

	City of Seattle Department of Finance and Administrative Services City Purchasing and Contracting Services	Document: Small Works Policy
	Contact: Jason Edens, Sr. Program Administrator (3-9583)	Last Update: August 2012

Signed: 
 Nancy Locke, Director

1.0 Purpose

The establishes guidelines and procedures for any City small public work rosters. City Purchasing and Contracting Services has established this policy, pursuant to our authority to do so on behalf of the City, to guide the development, implementation and utilization of Small Work Rosters for City department use.

2.0 Authority

State Law, RCW 39.04.155-210, allows jurisdictions within the State of Washington to establish small works rosters to award contracts for public works construction, building, renovation, remodeling, alteration, repair or improvement of real property for work estimated to cost \$300,000 or less.

Seattle Municipal Code Title 3, gives the authority to administer the City’s public works contracting processes and execute contracts for public works to the Director of Finance and Administrative Services (FAS). Such authority is administered through FAS’s Purchasing and Contracting Services (PCSD).

Seattle Municipal Code 20.40.020 states the City will establish and administer a small works roster for use on Seattle public works projects.

3.0 Policy

3.1 Departments shall first pursue and use Job Order Contracts (JOC) for any public work projects estimated to cost \$300,000 or less, whenever the JOC provides an appropriate, reasonable and effective method for the department to accomplish their project. Emergency public work should be considered under the Emergency Policy and contracting process.

3.2 Should the JOC be unsuitable for certain situations, PCSD may set up small works roster(s). PCSD would establish such rosters to meet a specific, defined purpose. The roster(s) will target the specific type of work that is of concern, whether that means a geographically based roster, or a specific type of work, or similar.

3.3 PCSD will solicit contractor’s near the geographical location that the Roster intends to support. It is intended that the Roster support the social responsibilities most appropriate to the particular purpose, whether that be to support women and minority firms, women and minority workers, local workers or other similar social equity purposes.



3.4 A department can request PCSD establish a Roster, if they identify a significant ongoing and repetitive need which is not reasonably met by the JOC contracts. Such a need would have sufficient likely expenditure to make the Roster worthwhile for both the City and the contractors. The Roster could be limited to a specific type of work, or a specific geographical location, or other similar specified purposes. A department would initiate the request to PCSD.

3.5 The Small Works Roster projects must stay within State RCW limits, which are \$300,000 (2012), and includes any changes to the estimated cost after the project gets underway.

3.6 PCSD shall allow the *limited public works provisions* of 39.04.155 (3) to apply to any eligible project, which are those less than \$35,000 in projected value. This means, PCSD will not apply bonding requirements unless a particular risk is identified.

3.7 Per RCW 39.04.155(4), a larger projects cannot be broken up for the sole purpose of fitting within small works roster dollar thresholds.

3.8 Regulated materials, hazardous waste or substances, contaminated soils, or other pollution risks will be abated through the City’s blanket contracts and not covered in the work of the small works roster. This is intended to assure proper qualification, insurance and expertise to perform the work.

4.0 Definitions

All definitions included in the City Standards apply.

Administering Department	A department who has established a significant need and an appropriate budget, has been approved by PCSD and set up a need specific small works roster. Additionally, the department which will administer the Work of a Small Works Project.
Small Works Project	Public works projects that are estimated cost of \$300,000 or less as defined by 39.04.155
Small Works Quote Request	The package an administering department will submit to PCSD to approve solicitation for quotes on the applicable small works roster.
City Standards	The current edition of the Standard Specifications for Road, Bridge, and Municipal Construction.
Small Business	Registered contractors with less than \$1M annual gross revenue as reported on their federal tax return
Limited Public Works	As defined by 39.04.155(3) is projects estimated to cost under \$35,000 (\$34,999).
PCSD	City Purchasing and Contracting Services, a Division of the Department of Finance and Administrative Services.



5.0 Procedures

5.1 Application

5.1.A. PCSD will annually solicit interested firms to apply for acceptance onto one of the City’s Small Works Roster(s). Applications can be received at any time throughout the year, but advertisements will be placed only once a year. Application will be submitted in hard copy, to provide general company information, work experience, information that evidences responsibility and appropriate insurance, as well as a statement of the company bonding capacity. Performance bonds will be requested only when needed to perform an awarded project.

5.1.B. PCSD will collect and promptly review the applications. If needed, PCSD will also route to the interested department for their input. PCSD will notify the company of their placement.

5.1.D. All applicants will remain on the roster without an automatic termination. PCSD will review the firms annually, given resource availability, and may remove applicants that are no longer qualified, have lapsed or inappropriate responsibility qualifications, or appear to no longer be in business.

5.2 Requesting Quotes Using the Small Works Roster

Once a roster is established through and application process:

5.2.A. The Administering Department Request to PCSD

The Administering Department will send a [Small Works Roster Quote Request Form](#) to PCSD which includes: (1) a Description of Work, estimated value, Work Elements, equipment to be furnished, and any product/material required, and Applicable Standard Specification Section(s); (2) Form of Quote (bid form) (lump sum, bid item); (3) any available drawings, reference materials, supporting documents, etc.; (4) a Site Map including staging area if available; (5) Permits required and any contractor specific requirements. Administering Departments need to permit projects appropriately; the small works roster policy doesn’t waive permitting.

5.2.B. PCSD Small Works Roster Quote Request Approval

1. PCSD will review the request for completeness and determine any insurance or bonding needs.
2. PCSD will create a closed- solicitation in eBid, that will only be viewable for invited Roster companies.

5.2.C. Electronic Quote Solicitation

PCSD will request quotes from appropriate Roster companies. If PCSD does not solicit every eligible company, that all remaining contractors on the appropriate roster will be notified that a project was solicited. On projects less than \$150,000, PCSD may solicit to no less than 5 approved applicants but will not need to send any additional notification to remaining roster firms.

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For projects less than \$35,000 (Limited Public Works), PCSD may solicit only 3 contractors, and may also limit solicitations to Small Businesses that are on the appropriate roster.

1. Quotes will be received electronically through Ebid, with either a unit price or a lump sum cost. Time and material requests are not be permitted under the Small Works Contract.
2. The selected contractor will provide any required documentation PCSD may require such as proof of current insurance through an ACORD Certificate.

5.2.D. Once quotes are received and tabulated, PCSD will notify the administering department. The department may chose to review or may waive and PCSD would then directly proceed.

5.2.E. Once the apparent low bidder is identified, PCSD will verify bidder responsibility.

5.2.F. After responsibility has been established, PCSD will notify the Contractor of the City's Intent to Award, collect the bond if applicable, and Award the Contract.

5.3 Small Works Contract Administration

5.3.A. PCSD has standard contract boilerplate for Small Works Contracts. The solicitation documents will be incorporated into the Contract as technical provisions of the Work. PCSD will make any contract modification determinations.

5.3.B. Once PCSD awards the Small Works Contract, the administering department can issue a Notice to Proceed, issuing the date contractor is to begin Work and the number of Working Days.

5.3.C. Change Orders

The Administering Department will be responsible for Change orders, and will follow the Change Order Policy. Change Orders should not allow the contract to exceed a total cost of \$300,000.

5.3.D. Unforeseen/ Changed Conditions

1. Hazardous materials or contaminated soils will be handled by the Administering Department.
2. Other unforeseen or changed condition situations will follow current City Standards.

5.3.E. Payment Applications

1. Payment applications will be handled the same as other public works.
2. Payment applications will be approved by PCSD
3. Contractor's will submit all Intents to Pay Prevailing Wages

5.3.F. Close Out

1. When the Administering Department determines work is Substantially Complete, the department will send PCSD an Acceptance Letter.
2. PCSD will close out the project and release retainage as appropriate.



Revisions

The revision history section shows the history of policies and procedures for this particular policy. The original document is always 1.0.

Version #	Revised Date	Description	Approved Date
1.0	9/19/2012	Small Works Policy	