



Vermont Agency of Transportation

Changes to Key Personnel

Changes to Key Personnel proposed by Design Build teams shall be handled by VTrans in accordance with this Procedure.

Prior to Contract Execution:

- The Point of Contact (POC) shall be notified, in writing, by the Design Build Team of request to change Key Personnel, per the RFP.
 - The POC will notify the VTrans Project Manager (PM) that a request has been made.
 - The POC will perform an Administrative Review and may request additional informational from the Design Build Team.
 - The proposed change must contain all requirements as were required in SOQ (i.e. explanation of extraordinary circumstance requiring the change, resume, updated organizational chart, equivalent information as required by the Request for Qualifications documenting the qualifications of proposed Key Persons are equal to or better than the previous Key Person and provide a comparison to the Key Person that they are replacing, as well as any additional supplemental information requested by VTrans).
 - IF NOT ADMINISTRATIVELY COMPLETE:
 - POC will notify VTrans PM
 - POC will return to Design Build Team requesting additional information.
 - IF ADMINISTRATIVELY COMPLETE:
 - POC will send the request to VTrans PM and form Key Personnel Review Committee. .
- Formation of Key Personnel Review Committee (KPRC)
 - The POC will notify the TEC Chair and PM and form a KPRC consisting of at least:
 - VTrans PM
 - A minimum of two additional TEC members
- Review of Request
 - KPRC reviews for "equal or better" qualifications and comparison, as per the RFP.
 - KPRC may request more information to be requested by POC.
 - KPRC forms consensus decision for approval or denial of request.
 - Memo is drafted by the KPRC with summary of findings and formal recommendation to approve or deny the request
 - Communication of Determination:
 - Memo is approved by the Director of Project Delivery Bureau and then sent to POC.
 - Determination is sent by POC to the DB team.
- Document approved Changes

The Project Manager shall include the updated organizational chart and documentation supporting the key personnel changes into the proposal clarification documents to be sent to the DB team for concurrence.

No changes to Key Personnel will be accepted between *Price Proposal Opening* and *Contract Execution*.

After Contract Execution:

- The Resident Engineer (RE) shall be notified, in writing, by the Design Build Team of request to change Key Personnel, per the RFP.
 - The RE will notify the PM that a request has been made.
 - The RE will perform an Administrative Review and may request additional informational from the Design Build Team.
 - The proposed change must contain all requirements as were required in SOQ (i.e. explanation of extraordinary circumstance requiring the change, resume, updated organizational chart, equivalent information as required by the Request for Qualifications documenting the qualifications of proposed Key Persons are equal to or better than the previous Key Person and provide a comparison to the Key Person that they are replacing, as well as any additional supplemental information requested by VTrans).
 - IF NOT ADMINISTRATIVELY COMPLETE:
 - RE will notify VTrans PM
 - RE will return to Design Build Team requesting additional information.
 - IF ADMINISTRATIVELY COMPLETE:
 - RE will notify the VTrans PM and form Key Personnel Review Committee.
- Formation of Key Personnel Review Committee (KPRC)
 - The RE shall form a KPRC consisting of at least:
 - Resident Engineer
 - VTrans PM
 - Regional Construction Engineer
- Review of Request
 - KPRC reviews for “equal or better” qualifications as per the RFP.
 - KPRC may request more information to be requested by RE.
 - KPRC forms consensus decision for approval or denial of request.
 - Memo is drafted by RE with input from VTrans PM with summary of findings and formal recommendation to approve or deny the request
 - Communication of Determination :
 - Memo is approved by the Regional Construction Engineer.
 - Determination is sent by RE to the D-B team.
- Document approved Changes
Required updated organizational chart and supporting documentation supporting the Key Personnel change request will be submitted by the DB team to the RE.

Note: Some Projects may include Incentives/Disincentives for not maintaining the Project Team. See the RFP and Post Award Procedures for more information.

Finance & Administration

Contract Administration

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www.aot.state.vt.us [ttd] 800-253-0191**KEY PERSONNEL CHANGE RESPONSE**

To: **DB Team**

From: **Molly Perrigo, Alternative Contracting Specialist (or Resident Engineer)**

Date: **Date**

Re: **Project Name (Number) Key Personnel Change Response**

EXAMPLE -APPROVE

Please be advised that after review by committee, VTrans has determined that the qualifications of the proposed substitute **NAME2**, meet or exceed the qualifications of the original QAM, **NAME1** and hereby accepts the proposed Key Personnel change by which **NAME1** replaces **NAME2** as the **Quality Assurance Manager**.

EXAMPLE – DON'T APPROVE

VTrans received and reviewed your request to change the **Quality Assurance Manager (QAM)** from **NAME1** to **NAME2**. Based on the presented information, VTrans has determined that the qualifications of the proposed substitute, **NAME2**, do not meet or exceed the qualifications of the original **QAM, NAME1**. Therefore, VTrans does not authorize the substitution proposed. It is the responsibility of the DB Team to fill this Key Personnel position in order to remain on the on the “Short List” for this project.

The qualification concerns for the proposed QAM that contributed to the above-described determination are as follows: **(LIST REASONS)**

1. No experience was listed as a QAM on previous design-build projects. No additional information was provided that demonstrates that the proposed substitution has any current knowledge of design-build project delivery.
2. No experience was supplied to indicate that the substitute has equivalent experience with VTrans projects and specifications on either design or quality assurance.
3. No previous experience was listed for precast/prestress concrete quality assurance. The QAM is responsible for quality assurance of the production and erection of the girders, so this lack of experience is an important consideration.

EXAMPLE – DON'T APPROVE

VTrans received and reviewed your request to change the **Quality Assurance Manager (QAM)** from **NAME1** to **NAME2**. Based on the information presented at this time, VTrans has determined that the qualifications of the proposed substitute, **NAME2**, meet or exceed the qualifications of the original QAM, **NAME1**. However, VTrans is concerned with the availability of **NAME2** given his role on the Brattleboro Design Build project. VTrans does not feel that Mr. French can perform the required duties as QAM on both Design Build projects at the same time. Therefore, VTrans does not authorize the substitution proposed.

EXAMPLE – DON'T APPROVE

VTrans received and reviewed your request to change the **Environmental Compliance Officer (ECO)** from **NAME1** to **NAME2**. Based on the information presented at this time, VTrans has determined that the qualifications of the proposed substitute, **NAME2**, do not meet or exceed the qualifications of the original **ECO, NAME1**. Therefore, VTrans does not authorize the substitution proposed.

Please be advised that failure to provide accepted Key Personnel may result in your Technical Proposal being found Non-Responsive.

Cc: FHWA

VTrans Project Manager