

# EXHIBIT 6a(v)

Metra's Informal Quotations and Award Procedure

**INFORMAL QUOTATIONS AND AWARD**

**I. PURPOSE**

This procedure provides instructions for the solicitation and award of bids for purchases of materials and services where the estimated cost is less than \$10,000.00.

**II. POLICY**

This procedure is applicable to all purchases under \$10,000.00, except as provided for in:

- Direct Purchases, PU-13-RC, or
- Blanket Purchase Orders and Release Notices, PU-09-RC, or
- Procurement Card Purchases, PU-21-RC, or
- Exceptions to Competitive Bidding as stated in Commuter Rail Board Ordinance, 12-03, or the most current document.

Purchases that amount of \$10,000.00 or more are described in Formal Quotation and Awards, PU-05-RC.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than three bids are obtained, the reason(s) should be documented. However, when using Metra’s Procurement Card (see PU-21-RC), Procurement may follow the FTA’s 4220.1F requirements for “Micro-Purchases”. Micro-purchases are for services or materials valued at \$3,000 or less. A single quote may be received, and the only documentation required for micro-purchases is a determination that the price is fair and reasonable and a description of how the determination is made.

When a sole source is specified, a written memorandum explaining that the vendor is the only source for the materials and/or services must be provided. The memorandum must be signed by the Director of the Requisitioning Department or Division, the Senior Director, as appropriate, and the Deputy Executive Director.

Bid quotations as specified herein, may be obtained by telephone, fax, or electronic document. The solicitation documents must also include as an Exhibit the Federal Transit Administration required contract clauses. When specifications cannot be clearly defined or bids cannot efficiently procured by telephone, written bids will be necessary.

For purchase orders that include capital funds, a price/cost analysis and history of procurement must be prepared and maintained on file if a single bid or sole source. Metra’s policy and procedures for Informal Quotations is a tighter restriction than what is required to meet the Small Purchases requirements under FTA Circular 4220.1F and it also meets the requirements as set forth for Micro-Purchases under FTA Circular 4220.1F.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4e	7-31-13	Materials Management		1	5

**INFORMAL QUOTATIONS AND AWARD**

Multiple awards under \$10,000.00 for the same materials and services in order to avoid the prescribed procedure for formal quotations and awards (PU-05-RC) are prohibited.

Departments should endeavor to accurately forecast their supply needs in order to avoid the need to frequently re-bid a contract.

Purchase orders will be awarded to the lowest, responsive and responsible bidder, if bids are obtained.

**III. DEFINITIONS**

Blue Folder: See Glossary

Requisition: See Glossary

Sole Source: See Glossary

**IV. RESPONSIBILITIES**

Requisitioner/User

Submits requisition(s) and provides adequate specifications for items desired in accordance with Requisitioning of Materials and Services, PU-02-RC. Prepares memorandum justifying sole source requirements, signed by the Director of the Requisitioning Department or Division, the Senior Director or Deputy Executive Director as appropriate, and the Executive Director. Prepares independent cost estimate as required.

Budget Authority

Verifies availability of funds in the appropriate budget account. Reviews signatures and completeness of forms. Department Head, Director, or other designated person signs approval in box #25 on Purchase Requisition form (RC73) after checking budget. Maintains a record of all requisitions and purchases to ensure that budget limitations are not exceeded. Verifies proper Account/Distribution codes. If the requisition is approved, advise the Risk Management Division of the purchase of real property, new equipment, material, construction activities and other insurable items.

Procurement or Professional Services/Contracts Division

Determines the method of obtaining quotations. Solicits quotations and selects the lowest responsive and responsible bidder. Where possible, solicits bids to secure a minimum of three (3) qualified vendors. Receives and records all bids received. If capital funds are involved, the Federal Clauses Exhibit must be included in the solicitation documents, makes the award with approval from General Development Department. For items that are sole source, prepares memorandum justifying sole source requirement to Materials Management Department Head.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4e	7-31-13	Materials Management		2	5

**INFORMAL QUOTATIONS AND AWARD**

Obtains signature of the Department Head, Materials Management and the Deputy Executive Director. Prepares purchase order and distributes copies to Accounts Payable, and if capital funds are involved to General Development. Advises the Risk Management Division of the purchase of real property, new equipment, construction activities, and other insurable items. Maintains contract files to show documentation for all contract phases and activities.

General Development Department

Obtains all necessary approvals from required funding agencies. Reviews and approves purchase order when capital funds are involved. Forwards purchase order to Accounts Payable.

Accounts Payable

If capital funds are involved, encumbers funds, and forwards purchase orders to the Procurement or Professional Services/Contracts Division.

**V. INSTRUCTIONS**

**Responsibility**

**Action**

- |  |    |   |
|--|----|---|
| Requisitioner/User/Budget Authority                                | 1. | In accordance with Requisitioning of Materials & Services, PU-02-RC, submit completed Purchase Requisition form (RC73, see Exhibit I in PU-02-RC, Requisitioning of Materials & Services) to:<br>a) General Development Department, if capital funds are involved, for review and required actions. Then proceed to Step 2: or to<br>b) Procurement Division, or Professional Services/Contracts Division, if capital funds are not involved. Then proceed to Step 3. |
| General Development Department                                     | 2. | Receive and review purchase requisitions. Take required actions and forward to Procurement Division, or Professional Services/Contracts Division, if capital funds are available.   |
| Procurement Division or Professional Services / Contracts Division | 3. | Receive Purchase Requisition form (RC73, see Exhibit I in PU-02-RC, Requisitioning of Materials & Services). Review and approve for processing. Input into Purchase Order system.   |
|  | 4. | Forward approved pink copy of requisition to DBE Administration for their information.  |

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4e	7-31-13	Materials Management		3	5

**INFORMAL QUOTATIONS AND AWARD**

**Responsibility**

DBE Administration

**Action**

5. Review requisition and recommend additional DBE vendors for quotation solicitation. Forward pink copy and additional vendor list to Procurement or Professional Services/Contracts.

**Responsibility**

Procurement or Professional Services / Contracts Division

**Action**

6. Telephone, fax, or electronic bids: Obtain telephone, fax, or electronic bids from three or more vendors. Record the bids on the Bid Tabulation form (RC737, see Exhibit I). If less than three bids are solicited, document the reason on the form. Whenever possible, make sure one of the bidders is a DBE vendor. Designate the DBE vendor on the Bid Tabulation Sheet. Proceed to Step 9.
7. Written Bids: If the specifications cannot be clearly defined or bids efficiently procured by telephone, fax, or electronically, mail a written Invitation for Bid form (RC75, see Exhibit II), to prospective bidders.
8. Review submitted bids. Record on Bid Tabulation form (RC 737, see Exhibit I), and sign.
9. Select the lowest responsive and responsible bidder for the award. Review the bids with the Requisitioner, as necessary.
10. Prepare the Purchase Order for approval. Follow the “blue folder” process, as applicable.
11. Receive approvals of purchase order from “blue folder” process, if applicable. Issue purchase order to the lowest responsive and responsible bidder. Distribute copies of purchase order as follows:

Vendor:  
 Vendor Copy

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4e	7-31-13	Materials Management		4	5

INFORMAL QUOTATIONS AND AWARD

Responsibility

Action

Accounts Payable:  
Accounts Payable Copy

Responsibility

Action

Procurement or Professional Services/Contracts  
Division:

Procurement Copy

Requisitioning Division:

Budget Authority Copy and  
Receiving Copies

General Development Department:

Capital copy (if capital funds are involved)

General Development's copy must be  
accompanied by Purchase Order Accounting  
Data Sheet.

Accounts Payable

12. Receive copy of signed purchase order and  
encumber funds.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4e	7-31-13	Materials Management		5	5