



City of Syracuse RFP and Professional Service Rules & Procedures

Pursuant to the authority granted to the Mayor by Section 5-205A (8) of the City Charter the following RFP procedure is hereby established for all Departments needing to utilize professional services.

NOTE: BE AWARE THAT YOU MUST CONFIRM THAT YOU HAVE FUNDING IN PLACE PRIOR TO REQUESTING ANY PROFESSIONAL SERVICES. NO WORK CAN BE SOLICITED WITHOUT THE FUNDING IN PLACE.

Definition of a Professional Service: Professional Services involve specialized skill, training and expertise, use of professional judgment or discretion, and/or a high degree of creativity, including but not limited to special licensing issued by New York State.

The entire RFP process usually takes 6-8 weeks once RFP requests are received by the Division of Purchase so it is crucial that Departments start the process well in advance of the need thus making for a less stressful procedure. It is also the directive of the Purchase Division to enhance and encourage competition for the desired services affording the City the best possible value while avoiding potential negative scrutiny caused by poor planning and having to 'rush' the process.

Note: If software and/or networking is involved, you must research any software & scope with City Information Technology staff before we will consider issuing the RFP as they have the technical expertise not only to insure compatibility with existing software, but must approve the usage of said new software.

The Syracuse City School District

The Syracuse City School District, with the exception of Educational and employment related Professional Services, will follow these same procedures through the City of Syracuse Office of Management & Budget, Division of Purchase.

Educational and employment related Professional Services will still be advertised and administered through the City of Syracuse Office of Management & Budget, Division of Purchase. However, the review and approval process will be conducted by SCSD Purchasing staff with required Syracuse City School Board approvals. Copies of eventual awards, or notification of 'no-awards' will be sent the City Division of Purchase to be filed for legal and audit purposes.

*Office of Management & Budget
Division of Purchase*

PART ONE

Listed below are the rules and procedures to be followed by all departments (except the Dept of Engineering which is governed by Ordinance No. 75-1992) when requesting an RFP for professional services in excess of \$10,000.00.

- *A formal letter addressed to the Director of the Office of Management & Budget, from the Department Head requesting the issuance of the RFP along with a request to advertise form (available from the Purchase Division). The requesting Department must also provide us with an agreed upon final scope **in print & via e-mail in MS Word and a complete list of potential proposers (with complete addresses and e-mails)**.*
- *The Director of the Office of Management & Budget then requests the Mayor's approval to go forward. Once Mayoral approval is received, Norm L. Mingoelli, Jr. (Purchase Analyst III) will assist you with assembling the RFP document based on your scope. In some cases, samples of previous or similar RFP specifications may be provided to you by the Purchasing Division to assist you in writing your scope.*
- *The Purchase Division Purchasing Contract Clerk will advertise in the Syracuse Newspapers for 5 business days and send copies to all of the potential proposers provided by the requesting Department. We will agree upon an opening date **no earlier** than 20 business days after the advertisement ends. **The Department is responsible for placing that same advertisement in any appropriate trade publication you feel is representative of the RFP scope.***
- ***Note: Only the Purchase Division can issue PDF copies of the RFP solicitation to proposers. This insures that all proposers are maintained on the same Purchase Division proposer list in the event that any future correspondence or addendums need to be issued.***
- *The resultant opening for recording the proposals at the Purchase Division is completely confidential and **is NOT PUBLIC. No information is released to any proposer or outside source. Departmental attendance is not permitted.***
- *Once the RFP proposals are received, the Purchase Division privately records the RFP proposals **in the Division of Purchase Office only**. The Secretary for the Director of the Office of Management & Budget will take the original & the copies to the Budget office for distribution to the committee members. Budget will keep the originals and one copy of each proposal for their files.*
- *The Director of the Office of Management & Budget, will convene **(with the Mayor's direction & approval)** an RFP selection committee **that may** consist of, but is not limited to, the following members:*
 - *Council RFP Chair & Common Councilor that represents your department*

*Office of Management & Budget
Division of Purchase*

- *Budget Director/Mayoral representative*
- *Finance Director*
- *Your Department head and, if required, any other department head that may be directly involved in the RFP.*
- *An **attendance sheet** shall be kept and documented for each meeting.*
- *The Director of Management and Budget, acting on behalf of the Mayor, reserves the right to add additional RFP Committee members as deemed necessary or create a special RFP Committee for specialized services.*
- ***The Corporation Counsel**, or his/her designee, will be available to the committee for legal consultation as well as assistance in creating a **sample legal/consultants agreement to be attached to the RFP document. However, they do not participate as a committee member and do not vote in the selection process. This also applies to the Purchase Division.***
- ***Review & dissemination of RFP documents:** In order to **prevent** the appearance of **collusion or risk the loss** or mismatching of the original or photo copied proprietary proposals and/or submittals, **no documents or document copies shall be given to Departmental staff members for research and review without the expressed approval of the selection committee.***
 1. Any original or photo copies given to staff members by the Department Head must be noted as to the employee's name, RFP proposer's name and number of copies or original material signed out.
 2. An employee signed and dated sheet confirming receipt of the documents by the staff member for research shall be kept by the Department Head.
 3. Once returned, the Department Head shall have the employee sign in on the same sheet, the date of return.
 4. The Department Head must then determine whether they are needed originals or photo copies that should be shredded.
- *After the Committee's review and a result has been approved by a majority of the Committee, a letter of recommendation from the Department Head (as member of the selection committee) should be sent to the Director of the Office of Management & Budget requesting Mayoral approval of a contract award. This letter should contain all pertinent information pertaining to the RFP, ex: the firm recommended for award of the contract, the other firms who also submitted proposals, cost associated with the RFP, terms of the RFP, insurance documents, if required, account number that this being charged, etc. The Mayor has the right to request additional information from the Committee.*

- *If approved, the Department Head will then type and sign a second letter (sent to the Director of the Office of Management & Budget) but addressed to the City Clerk that requests placement of the item on the Council Agenda by the City Clerk. The Director of the Office of Management & Budget will then forward said letter to the Clerk requesting and awaiting subsequent Common Council approval of legislation.*
- *Once Common Council approves legislation for award, the Budget Secretary can inform the selected awardee(s) of our intent to award and for the awardee to provide all required paperwork.*
- *The Corporation Counsel, or his/her designated Assistant, Corporation Counsel will then forward a legal contract with appropriate paperwork to the firm. Once all of the required paperwork is signed, submitted and approved, the Law Department will draft & ultimately approve with each of the awardees, a legal contractual agreement. At that point the document can be executed.*
- *Upon completion of the signed, executed RFP contract, the Law Dept. will forward a copy to the requesting Department and to the Office of Mgmt. & Budget/Division of Purchase.*
- *The entire RFP package is then filed in the Division of Purchase.*
- *At this point the contract services can be scheduled and utilized. Payment(s) require Department Head signed approval confirming that the services were provided in accordance with the contract. Payment(s) should be made and issued via signed and confirmed straight claim payment(s) to the Department of Finance, Bureau of Accounts.*
- *Process complete.*

WAIVER OF RFP PROCESS

- *Please note that the Mayor, at his/her option may waive the RFP procedure in those instances where the Mayor determines that a waiver is a matter of public necessity. The Department Head needs to request the waiver in writing via two letters both sent to the Director of Management and Budget.*
- *One letter addressed to the Director of the Office Management and Budget, Division of Purchase requesting a Mayoral waiver of the RFP process and a second letter (also sent to the Director of the Office of Management & Budget) but addressed to the City Clerk that requests placement of the item on the Council Agenda.*
- *The Director of Management and Budget will forward the second letter to the City Clerk (assuming Mayoral approval has been given) for placement on the Council next agenda.*
- *If the Council approves legislation and issues an ordinance, the Department may proceed with purchases utilizing the City's purchasing procedures.*

*Office of Management & Budget
Division of Purchase*

PART TWO

RULES AND PROCEDURES TO BE FOLLOWED BY ALL DEPARTMENTS WHEN REQUESTING PROFESSIONAL SERVICES UNDER \$10,000.00

Listed below are the rules and procedures to be followed by all departments when requesting professional services with a cost UNDER \$10, 000.00.

All professional services expected to cost \$10k or less can be solicited from qualified firms by formal quotation request letter directly from the requesting department. A minimum of three quotations must be obtained, assuming that there is actually competition (in some instances the service may only be obtained by a sole source that you must document).

This is a much simpler process than the full, formal RFP solicitation. However, a legal agreement issued by the Law Department is still required to execute the binding contract for the services. Insurance and/or bonding **may be required** as circumstances dictate.

Before the Office of Management & Budget, Division of Purchase approves the use of this process, you must be absolutely certain that you will not exceed \$10K. In fact, if there are a significant number of local vendors that can provide the professional service desired, then formal RFP should be issued. We do not wish to exclude anyone or give the appearance of doing so. Also, remember that they are professional service quotes and not bids. Therefore, the entire process is confidential and NOT PUBLIC.

Note: If software and/or networking is involved, you must research any software & scope with **City Information Technology staff** before we will consider issuing the RFP as they have the technical expertise not only to insure compatibility with existing software, but must approve the usage of said new software.

- An approval request letter, along with a minimum of three written quotes, if available, obtained by the requesting Department from legitimate professional sources. The letter will request Mayoral approval of the requested service with an explanation of the subjective selection that was made in the best interests of the City.
- The Department Head must send two letters to the Director of Management & Budget, Division of Purchase. One letter addressed to the Director of the Office Management and Budget, Division of Purchase requesting Mayoral approval of the professional services **and a second letter (also sent to the Director of the Office of Management & Budget) but addressed to the City Clerk that requests placement of the item on the Council Agenda.**
- Once the Mayor has approved the selected professional services quote, the Director of the Office of Management and Budget, Division of Purchase will then forward the second letter to the City Clerk for placement on the Common Council agenda for approval of legislation.

Office of Management & Budget
Division of Purchase

- *After the Common Council approves the requested professional service contract and the Office of Management and Budget, Division of Purchase receives the ordinance from the City Clerk adopting this contract, the Office of Management and Budget will then send an “intent to award” letter to the firm. This letter will include all documents required to complete the contract as well as requesting all insurance certificates, if required.*
- *When all the paperwork is received from the awardee, the Office of Management and Budget will then send the paperwork and a memo to the Corporation Counsel requesting a legal contract be prepared.*
- *The Corporation Counsel, or his/her designated Assistant Corporation Counsel, will then forward a legal contract to the firm requesting their signature. Upon receipt of completed contract, the Law Department. will forward a copy to said City of Syracuse Department and to the Office of Management and Budget, Division of Purchase.*
- *Then the operating Department who requested the service can proceed with procuring services. By this time, all documents have been obtained, and then the Division of Purchase has the file completed.*