/P Lead distributes the Bid Plan to stakeholders after the meeting.

1.3 Prepare Content Complete Solicitation Document (RFP/RFQ).

1. The C/P Lead provides SOPs for the next steps to the Originator. The Originator finalizes the SOW.

2. The Originator and C/P Lead collaborate to make necessary revisions to the SD. The SD also contains the standard language for a County Agreement.

3. Once the Originator has approved the drafted document, the C/P Lead sends the document to Counsel for review and approval, then to Risk as applicable, and finally to the other stakeholders if applicable. With each review, based on requests for changes, the C/P Lead revises the SD.

4. Once all changes have been made, the C/P Lead routes a printed package of the SD to obtain approvals from Counsel, Risk, if applicable, other stakeholders if necessary, and Contracts/Purchasing

5. The outcome of this task is a complete SD that is proofread and ready to be publicized.

1.4 Publicize Solicitation

1. C/P Lead, together with the Originator if necessary, develops a list of Contractors, clearing houses and appropriate legal publication sources who will receive the SD.
2. C/P Lead sends the SD to the list developed above and arranges for legal publication in accordance with the calendar of events generated as part of the Bid Plan. The C/P Lead also posts the SD on appropriate websites.
3. The outcome of this task is that the C/P Lead publicizes the SD to a list of Contractors provided by the Originator as well as a legal publication source.

1.5 Distribute Addenda

1. The C/P Lead works with the Requestor/ Originator to determine the need for a Pre-Bidder Meeting or Site Visit to orient potential Contractors and gather questions from potential Contractors. The Requestor/Originator and Potential Contractors attend this meeting; the C/P Lead facilitates.
2. After the meeting, potential Contractors may submit questions in writing to the C/P Lead. C/P Lead works with the Requestor/Originator to answer potential Contractor questions; no direct contact is permitted between the Originating department and potential Contractors.
3. C/P Lead drafts the Addenda, if necessary, and submits to the Originator for review.
4. Once the C/P Lead and Originator have completed their edits, the C/P Lead sends the Addenda to Counsel/Risk for any necessary revisions.
5. Once Counsel/Risk approve the Addenda, the C/P Lead distributes and posts the Addenda for potential Contractors to review.

1.6 Prepare Proposal Summary

1. Potential Contractors submit their proposals/bids to the C/P Lead.
2. Evaluation Team members must sign a Confidentiality Sheet before reviewing potential Contractor proposals.
3. The C/P Lead sends the protocol, agenda, score sheets and proposals to the Evaluation Team. Evaluations may be done individually or in a meeting format, as defined in the protocol.
4. If necessary, or as determined by the Evaluation Protocol, interviews of some or all potential Contractors are conducted.
5. If a desired Contractor has expressed exceptions to the County's standard Terms & Conditions (T&Cs) as part of the proposal, then the Originator

negotiates with the Contractor, with guidance from the C/P Lead, Counsel/Risk, and Other County Staff, as needed, to arrive at a consensus on T&Cs.

6. Evaluation Team members return their score sheet to the C/P Lead, who compiles them into a master score sheet and prepares the Proposal Summary.
7. For complex projects, Counsel/Risk may review the Proposal Summary. Once the C/P Lead has incorporated any revisions, Counsel/Risk approves the final Proposal Summary.
8. The outcome of this task is that the C/P Lead delivers a final Proposal Summary to the Requestor/Originator.

2.1 Create Tentative Award

1. Using the Proposal Summary information, the Requestor / Originator makes a tentative selection of Contractor(s) for their project. See SP1210, Create Tentative Award.
2. Once stakeholders reach consensus, or when there are no requested changes to the T&Cs, the C/P Lead prepares a Tentative Selection, which the Requestor and Originator review and confirm.
3. The outcome of this task is that the C/P Lead prepares and sends a Tentative Award Letter to the Contractor(s), which includes instructions for insurance requirements, Contractor Data Record (VDRs), tax documents, and Contractor signatures.

2.2 Process Final Agreement and Secure Signatures

1. The Contractor submits information requested by the C/P Lead. In some cases, additional information may be required. The Originator and the Contractor collaborate to ensure all required information is obtained.
2. The C/P Lead prepares a Draft Agreement, with assistance from the Originator, as requested.
3. The Originator sends the Draft Agreement to the Contractor and conducts any further negotiations, if necessary, after conferring with Counsel/Risk.
4. The C/P Lead sends any Draft Agreement changes to Counsel/Risk and other departments and facilitates obtaining a consensus on the language. The results of this negotiation process will be a consensus on using this Contractor, escalating the matter to the Board of Supervisors (BOS) if consensus can't be reached, or choosing a different Contractor.
5. If a consensus is reached, the C/P Lead prepares the Final Agreement and sends it to the Contractor for signature.

6. Once Contractor signatures are obtained, the Final Agreement is circulated to appropriate approvers (e.g., Counsel, Auditor, CAO/Budget, possibly Risk) for signatures and then signed by appropriate designee (Purchasing Officer or BOS). Department Heads are not appropriate designees.
7. For agreements that are not escalated to the BOS, the outcome of this task will be a Contractor-Executed Final Agreement.
8. For Agreements that require BOS approval, a Board Report is prepared and approval of the BOS is sought.

2.3 Generate Purchase Order

1. The C/P Lead receives the Contractor-Executed Final Agreement. If the agreement is for less than $100,000 for the life of the contract, and meets the County's Standard Agreement, then the Originator starts the Request for Non-encumbrance (RQN) process.
    a. The C/P Lead, Counsel/Risk, and other departments (as required) review and sign off on the Agreement. When necessary, the C/P Lead facilitates reaching a consensus.
    b. Once required County departments process the RQN and sign the Agreement document(s), C/P Management then adds the final signature. If necessary, C/P generates a Multi-Year Agreement (MYA).
    c. The Originator completes the Purchase Order (PO) process in Advantage and sends the PO and countersigned Agreement to the Contractor.
2. If the Agreement is for $100,000 or more and/or does not conform to the County Standard Agreement, then the Originator develops a Board Report and starts the RQN process for Board approval.
    a. The C/P Lead, Counsel/Risk, and other departments (as necessary) review and sign off on the Agreement and Board Report. When necessary, the C/P Lead facilitates reaching a consensus.
    b. The Originator prepares materials for the BOS and Legistar process. Legistar is only initiated after pre-review with approving departments.
    c. If the BOS approves the Agreement, then the BOS Designee will sign the appropriate paperwork and RQN. If the BOS does not approve the Agreement, the Requestor works with Counsel and applicable parties to resolve and/or to consider alternatives.
    d. If the Agreement is approved and signed, the Originator completes the PO process in Advantage and sends the PO and countersigned agreement to the Contractor.

Next Steps

- Once the Contractor receives the PO and countersigned Agreement, they are approved to work with Requestor/ Originator to provide services and/or to deliver goods. No work may begin on an Agreement prior to a fully executed document.
- For more details on each task in the formal purchasing process, see specific SOPs for each one.

Tips & Pitfalls

- Do not allow your Contractor to begin services or deliver goods without a signed Agreement.
- If your Contractor agrees to use the County's T&Cs, then the Agreement process will generally take less time to process and approve.
- If needed, the C/P Lead and others can provide advice to help you with Contractor negotiations.
- Encourage new Contractors to register with County via Contractor Self Service (VSS).

For an overview of the informal process, see SP1040, High-Level Informal Purchasing Process.

Revision History

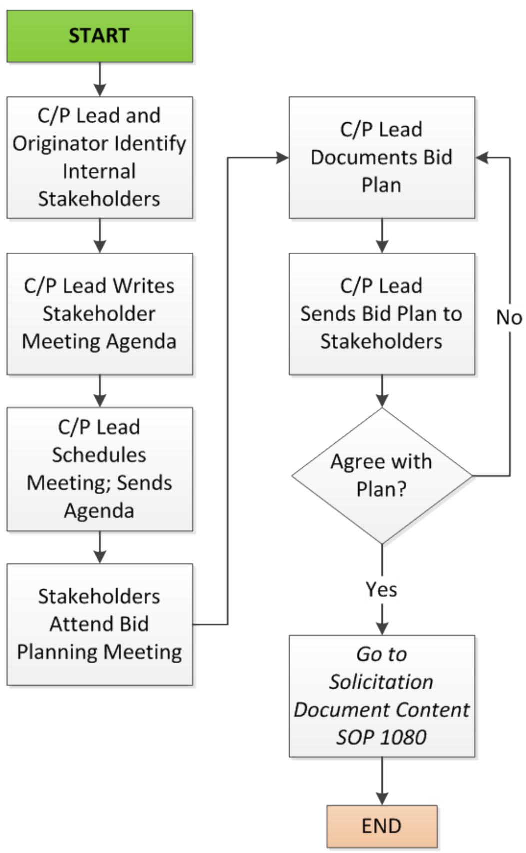
Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1060 Writing Bid Agenda & Plan

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators	
Supporting Resources: E210, ILT200	

Purpose

When your purchase requires using the formal bidding/solicitation process, the second major task is to set up a Stakeholder Meeting and write a Bid Plan. A Bid Plan is a document that describes the plan for the formal bid process, including tasks, responsibilities, and timeline. These are the steps.



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	C/P Lead, Originator
Accountable	C/P Lead
Consulted	Requestor, C/P Management, County Counsel, Risk. As needed: Information Technology, Auditor/Controller, Consulting SME
Informed	Requestor, C/P Management, Consulting SME

Where to Start

Before proceeding with the Stakeholder Meeting and writing the Bid Plan, you should confirm with the C/P Lead that you will be using the formal bidding/solicitation process. You should also have a bid number for your project. If you do not have a bid number, see SP1020 on Requesting Formal Contract/ Purchasing Services.

Steps for Writing the Bid Agenda and Plan

1. The C/P Lead works with Originator to identify the internal stakeholders who should attend the Stakeholder Meeting. In addition to the Originator, attendees may include the Requestor and representatives from Counsel, Risk, and/or other County staff.
2. The C/P Lead prepares the Stakeholder Meeting Agenda and invites Stakeholders to the meeting. The agenda should include:
    1. The meeting's name, location, date, start time, and end time
    2. The meeting goal, which is to reach an agreement on a Bid Plan for the specific project
    3. Expected meeting processes to reach the goal, which usually include both presentation and discussion
    4. Any notes about equipment or materials required for the meeting
    5. The C/P Lead will provide you with SP1080 on Solicitation Content, SP1090 on Writing a Scope of Work, a Solicitation Document template, and a checklist to help you complete the Solicitation Document.

6. Create the meeting agenda in table form, including columns for topics, who is responsible to lead each topic, and the time allotted for each topic, for example:

Topics	**Responsible**	**Time**
1. Welcome & Introductions	[Name] C/P Lead	5 mins.
2. Project Description	[Name] Originator	10 mins.
3. Next Topic	[Name]	[XX mins.]

3. During the meeting, which is facilitated by the C/P Lead, the Stakeholders discuss and come to agreement about the following items:

    a. The bid goal, including any particular issues or questions already identified

    b. Team roles and responsibilities

    c. The calendar of events, which must include time for bid opening and also for legal requirements related to how long a bid must be available for potential Contractors to respond

    d. Whether the goods or services for the project will be awarded to only one Contractor (exclusive) or awarded to more than one Contractor (non-exclusive)

    e. The format to use for reviewing contract documents: electronic, hard copy, or both (the ideal is to use electronic documents)

    f. Next steps for Stakeholders as the project moves forward

4. Using notes about decisions made during the Stakeholder Meeting, the C/P Lead documents the Bid Plan and distributes it to Stakeholders. In addition, the C/P Lead will include:

    a. Any decisions made during the meeting that are not part of the Bid Plan

    b. A list of any follow-up tasks (not part of the Bid Plan) in table form, including who is responsible for each task and by when, for example:

Tasks	Responsible	Deadline
1. Bid Plan distributed to Stakeholders	[Name] C/P Lead	July 10
2. Comments on Bid Plan due back to [Name] C/P Lead	[Names] All	July 17
3. Send reviewed SOW to Originator	[Name] C/P Lead	July 15

c. Any additional notes that should be shared with the stakeholders

Next Steps

- Once you've received the Bid Plan and any other notes from the Stakeholder Meeting, the next step is for the Originator to finalize the Scope of Work and the C/P Lead to integrate it into a Solicitation Document, which includes finalizing the Scope of Work.

Tips & Pitfalls

- Using electronic documents for review will save time at many steps throughout the Solicitation Process.
- You should determine whether or not the project constitutes a "work of public improvement" at the earliest time possible. Works of public improvement have different requirements and you don't want to get too far down the wrong processing road.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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SP1080 Solicitation Document Content

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 Formal Purchasing Process, SP1090 Writing a Scope of Work	

Purpose

A Solicitation Document (SD) is a formal tool that we use to request offers from potential Contractors for goods and services for the County. This Standard Operating Procedure (SOP) provides descriptions and guidance for creating the following SD sections: Intent, Background, Calendar of Events, Scope of Work (SOW), and Selection Criteria.

Where to Start

When following the Formal Purchasing Process, an Originator must complete specific sections of an SD. Once your Bid Plan is complete, your C/P Lead will provide you with a template for providing the SD sections listed above and a checklist to help you complete those sections. Other sections of the SD, such as terms and conditions, are standard (boilerplate).

Intent

The Intent section of the SD provides a brief overview of the desired purchase, naming the goods or services the County wants to buy. The SD may include information about available funding or about the nature of the expected Agreements (for example, initial, exclusive, or nonexclusive). It may also include the expected timelines for the project.

1. Write an introductory paragraph that tells which Monterey County Department (or combination of departments or agencies) is soliciting what type of response (for example, quote, proposal, or collaborative proposal) from qualified organizations.

2. Depending on the funding source and type of project, you may want to include the approximate or maximum amount of available funds. If so, provide relevant information related to funds, such as the funding source, provisions for dividing funds for collaborative bids, or contingencies related to fund amounts. Remember, however, that potential Contractors

will generally "bid" the maximum amount you say is available, so think twice before saying how much money the County is willing to consider.

3. Provide the overall timeline, including a start date and duration for the project, due date for proposals, and the notification date for the award.
4. If there are special considerations, such as experience in a particular type of facility or situation that will qualify or disqualify a potential Contractor from consideration, it should be listed in this first section of the SD.
5. Note any additional requirements, such as legislation, rules, or guidelines that potential Contractors must follow to complete the project.

Background

This section of the SD may be used to describe how this project was initiated or how this or similar projects have been done in the past. Include additional information about legislation or partnerships with other entities that are relevant to potential Contractors. Provide more detail about the project or refer to additional sources of information. In addition, provide any of the following information if applicable:

1. If the project is in response to legislation, include the name of the legislation and brief background information to explain its purpose.
2. List any partners in the project and explain their roles.
3. If working with or funded by others, describe the role the County plays in the project, for example, grant recipient and/or administrative agency.
4. Refer to any attachments where potential Contractors may find additional information pertaining the background of the project.

Calendar of Events

Fill in the dates and times (where necessary) for the Calendar of Events as listed in the template. Work with your C/P Lead to ensure that sufficient time is allowed between each event listed on the calendar.

1. Provide the time, date and location for a pre-proposal meeting for potential Contractors, if applicable. Indicate whether attendance is mandatory.
2. If you are considering holding bidders' interviews or a bidders' conference, then provide the time, date, and location, if known. Note whether they will be optional or mandatory for potential Contractors.
3. If a walkthrough will be included in the bidder's conference, provide the specifications such as the location, times, and other pertinent information.

Scope of Work

A Scope of Work (SOW) describes goods or services that a Contractor is expected to provide to the County, with clear deliverables. The SOW is an essential component of the SD. See SP1090 Writing a Scope of Work (SOW), for more information.

Selection Criteria

Describe the criteria the County will use to select the Contractor(s) for this project.

1. Note the main consideration(s) for selection, such as price, staff qualifications, prior similar experience, demonstrated ability to collaborate with other service providers, administrative performance, or work with a specific target population.
2. Include a table with the criteria and number of points for each item. You may have one or more requirements that are listed as "Pass/Fail." For the remainder of the criteria, the number of points should add up to 100.
3. For more complex projects, or where potential Contactors may need further explanation, define the criteria.
4. Describe the selection process, especially if it will be conducted in phases.
5. Ask the potential Contractors to complete applicable attachments, exhibits, and to provide additional information as requested in the SD.

Next Steps

The C/P Lead will incorporate your completed sections into the formal SD and send it to Counsel, Risk, and other departments as appropriate, for their review. After that review, the C/P Lead may ask you to contribute to any revisions.

Tips & Pitfalls

- Review previous SDs for similar projects. Use them as examples for finding relevant items or language for your SD.
- When drafting your sections for the SD, you may not know yet whether you will hold bidders' interviews or a bidders' conference. If you think you may need them to make a good decision, then include a placeholder for them on the calendar. Use "TBD" (to be determined) for the date.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1090 Writing a Scope of Work (SOW)

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: *E220*, ILT200	

Purpose

A Scope of Work (SOW) describes goods or services to be provided to the County by a Contractor, with clear deliverables. It is part of the required information to initiate a Request for Proposal (RFP), Request for Qualification (RFQ), or Quote.

Contract Creation. Potential Contractors use the SOW (part of the Solicitation Document) to guide their responses to an RFP, RFQ, or Quote. It describes what the County or the Department needs in enough detail so that vendors can describe what they will provide, over what period of time, and for what cost.

Contract Management. The SOW developed as part of the procurement process is the basis for drafting Exhibit A of the Agreement or Purchase Order. It describes the agreed-upon milestones, deliverables, and payment schedule in sufficient detail so that the Requestor or Originator can manage the Contractor and approve an invoice.

Once the contract is complete, the SOW represents a mutual understanding and agreement about what is expected from the County and from the Contractor.

Where to Start

It's time to start writing an SOW when you have…

- Identified a need for goods or services that must be provided by a Contractor
- Reviewed your request with an Originator (finance person and/or dedicated contracts person) in your department and determined that your request is in budget and in line with department priorities

Steps for Writing an SOW

1. Gather information about the types of goods or services you wish to purchase. For example, review related SOWs or Agreements, check with other counties, conduct a search online, or ask Contractors for information.

   Note: If a Contractor helps you to write an SOW for an RFP or RFQ, that Contractor cannot submit a proposal, statement of qualifications or quote. Refer to Counsel with questions.

2. Write an overall description of your request that includes:

   a. A title and general timeframe (specific date, month, quarter, or season) for the project

   b. Who (what department) is trying to buy what type of goods or services

   c. Whether the request is for a proposal, statement of qualifications, or a quote

   d. What kind of Agreement (for example, Master Agreement, Professional Services Agreement, on-call services, purchase of goods if applicable)

   e. Any variables that require separate rates or services (for example, whether the work must be performed at the Contractor's site or a County site, whether prevailing wages required)

3. List the goods or services you need. Write specifications that meet this criteria:

Criteria	Description
Active Voice	Indicates requirements clearly and assertively.
Focus Word	Use Shall, Should, May, Can, Must to indicate importance.
Single Element	Use one action verb followed by the desired good or service.
Objective Measure	Use one or more of Quality, Quantity, Time, or Cost to describe the good or service.
Type of Example	**Example**
Goods Example	Vendor shall deliver three Dell Servers, Model #4532389.
Service Example	Vendor shall service water pumps to factory specifications by May 12.

Ask for enough information to determine with confidence whether a Contractor is able to provide the goods or services needed by the County. Include what the County will provide, as applicable.

a. If the exact approach (process or method) is already known, then describe exactly how you want the goods or services to be supplied.

b. If the exact approach is unknown, then ask the Contractors to describe their process or method for fulfilling the requirements.

c. Include additional requirements as applicable: safety, environmental protections, delivery, quality, inspections, acceptance/selection criteria, (RFP/RFQ only), testing methods, and expectations about return, replacement, or rework procedures.

d. For the Contract Management Phase, be sure to describe each item or service in enough detail so that you and the Contractor can assess whether the deliverables have been met.

   Note: Tie the payment schedule to milestones and/or deliverables.

Next Steps

- For formal and most informal processes, your SOW will become part of an RFP or RFQ, and the Agreement that will follow.
- For a formal process, the Originator or C/P Lead will incorporate it into the RFP or RFQ. If necessary, you may be asked to contribute to the revision process.
- Once a Contractor has been selected, you and/or the C/P Lead will modify the SOW to reflect Agreements with the Contractor, as needed. This modified SOW will become a section in an Agreement from a formal process or in Exhibit A in other Agreement types (i.e. PSA, Non-Service Agreement, etc).

Tips & Pitfalls

- A precise Scope of Work should increase your negotiation power and reduce misunderstandings between you and the Contractor.
- Your SOW will vary in length depending upon the complexity of your project.
- Do **not** ask a potential Contractor to write the SOW for you. This violates County policy and increases the risk of bid protests.
- If the SOW is not clear and fails to specify requirements, compliance is difficult to manage.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1100 Document Version Control

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1110 Storing Purchasing Documents, E230	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to set standards for naming and reviewing documents to make them easier to retrieve and edit as well as to prevent confusion, lost feedback, and rework.

Where to Start

Whenever you are creating new documents or sharing documents for feedback and revision, follow the guidelines in this SOP.

Document Naming Convention

This table summarizes the document naming convention. See the file name element descriptions following the table.

Document File Name: RFP_10473_WIAYouth_20140325_jqd.docx	
File Name Elements	**Element Description**
1. RFP	Type of document
2. 10473	Bid number
3. WIAYouth	Abbreviated project name (note, no spaces)
4. 20140325	Date document edited, in YYYYMMDD
5. jqd	Editor's initials
6. .docx or .pdf	Extensions for Microsoft Word or Adobe's Portable Document Format
7. RFP_10473_WIAYouth_20140326_jjs_FINAL.pdf	Document ready to publish

1. Include the initials for the type of document or document section, for example RFP for Request for Proposal or SOW for Scope of Work. Use this list for common abbreviations . For more, please see the Glossary.

    a. MA Master Agreement
    b. MYA Multi-Year Agreement
    c. AGM1 Standard Agreement Not to Exceed $100K
    d. AGM2 Standard Agreement More Than $100K
    e. SSA Speaker Services Agreement
    f. PSA1 Professional Services Agreement Not to Exceed $100K
    g. PSA2 Professional Services Agreement More Than $100K
    h. HAZ1 Hazardous Materials Agreement Not To Exceed $100K
    i. RFP Request for Proposal
    j. RFQ Request for Quotation
    k. EXA Exhibit A - Scope of Work
    l. SSJ Sole Source Justification
    m. ADD Addendum
    n. AMD Amendment

2. Include the bid number, if one has been assigned to your project, for example, 10484. If there is no bid number for your project, then leave it blank, for example: RFP_WIAYouth_20140326_jjs.pdf

3. Include an abbreviated project name, such as *WIAYouth* or *ClinicJanitorial*. Some servers do not accept spaces in file names, so eliminate spaces between words.

4. Add the date and your initials (first, middle, last) to the end of the file name, for example, 140601 jqd. The form of this is YYYYMMDD (the year, 2014, the month, June, and the day, the first). The initials in this example stand for Jane Q. Doe.

    a. If you have more than one revision in a day, add the time of your revision to the date and your initials, for example, 140601-0930 jjs.

    b. Use military time in HHMM format to avoid confusion. For example, 1330 for 1:30 p.m. To convert afternoon hours to military hours, just add 12 (1:30 + 12 = 1330).

5. If you are working in Microsoft Word, the suffix will be .doc or .docx, depending on the version you are using. If you are saving a pdf (short for Portable Document Format), the suffix will be .pdf. Your system will usually add these suffixes automatically.

6. Once your document is ready to publish, add “FINAL” to the end of the document name.

7. Review the table at the beginning of this section for an example document file name. As you can see by the expanded meanings on the right, using this

format makes it easy to see the type of document, the bid number, what project it's from, when it was created or edited, who worked on it, and whether or not it is ready to publish.

Reviewing Documents

1. Before you review a document, save a copy using the Save As… menu item and update the file name date and/or time.
    a. Received document file name: RFP_10473_WIAYouth_20140325_jqd.docx
    b. Reviewed document file name (don't forget to change to your initials): RFP_10473_WIAYouth_20140327_kbr.docx
2. When you review a document to provide feedback, use the Reviewing Toolbar in Microsoft Word.
    a. If you have specific wording suggestions, turn on Track Changes and type them directly into the document.
    b. If you have a question or a comment, highlight the relevant text, click "New Comment" on the Reviewing Toolbar, and type your question.
3. Check the "By author" option, so that your edits and comments will appear in a unique color. This makes it easier for the person who will sort through feedback from multiple reviewers to make final edits.

Next Steps

After naming your document, the next step is to save it on your hard drive or, if you are working on it with others, on a shared drive where others can easily find it. See SP1110 on Storing Purchasing Documents.

Tips & Pitfalls

- Save purchasing documents belonging to the same project or bid number in the same folder. Name the folder with the bid number and abbreviated project name, for example, *10473 WIA Youth*.
- Consistent naming conventions for documents make it easier to sort and find the latest revision. Look for the latest date (YYYYMMDD), and if there are two or more versions with the same date, look for the latest time (HHMM).
- If you are consolidating feedback, be sure to thank the reviewers. If someone makes a substantial suggestion that you do not incorporate into the document, be sure to send a brief note explaining why.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited SOP to include appropriate supporting resources; fixed content typos.

SP1110 Storing Purchasing Documents

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1100 Document Version Control, E230	

Purpose

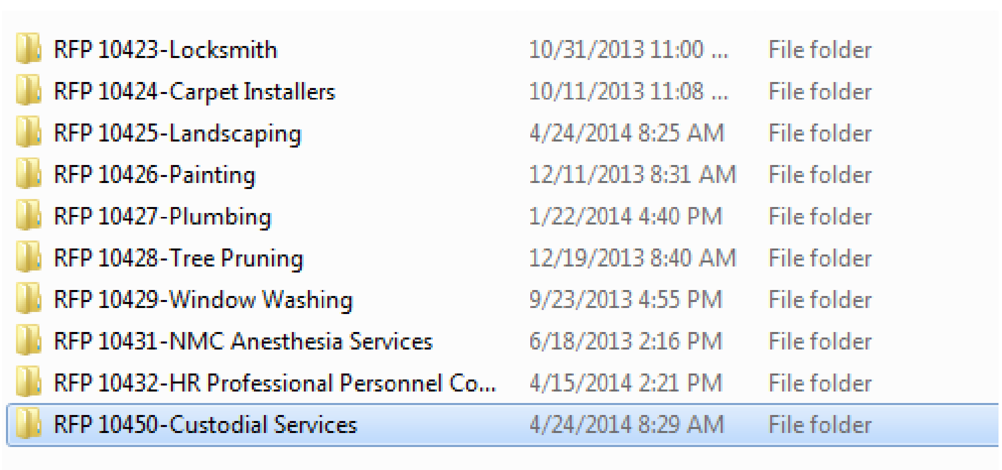
The purpose of this Standard Operating Procedure (SOP) is to illustrate how a C/P Lead should store documents related to a purchasing project. Other departments have local standards for storing documents. See the County's Records Retention Policy.

Where to Start

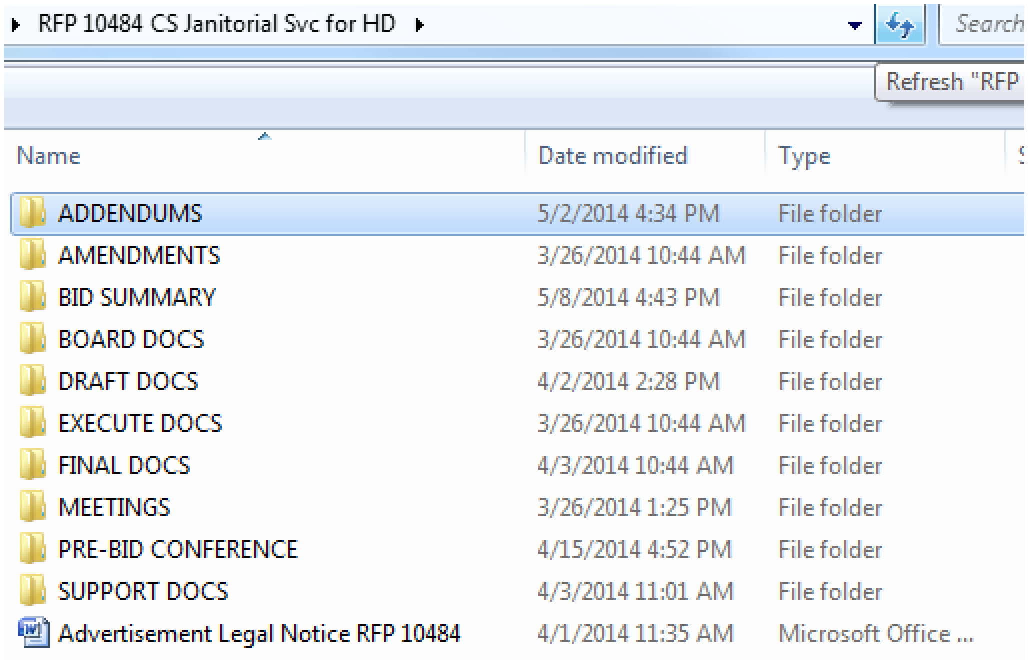
Whenever you are creating or editing documents or receiving documents for feedback and revision, follow the guidelines in this SOP.

How to Store Documents for a Purchasing Project

1. For each Purchasing project, set up a project folder on the G Drive. Name the folders using the project type (for example, RFP), bid number and the project name (or a shortened version of the name). If there is no bid number, use the project name.



2. Set up a standard set of folders inside the project folder, as shown.



3. During the project, store your documents in these folders so that you and others will be able to find them. Although what to store in most folders is indicated by their names, here are a few notes about what goes where:

    a. Questions about a Solicitation from potential Contractors go in the Addendums folder.

    b. Final documents with signatures go in the Executed Docs folder.

    c. Create sub-folders inside the Meetings folder, for example: Stakeholder Meeting.

    d. The Advertisement Legal Notice usually sits by itself (not in a folder).

4. For some projects, you may have documents that do not logically fit into the standard set of folders. If they are “one of a kind,” you may save them without a folder. For several documents that “go together” but do not fit the standard folders, you may add additional folders.

Next Steps

Use this document storage system throughout each project.

Tips & Pitfalls

- Immediately saving all C/P documents into the correct folders will ensure that you do not have to search through email or other folders on your hard drive to find them. This will save time and ensure that these documents are available for review when you need them.
- Use SP1100 Document Version Control to carefully name documents as you receive them so that you can find the latest version as well as previous versions (if requested) without delay.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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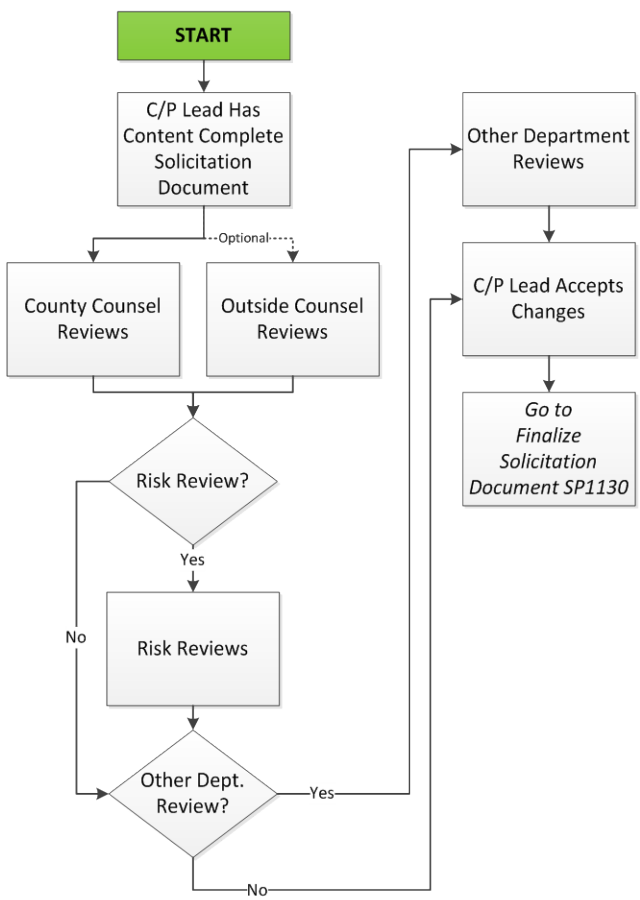
SP1120 Reviewing Solicitation Documents

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process, SP1080 Solicitation Document Content	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide support for obtaining reviews from County Counsel and Risk (if needed) for a Solicitation Document (SD). This is part of the formal purchasing process. For an overview of the informal purchasing process, see SP1040, High-Level Informal Purchasing Process.



Where to Start

After the Stakeholder Meeting, the Originator and the C/P Lead will write and finalize the content for the SD. Once this is done, the C/P Lead will forward the SD to Counsel for review. As necessary, the C/P Lead will obtain further reviews from Risk and other departments, for example, Information Technology (ITD) or Auditor/Controller (A/C).

Steps for Obtaining Counsel's Review

1. The C/P Lead (document owner) sends a copy of the SD to County Counsel (document reviewer) and/or Outside Counsel (optional) for review.
2. Counsel receives, logs, and reviews the SD.
3. Counsel reviews the SD, and returns the marked up SD to the C/P Lead with suggested changes, comments, and questions. Counsel typically communicates via email regarding the status of their review.
4. If more discussion is desired, Counsel schedules a meeting and collaborates with the C/P Lead and other pertinent parties as appropriate.
5. Based on feedback from Counsel, the C/P Lead revises the SD. Once Counsel makes a revision to an SD document, it is revised without contributions from the Originator. If the revisions are significant (that is, more than requests to fix typos or formatting issues), then the C/P Lead returns the SD to Counsel for any further changes, comments, or questions.
6. Continue with the review and revision process until Counsel is satisfied that no further significant changes are required. Counsel will initial their approval on the cover page of the SD. **This should take no more than three revision cycles.**

Steps for Obtaining Risk's Review

1. Once the Counsel's reviews are complete, the C/P Lead determines whether the SD should be reviewed by a Risk Analyst. Risk review is typically required for non-standard agreements.
2. If a review from Risk is necessary, the C/P Lead (document owner) informs Risk (document reviewer) that a SD is on the way and sends an appropriate copy (electronic version preferred) for review.
3. Risk receives, logs, and reviews the SD, making suggestions, comments, and asking questions.
4. Risk returns the SD to the C/P Lead with suggested changes, comments, and questions. Risk typically communicates by setting up a meeting to

review the document collaboratively or provides an email regarding the status of their review.

5. Once Risk requests a revision to an SD document, the C/P Lead makes the requested changes without contributions from the Originator. If the revisions are significant, then the C/P Lead returns the SD to Risk for any further changes, comments, or questions.

6. Continue with the review and revision process until Risk is satisfied that no further significant changes are required. Counsel will initial their approval on the cover page of the SD. **This should take no more than three revision cycles.**

Steps for Obtaining Reviews from Other Staff

1. Once the Counsel/Risk reviews are complete, the C/P Lead determines whether the SD should be reviewed by other staff,. the C/P Lead (document owner) sends an electronic copy of the SD to other staff (document reviewer), as needed, for review.

2. When the review process is complete, the C/P Lead (document owner) accepts all changes in the document and Saves As… the document with the word "FINAL" appended to the file name (see SP1100). The result is a Final SD that is ready for signatures.

Tips & Pitfalls

- Probing for potential concerns from Counsel, Risk, and other staff members during the Stakeholders' Meeting can assist you in drafting a SD that will go through the review process faster.

- In some cases, where you know that Risk is likely to have concerns, you may find it advantageous to discuss your project with a Risk Analyst before the review process begins. If Risk has concerns, you may be able to address them before sending your SD out for review.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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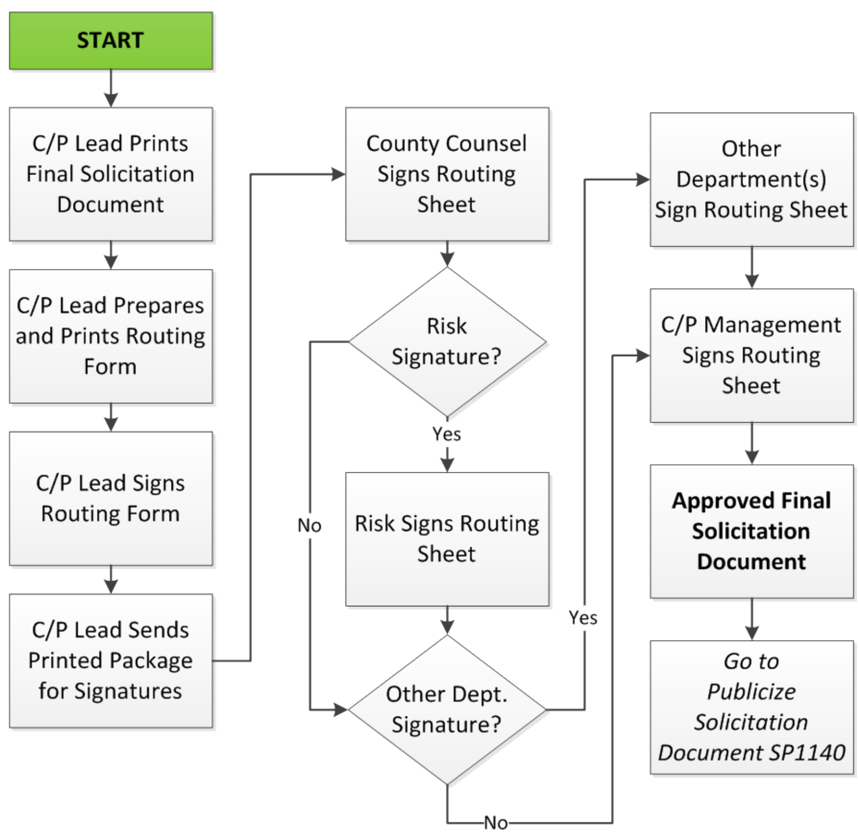
SP1130 Finalizing Solicitation Documents

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process, SP1120 Reviewing Solicitation Documents, Routing Form	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to describe how to obtain approval signatures for your Solicitation Document (SD) before it is published. This is part of the formal purchasing process. For an overview of the informal purchasing process, see SP1040, High-Level Informal Purchasing Process.



Where to Start

After completing the reviewing process with relevant Stakeholders, the Contracts/Purchasing (C/P) Lead makes final changes to the SD. At this point, the C/P Lead starts the process to obtain approvals for the final SD from Counsel/Risk, other stakeholders (as necessary), and Contracts/Purchasing (C/P) Management.

Steps for Finalizing Solicitation Documents

1. The C/P Lead prints the reviewed and revised Final SD with a cover sheet that contains signature blocks for the following reviewers if applicable: County Counsel, Risk and C/P.
2. The SD is reviewed internally by either the CPO or Supervising MA prior to the C/P Lead routing the final SD to either County Counsel or Risk for review and sign off.
3. Counsel signs the front page of the SD and routes the document to the next name on the list, usually a Risk Analyst.
4. Then Risk reviews and signs the front page of he SD and routes it to the next name on the list, which may be in another department, such as Information Technology (ITD) or Auditor/Controller (A/C).
5. After the C/P Lead has gathered all the required review signatures from other departments, C/P Management signs the front page as the final reviewer authorizing the publication and release of the SD.

   Note: C/P Management is always the last signature.
6. The C/P Lead files the paper copy along with the Routing Form and the signatures within the appropriate "Green Project Folder" for future reference if necessary.

Once the C/P Lead has collected all necessary signatures, the C/P Lead may publish the SD.

Next Steps

The C/P Lead publishes the SD in the newspaper and sends the SD to the Originator's Contractor list and the Contractor list maintained within the Advantage system.

Tips & Pitfalls

- Before requesting signatures for the SD, ensure that all approvers are "on board" with the final version.
- When time is a factor, inform the approvers in advance that the SD is being routed for review and signatures. Have someone from C/P hand-carry the SD to the various reviewers for signature.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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SP1140 Publicizing Solicitation Documents

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050, High-Level Formal Purchasing Process SP1130, Finalizing Solicitation Documents	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to describe how a C/P Lead publishes a Solicitation. This is part of the formal purchasing process. For an overview of the informal purchasing process, see SP1040, High-Level Informal Purchasing Process.

Where to Start

After the C/P Lead has collected the necessary approval signatures on the Routing Form attached to the final Solicitation Document (SD), then it is time for the C/P Lead to publish the Solicitation.

Steps for Publishing Solicitation Documents

1. The C/P Lead sends the Solicitation to the newspaper for publication. Newspapers for legal publication vary depending upon the project. Generally, most legal publications are posted in The Weekly.
2. Typically, legal publications are submitted on a Tuesday, to post on Thursday. Publications are generally for one day.
3. The C/P Lead posts the Solicitation to the Monterey County website.
4. The C/P Lead sends the Solicitation to the Originator's list of potential Contractors.
5. The C/P Lead identifies other potential Contractors for this project within the Advantage System, and sends the Solicitation to them accordingly.
6. Once the C/P Lead has published the Solicitation, potential Contractors may review the Solicitation requirements and respond accordingly.

Next Steps

Potential Contractors have the opportunity to ask clarifying questions related to the Solicitation, either during a Pre-Bidder Meeting/Site Visit and/or by email.

Tips & Pitfalls

- Be sure to follow legal requirements for the length of time the Solicitation must be published before responses (proposals or qualifications) are due. Typically this is identified in the Calendar of Events within the Solicitation.
- Aim to publicize the SD to as wide an audience as possible to encourage competitive bidding. This helps the County obtain the best value.
- Search for current registered Contractors within Advantage.
- Posting to our website and advertising in newspapers catches certain search engines and are "captured" by certain groups. Many solicitations end up in trade websites, labor unions, etc., just from posting on the web.

Revision History

Date	**Editor**	**Revisions**
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1150 Pre-Proposal Meeting

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to describe how a C/P Lead conducts a Pre-Proposal Meeting. These meetings are part of the formal purchasing process, and they are held to ensure that potential Contractors may ask questions about the project before submitting their proposals, qualifications, or quotes. For an overview of the informal purchasing process, see SP1040, High-Level Informal Purchasing Process.

Where to Start

After publishing a Solicitation, the C/P Lead holds a Pre-Proposal Meeting/ Site Visit for some projects, as noted in the Solicitation. For a project without a Pre-Proposal Meeting, potential Contractors may submit questions to the C/P Lead in writing.

Steps for Holding a Pre-Proposal Meeting

1. For some formal projects, you will hold a Pre-Proposal Meeting. The date, time, and location for the meeting is included in the Solicitation. The Solicitation also includes whether the meeting is optional or required for potential Contractors.

2. Invite County attendees. The Originator, the C/P Lead and representatives from other departments, as needed, attend the pre-proposal meeting to ensure that County attendees can provide adequate project descriptions and answers to questions. For example, for information technology projects, invite someone from ITD to describe relevant infrastructure and technical issues.

3. The C/P Lead typically creates a meeting agenda and facilitates the meeting.

4. For larger projects, share the meeting agenda with County attendees ahead of the meeting to allow time to prepare presentations or answers to anticipated questions.
5. During the meeting, document all questions from potential Contractors and any answers provided during the meeting by County attendees.
6. After the Pre-Proposal Meeting, the questions and answers will be distributed as part of the Response Addenda for the Solicitation.

Next Steps

After the Pre-Proposal Meeting (if held), there are usually a few more days before the deadline for written questions. After receiving all the written questions (by the deadline), the C/P Lead researches the answers and prepares the Solicitation Addenda.

Tips & Pitfalls

Before the Pre-Proposal Meeting, write a list of potential issues or questions that you expect from potential Contractors. Provide this list to other County attendees so they can prepare answers ahead of time.

Revision History

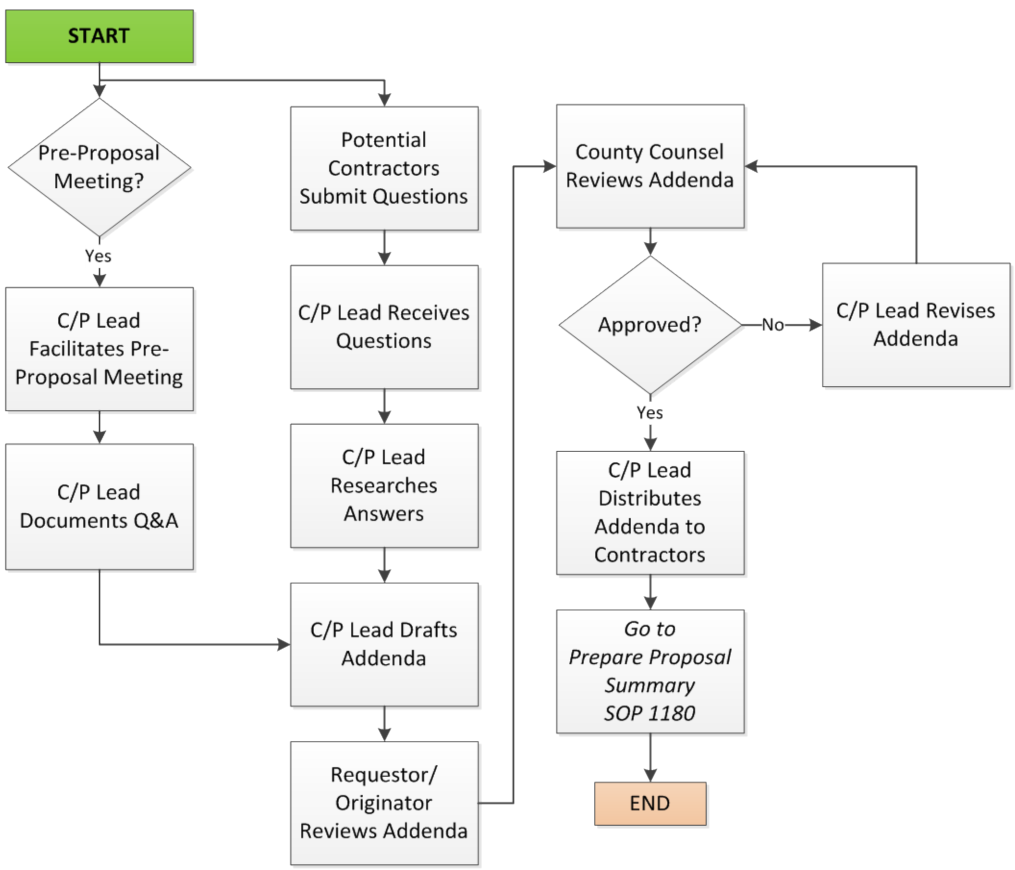
Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1160 Responding to Solicitation Questions and Distributing Addenda

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: NA	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process, SP1150 Pre-Proposal Meeting	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to describe how a C/P Lead and Requestor/Originator respond to Solicitation questions from potential Contractors. This is part of the formal purchasing process.



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Originator, C/P Lead, County Counsel, Vendor
Accountable	C/P Lead
Consulted	Requestor, C/P Management. As needed: Consulting SME
Informed	Requestor, C/P Management, Contractor. As needed: Consulting SME

Where to Start

After a Solicitation is published, potential Contractor may submit questions in writing (usually by email) to the C/P Lead. In addition, the C/P Lead may facilitate a pre-proposal meeting with potential Contractors.

Steps for Responding to Solicitation Questions

1. The C/P Lead is responsible for receiving and answering questions. Potential Contractors should send their written questions to the C/P Lead. If they call with questions, ask them to send their questions in writing, by email.

   Note: Occasionally, potential Contractors send questions to the Requestor or Originator. In those cases, the Requestor or Originator should direct the potential Contractor to the appropriate C/P Lead. .

2. After receiving questions from potential Contractors, the C/P Lead researches answers by contacting the Subject Matter Experts: the Originator, the Requestor, or members of other departments. The C/P Lead drafts the Response Addenda Template, which includes the written questions, and sends it to the Originator for review.

3. The Originator reviews the Addenda. The Originator and the C/P Lead work together to agree on revisions.

4. The C/P Lead sends the revised Response Addenda to County Counsel for review.

5. Based on the review from County Counsel, the C/P Lead makes any additional revisions. Once approved, the final Response Addenda are

distributed to potential Contractors via email or US Mail, and posted to the County C/P website.

Additional Addenda

In addition to responses to questions from potential Contractors, the C/P Lead may prepare and distribute additional Addenda if there are County-initiated changes to the Solicitation, for example, if there are delays or if the project is cancelled.

Next Steps

After the C/P Lead distributes the Addenda, potential Contractors should have the information they need to submit Proposals, Qualifications, or Quotes.

Tips & Pitfalls

- Do not respond to questions that were not either submitted in writing or documented during a Pre-Proposal Meeting/Site Visit.
- Be sure to include the questions along with the answers in the Response Addenda.
- If you answer one Contractor's question, you must answer that question for all potential Contractors. Be sure to distribute all answers (including the questions) to the original list of Contractors who received the Solicitation and to publish the Addenda on the County website.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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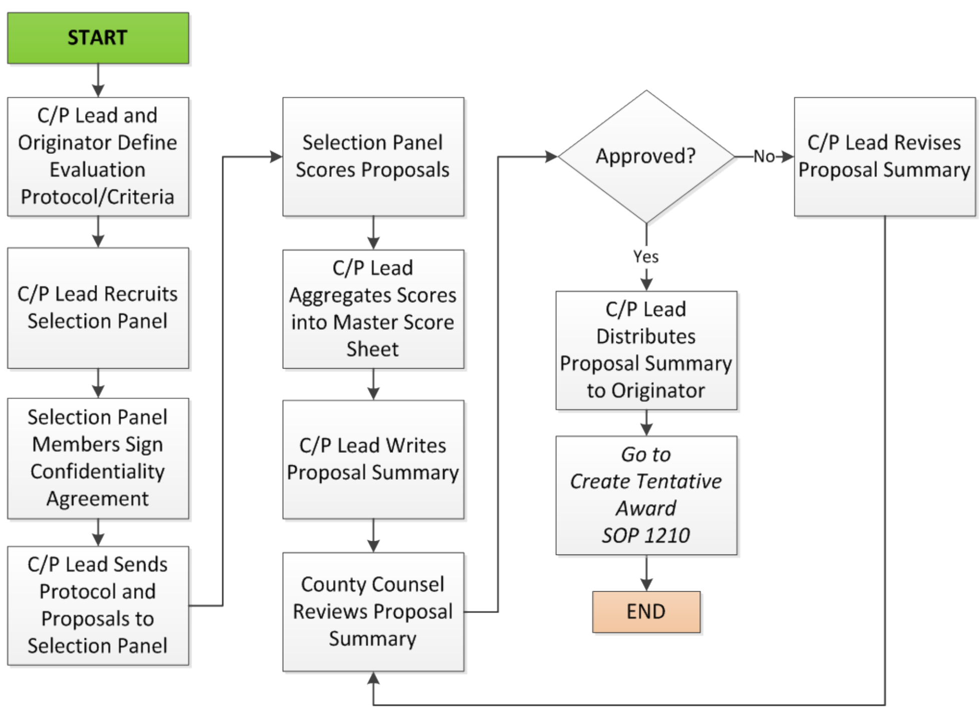
SP1180 Preparing a Proposal Summary

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050, High-Level Formal Purchasing Process, SP1190 Developing Evaluation Protocols, SP1200 Prepare Final Proposal Summary, E240, ILT200	

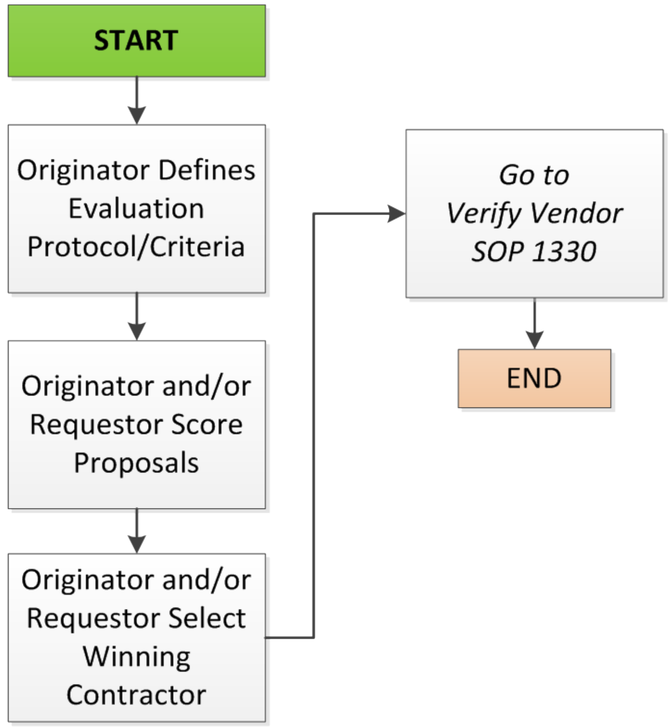
Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for defining a Selection Panel, setting up a specific proposal Evaluation Protocol, evaluating proposals, and then preparing a Proposal Summary. For more details, please see SP1190 Developing Evaluation Protocols and SP1200 Prepare Final Proposal Summary.

This is the process for formal purchasing:



This is the process for informal purchasing:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Requestor, Originator, C/P Lead, County Counsel. As needed: Other County Staff
Accountable	Requestor, Originator
Consulted	C/P Lead, C/P Management. As needed: Consulting SME
Informed	C/P Management. As needed: Consulting SME

Where to Start

Much of this SOP pertains to the formal purchasing process; however, those working through the informal process may also create an Evaluation Protocol and Evaluation Criteria, depending upon the project complexity. This table specifies where to start for different processes.

Process	Start When	Who Does What
Formal	The selection panel participants can be identified as early as the Stakeholder Meeting. The evaluation criteria are outlined in the Solicitation Document.	The C/P Lead collaborates with the Requestor and/or Originator to define the evaluation Criteria and to identify the Selection Panel.
Informal—Mini	Scope of Work (SOW) distributed to potential Contractors. The evaluation criteria are typically the deliverables outlined within the SOW. Typically, it is an internal department process. The Requestor and/or Originator evaluate the variables and choose the contractor.	The Requestor or Originator defines Evaluation Protocol and Evaluation Criteria.
Informal—Small	RFP or RFQ distributed to potential Contractors. The evaluation criteria are typically the deliverables outlined within the SOW. Typically, it is an internal department process. The Requestor and/or Originator evaluate the variables and choose the contractor.	The Requestor or Originator defines Evaluation Protocol and Evaluation Criteria.

Steps for Preparing a Proposal Summary

1. Develop evaluation protocol and evaluation criteria to help you judge the quality of a Proposal, Qualification, or Quote.

   a. Use the SOW to develop a list of factors to use as your evaluation criteria.

   b. For complex projects, develop a weighted scoring sheet based on the relative importance of each factor on your list. Doing this gives more weight to the factors that are most important for your project.

   c. The Selection Panel should include others who have a significant stake in the project or the expertise to evaluate the proposals.

   d. Selection Panel members must sign a Confidentiality Sheet when they agree to participate in evaluating the proposal. **The C/P Lead will not distribute Contractor proposals or qualifications to any Selection Panel member who has not signed the Confidentiality Sheet**.

2. The C/P Lead sends the Contractors' Proposals or Qualifications, the Evaluation Protocol and Scoresheet, and the Agenda (if the evaluation will be done in a meeting format) to the Selection Panel members.

3. The Selection Panel members (in the informal process, the Originator and/or the Requestor evaluate proposals and make the selection) evaluate the proposals, either in a meeting or individually.

4. The C/P Lead for the formal process and the Originator for the informal process oversees the evaluation process and works to complete the evaluations in time to meet the estimated notification date.

5. For the formal process, the Originator aggregates the scores on the individual score sheets into a Master Score Sheet, which becomes the foundation for the Proposal Summary.

6. For complex projects, the C/P Lead sends the Proposal Summary to Counsel for review and approval.

7. Once final, the C/P Lead sends the Proposal Summary to the Originator and files the evaluation documents (Evaluation Protocol, Evaluation Scoresheets, and the Proposal Summary) in the hardcopy and ecopy project file.

Next Steps

For the formal purchasing process, the Requestor and Originator use the Proposal Summary to choose the Contractor(s) for the project. For the informal purchasing process, the Requestor and Originator use their scores to select a Contractor, and then move on to validate the Contractor.

Tips & Pitfalls

- Do not send proposals to Selection Team members until you have received their signed Confidentiality Agreements.
- For some projects, using outside evaluators will give you additional expertise to evaluate complex proposals.
- Be sure to meet Little Brooks Act Regulations related to professional services of private architectural, landscape architectural, engineering, environmental, land surveying, or construction project management firms. Proposals related to these services have different review and selection requirements. Selection Panel members see and score only the Contractor's qualifications.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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SP1190 Developing Evaluation Protocols

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050, High-Level Formal Purchasing Process, E240, ILT200	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to describe how to develop an Evaluation Protocol. And, if using the formal purchasing process, how to handle the Evaluation Protocol for Proposals, Qualifications, or Quotes. This SOP may be used for the formal or informal purchasing process.

Where to Start

This table specifies where to start for different processes.

Process	Start When	Who Does What
Formal	Addenda are finalized and approved for the Solicitation.	Originator develops evaluation criteria and solicits assistance from their peers for the selection panel. C/P Lead provides assistance upon request.
Informal – Mini	Scope of Work is distributed to potential Contractors	The Requestor or Originator defines Evaluation Protocol and Evaluation Criteria.
Informal - Small	The informal solicitation is distributed to potential Contractors.	The Requestor or Originator defines Evaluation Protocol and Evaluation Criteria.

Steps for Defining the Evaluation Protocol

An Evaluation Protocol is the procedure we follow to score RFPs or RFQs. Here is an outline of the five main steps for defining your Evaluation Protocol and sending it to reviewers.

1. The Originator creates a Scoresheet using the evaluation criteria from the RFP or RFQ (see Steps for Defining the Evaluation Criteria in this SOP).
2. The Originator chooses participants to serve as evaluators. (see Steps for Defining the Selection Panel in this SOP).
3. The C/P Lead provides evaluation participants with the Confidentiality Agreement that must be signed prior to the evaluation process.
4. The C/P Lead opens all submitted documents by the potential Contractors to determine responsiveness and to complete the Bid Summary.
5. The C/P Lead provides the Originator with the bids and evaluation packets.

   Note: The C/P Lead may sit in on the evaluation process to ensure that fair and equitable practices are followed. Typically, the C/P Lead attends the beginning of the evaluation meeting to provide instruction and to answer any questions.

Steps for Defining the Evaluation Criteria

Use the Selection Criteria within the Solicitation Document to create a Scoresheet. These criteria become the factors by which you judge the quality of a Proposal, Qualification, or Quote.

1. Examples of common criteria include:

   - Any Selection Criteria Listed in the Solicitation and/or Statement of Work
   - Project Management
   - Schedule
   - Price
   - Experience with Similar Projects
   - Local Vendor
   - Small Business
   - Women and Minority-Owned Business

   Note on Qualifications-Based Selection (Little Brooks Act Regulations): If your Solicitation is "for professional services of private architectural, landscape architectural, engineering, environmental, land surveying, or construction project management firms," then your list of factors "shall be on the basis of demonstrated competence and on the professional qualifications necessary for the satisfactory performance of the services required.... Furthermore, these procedures shall assure maximum participation of small business firms..."[1]

[1] See California Government Code §4525 on Qualifications Based Selection, http://www.acec-ca.org/doc.asp?id=1524.

2. For the formal purchasing process, use the Selection Criteria and the weighting from the Solicitation to create a weighted scoring sheet to use in evaluating Proposals, Qualifications, or Quotes. The total number of points must total 100.

Factor	Maximum Rating (Weights)	Contractor A Points	Contractor B Points
Factor 1	10		
Factor 2	20		
Additional Factors	XX		
Total	100		

Steps for Defining the Selection Panel

The Originator chooses the individuals to serve on the panel. Evaluators are usually from the department that is purchasing the goods or services. They should have working knowledge of the subject matter required for the project.

Once the Selection Panel members have signed the Confidentiality Sheet, the Originator sends each one the Evaluation Scoresheet, the Agenda (if the evaluation will be done in a meeting format), and the Contractors' Proposals, Qualifications, or Quotes. The Originator provides the schedule for the meetings.

Next Steps

Once the Selection Panel receives the evaluation packets, the next step will be to evaluate the proposals, either individually or in a meeting format, as defined in the protocol.

Tips & Pitfalls

- When you set up the Evaluation Protocol and Evaluation Criteria, remember that you are looking for the best value for the County. The lowest price is not always the best deal.
- For complex purchases, take care in weighting the factors you will use to evaluate the proposals. Be sure that the factors with the highest importance (most points) will be those that help to predict the most qualified Contractor for your project.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1200 Preparing the Final Proposal Summary

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050, High-Level Formal Purchasing Process, SP1180 Preparing a Proposal Summary, SP1190 Developing Evaluation Protocols, E240, ILT200	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide guidance for preparing a final Proposal Summary. A Proposal Summary is a document that summarizes the total aggregated scores of proposals received for a solicitation. Originators and Requestors use the Proposal Summary to select Contractors. This is part of the formal purchasing process.

Where to Start

After the Selection Panel has reviewed the potential Contractors' Proposals or Quotations and filled out their Scoresheets, the Originator or the C/P Lead will complete the Proposal Summary.

Steps for Preparing the Final Proposal Summary

1. Collect completed Scoresheets from each member of the Selection Panel.
2. Use the Proposal Summary Template to create your summary.
3. Start with the Bid Number and Project Name. Include your name, as the person who prepared the Proposal Summary, and the date.
4. List the individual scores for each submitting company in the Master Score Sheet table. This becomes the foundation for making the Contractor selection.

Here is an example of a Master Scoresheet:

#	Submitting Company Name	Total Score
1	Architect A	263
2	Architect B	258
3	Architect C	229
4	Architect D	135

5. Add the Evaluation Protocol. Cut and paste the existing protocol used by the Selection Panel into the template. See SP1190, Developing Evaluation Protocols.

6. Fill out the table with the Total Score for Each Submission by Panel Member.

7. Check to see that you have included the necessary elements of the Proposal Summary:

    a. Bid Number, Project Name, your name, and the date

    b. Master Score Sheet

    c. Evaluation Protocol

    d. Total Score for Each Submission by Panel Member

    e. Panel Member Scoresheets (Appendix)

8. Determine whether the Proposal Summary needs to be reviewed.

If	Then
Project is not complex	No further review is needed. C/P Lead Saves As… the Proposal Summary and indicates FINAL in the file name.
Project is complex	Review and collaboration may be needed. C/P Lead may request County Counsel to review the Proposal Summary to ensure that all information is adequate.

9. Once the Proposal Summary is Final, the C/P Lead sends the Proposal Summary to the Originator.

10. The last step in this part of the formal process is for the C/P Lead to archive all evaluation documents, including the Proposal Summary, in the project folder on the G Drive.

Next Steps

Once the Final Proposal Summary is completed, the Requestor and Originator use it to choose Contractors(s) for the project.

Tips & Pitfalls

Be sure to archive the Evaluation Protocol and Evaluation Scoresheets with the Final Proposal Summary. These documents must be available to reference later if there are questions about Contractor selection.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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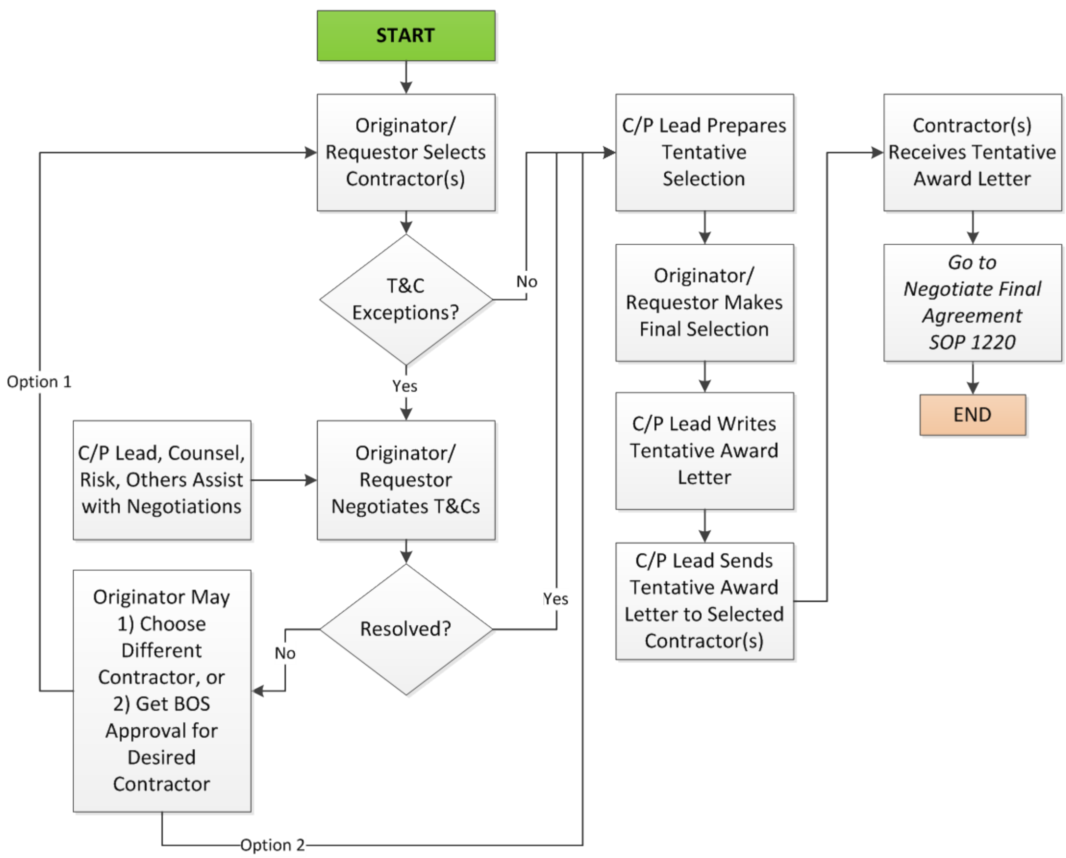
SP1210 Creating a Tentative Award

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for creating a tentative award for your project. This is part of the formal purchasing process.

This flowchart illustrates the process for creating a tentative award:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Originator, C/P Lead
Accountable	C/P Lead
Consulted	Requestor, C/P Management. As needed: Consulting SME
Informed	Requestor, C/P Management, Contractor. As needed: Consulting SME

Where to Start

Once the Requestor and Originator receive the Proposal Summary from the C/P Lead, they select Contractor(s) for the project. The selection is tentative until the Final Agreement is executed.

Steps for Creating a Tentative Award

1. Using the Proposal Summary, the Requestor and Originator make a tentative selection of the Contractor(s) for their project.

   a. If the contract is exclusive, only one Contractor is selected.

   b. If the contract is nonexclusive, more than one Contractor can be selected based upon the results of the Proposal Summary and the scoring guidelines. Any of the Contractors whose scores exceed the threshold specified in the Evaluation Protocol may be selected.

      Note: For nonexclusive contracts you may ask for additional information, if needed. For example, you may ask the Contractors with the top three scores to come in for interviews before you select the final two Contractors for a tentative award.

2. Discuss any Contractor exceptions to the County T&C's prior to completing the Tentative Award with your selected Contractor(s).

If	**Then**
Contractor agrees to the County's T&Cs	The C/P Lead prepares the Tentative Award letter.

<table>
<tr><th>If</th><th>Then</th></tr>
<tr><td>Contractor asks for exceptions to the T&Cs</td><td>a. Originator negotiates with Contractor, with assistance from the C/P Lead, County Counsel or Risk Management.
b. C/P Lead, Counsel, or Risk, provide alternatives to Contractor’s exceptions as appropriate.
<table>
<tr><th>If</th><th>Then</th></tr>
<tr><td>Resolved</td><td>C/P Lead prepares Tentative Award Letter.</td></tr>
<tr><td rowspan="2">Not Resolved</td><td>Option 1: Originator chooses another Contractor and the process is repeated.</td></tr>
<tr><td>Option 2: Originator may request Board of Supervisors (BOS) approval.</td></tr>
</table>
</td></tr>
</table>

Note: In some cases, to expedite T&C approvals, the Originator may call a Stakeholder meeting with Counsel, Risk, Auditor/Controller, and any other Departments that should have input into the T&Cs, for example, Information Technology for technical projects.

3. The Tentative Award Letter provides information and documentation, for example:

   a. Online Vendor Self-Service Registration with the County via www.co.monterey.ca.us/admin/vendorinfo.htm

   b. A hard copy of the Updated Vendor Data Record (VDR) form (enclose this with the letter)

   c. Hard copies of insurance certificates and endorsements as outlined in the RFP

   d. Tax Documents, specifically California Form 590—Withholding Exemption Certificate

   e. Contractor Signatures

4. The C/P Lead sends the Tentative Award Letter to the Contractor(s) via email or US Mail and archives a hardcopy of them in the project folder and a soft copy of them on the G Drive.

Next Steps

The Contractor(s) provide the requested documentation, and the C/P Lead and the Originator work together to prepare a Draft Agreement.

Tips & Pitfalls

- Make it clear, if you talk with your preferred Contractor(s) at this stage, that the award is tentative until you have an executed Agreement or once the Board of Supervisors approves the Agreement, if required. **The Contractor may not start work without an executed Agreement.**
- If the Contractor accepts the County's T&Cs, then you can move the project toward the next step more quickly.
- When the Contractor insists on nonstandard T&Cs, then holding a Stakeholder meeting may expedite the negotiation process.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

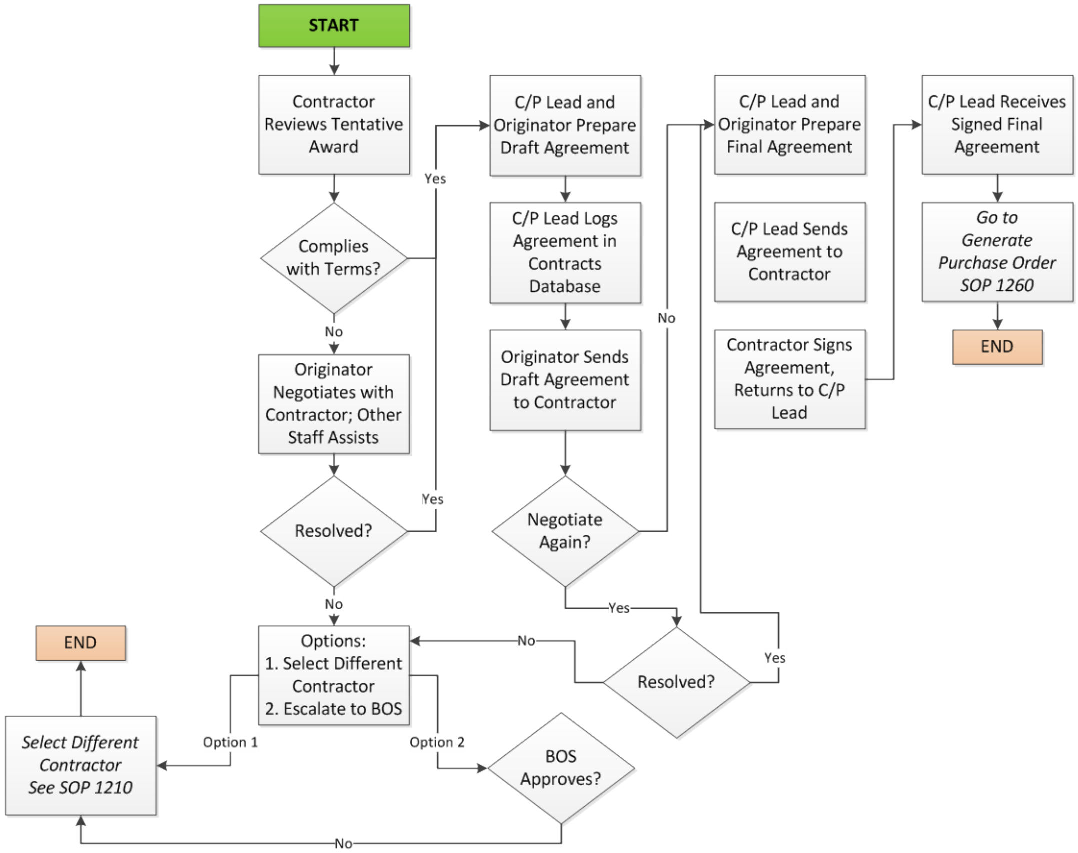
SP1220 Negotiating a Final Agreement (Formal Purchasing Process)

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process, ILT300	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for the task of Negotiating a Final Agreement for the formal purchasing process. For more details about this task, see also SP1230 Negotiating with Contractors, SP1240 Logging Agreements, and SP1250 Preparing a Final Agreement. For parallel steps in the informal purchasing process, see SP1290 Negotiate Final Agreement (Informal Purchasing Process).

This is the process for negotiating a final agreement:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Originator, C/P Lead, County Counsel, Risk, Contractor.
Accountable	C/P Lead
Consulted	Requestor, C/P Management, Contractor.
Informed	Requestor, C/P Management, Contractor.

Where to Start

This task typically occurs when the Contractor(s) indicate exceptions to the terms and conditions (T&Cs) in the solicitation.

Steps for Negotiating a Final Agreement

1. The Contractor indicates exceptions to County's T&C's on the Signature Pricing Page of their response to an RFP or RFQ.
   a. The C/P Lead notes the Contractor's exceptions on the bid summary sheet.
   b. C/P Lead provides the Originator with the bid cover sheet and bid documents for their review.
   c. The Originator works with the Contractor, County Counsel, Risk and C/P as appropriate to resolve the exception(s). If there is no resolution, then there are two options.

      Option 1 involves selecting another Contractor.

      Option 2 is to escalate the issue to the Board of Supervisors (BOS) for approval. This generally occurs when the Originator strongly desires a specific Contractor, but one or more Approvers do not approve the Contractor's exceptions.
2. If there is resolution to the T&Cs between the Originator and the Contractor, the C/P Lead sends the Contractor a Tentative Award Letter.
3. After receiving the requested materials from the Contractor, the C/P Lead prepares a Draft Agreement to include the negotiated, resolved exceptions. The Draft Agreement includes:
   a. The Scope of Work (SOW)
   b. The T&Cs, as agreed. These will be the standard or negotiated County T&Cs.
4. The C/P Lead sends the drafted Agreement to the Originator, County Counsel, Risk (as needed), and to C/P Management for review. For complex negotiated T&Cs, the C/P Lead sends the Contractor the drafted Agreement in PDF format to review.
5. If further negotiation is required, the Originator and the C/P Lead work with the appropriate County personnel to resolve.
6. Once consensus is reached or BOS approval on T&Cs obtained, then the Analyst prepares the Final Agreement and sends it with a cover letter to the Contractor for signature.
7. The Contractor then signs the agreement and returns it to the C/P Lead within the timeframe specified in the cover letter.

Next Steps

Once the C/P Lead receives the signed Final Agreement from the Contractor, the Originator starts work on obtaining the approvals required to generate a Purchase Order (PO).

Tips & Pitfalls

- Remember that the award remains tentative until you have a signed Agreement.
- It is important to address Contractor exceptions during the bid evaluation process.
- The C/P Lead, or the Originator (with prior training) may expedite an Agreement with new T&C insurance language by working directly with the Contractor's insurance company or broker if that is the issue.
- It is important to avoid more than three iterations of negotiations with Contractors.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

ACADEMY

SP1230 Negotiation Skills for Purchasing

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: ILT300, ILT400	

Purpose

As you work through a purchasing project, there are many opportunities to negotiate with contractors. The purpose of this Standard Operating Procedure (SOP) is to provide some principles and tools to help you with negotiations at specific times in the Contracts and Purchasing Lifecycle.

Where to Start

It's time to use your negotiating skills when two or more people don't agree on how to proceed. You'll negotiate to come to an understanding, resolve differences, maintain relationships, and to achieve outcomes that are mutually beneficial.

Steps for Negotiating

1. If you are an Originator or C/P Lead, it is helpful to remember that facilitating negotiations is a key part of the purchasing process, especially in the following areas:
    a. Creating a Bid Plan with stakeholders from different departments
    b. Revising a Solicitation Document before it is published
    c. Evaluating proposals in a meeting format
    d. Working with a Contractor on Terms and Conditions (T&Cs)
    e. Preparing a Final Agreement
    f. Verifying deliverables and approving invoices
    g. Revising, renewing, or extending Agreements

2. Prepare for the negotiation ahead of time. For the specific negotiation, consider:
    a. Your "must have" objectives: know where the County is flexible and where the County is not flexible. If you are not sure, consult with County Counsel, Risk Management, Auditor/Controller or Contracts/ Purchasing as appropriate depending upon the issue.
    b. Your authority to make decisions for this phase of the project: who gets the final word, and what your role is in shaping the decision.
    c. The likely objections or requests from other Stakeholders.
    d. Options that are acceptable (or not) to the current language or terms.
3. If you are facilitating a negotiation, do the following:
    a. Create an atmosphere of open dialogue where everyone is seeking the best solution. Understand where there are differences, and allow the contractor to explain why they are making a certain demand or holding a position.
    b. Propose options to find a mutual resolution that the County is comfortable with.
    c. Review the negotiated solution to ensure mutual understanding.

Next Steps

Ensure that County Counsel and/or Risk Management have agreed to any negotiated terms and conditions that may conflict with County T&C's.

Tips & Pitfalls

- Don't allow the negotiations to become personal. Focus on what you are trying to accomplish, not on the individuals involved.
- Sometimes the best resolution can be a combination of alternatives. For example, a reduction in price along with a change in scope.
- Try to generate acceptable options that will not conflict with County policy and guidelines.
- Use active listening techniques to avoid misunderstandings. For example, paraphrase the other person's position to ensure that you've understood it correctly.
- When the negotiation points are approved by Counsel, Risk, or C/P, there should be a reduction in delays for approval.

- Remember that not every negotiation ends with an agreement. In some cases, the parties will be too far apart to find a way to work together.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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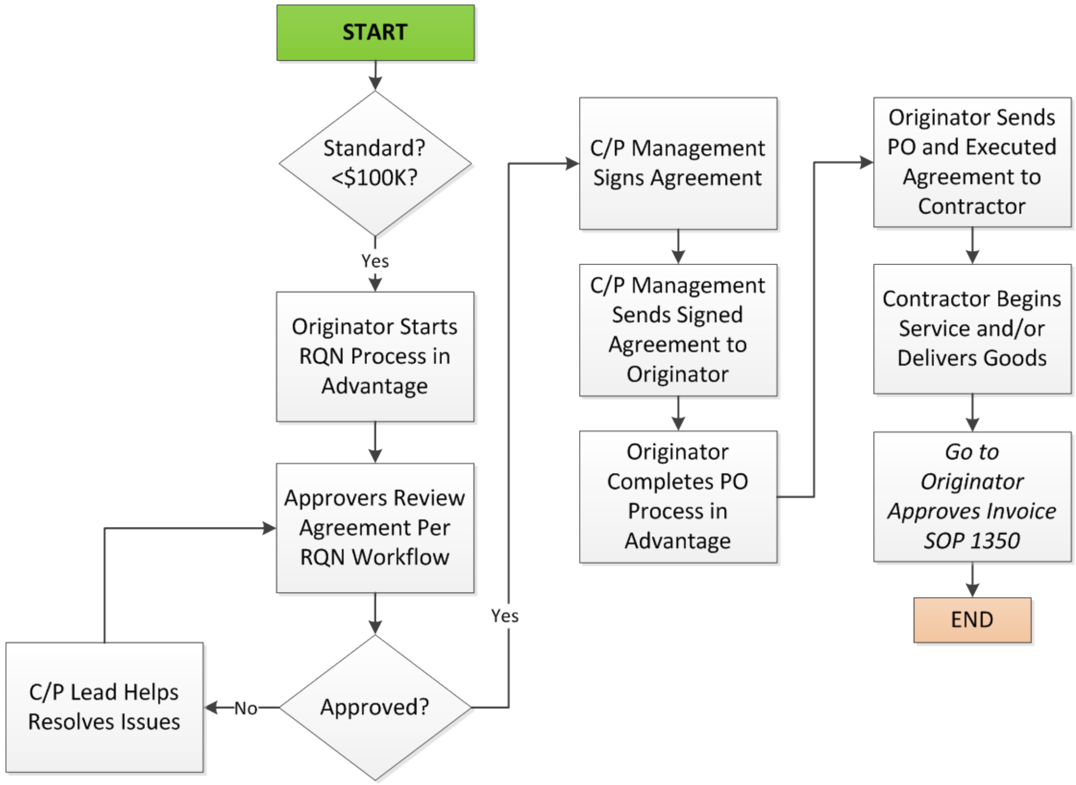
SP1260 Generating a Purchase Order (Formal Purchasing Process)

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050 High-Level Formal Purchasing Process	

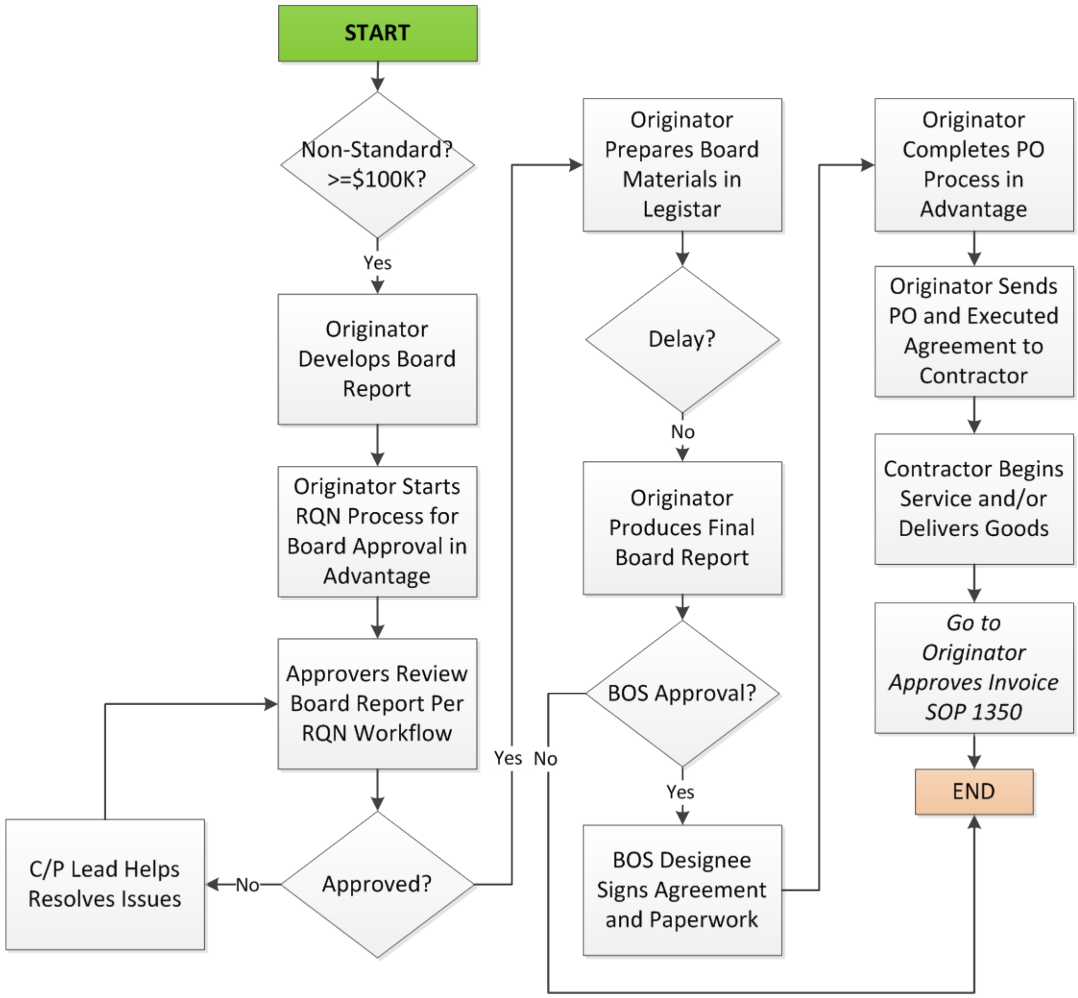
Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for the task of Generating a Purchase Order (PO) for the formal purchasing process. For more details about this task, see also SP1270 The RQN Process and SP1280 Requesting Purchase Orders in Advantage. For parallel steps in the informal purchasing process, see SP1340 Generating a Purchase Order (Informal Purchasing Process).

This is the process for generating a PO for a Standard, less than $100,000 agreement:



This is the process for generating a PO for a Non-Standard or greater than/equal to $100,000 agreement:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	C/P Lead, County Counsel, Risk, Contractor. As needed: ITD, Auditor/Controller, Board of Supervisors
Accountable	Originator
Consulted	Requestor, C/P Management. As needed: Consulting SME
Informed	Requestor, C/P Management, Contractor. As needed: Consulting SME, Contractor

Where to Start

Once the Contractor signs and returns the Final Agreement to the C/P Lead, the Originator starts work on generating a Purchase Order (PO).

Steps for Generating a Purchase Order

1. If the project is for less than $100,000 for the life of the Agreement, and it meets the County's standard Terms and Conditions (T&Cs), then the Originator starts the Request for Non-Encumbrance (RQN) process in Advantage.
    a. Approvers, who include the C/P Lead, Counsel/Risk, and other departments (as required), review and sign off on the Final Agreement. When necessary, the C/P Lead facilitates reaching a consensus.
    b. Once required County departments process the RQN and sign the Final Agreement document(s), C/P Management signs the Final Agreement. If necessary, C/P generates a Multi-Year Agreement (MYA) if appropriate.
    c. The Originator completes the Purchase Order (PO) process in Advantage and sends the PO and countersigned Agreement to the Contractor. Contractor can now begin services and/or deliver goods.
2. If the Agreement is for $100,000 or more and/or does not conform to the County standard agreement, then the Originator develops a Board Report and starts the RQN process for Board of Supervisors (BOS) approval.

a. The C/P Lead, Counsel/Risk, and other departments (as necessary) review and sign off on the Agreement and Board Report. When necessary, the C/P Lead facilitates reaching a consensus.

b. The Originator prepares materials for the BOS and Legistar process. Legistar is only initiated after pre-review with approving departments.

c. The C/P Lead attends the BOS Agenda Review session to comment on the Agreement or to pull or delay the Agreement, if necessary.

d. If the BOS approves the Agreement, then the BOS Designee will sign the appropriate paperwork and RQN. If the BOS does not approve the Agreement, the Originator works with C/P, Counsel, and applicable parties to resolve and/or to consider alternatives.

e. If the Agreement is approved and signed, the Originator completes the PO process in Advantage and sends the PO and countersigned Agreement to the Contractor. Contractor can now begin services and/or deliver goods.

Next Steps

Once the PO is complete, the Originator sends it with the countersigned Agreement to the Contractor. At this point, the Contractor can begin to deliver the goods and services specified in the Agreement.

Tips & Pitfalls

- Even if the Agreement will be for less than $100,000, if it includes using negotiated T&Cs or the Contractor's T&Cs, then the BOS must approve your project.
- When the C/P Lead attends the BOS Agenda Review, it is possible that he or she will decide to pull or delay the project based on unclear deliverables and/or terms and conditions. With additional work, these can often be resubmitted for the next BOS meeting.
- Depending on BOS priorities, your purchasing project may not make it onto the agenda for their next meeting. In that case, you can resubmit it for the next meeting.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1270 The RQN Process

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1050, High-Level Formal Purchasing Process and SP1040, High-Level Informal Purchasing Process, Routing Form, RQN Training	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for using the Request for Non-Encumbrance (RQN) process. Using the RQN process in Advantage, an Originator can track the progress of their hard-copy Agreements as Approvers review them for approval

Where to Start

The Originator starts the RQN process once an Agreement has been signed by the Contractor, and is verified in Advantage and ready for approval.

Steps for Starting the RQN Process

1. Sign in to Advantage and create an RQN Document.
2. Write the RQN number assigned by the Advantage system on your hard copy Routing Form.
3. Describe the Agreement or Amendment in the Description field.
4. Enter 12 for the Procurement Type ID.
5. Complete the Contact Section.
6. If your project requires a Multi-Year Agreement (MYA), fill out the Extended Description (otherwise, leave this section blank).
7. Update your contractor information.

   Note: If you are unsure about which commodity code to choose, contact Contracts/Purchasing (C/P) for assistance.
8. Once you have saved, validated, and submitted your document, you should see "Document submitted successfully—Pending Approval."
9. Your RQN Document is now in the Advantage workflow.

Steps for Tracking an RQN Document

1. Use Advantage to track your RQN Document.
2. For each Approver, there are two lines for status. You may check the RQN status at any time to determine the status of your RQN.
   a. **Check-In.** The first line shows whether the Approver has received the document. The Approval Status reads "Pending" on this line until the Approver checks in the document, at which point the Approval Status changes to "Approved."
   b. **Check Out.** The second line shows that the Approver reviewed the document. The Approval Status reads "Pending" until the Approver makes and enters a decision, at which point it says "Approved" or "Reject All."
3. If your document is rejected, it will be returned back to the Issuer.

Next Steps

Once all other Approvers have signed the Agreement, C/P Management provides the last signature on the Final Agreement document(s). If necessary, C/P generates a Multi-Year Agreement (MYA).

The Originator sends the executed Agreement to the Contractor. At this point, the Contractor can begin to deliver the goods and services specified in the Agreement.

Tips & Pitfalls

If you are tracking an RQN Document, remember that there are two approval lines: the first lets you know that the Approver has received a document and checked it in. The second lets you know whether the document has been approved or rejected.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1290 Negotiating a Final Agreement (Informal Process)

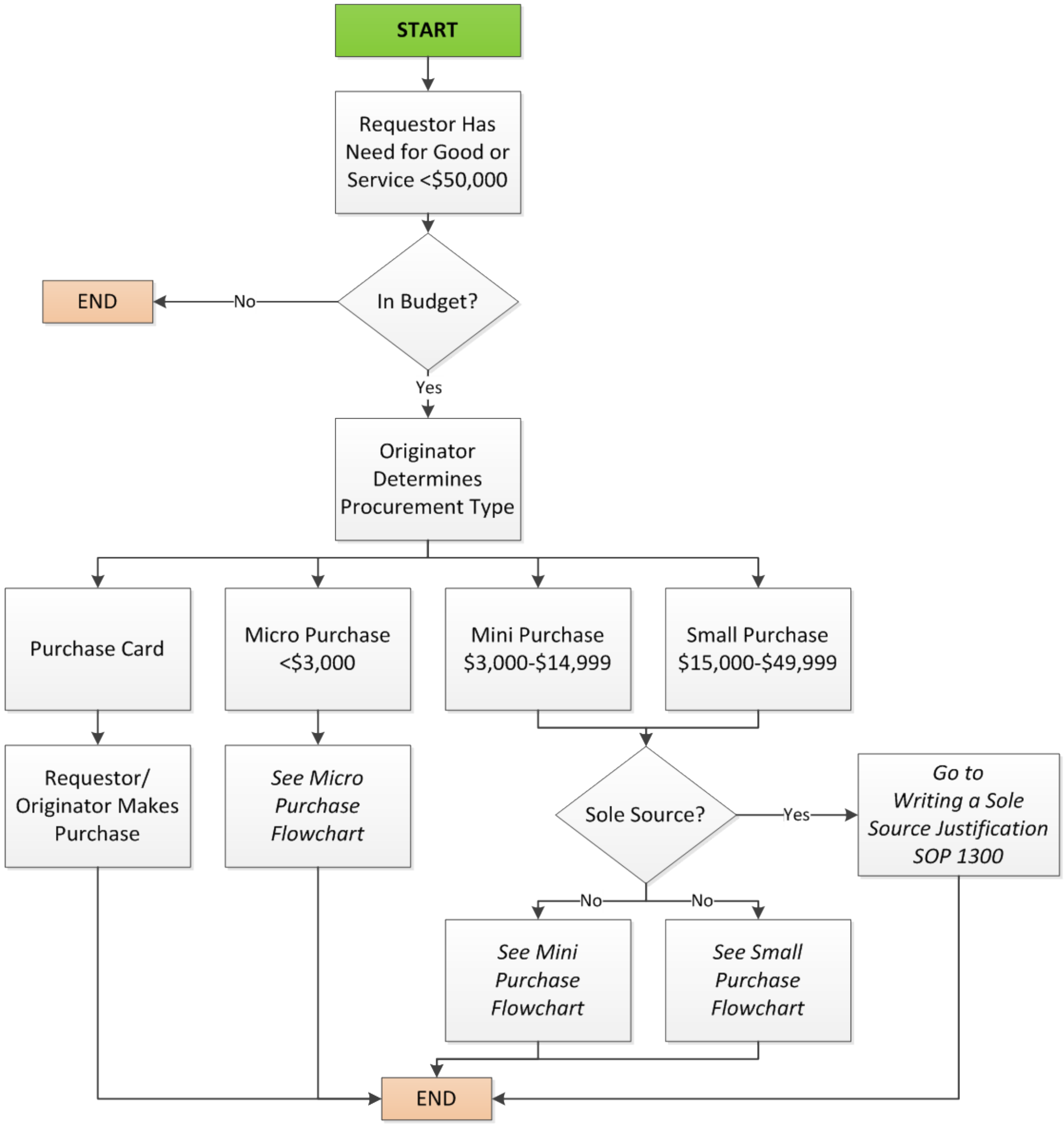
Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1040 High-Level Informal Purchasing Process, SP1050 High-Level Formal Purchasing Process, SP1220 Negotiating a Final Agreement, SP1230 Negotiating with Contractors SP1300 Writing a Sole Source Justification, SP1310 Facilitating RFP/RFQs for Small Contracts, SP1320 Preparing a Procurement Document	

Purpose

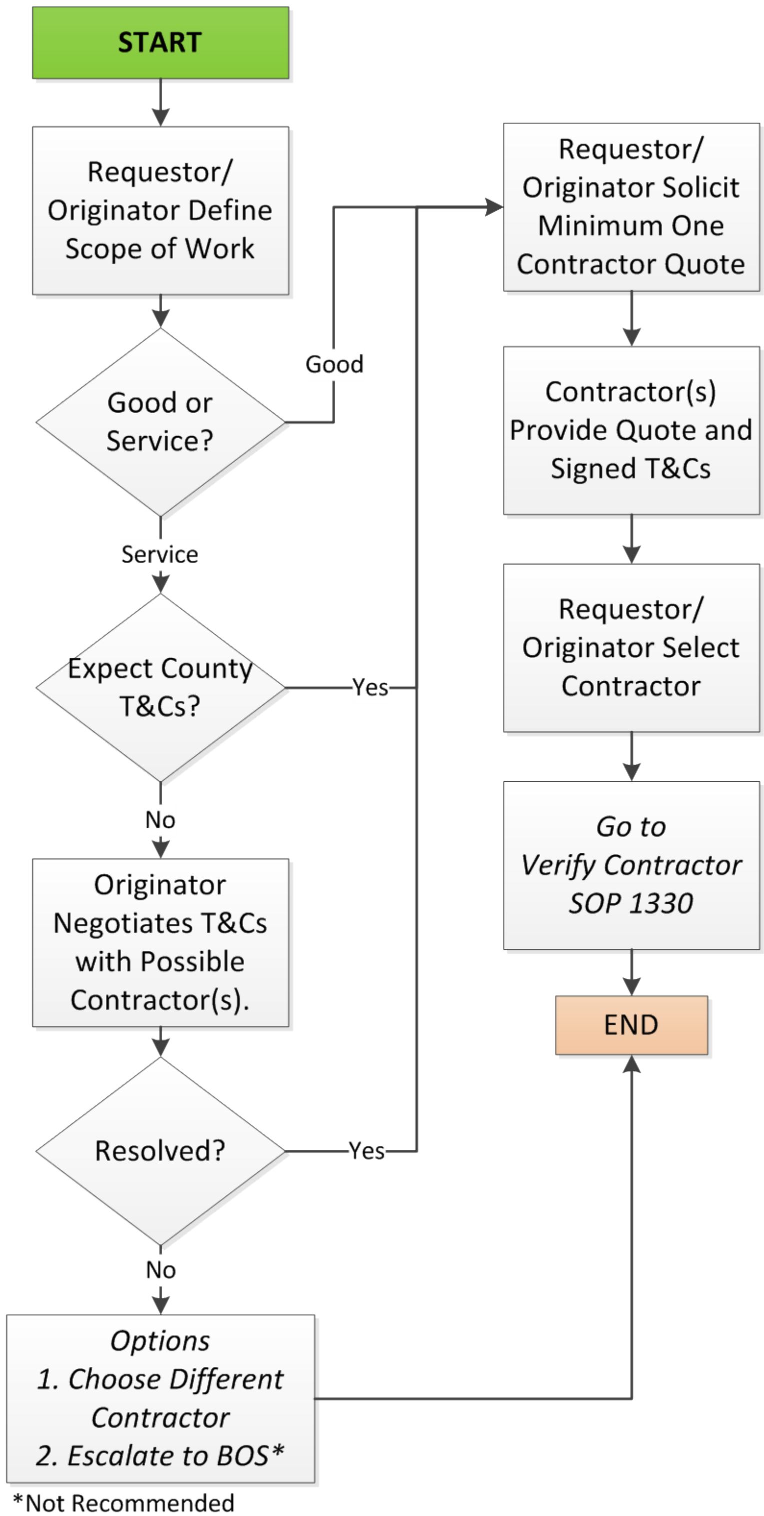
The purpose of this Standard Operating Procedure (SOP) is to provide an overview of the first task in the informal purchasing process, which may include selecting a Contractor for your project and negotiating a Final Agreement. The major steps for this task are illustrated in the following flowchart.

Additional flowcharts follow, illustrating differences in the informal process between purchases of different amounts:

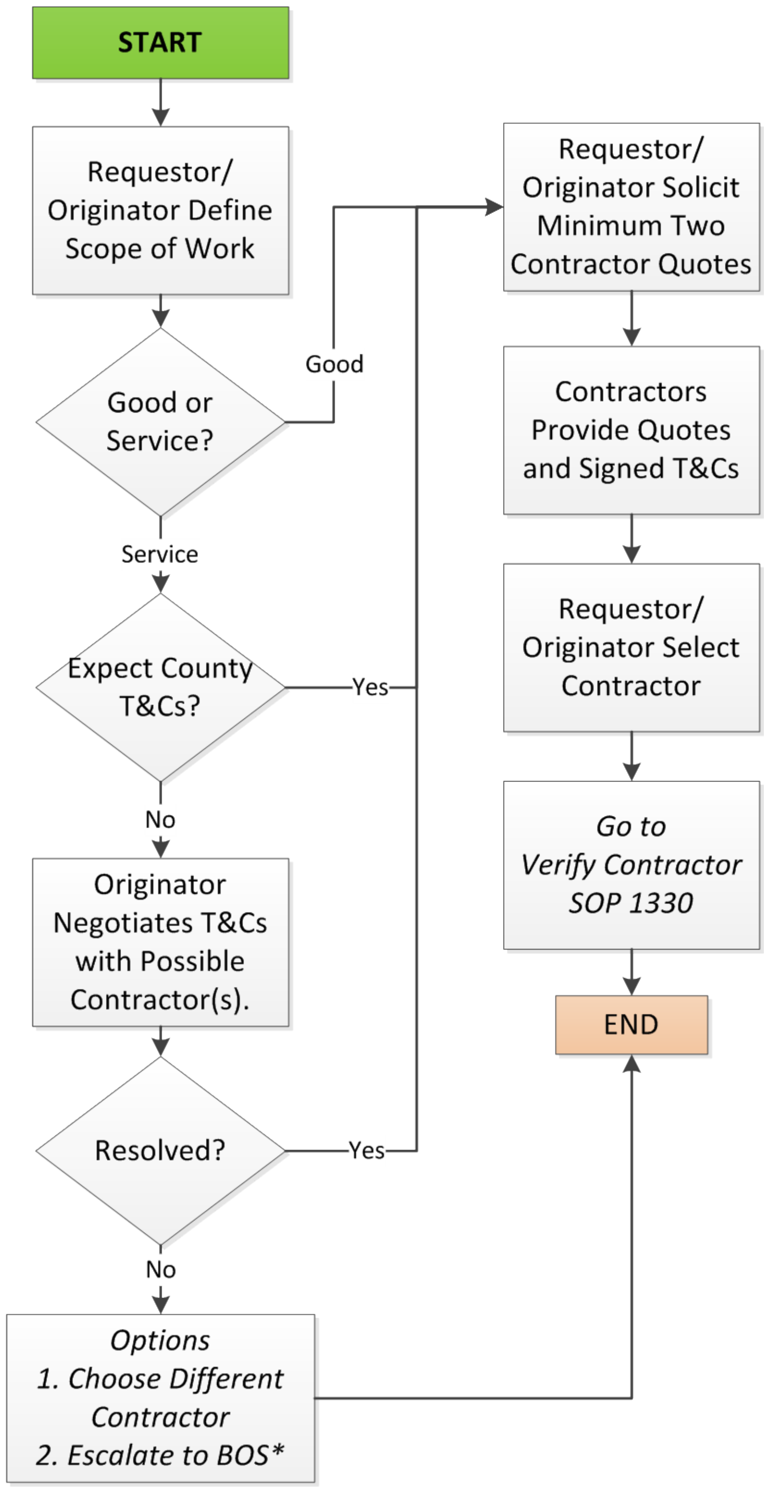
1. Micro Purchases, which are less than $3,000
2. Mini Purchases, between $3,000 and $14,999
3. Small Purchases, between $15,000 and $49,999


START
Requestor Has Need for Good or Service <$50,000
In Budget?
No
END
Yes
Originator Determines Procurement Type
Purchase Card
Micro Purchase <$3,000
Mini Purchase $3,000-$14,999
Small Purchase $15,000-$49,999
Requestor/ Originator Makes Purchase
See Micro Purchase Flowchart
Sole Source?
Yes
Go to Writing a Sole Source Justification SOP 1300
No
No
See Mini Purchase Flowchart
See Small Purchase Flowchart
END

Micro Purchase Flowchart

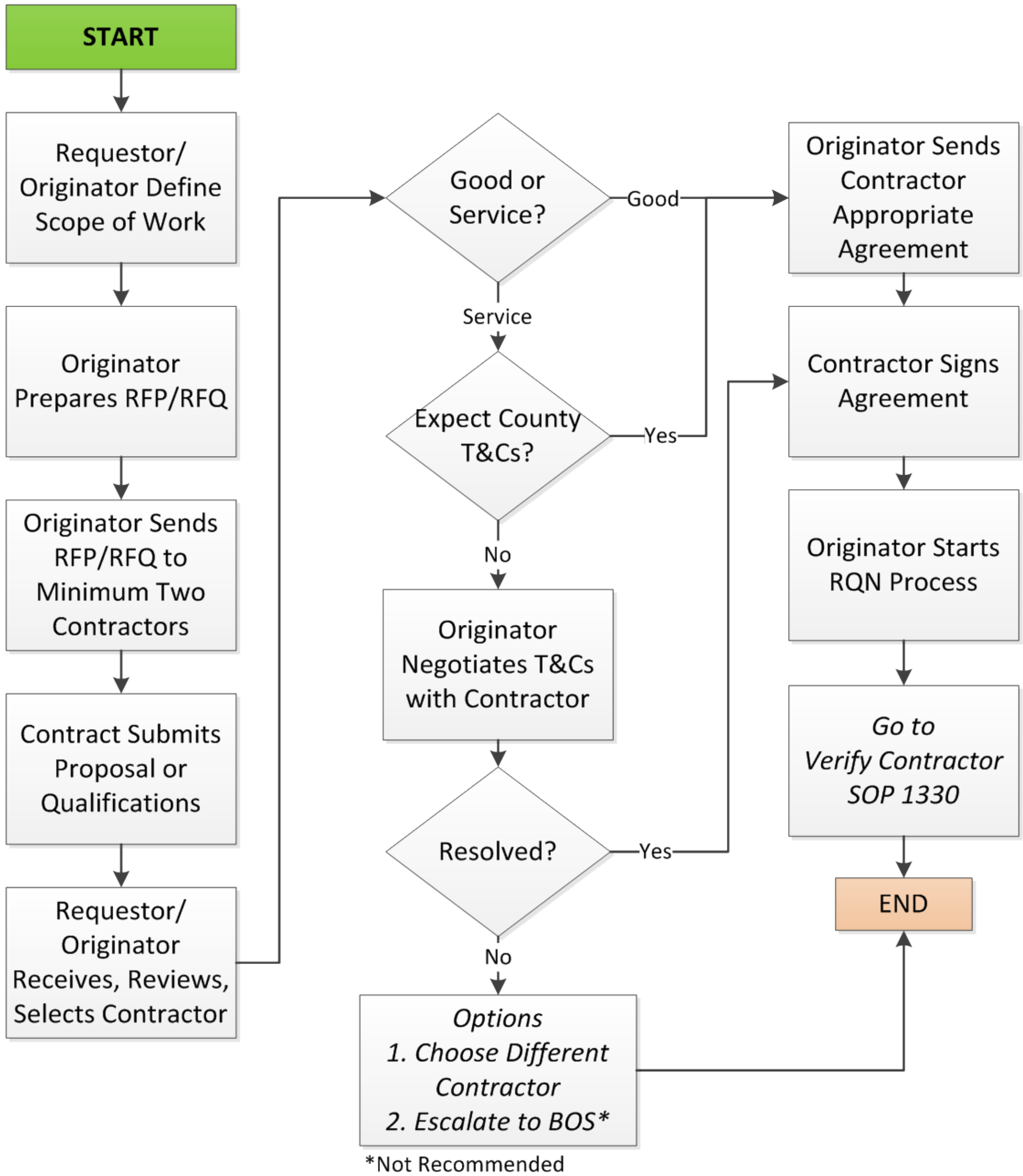


Mini Purchase Flowchart



*Not Recommended

Small Purchase Flowchart



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Requestor, Originator, Contractor. As needed: Counsel, Risk
Accountable	Originator
Consulted	Requestor, C/P Lead, Contractor
Informed	Requestor, Contractor

Where to Start

A Requestor begins this task by identifying a need for goods or services.

Steps for Getting Started

1. The Requestor or the Originator determines a need for goods or services.
2. The Originator (the person at the department level who is responsible for the managing the project) confirms that the request is within the department budget and helps to determine the procurement type.
    1. Goods procurement types: Purchase Order (PO), Delivery Order (DO) used with an Multi-Year Agreement (MYA) or a Master Agreement (MA), Lease PO (LPO), Blanket PO (BPO), or Procurement Card
    2. Services procurement types: Service Contract (SC), Blanket SC (BSC), Multi-year Agreement (MYA), Master Agreement (MA), and Construction (CT)
3. Depending on the purchase type, there are different paths to selecting a Contractor and the type of Agreement needed. The major options are provided here.

Using a County Procurement Card

1. We use County Procurement Cards for purchasing goods and occasional services where the maximum cost is less than $3,000 for any individual purchase. Examples of permitted Procurement Card purchases include:
    a. Office supplies
    b. Equipment rentals

c. Fuel for County vehicles when you're not able to acquire fuel from a County Fueling Station

d. Equipment, parts, materials and supplies required for maintenance and repairs that do not include services from the supplier

e. Books, periodical publications, and subscriptions

f. Electronic online subscriptions

Note: If you are not certain your purchase should be made with a Procurement Card, consult with the Finance Manager in your Department or Contracts/Purchasing (C/P).

2. Ordinarily, your receipt serves as the Agreement and documentation for your purchase. Once all required documentation is submitted to A/C, the purchasing process using a Procurement Card is complete.

Steps for Requesting Quotes

The default approach for obtaining goods and services is to request multiple quotes. In the rare case where only one Contractor (for services) or one brand of goods can reasonably meet the County's needs, you may request to sole source with a specific Contractor by submitting a Sole Source/Sole Justification request to C/P for review and approval. See SP1300 Writing a Sole Source Justification request for guidance.

Purchases Less Than $3,000 (Micro)

1. Define the goods or services you wish to purchase in a Scope of Work (SOW) so that your potential Contractor(s) will be able to give you an accurate quote.

2. If you are purchasing services, check with potential Contractors that the Standard Terms and Conditions are acceptable prior to requesting quotes. If Contractor prefers Non-Standard Terms and Conditions, review and negotiate using a process similar to that described in SP1220 Negotiating a Final Agreement and SP1230 Negotiating with Contractors.

3. You only need one quote for this type of purchase. However, good practice is to request a minimum of two quotes for your goods or services.

Purchases Between $3,000 and $14,999 (Mini)

1. Define the goods or services you wish to purchase by preparing a Scope of Work (SOW). If the purchase involves services, the SOW must include the County's Terms and Conditions (T&Cs).

2. If you are purchasing services, check with potential Contractors that the Standard Terms and Conditions (T&Cs) are acceptable prior to requesting

quotes. If Contractor prefers Non-Standard T&C's, review and negotiate using a process similar to that described in SP1220 and SP1230.

3. Present your SOW to at least two potential Contractors, and request quotes.

Purchases Between $15,000 and $49,999 (Small)

1. In this case, you will prepare an SOW and initiate the Request for Proposal (RFP) or Request for Quote (RFQ) process. Unlike the Formal process where C/P manages the process, for Small purchases the Originator manages the informal RFP/RFQ process. This process should be similar to the Formal process described in SP1050 High-Level Formal Purchasing Process. Be sure to include the Standard Terms and Conditions in the RFP/RFQ.

2. Send your RFP or RFQ to at least two potential Contractors. You are not required to publish your RFP/RFQ in the local Weekly or to post to the C/P website, but the more potential Contractors you contact, the better the terms and price for the County.

Steps for Selecting Contractors and Negotiating Agreements

1. Based on the quotes, proposals, qualifications, and Contractor-signed T&Cs you receive, select a Contractor. You should do this in consultation with at least one other person. For higher-value purchases, we recommend using an Evaluation Protocol and Scoresheet. The primary criteria for selection should be based on:

   - The quote that best meets the County's needs. For purchasing goods, this will likely be the lowest price, although you may give weight to factors like delivery schedule or favorable warranty status. For services, you may consider factors like relevant experience or proven project management expertise.

   - The Terms and Conditions (T&Cs). Standard T&Cs are preferred for Micro and Mini purchases since the cost to negotiate Non-Standard T&Cs is typically not worthwhile for purchases under $50,000.

   Note: If you cannot negotiate T&Cs that are acceptable to County and Vendor, your option is to select a different vendor. ***Important****: C/P advises NOT sending requests for T&C exceptions to the Board of Supervisors (BOS) for projects that use the Informal purchasing process.*

The outcome of this task is that you will have selected a Contractor and negotiated a Final Agreement.

Next Steps

After you have executed the Agreement with a Contractor for goods or services, the next task is to Verify the Contractor.

Tips & Pitfalls

- County Purchase Cards come with maximum limits, depending on roles and responsibilities. For a review of your purchasing limit, contact C/P.
- It is technically possible to request BOS approval for non-standard T&Cs for projects costing less than $50,000. However, the BOS may be reluctant to spend time on the issue. Instead of taking this approach, stay on the Happy Path. Work to find a Contractor who will agree to the County's standard T&Cs or who will negotiate modifications that Counsel and Risk can support.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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SP1300 Writing a Sole Source Justification

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: Sole Source-Brand Justification Form	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to help you to determine if a sole source or sole brand justification is right for your project. If so, the information provided within this SOP will help you.

Where to Start

If your project requires the formal purchasing process, contact Contracts/ Purchasing (C/P) early in the contracting process. At that point you may discuss whether using a sole source or sole brand justification is applicable for your project. If so, then you must submit the Sole Source/Sole Brand Justification form to C/P.

For the informal purchasing process, if your project will be $3,000 or more and you wish to use a sole source or sole brand justification, then you must submit the Sole Source/Sole Brand Justification form to C/P.

When to Use a Sole Source or Sole Brand Justification

In some circumstances, you may choose a single source or purchase a specific brand. If you are considering a request for a sole source or sole brand justification, consider whether one of the following is true:

1. The good or service is only available from one source, and using the specific brand or service provider is in the best interests of the County.

2. You have an emergency, and the goods or services you want to purchase from a single source are required to continue department function(s) or to preserve life or property.

   IMPORTANT: If you believe you have a **true emergency** need that goods or services can resolve, contact the Contracts/Purchasing Officer (derrm@co.monterey.ca.us) immediately via email. The Contracts/Purchasing Officer or Deputy is available to assist you with your request. They are authorized by the Board of Supervisors to approve

Emergency Purchase Orders. Approval will be given in the form of a written authorization.

Instructions for Completing the Sole Source/Sole Brand Justification Form

You can obtain instructions on how to fill-out and submit the Sole Source/Sole Brand Justification form from the C/P website at the following web link: http://www.in.co.monterey.ca.us/admin/documents.htm

1. **Purchase Requisition Number.** This will be the Bid Number if you are following the formal purchasing process. For the informal purchasing process, you simply leave this area blank.
2. **Description of Item.** This is the name of the preferred Contractor or the specific model and brand you wish to use for your purchasing project.
3. **Sole Source.** Check this option if the goods or services you wish to purchase can only reasonably be obtained from one source. For example:
    1. A speaker or trainer has unique expertise that is required for your project and that cannot be duplicated by others.
    2. A particular manufacturer is the only one to distribute a one-of-a-kind item.
    3. An emergency prevents a department from functioning or poses an immediate danger to life or property.
4. **Sole Brand.** In this case, there are multiple sources for the item, but a particular model or brand is the only one to meet requirements. In this case, we can still ask for competitive bids, but only for one specific item—no other models or brands will be considered.
5. **Contractor or Brand.** Fill out the information requested on the form for the specific person, company, or brand you are requesting.
6. **Description and Rationale.** Answer the questions to describe the specific goods or services you wish to obtain and why you are requesting a sole source or brand. The following factors are not considered useful in determining whether to use a sole source or brand. Do **not** include them on the form.
    a. Personal preferences for a particular product or Contractor
    b. Cost, Contractor performance, or local service (these may be considered when there are competitive bids, but they are not relevant when justifying a sole source or brand)
    c. "Extras" that are beyond the minimum requirements for this purchase

d. Why you need the goods or services, unless this information helps to explain unique factors that can only be met by this Contractor or brand

e. A request for no substitutions; the sole source/sole brand request is sufficient

7. **Signatures.** Be sure to sign the form and to obtain your Department Head's signature.

Once you have completed the form, submit it for review and approval by Contracts/Purchasing (C&P).

Next Steps

For both the formal and informal purchasing processes, the next step after receiving permission to use a sole source or brand is to prepare a Scope of Work to further define your project. See SP1090 Scope of Work.

Tips & Pitfalls

- Sole source and emergency purchase orders are the most abused means of acquiring goods and services. Remember the BICC principles: Best Value, Inclusive, Competitive, and Collaborative. Inappropriate sole source and emergency purchase orders violate the BICC principles for selecting Contractors.
- Don't wait for emergencies to happen. Work with C/P to plan ahead and establish Master Agreements with Contractors whose goods and services resolve possible emergencies your department might have.
- Remember that personal preference is not an acceptable reason to obtain a sole source/sole brand justification. The reasoning must be based on what is best for the County.
- In the case of an emergency, where department function or the loss of life or property is at stake, there may be more than one potential Contractor that can perform the work. However, in that case, the main issue is time. See SP1030 Alternative Agreements for information about how to obtain an Emergency Purchase Order.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

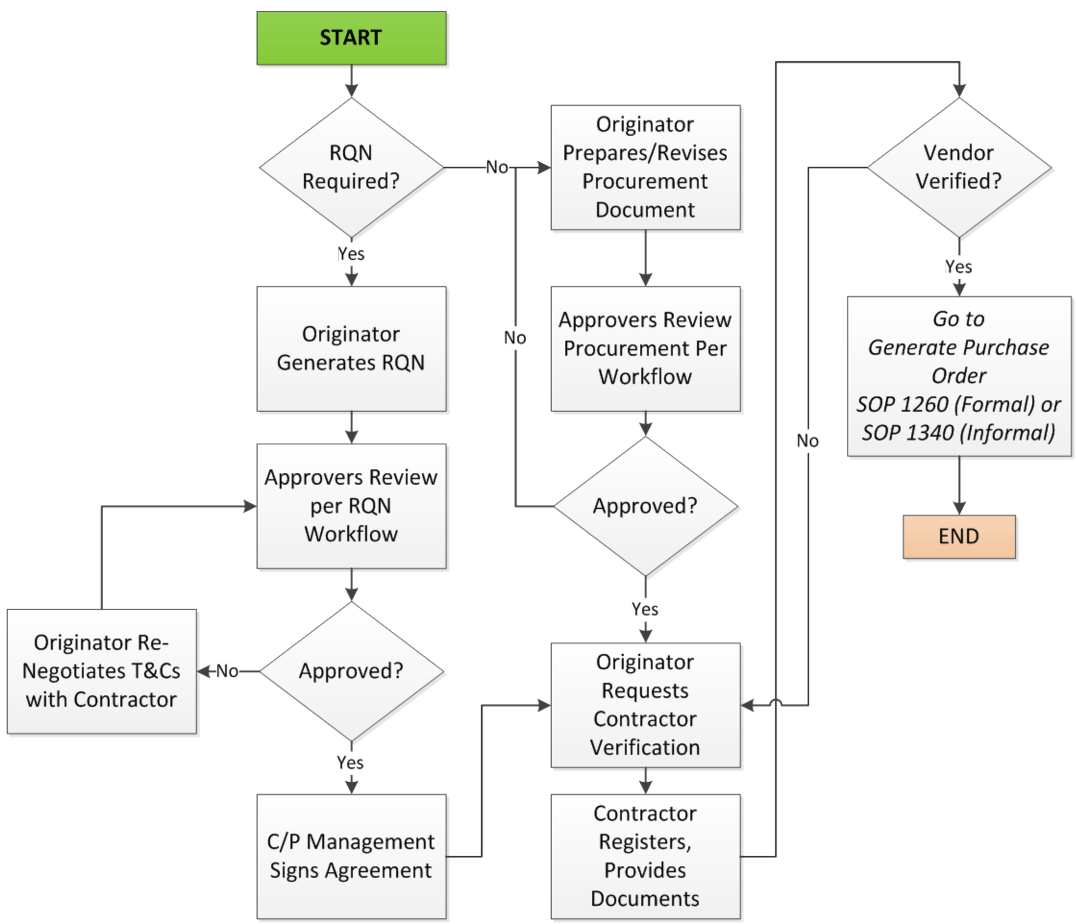
SP1330 Verifying a Contractor

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: SP1040 High-Level Informal Purchasing Process and SP1050 High-Level Formal Purchasing Process	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for the task of Verifying a Contractor. This process is the same for both the formal and the informal purchasing process.

This is the process for verifying a Contractor:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in this step of the process.

Responsible	Originator, C/P Lead, County Counsel, Risk, Auditor/Controller (A/C), Contractor
Accountable	Originator
Consulted	Requestor
Informed	Requestor, Contractor

Where to Start

After the Requestor and Originator select the Contractor(s) for their project.

Steps for Verifying a Contractor

To verify the Contractor, the Originator follows one of the three steps below, depending on the Contractor's status.

1. **Current Vendor.** The Originator verifies that the Contractor has all current documents on file in C/P: insurance certificates, Vendor Data Record (VDR), applicable State forms. Ask the Contractor to update their documents, if necessary (see below).

2. **Inactive Vendor.** If the Vendor Active Status shows anything other than a "2" in the VDR, contact C/P for assistance.

3. **New Vendor.** The Originator asks the Contractor to log on the County's website to register as a new vendor through Vendor Self Service (VSS). In addition, the Originator verifies that the Contractor has all current documents on file in C/P: insurance certificates, Vendor Data Record (VDR), and the applicable State forms.

   In order to do business with the County, all Contractors must self-register at the County of Monterey Vendor Self Service (VSS) website: https://vendor-center.co.monterey.ca.us/

   Contractors may also access the VSS website through the link on our website:
   http://www.co.monterey.ca.us/admin/vendorinfo.htm

Next Steps

C/P updates the Contractor's profile as necessary. The Agreement document is finalized and executed.

Tips and Pitfalls

- Originators should verify the Contractor prior to processing the Agreement to ensure the Contractor can comply with County terms and conditions.
- Originators should make sure that all of the required documentation for Contractor verification is in the Advantage system before the Agreement is executed.
- The RQN document will not Validate Successfully in Advantage if the Contractor is not verified.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

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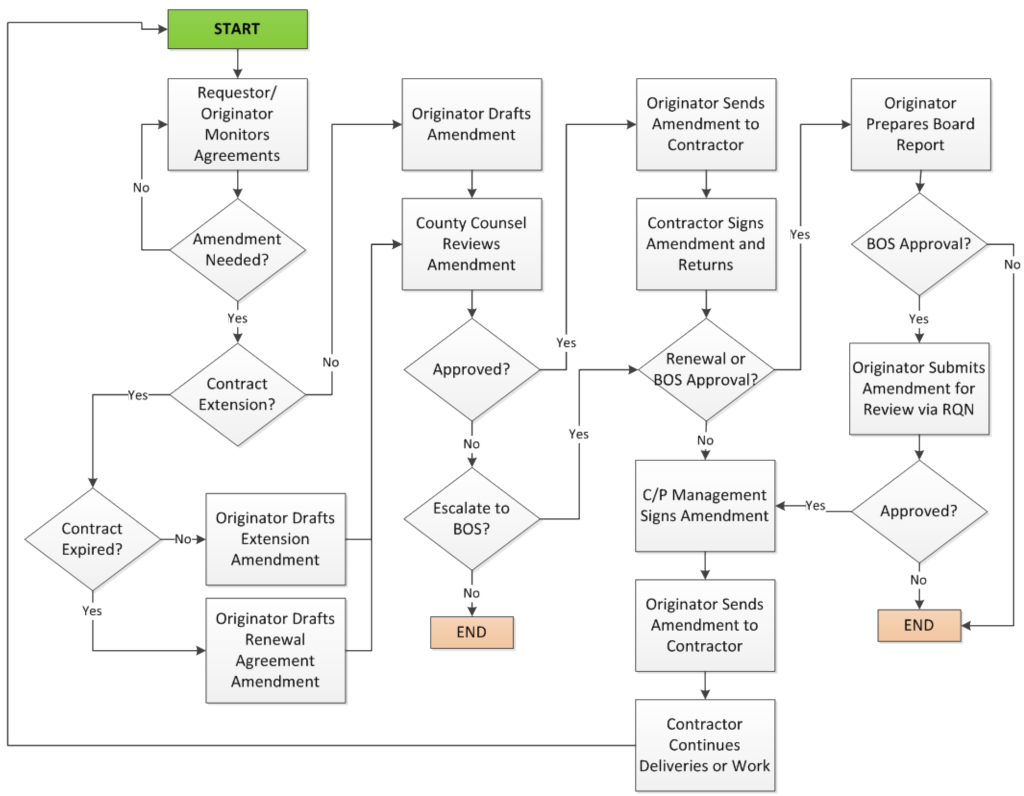
SP1370 Amending an Agreement

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: Amendment Templates, ILT300	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for the task of amending an Agreement. This is the process:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in amending an Agreement.

Responsible	Requestor, Originator, C/P Management, Counsel, Risk, Contractor. As needed: Board of Supervisors (BOS), Information Technology (ITD)
Accountable	Originator
Consulted	Requestor
Informed	Requestor, Contractor

Where to Start

There are a number of circumstances that require an Originator to amend an Agreement. The first two, listed here, can sometimes be a normal part of the purchasing process. The third should be avoided.

1. The Requestor and Originator should monitor projects for changes in the scope of services, an increase in the dollar amount, or changes to the Contractor's profile (for example, the Contractor's company changes its name or the Contractor is acquired by another company). These circumstances require an Amendment.

2. Requestors and Originators should monitor Agreement expirations. If the Agreement has extensions available, the time to start work on the Amendment is three months prior to expiration. If the Agreement is terminating, the time to start work on a new Agreement process is at least four months in advance. If the project requires the formal process, the time to start work on the solicitation is six months in advance depending upon complexity.

3. If an Agreement expires, then the Originator must prepare a Renewal Agreement Amendment (RAA). The RAA must be approved by the Board of Supervisors (BOS).

   Note: The County's goal is ZERO Renewal Agreement Amendments.

Steps for Amending a Contract

1. When changing an Agreement, the Originator uses a template to draft an Amendment. Provide these kind of details, as appropriate to the situation:

    a. Changes in the Contractor's status

    b. New amended dollar amount along with the new not to exceed dollar amount

    c. Description of the additional or different services or goods (a revised SOW)

    d. New Agreement expiration date

2. The Originator obtains County Counsel's review and approval of the Amendment. Counsel may request revisions to the proposed drafted language. The Originator collaborates with Counsel to finalize the Amendment.

3. Determine who must sign off on the Amendment. The approvers of the original Agreement should also sign all associated Amendments of the Agreement.

4. RAAs require BOS approval.

5. Required signatures.

    a. Once Counsel has approved the Amendment, the Contractor signs the document.

    b. County Counsel, Risk Management as applicable, the Auditor Controller and the signing authority. The signing authority is C/P Management for Amendments where the Agreement does not exceed $100,000 unless otherwise authorized by the BOS.

6. Send the executed Amendment to the Contractor.

Next Steps

Once C/P Management signs the Amendment and the Originator sends the executed Amendment to the Contractor, continue to manage the project, receiving and approving invoices. Follow your department's protocol to ensure that the Amendment does not expire before the project is done.

Tips & Pitfalls

- **Avoid Renewal Agreement Amendments.** They are expensive and time consuming, Avoid RAAs by monitoring your Agreements at least once a quarter. If you need more time for an Agreement, start an Amendment three months before your Agreement will expire.
- If you do not start the Amendment process three months prior to the expiration of your Agreement, you risk having your Agreement expire before the Extension Amendment is complete. RAAs must go to the BOS, even if they are for small amounts.
- Amendments to change the scope of work can often be avoided by writing a strong Scope of Work (SOW) during the Agreement development.

Revision History

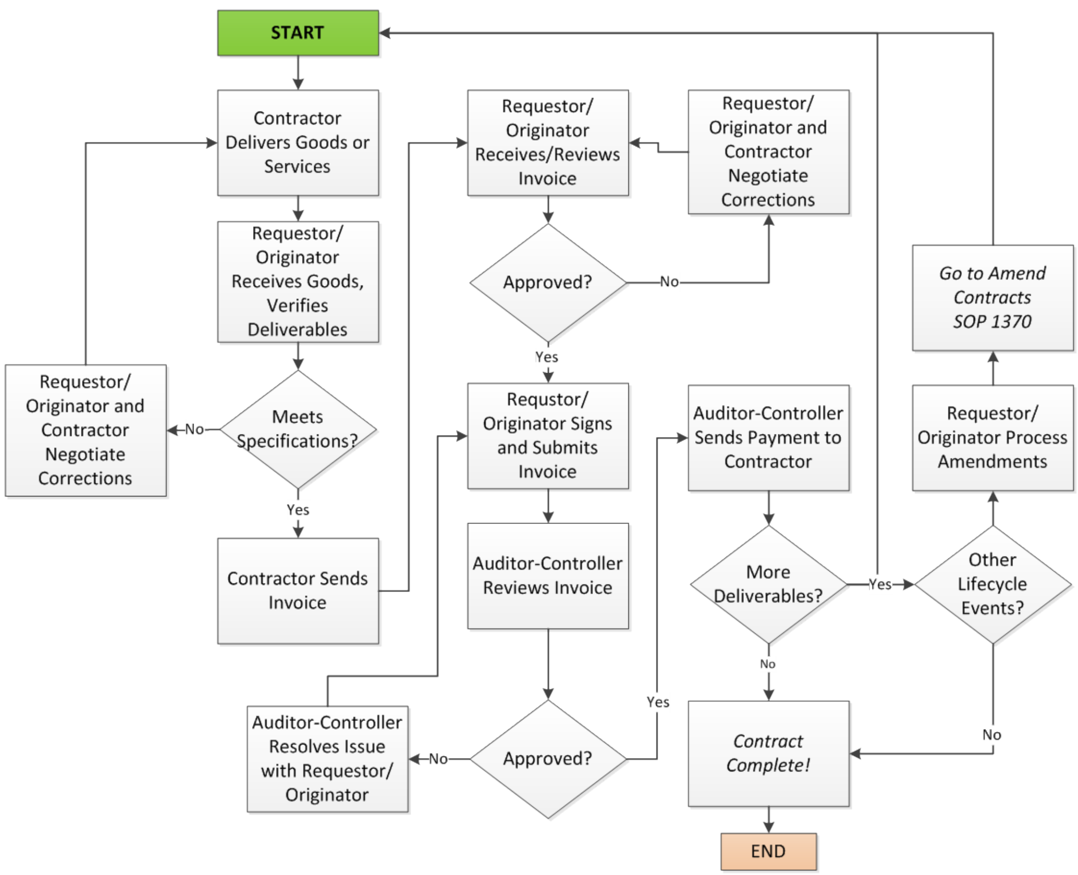
Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.

SP1400 Managing the Contract Lifecycle

Effective Date: 6-1-2014	Contact: Debra R. Bayard
Revision Date: 6-30-14	Document Status: FINAL
Audience: Requestors and Originators of goods and services	
Supporting Resources: E330, ILT300, ILT400, ILT500, ILT600	

Purpose

The purpose of this Standard Operating Procedure (SOP) is to provide an overview for the goal of completing a contract. This includes tracking the delivery of goods and services, approving invoices, and other responsibilities related to your project. This is the process for Contract Lifecycle Management:



Roles and Responsibilities

The definitions below show, at a glance, who should be involved—and at what level of responsibility—in these lifecycle management tasks.

	Approve Invoice	Process Payment	Amend Contract	Other Events
Responsible	Requestor, Originator,	Originator, IDT if applicable, C/P, A/C	Requestor, Originator, C/P Management, Counsel, Risk, A/C, Risk Management (if applicable), Board of Supervisors (BOS) (if applicable), Contractor. As needed: Information Technology (ITD)	Requestor, Originator, Contractor. As needed: BOS
Accountable	Originator	Originator, A/C	Originator	Originator
Consulted	Requestor. As needed: C/P Lead, C/P Management, County Counsel	Requestor, Originator	Requestor	Requestor, C/P Lead, C/P Management, Counsel, Risk
Informed	Contractor	Contractor	Requestor, Contractor	Requestor, BOS, Contractor

Where to Start

Managing the contract lifecycle begins once an Agreement is executed.

Steps for Approving an Invoice

1. The Requestor or Originator (per department practices) reviews and documents deliverables when they arrive (goods) or as they are provided (services).

   a. **Goods.** Check the delivery's contents against the packing list and the packing list against the Purchase Order (PO). Document the delivery on the packing list, including the date, whether the order matches the packing list, and if the delivery is complete or has missing items.

   b. **Services.** Check the service deliverables against the Scope of Work (SOW).

2. The Requestor or Originator should determine whether the deliverables meet the specifications in the Agreement. For example, the goods might arrive on time and in the right amounts, but be the wrong color or defective in some way. Or the cleaning crew may neglect to clean everything on their list or their work may not be up to specified standards.

3. If some part of the Agreement was not met, the Requestor or Originator negotiates with the Contractor to resolve the situation. At any point in this negotiation, the Requestor or Originator may ask for assistance from other departments. For example, if the issue is related to Information Technology, ITD may help to diagnose the cause of the problem and recommend a way for the Contractor to meet specifications.

   a. For more assistance, when necessary, the Requestor or Originator contacts C/P for help in resolving the discrepancy.

4. After delivering goods or performing services, a Contractor generates and sends an invoice. The Requestor or Originator should verify the invoice against the goods or services that were delivered..

   a. If the deliverables and the PO match, the Requestor or Originator approves the invoice.

   b. If there is a discrepancy, the Requestor or Originator contacts the Contractor to negotiate a solution.

   Note: Sometimes Contractors deliver invoices with their goods or as they deliver services. Other times they invoice according to specific deliverables and/or milestones described in the PO. Either way, ensure that the invoices match the schedule outlined in the Agreement.

5. After approving the invoice, the Requestor or Originator processes the invoice for payment in Advantage.

The outcome of this task is that the Requestor or Originator has approved an invoice and initiated the process for requesting payment.

Next Steps

Once the Agreement is complete (including any Amendments) and the Contractor has been paid, you have completed your purchasing project.

Tips & Pitfalls

- Because Monterey County does not have a central receiving area, it is your responsibility to check the goods that you receive against the PO to ensure that they match the expected cost, quantity, quality, and timeliness.
- Likewise, with services, ensure that services are delivered when expected, as expected, and at the right cost and quality.
- Make written notes of deliverables as you receive them to ensure easy tracking and comparison with the PO and invoices.
- When your Contractor sends multiple invoices for a project, track their receipt and your approvals against the deliverables and milestones in the PO.
- When closing a contract the Originator determines whether a bond refund should be issued (if applicable).
- If you must cancel an Agreement, work with C/P and Counsel on generating a termination letter to send to the Contractor..
- If your project is highly visible, you may be responsible for preparing and submitting status reports to the BOS.

Revision History

Date	Editor	Revisions
6/30/14	P. Honebein	• Edited terminology for consistent with style guide and RACI terminology.