



Proposal for  
**Public Sector Procurement Consulting Services**

In response to  
**RFP #2021-083**

Submitted  
**December 2, 2021**



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## TAB A COVER SHEET

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This section includes the following:

1. The completed page 1 of the solicitation document
2. Signed Addenda 1, 2, and 3
3. A brief statement of the respondent's understanding of the work to be done and a summary of its qualifications





**REQUEST FOR PROPOSALS**  
**For**  
**Public Sector Procurement Consulting Services**  
**RFP # 2021-083**

Sealed proposals will be accepted until **2:00 PM CT, Tuesday, November 23, 2021**, and then publicly opened and read aloud thereafter.

Calyptus Consulting Group, Inc.

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Legal Name of Proposing Firm

Dr. George Harris

President

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Contact Person

Title

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Telephone Number

E-Mail Address

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Street Address of Principal Place of Business

City/State

Zip

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Cambridge

02139

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Complete Mailing Address

City/State

Zip

Acknowledgment of Addenda: #1   X   #2   X   #3   X   #4        #5       

By signing below, you hereby certify that the information contained in this proposal and any attachments is true and correct, and may be viewed as an accurate representation of proposed services to be provided by this organization. You agree that failure to submit all requested information may result in rejection of your company's proposal as non-responsive. You certify that no employee, board member, or agent of the North Central Texas Council of Governments has assisted in the preparation of this proposal. You acknowledge that you have read and understand the requirements and provisions of this solicitation and that the organization will comply with the regulations and other applicable local, state, and federal regulations and directives in the implementation of this contract. And furthermore that I certify that I am legally authorized to sign this offer and to submit it to the North Central Texas Council of Governments, on behalf of said offeror by authority of its governing body.

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Authorized Signature



**ADDENDUM TO THE  
REQUEST FOR PROPOSALS  
North Central Texas Council of Governments  
Public Sector Procurement Consulting Services**

**ADDENDUM NO. 1**

**DATE ISSUED: November 4, 2021**

**REQUEST FOR PROPOSALS NUMBER: NCT-2021-083  
ORIGINAL RFP SUBMISSION DATE: November 23, 2021  
REVISED RFP SUBMISSION DATE: December 2, 2021**

RFP NCT-2021-043, dated October 25, 2021, is hereby amended to incorporate in full text the following provisions:

The solicitation schedule for this RFP has herby been amended as follows:

Section 3.5 Solicitation Schedule:

RFP Issued	October 25, 2021	
Pre-Proposal Conference	November 10, 2021	2:00 PM CST
Inquiry Period Ends	November 23, 2021	5:00 PM CST
Proposal Due Date	December 2, 2021	2:00 PM CST
Executive Board Meeting	January 2021	
Anticipated Start Date	January 2021	

Brent Moll  
Buyer II

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**Proposers: Please acknowledge and return a copy of this Addendum with your proposal.**

COMPANY NAME: Calyptus Consulting Group, Inc.

SIGNATURE: 

**NOTE: Company name and signature must be the same as on the RFP documents.**



**ADDENDUM TO THE  
REQUEST FOR PROPOSALS  
North Central Texas Council of Governments  
Public Sector Procurement Consulting Services**

**ADDENDUM NO. 2**

**DATE ISSUED: November 10, 2021**

**REQUEST FOR PROPOSALS NUMBER: NCT-2021-083  
ORIGINAL RFP SUBMISSION DATE: November 23, 2021  
REVISED RFP SUBMISSION DATE: December 2, 2021**

RFP NCT-2021-083, dated October 25, 2021, is hereby amended to incorporate in full text the following provisions:

- **Section 7.0: Instructions for Respondents**  
To eliminate confusion, NCTCOG/SHARE has elected to remove the following question from Section 7.0 Tab D, Technical Proposal: *Can you provide references for procurement projects similar to ours?*
- **Attachment VI Certification Regarding Disclosure of Conflict of Interest**  
Remove Attachment VI Certification Regarding Disclosure of Conflict of Interest, Conflict of Interest Questionnaire and replace with the attached Conflict of Interest Questionnaire (REVISED) included in this Addendum #2.

Brent Moll  
Buyer II

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**Proposers: Please acknowledge and return a copy of this Addendum with your proposal.**

COMPANY NAME: Calyptus Consulting Group, Inc.

SIGNATURE: 

**NOTE: Company name and signature must be the same as on the RFP documents.**

**Question #39**

Is the certification number and expiration date considered verifiable documentation for CPPO/PPB/PMP, etc?

**Answer 39: Yes**

**Question #40**


Under Exhibit B: Tabs H, I, J, and K. Please clarify the expected deliverables. Are these items expected to be requirements in the procurements we would be assisting our clients in developing? For example, section H, is the deliverable to include this as a requirement in the procurement we would be assisting in developing or is the deliverable to create a DBE program or would we need to partner with a DBE to perform the work requested?

**Answer 40: All services requested could be desired by potential SHARE clients, therefore providers should be able to provide each of them, if so desired.**

Brent Moll  
Buyer II

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**Proposers: Please acknowledge and return a copy of this Addendum with your proposal.**

COMPANY NAME: Calyptus Consulting Group, Inc.

SIGNATURE: 

**NOTE: Company name and signature must be the same as on the RFP documents.**

## 5. Statement of understanding and summary of qualifications

This proposal is to deliver procurement consultancy services to the NCTCOG and member communities on an as-needed basis. These services will be provided directly to these organizations across the spectrum of procurement activities ranging from procurement planning to the conduct of procurement processes as part of the SHARE Cooperative Purchasing program. The primary emphasis of the work would be to supplement existing procurement personnel to assist SHARE members in the procurement of products and services. These services would include:

- 1) Requisition development including independent estimates and specifications/SOWs
- 2) Solicitation development
- 3) Advertising and solicitation management
- 4) Receipt of bids and proposals
- 5) Evaluation of bids and proposals
- 6) Conducting negotiations and CAPA
- 7) Development and execution of contract documents
- 8) Contract administration
- 9) Policy and procedure development
- 10) Template and form development
- 11) Assurance of documentation
- 12) Assurance with grant and grantor procurement requirements
- 13) DBE development, goal setting, and utilization
- 14) Conduct of market research for available resources, and justification for sole source if applicable
- 15) Specific guidance for specific methods of procurement such as RFP, IFB, RFI, QBC, Sole Source, Design Build and others
- 16) Research and use of available cooperative agreements with Texas and with GSA, State, and other contract holders
- 17) Assistance with negotiations for RFPs, sole sources, and change orders
- 18) Compliance with Buy America
- 19) Compliance with 2 CFR 200 requirements

The potential set of work assignments are wide-ranging and Calyptus has experience in all areas of potential work based on our nearly 30 years of work in public sector procurement consulting and training.

### Summary of Qualifications

Calyptus Consulting Group, Inc. was incorporated in June 1992 as an independent company focusing on improving supply management performance for clients. We are a small business operating from offices located in Cambridge, Massachusetts. Dr. George Harris is the company's president and principal. Since we are small, we can react quickly and responsively without the lag time experienced by large companies. We are experts in conducting procurement assessments, completing procurement benchmarking, and identifying recommendations for an ideal future state structure. We have over 28 years of experience performing the work described in the RFP, particularly for Counties and municipalities.

We are widely respected in the supply chain and general management areas; and recognized by ISM (formerly National Association of Purchasing Management), NCMA (National Contract Management Association) and American Management Association (AMA), as a firm having unique acquisition and facilitation expertise. We have worked with multiple clients to assess operational functions, level of staffing, policies and procedures, and technology. We have worked in most states completing the work envisioned in the RFP, for counties, cities, transit agencies, and non-profit organizations.

#### Services We Provide

Calyptus specializes in providing facilitation, consulting, and training solutions to clients to improve quality, supply chain management, core competencies and organizational performance. We assist Fortune 500 companies and government clients developing custom-made procurement and contracting strategies that focus on and improve client capabilities, performance and goals.

Calyptus prides itself on the ability to provide services that address purchases made by including basic manufacturing, electronics, defense/aerospace, government, software, financial services, consumer goods, chemicals and oil industries, and health care organizations.

Our mission is to help our clients with the ever-changing dynamics of managing change. We guide clients through improving their human resource capability. We train client staff and assist in implementation of continuous improvement initiatives. We also assist companies in developing an overall procurement strategy that is necessary to ensure that alignment exists across all organizational departments.

We offer a proprietary human resource utilization assessment that can apply to any organization. We also employ a 6-Step Continuous Improvement Model that assists our clients in improving production and administrative processes. We help clients assess their entire organizational culture and leadership by using standardized, proven techniques and questionnaires.

Our staff serves as temporary resources performing management, quality and systems functions. We perform organizational assessments, evaluating staffing, assigned roles and responsibilities, consolidation of tasks, centralization vs. decentralization, and process improvement possibilities.

Calyptus Consulting Group's consulting services encompass all supply management best-in-class practices and approaches and have used these practices on an array of projects as noted below:

CONSULTING	
Facilitation	
<b>U.S. Army Military Transportation Management Command (Now SDDC)</b>	
Performance Based Contracting	
<ul style="list-style-type: none"> <li>Facilitated the development of an acquisition plan and PBS work statement for the services performed by MTMC Puerto Rico.</li> </ul>	

<b>GSA Region 10</b> Change Management <ul style="list-style-type: none"> <li>Facilitated the team of 60 contracts staff to create a new strategy, objectives, measures, and implementation plan. Created and implemented a three day team development session.</li> </ul>
<b>Tyco</b> Supply Chain Organizational Development and Team Structuring <ul style="list-style-type: none"> <li>Facilitated the development of a common strategy across all Tyco divisions. Developed team projects and implementation plans. Facilitated worldwide teams in the U.S. and Europe.</li> </ul>
<b>Acquisition Improvement</b>
<b>Mental Retardation and Developmental Disabilities Administration (MRDDA)</b> Acquisition Improvement <ul style="list-style-type: none"> <li>Performed an assessment of contract management activities. Developed implementation plan and policies and procedures.</li> </ul>
<b>Continuous Improvement</b>
<b>Ken's Foods</b> Continuous Improvement Projects <ul style="list-style-type: none"> <li>Managed over 40 continuous improvement projects to reduce cost by 20% and improve quality by 25%</li> </ul>
<b>Massachusetts Bay Transit Authority (MBTA)</b> Procurement Streamlining Project <ul style="list-style-type: none"> <li>Studied procurement practices and recommended action to streamline logistics.</li> </ul>
<b>Pratt &amp; Whitney (P&amp;W)</b> Cycle Time and Inventory <ul style="list-style-type: none"> <li>Reduced the cycle time for logistics and contracting activities.</li> </ul>
<b>Cost Savings Initiatives</b>
<b>Bayer/AGFA</b> Outsourcing Plan <ul style="list-style-type: none"> <li>Conducted a cost savings study to reduce expenditures by \$2.5 Million annually.</li> </ul>
<b>Parametric Technology Corporation (PTC)</b> Outsourcing Plan <ul style="list-style-type: none"> <li>Working with 40 worldwide facilities, Developed OTIS' supply management strategy and helped reduce costs by \$260 million over a 4 year period.</li> </ul>
<b>Global Supply Chain</b>
<b>Otis Elevator Company</b> Corporate Outsourcing <ul style="list-style-type: none"> <li>Working with 40 worldwide facilities, Developed OTIS' supply management strategy and helped reduce costs by \$260 million over a 4 year period.</li> </ul>

<b>Otis Elevator Company</b> Enterprise-wide Training-Contracting <ul style="list-style-type: none"> <li>Performed a needs assessment for training, and a survey to determine characteristics for successful completion of their logistics strategy.</li> </ul>
<b>Lean Management Assessment</b>
<b>Open Ratings</b> Lean Management Assessment Survey <ul style="list-style-type: none"> <li>Developed survey for lean management including factor descriptions, scoring and recommendations.</li> </ul>
<b>Logistics Assessment</b>
<b>Data General (now EMC)</b> Supply Management Assessment <ul style="list-style-type: none"> <li>Conducted a procurement system review covering all major product lines that resulted in savings of \$10 Million, 15% improvement in supplier performance.</li> </ul>
<b>District of Columbia</b> Procurement and Contract Audits <ul style="list-style-type: none"> <li>For the District of Columbia Control Board, performed procurement and contract baseline assessments of the District's major contracting agencies.</li> </ul>
<b>Honeywell</b> Corporate Supply Management <ul style="list-style-type: none"> <li>Assessed core competencies of supply management in the execution of commodity strategies, MRO purchasing, and cross-divisional cooperation.</li> </ul>
<b>Change Management</b>
<b>General Services Administration (GSA)</b> Change Management <ul style="list-style-type: none"> <li>Assisted in managing change from a decentralized to a centralized organization.</li> </ul>
<b>Policies and Procedures</b>
<b>Fleet Bank (FleetBoston)</b> Policies and Procedures <ul style="list-style-type: none"> <li>Developed policies and procedures for procurement operations covering establishing baselines, specification development, bid solicitations, contract negotiations, and testing, implementing and monitoring.</li> </ul>
<b>Greater Bridgeport Transit Authority (GBTA)</b> Policies and Procedures <ul style="list-style-type: none"> <li>Developed policies and procedures for procurement operations.</li> </ul>
<b>John Hancock</b> Policies and Procedures <ul style="list-style-type: none"> <li>Developed a comprehensive policy and procedures manual for strategic sourcing.</li> </ul>



<p><b>NEC USA, Inc. Purchasing and Export Division (NEC)</b> International Procurement Office Procedures</p> <ul style="list-style-type: none"> <li>Developed policies and procedures for international procurement covering purchasing, accounting, material and export control, and office administration.</li> </ul>
<p><b>Court Services and Offender Supervision Agency (CSOSA)</b> Policies and Procedures</p> <ul style="list-style-type: none"> <li>Determined an acceptable process for conducting the oversight activities</li> </ul>
<p><b>LAKETRAN Regional Transit Authority</b> Policies and Procedures</p> <ul style="list-style-type: none"> <li>Completed the review of the Equivalent Service Plan as provided by LAKETRAN and assessed that it met all regulatory needs</li> </ul>
<p><b>SANDAG</b> Performance Monitoring</p> <ul style="list-style-type: none"> <li>Conducted analyzed performance data and tracking for grant monitoring of SANDAG's current programs and grantees</li> </ul>
<p><b>Procurement System Reviews</b></p>
<p><b>Federal Transit Administration (FTA)</b> Procurement System Reviews</p> <ul style="list-style-type: none"> <li>Currently performing logistics audits of rapid transit agencies across the United States. Over 30 full-scale assessments have been performed to-date.</li> </ul>
<p><b>Chester County Pennsylvania</b> Procurement System Review</p> <ul style="list-style-type: none"> <li>Performed an assessment of the status of procurement system through review of policies/procedures/documents, interviews with staff, evaluation of procurement instruments, on-site observation, and research</li> </ul>
<p><b>Rodel (division of Rohm and Haas)</b> Procurement System Review</p> <ul style="list-style-type: none"> <li>Performed procurement assessment of staffing, systems, practices and procedures. Recommended actions to improve efficacy and prepare for growth.</li> </ul>
<p><b>First 5 LA</b> Procurement System Review</p> <ul style="list-style-type: none"> <li>Advised First 5 LA on its procurement and contracting policies processes, and procedures</li> </ul>
<p><b>Nassau Inter-County Express</b> Procurement System Review</p> <ul style="list-style-type: none"> <li>Assisted with the development, supervision, and management of specific public procurement projects in accordance with Federal Transit Administration, New York State, and Nassau County requirements</li> </ul>

<b>Sound Transit</b> Procurement Procedure Review <ul style="list-style-type: none"> <li>Reviewed the current Sound Transit procurement procedure manual, contract examples, research current contracts types used, evaluated the requirements from FTA, the State, and 2 CFR 200, and best practices to develop training for staff</li> </ul>
<b>Western University</b> Purchasing and Procurement Review <ul style="list-style-type: none"> <li>Interviewed Purchasing Services staff, reviewed policies and procedures, and held focus group meetings to assess and document current purchasing processes and various procurement methods</li> </ul>
<b>Wilmington Housing Authority</b> Procurement Policy Review <ul style="list-style-type: none"> <li>Reviewed current procedures, practices, and processes in procurement, assessed the existence of written procedures and the level of compliance with State and HUD requirements, and determined whether the written procedures are being followed</li> </ul>
<b>Supplier Assessment</b>
<b>Screenprint</b> Quality Assessment <ul style="list-style-type: none"> <li>Conducted a Malcolm Baldrige assessment of a growing insurance segment of their business.</li> </ul>
<b>Teradyne, Inc.</b> Supplier Quality and Business Audit <ul style="list-style-type: none"> <li>Developed a supplier audit tool and instituted a plan to improve quality by 50%.</li> </ul>
<b>Supplier Development</b>
<b>FleetBoston</b> Supplier Performance Program <ul style="list-style-type: none"> <li>Developed FleetBoston's corporate supplier performance management program, aimed at improving suppliers' quality and delivery performance by 50%.</li> </ul>
<b>Supplier Integration</b>
<b>Teradyne</b> Outsourcing Assessment <ul style="list-style-type: none"> <li>Developed a supplier audit tool and instituted a plan to improve quality by 50%</li> </ul>
<b>Supplier Rationalization</b>
<b>Otis Elevator Company</b> Supplier Leveraging and Cost Improvement Through Outsourcing <ul style="list-style-type: none"> <li>Working with 40 worldwide facilities, developed OTIS' logistics strategy and helped reduce costs by \$260 million over a 3 year period.</li> </ul>

<b>Strategic Sourcing</b>
<b>Eaton Corporation</b> Organizational Analysis/Supply Management Survey <ul style="list-style-type: none"> <li>Working with 40 worldwide facilities, developed OTIS' logistics strategy and helped reduce costs by \$260 million over a 3 year period.</li> </ul>
<b>National Rural Electric Cooperative Association (NRECA)</b> Effective Outsourcing Management <ul style="list-style-type: none"> <li>Evaluated the effectiveness of the distribution cooperative supply chain and provided recommendations to improve supply chain management performance.</li> </ul>
<b>Tri-State Generation and Transmission</b> Organizational Analysis <ul style="list-style-type: none"> <li>Conducted a results-based study of the logistics organization and recommended improvements.</li> </ul>
<b>United Technologies Corporation (UTC)</b> Supply Management Study <ul style="list-style-type: none"> <li>Conducted a study of corporate executives to determine direction for corporate logistics strategy.</li> </ul>
<b>Total Cost Management</b>
<b>United Technologies Corporation (UTC)</b> Supply Management Improvement <ul style="list-style-type: none"> <li>Helped implement UTC's worldwide cost savings plan, destined to reduce costs by \$1 Billion and suppliers to 40% of current number.</li> </ul>
<b>Organizational Assessment and Design</b>
<b>Johnson and Johnson</b> Organizational Development <ul style="list-style-type: none"> <li>Facilitated the development and implementation of a new acquisition organization for the Pharmaceutical business.</li> </ul>
<b>State of Connecticut</b> Staffing Levels Study <ul style="list-style-type: none"> <li>Evaluated job classifications in the Department of Transportation on a state-wide basis.</li> </ul>
<b>City of Sacramento</b> Organizational and Job Classification Assessment <ul style="list-style-type: none"> <li>Updated job descriptions and functions, as well as policies and procedures.</li> </ul>

TRAINING LINE ITEM	COURSE NAME	CALYPTUS COURSE SPECS
<b>Supervisory and Leadership Development</b>		
	<b>Facilitating Conflict Resolution</b>	<p>This highly interactive workshop focuses on improving conflict resolution skills. Participants will learn how to recognize conflict situations, and apply classic conflict-resolution strategies. We will explore how conflicts arise and discuss ways to maximize individual differences to build collaborative teams and productive relationships. Emphasis will be placed on how to recognize the conflict styles of others, individual behaviors and conflict styles; how to work out differences without making enemies; and ways to prevent conflicts from escalating. Ways to develop a collaborative, team-oriented, and productive workplace will be covered. Specific examples of highly effective team leaders and high performance teams will be given. To ensure active participation, students will have numerous opportunities to apply learning in simulated situations. As a result of attending this course, participants will:</p> <ul style="list-style-type: none"> <li>• Learn how to identify conflict situations</li> <li>• Understand alternate ways to deal with conflict</li> <li>• Receive feedback on style and apply learning</li> </ul>
	<b>Negotiation Strategies and Techniques</b>	<p>This 3-day program will provide participants with methods and strategies that improve their negotiations across a range of areas, within and between teams, and with external suppliers. Negotiating techniques such as planning, choosing styles, deciding tactics, and using agendas and other control mechanisms will be covered. The value of negotiation planning and preparation will be explored, and participants will plan for both one-on-one and team negotiations. Feedback on negotiating styles and tactics will also be provided.</p> <p>As a result of attending this course, participants will:</p> <ul style="list-style-type: none"> <li>• Learn elements of effective planning in negotiations</li> <li>• Understand the strategic and tactical roles and responsibilities of negotiators</li> <li>• Gain knowledge of various tools and techniques to be employed in negotiations</li> <li>• Understand the critical components of the negotiations process</li> <li>• Examine cross functional and cross cultural aspects of negotiations</li> <li>• Learn and apply cost/price analysis techniques</li> <li>• Avoid the key pitfalls people face in buyer-seller relationships</li> </ul>

## **Communications, Diversity and Retirement Courses**

### **Presentation Skills**

In this program participants will learn and practice the basic techniques for making effective presentations in a non-threatening environment. The topics include, planning your presentation, dealing with language and style, and delivering engaging presentations.

As a result of attending this training, participants will:

- Understand the secrets of effective presentations,
- Explore common presentation mistakes and how to deal with fears,
- Explore how to develop presentations that fit their communication goals

### **Facilitation Skills**

During this course participants will learn how to facilitate meetings and group activities in a range of different contexts and with different stakeholders. Useful techniques and tools are explored to keep control of a group, hear all the voices of participants and achieving the desired outcomes. The participants will have the opportunity to reflect on their own facilitation techniques through videoed practice exercises.

As a result of attending this program, participants will be able to:

- Understand the role of facilitator in a variety of different situation
- Explore common mistakes and how to overcome these
- Perform facilitation roles with more confidence using established technique and tools.

### **Ethics and Decision-Making**

This course provides an overview of the requirements of ethics provisions, ethics concepts, rights and responsibilities of staff, compliance and how to make ethical decisions. The course material will be tailored to the specific requirements of participants, using relevant examples and illustrations from their area of work

As a result of attending this course participants will

- Have a greater knowledge of role and importance of ethics
- Be better equipped to undertake ethical decision making
- Understand how this impacts their role, and plan how they can use these skills in their work.

### **Project Management Courses**

#### **Cost and Schedule Estimation and Analysis**

This program provides the knowledge and skills for creating detailed and fully compliant cost estimates and schedule estimates. The course teaches skills that are used across the project lifecycle, but with particular focus on project planning and early project execution.

As a result of attending this course, participants will:

- Understand the elements of Cost and Price Analysis
- Be able to identify and develop cost and schedule estimates and constructively review all cost components
- Know how to develop independent cost and schedule estimates and how
- Better understand when to apply the various potential techniques in more complex procurements

#### **Life Cycle Cost Estimating**

The program provides participants with the understanding and skills to undertake life-cycle estimating for their organizations. Examples from equipment, service, outsourcing, and custom products will reinforce learning and application.

As a result of attending this course, participants will:

- Provide a working knowledge of Life Cycle Cost (LCC) estimating
- Describe how and when LCC techniques are used
- Define LCC methods and processes
- Apply the LCC tools to specific examples

### **Acquisition Management Courses**

#### **Acquisition Management for Technical Personnel**

In this program participants will explore the full cycle of the procurement process to ensure participants understand each step and their role in the process. Topics covered include current factors influencing the acquisition process; the federal acquisition environment; government acquisition; contracting methods; elements of a government solicitation and contract; setting evaluation criteria and performing technical evaluations; managing the schedule; key contract terms and conditions; contract interpretation; inspection and acceptance; reporting/statusing; delays in supplier performance; contract changes; managing changes and claims; pricing adjustments; and bankruptcy.

As a result of attending this course, participants will:

- Understand the government acquisition process
- Gain an awareness of the customer organization and the roles and responsibilities for managing the acquisition process
- Discuss current factors influencing the acquisition process

### **Contract Administration for Technical Representatives**

This course is developed for Contracting Officers Representatives. Participants explore the importance of the COR function and their role in each stage of the contract administration process. Case studies, and exercises will illustrate key issues that might be encountered and equip participants with best practice techniques and tools to support their role.

As a result of attending the course, participants will:

- Understand their role as COR across the acquisition process
- Understand their responsibilities, and standards of conduct
- Be equipped with a variety of tools and techniques they can use to effectively complete their duties

### **Federal Financial Assistance Funds Management**

This course discusses the essential aspects of subcontract administration and supplier management. Participants will learn to assess recipients management system and financial capability, identify risks and work with suppliers to reduce and retire project risks, be able to better manage the change order process, and understand and apply various techniques to track and manage supplier cost, quality, and schedule performance. The audit requirements within Circular A-133 are outlined, including roles and responsibilities, auditing approaches, reporting and submission.

As a result of attending this course, participants will:

- Be able to assess and manage recipient risks
- Anticipate and comply with applicable rules and regulations, including flowdown requirements
- Improve ability to evaluate recipient capability and make appropriate sourcing decisions
- Learn subcontract management techniques and procedures
- Understand auditing requirements and how to fulfill these

### **Fundamentals of Federal Financial Assistance**

This course program provides participants with an understanding of the different types of federal financial assistance, and the key processes regarding application, negotiating, awarding and administration. The legal framework for assistance will be reviewed.

As a result of taking this course, participants will gain an understanding of:

- Appropriate application of the different types of federal financial assistance
- The legal framework
- Process stages and the roles and responsibilities
- Ongoing award administration requirements practices

### **Types of Contracts**

This course provides participants with an introduction to the different types of contracts and the strategic use of each.

As a result of participating in this seminar, participants will:

- Understand the different types of contracts and the roles and responsibilities of the buyer, legal staff, and purchasing management in developing and approving the terms agreed upon
- Understand how to structure and apply incentives and award fee pricing arrangements
- Explore the limitations or potential risks with different contracts, and how these can be mitigated.

### **Introduction to Purchase Card Program**

This introductory program, designed for first time users, explores the purchase card program as a way of simplifying the procurement process, streamlining operations and enabling more efficient procurement. This course provides the necessary overview of the P-Card process, ethics and responsibility training.

As a result of attending, participants will:

- Understand the rationale for the purchasing card and how it can reduce time spent on non-value added activities; both within and outside the Purchasing Department
- Understand the processes and procedures involved
- Have a better understanding of Government contracting and accountability

### **COR Training Refresher**

This refresher course is designed to support COR staff providing an overview of acquisition management and a specific look at the roles and responsibilities of COR. This course will encourage staff to contribute their own questions, or challenges for discussion, supporting continuous improvement and development of more experienced staff.

As a result of taking this course, participants will

- Refresh their understanding of the whole acquisition process to put their role in context
- Understand the requirements of the role, and explore best practice techniques
- Develop an action plan for personal use, based on the topics explored



### **Managing Contract Changes**

This course defines an effective contract change order and modification process for construction and services. Checklists and documentation requirement are provided to comply with Federal regulations.

As a result of attending this course, participants will:

- Understand the requirements for the contract modification process
- Describe the role and responsibilities required to ensure an effective modification process
- Explore the methods to analyze and evaluate types of contract changes
- Be provided with tools for the analysis and documentation of modifications

### **Performance-Based Management Contracting**

This program will provide participants with a comprehensive set of performance system elements, procedures, processes, and templates to establish an effective contractor performance management system. The focus will be U.S. Government subcontract management, tailored to fit the needs of participants as required.

As a result of attending this course, participants will:

- Develop a contractor performance baseline document
- Understand how to evaluate a contractor's performance using their organizational performance management system
- Conduct a contractor performance review meeting
- Develop and review a contractor's corrective action plan
- Take the appropriate contractual actions if the event of non-performance

### **Cost Principles of Federal Financial Assistance**

This program will provide personnel with an understanding of cost principles as outlined in the relevant OMB Circulars. The rationale for policy will be explored, and how this relates to participants roles and organizational processes. Practical exercises will be used to help participants identify allowable and unallowable costs and direct and indirect costs, and practice developing an indirect cost rate.

As a result of this training participants will:

- Understand Federal Cost Principles and how to apply them
- Be able to judge the acceptability of costs
- More effectively manage federal funding and ensure compliance

### **Performance-Based Acquisition: Preparing Statements of Work**

This course focuses on how to create service type Statements of Work, Service Level Agreements (SLAs) and performance metrics. Participants will learn how to outline the SOW and will write key components of the SOW during the program.

As a result of taking this training, participants will be able to:

- Plan for upcoming performance-based contracting
- Overcome service contract performance problems
- Draft and complete PBC Statements of Work
- Facilitate the creation of key PBC SOW measurements
- Effectively measure contractor performance under performance based service contracts

### **Federal Budgeting and Accounting Courses**

#### **Federal Budgeting Process**

This course is aimed at providing program and project managers with a working knowledge of the budgetary process. An overview will be provided of financial and managerial systems, and the skills and tools required to successfully manage a project through its lifecycle stages, i.e. resourcing and funding, validating, managing the flow of funds, accounting and reporting.

As a result of this training participants will

- Understand effective use of budgets systems at all stages of a project
- Understand their role and ensure their practice complies with budgetary process
- Maximize the impact of funding, and success of projects/ programs.

#### **Successful Budget Justification and Presentation**

This course develops the skills of federal personnel in preparing, justifying and presenting budget requests to OMB and Congress. It reviews in detail the preparation, technical and financial analysis underpinning budgets, and how a justification narrative is created and presented. The training explores how to develop support from key stakeholders.

As a result of this training participants will be able to

- Prepare effectively
- Deliver insightful and meaningful analysis
- Understand the different stakeholders involved, their needs and how to present a compelling narrative

**Fair and Reasonable Pricing**

Nine (9) specific techniques used by suppliers will be discussed in this program. Negotiation strategies to counteract and techniques will be presented.

As a result of attending this program, participants will be able to:

- Determine whether price is fair and reasonable (as defined in Title 48 CFR)
- Ensure the best possible prices are received
- Assess whether reduction of price is possible

**Reimbursable Agreements**

This course will address the federal regulations regarding interagency transactions. It will review the principles of law, and any relevant agency-specific aspects.

As a result of attending this program, participants will be able to:

- Understand the policy regulation surrounding interagency transactions
- Comply with regulations

**Introduction to the FAR**

This project provides an introduction into the Federal Acquisition Regulation and its primary components. A variety of case studies and exercises will be used to explore compliance and improper business practices, conflicts of interest and different contracting methods.

As a result of attending this course, participants will:

- Understand the purpose structure and use of the FAR
- Anticipate and comply with applicable rules and regulations, including flowdown requirements, under Government Procurement
- Learn government procurement management techniques and procedures

**Government Contract Law**

This program provides participants with an understanding of the federal appropriations process. Key elements of appropriations law and the impact of appropriations law on contracting offices will be discussed. The budget, authorization, and appropriations processes will be covered, as well as availability of appropriations, obligations, and how appropriations affect contracting.

As a result of taking this course, participants will gain an understanding of:

- the federal appropriations' process
- the key elements of appropriations law
- the impact of appropriations law on contracting offices

We offer 132 off-the-shelf programs as well as course customization and development. A listing of our training programs is provided below to help demonstrate the breadth of our course offerings.

- 8-Step Strategic Sourcing and Implementation Program (1 Day)
- 8-Step Strategic Sourcing Training (2 Days)
- 8-Step Strategic Sourcing: 201 (1 Day)
- Advanced IT Contracting (2 Days)
- Advanced Cost and Price Analysis (1/2 Day)
- Advanced Negotiations Workshop (1 Day)
- Advanced Procurement Law (1 Day)
- Advanced Vendor Account Management (2 Days)
- An Effective Contract Modification Process (2 Days)
- Applying Benchmarking Principles to Purchasing (1 Day)
- Applying Six Sigma Techniques to the Procurement Lifecycle (1 Day)
- Basic Market Research (1 Days)
- Basic Negotiations Course (2 Days)
- Best Practices: Shared Services for Indirect Procurement (2 ½ Days)
- Building a Subcontractor Relationship (1 Day)
- Business Case Development (1 Day)
- Category Strategy Development (2 Days)
- Commodity Planning and Strategic Sourcing Training Program (3 Days)
- Conducting a Supplier Audit (1 Day)
- Continuous Cost Management (1 Day)
- Continuous Improvement in Purchasing (1/2 Day)
- Contract Administration Training (3 Days)
- Contract and Pricing Negotiating for Success (3 Days)
- Contract Development and Administration (2 Days)
- Contracting Effectively with the Federal Government (1 Day)
- Contracting Officer's Technical Representative (COTR) (3 Days)
- Cost and Price Analysis Program (2 Days) \*
- Creating Statements of Work (SOW) (2 Days)
- Creating Performance-Based Statements of Work (2 Days)
- Creating Value for the Organization \*
- Customer Service Excellence Program (2 Days)
- Cycle Time Improvement Seminar (2 Days)
- Developing Supplier Partnerships (1/2 Day)
- Effective Managing External Resources (1 Day)
- Effective Marketing Program: Marketing to the Federal Government (2 Days)
- Effective Purchasing Program (1 Day)
- Effective Negotiation Program (2 Days)

- Effective Subcontract Management (3 Days)
- Engineering Financial Practices Program (1 Day)
- Environmental Procurement Training (1/2 Day)
- E-Sourcing (1/2 Day)
- Essentials of Contracts (2 Days)
- Essential Purchasing Practices Training (2 Days)
- Ethical and Legal Aspects of Purchasing Program (1 Day)
- Evaluating Your Suppliers (1 Day)
- Executive Supply Management Workshop (1 Day)
- Federal Appropriations (1 Day) \*
- Financial Analysis Program (1 Days)
- Foundational Training for Global Procurement Excellence (1 Day)
- Fundamental of Purchasing for the New Buyers (2 Days)
- Fundamentals of Overhead (2 Days) \*
- Fundamentals of Purchasing Focus on Construction and Installation Services (2 Days)
- Getting Innovation into Daily Supply Management Thinking (1/2 Day)
- Global Procurement Leadership: Commodity Management and Strategic Sourcing (5 Days)
- Global Procurement Training: Teambuilding Summit (1 ½ Day)
- Global Sourcing (1 Day)
- Identification and Reduction Strategies (2 Days)
- Implementation Planning and Execution Program (1 Day)
- Improving Communication in Procurement (1 Day)
- Incentive Contracting (2 Days) \*
- Independent Government Cost Estimating (2 Days)
- Intermediate Negotiations Workshop (1 Day)
- Inventory Management (2 Days)
- Involving Suppliers in Quality and Cost Objectives (1 Day)
- IT Contracting (2 Days)
- Just-In-Time Purchasing (1 Day)
- Leading Change Training (1 Day)
- Legal Aspects of Purchasing Program (1 Day)
- Life Cycle Cost Estimating (LCC) (1 Day)
- Logistics Commodity Management (1 Day)
- Managing and Improving Supplier Performance: Building A Better Supply Chain (2 Days)
- Managing Contractor Performance Training Program (3 Days)
- Managing Contracts with the Government (2 Days)
- Managing Supplier Performance: Measurement, Quality Improvement, and Certification (2 Days)
- Managing the Supply Chain (2 Days)
- Managing Vendor Performance with KPIs and Balanced Scorecards (1 Day)
- Managing Vendors Program (1 Day)

- Manufacturing Quality Awareness Program (1 Day)
- “Negotiating for Success” Program (2 Days)
- Negotiation and Implementation of Contracts (1 ½ Days)
- New Product Purchasing Program (1 Day)
- Outsourcing Program (1/2 Day)
- Performance-Based Contracting (2 Days) \*
- Planning For and Conducting Negotiations (1 Day)
- Preparation of Statement of Work (SOW) and Effective Technical Evaluation Program (2 Days)
- Price Analysis and Negotiations Training (2 Days)
- Pricing Techniques (1/2 Day)
- Process Improvement Facilitator Training Seminar (1 Day)
- Procurement and the Law, Contracts, and Ethics (1 Day)
- Procurement System Review (PSR) Training (2 Days)
- Procurement Team Training Program (1 Day)
- Procurement Training: Adding Value to The Company (2 Days)
- Proposal Analysis Skills (4 Days)
- Purchasing Competitiveness Program (2 Days)
- Purchasing Negotiations Program (2 Days)
- Purchasing Simplification (1 Day)
- Purchasing Under Government Contracts (1 Day)
- Requirement Planning Workshop (1 Day)
- Sourcing Quality Awareness Program (1 Day)
- Statement of Objectives Program (SOO) (4 Days)
- Strategic Inventory Management Program (2 Days)
- Strategic Sales Thinking: Responding to Supply Chain Thinking (1 Day)
- Strategic Sourcing for Team Leaders (2 ½ Days)
- Supplier Development (1 ½ Days)
- Supplier Diversity: 5-Year Strategic Planning Workshop (1 Day)
- Supplier Evaluation and Selection Workshop (1 ½ Days) \*
- Supplier Identification Workshop (1 Day)
- Supplier Implementation Workshop (1 ½ Days)
- Supplier Quality and Business Audit Training (2 Days)
- Supply Chain Cost Identification and Reduction (2 Days)
- Supply Chain Management Program (2 Days)
- Supply Chain Management: Increasing EPS Through More Effective Spending (2 Days)
- Team Performance (1 Day)
- Advanced Team Performance (1 Day)
- Telecommunications Purchasing Workshop (1 Day)
- Time Management for Purchasing Program (1/2 Day)
- Total Cost Management (2 Days)

- Total Quality Management (2 Days)
- TQM/Continuous Improvement: Team Training Program (2 ½ Days)
- Trade-off Analysis and Comparison of Alternatives Workshop (1 Day)
- Train-The-Trainer (2 Days)
- Understanding Markets and Developing a Market Analysis (1 Day)
- Using Demand Management to Reduce Total Cost of Ownership (1/2 Day)
- Value Analysis (1 Day)
- Vendor Selection Program (1 Day)
- World Class Negotiations (2 Days)
- Writing Contracts, Specifications, and Statement of Work (1 Day)

## TAB B EXECUTIVE SUMMARY

Calyptus Consulting Group Inc. has conducted procurement assessments and have assessed the practices of public agency procurement departments for over 28 years. The project manager and company President, Dr. Harris has 47 years specializing in procurement, materials management, oversight, and grants management. We can provide on-site support depending on COVID-19 restrictions. We have multiple recent and ongoing projects that are similar to every task outlined in the statement of work. We have completed 300 public agency procurement systems reviews since 1992. A brief list of procurement-related projects and clients within the last five (5) years is reflected below. We can complete all the procurement work and projects envisioned by this RFP and take no exceptions to the major requirements.

Year	Client	Project Title/Key Tasks
2018 and Ongoing	First 5 Los Angeles	Performing as Public Procurement Consultant to include policy and procedure development and strategic sourcing
	Wilmington Housing Authority	Providing Procurement Consulting Support
	Court Services and Offender Supervision Agency	Providing Acquisitions Review Services
	Western University	Conducted Procurement Assessment and Strategic Sourcing Project
	Alameda County, CA	Conducted full procurement assessment; Developed templates for Goods/Services RFPs and construction bid documents; Developed a construction procurement policy manual
	Federal Transportation Administration	Conducted 250 full procurement assessment for public agencies; procurement procedure reviews on 54 procurement areas and assessed systems; Conducted full procurement assessments of over 40 counties and 60 municipalities
	Orange County Transportation Authority	Conducted full procurement assessment; procurement procedure reviews and systems integration
	University of Houston	Conducted full procurement assessment
2017	Pennsylvania State System of Higher Education	Conducted full procurement assessment, Strategic Sourcing, Spend Analysis, and Execution Strategy
	North County Transit District	Completed Procurement Assessment Services to include procurement procedure reviews and systems integration
	Cincinnati Airport	Conducted full procurement assessment



2016	State of Michigan	Provided Spend Analysis
	Fulton County, GA	Conducted full procurement assessment; Process Review and Assessment of the Department of Purchasing and Contract Compliance
	World Bank	Conducted full procurement assessment; Procurement Training (eLearning)
	State of Arkansas	Completed Strategic Sourcing Project and Negotiations Training
2015	U.S. Office of Personnel Management	Completed Strategic Procurement Assessment Services
	City of Rockville	Conducted full procurement assessment; Consulting Services to Review and recommend a Comprehensive Strategy to Improve the Overall Purchasing Division
	State of Georgia	Completed Strategic Sourcing Projects for chemicals and hardware

Calyptus has resources and ability to create and conduct in-person or eLearning training related to any updated procurement processes and resources. We also have tools to support with direct acquisition support as needed. Overall, we have a significant library of best practice research that would be made available through the duration of the project.

Calyptus will be available to work with all the NCTCOG members as part of the SHARE program as task orders/separate contracts with any of the agencies. These would be either competitive or non-competitive contracts. We would send information to all members, if allowed, with a brief brochure on our services provided.

1. We would respond to any competitive or other request for proposal
2. We would provide proposal in the requested format and propose hourly rates as noted herein or discounted based on the size of the engagement
3. We will negotiate a contract and report the sales under the SHARE program and pay the associated fee.
4. We would complete the work according to the terms of the contract and report on activities to SHARE as required.

We are able to provide all tasks related to a procurement activity from procurement planning to contract administration and closeout. The typical activities that we would support are listed below:

- a. Developing a procurement plan
- b. Assisting in creation of work scope and specifications
- c. Developing of an independent cost estimate
- d. Creating a compliant solicitation, including terms and conditions, evaluation criteria, deliverables, submission requirements, and required certifications and appendices

- e. Assisting in advertising and receipt of bids/proposals
- f. Assisting or managing the evaluation process to include technical evaluations, price/cost evaluation, responsiveness and responsibility process
- g. Assisting in contract negotiations and transmittal
- h. Assisting in Board items for approval of contracts if needed
- i. Coordinating and managing contract administration, including change orders, billing/payment, receiving, and problem resolution
- j. Completing closeout to contract/PO
- k. Ensuring proper documentation is completed throughout process

## TAB C KEY PERSONNEL

The project team will consist of the project manager, Dr. Harris, and two (2) supporting analysts – Jameson Beekman and Ellen Harvey. Dr. Harris has been the project manager for all projects noted in this proposal. All analysts are subject matter experts and key contributors for all the tasks in the SOW. All have recently participated in supporting Calyptus' procurement initiatives. No subcontractors or third-party services will be used for these efforts.

Dr. Harris will be responsible for 1) bid process, 2) contracting process, and 3) contract administration for this project as a prime contractor. For procurement management services, a key staff member will be responsible for managing a procurement throughout the procurement process. We would respond to any and all combinations of the tasks noted in the RFP, taking no exceptions to the list.

Calyptus takes a team approach, with Dr. Harris as the project manager for all projects. Two (2) analysts are considered key personnel for all projects associated with this procurement, Jameson Beekman and Ellen Harvey. Joe Sperty and Laurie Heinze will provide additional support in many of the procurement tasks, as required by the specific contract's scope of work. The proposed key personnel for this effort have significant ability and experience developing formal procedures for large public sector agencies, conducting continuous improvement projects in procurement for public sector clients, and communicating changes to and conducting training for staff to support implementation. The table below details the qualifications, years of public sector procurement consulting experience, and consulting highlights related to the procurement assessment overall:

<b>Task/Areas of Expertise</b>	<b>Harris</b>	<b>Beekman</b>	<b>Harvey</b>	<b>Sperty</b>	<b>Heinze</b>
<b>Qualifications/Certifications:</b>	<b>DBA, C.P.M.</b>	<b>MA, C.P.M.</b>	<b>MA</b>	<b>BA</b>	<b>MBA</b>
<b>Years of Procurement Consulting Experience:</b>	<b>43</b>	<b>13</b>	<b>6</b>	<b>53</b>	<b>25</b>
<b>Project Management</b> Experience working with large organizations or organizations with multi-cross functional work plans	Subject Matter Expert	Subject Matter Expert	Lead Analyst	Subject Matter Expert	Subject Matter Expert
<b>A. Review Policies/Procedures/Workflows</b> Development of formal procedures from practices; with an emphasis on identifying opportunities for improvement	Subject Matter Expert	Subject Matter Expert	Key Contributor	Subject Matter Expert	Subject Matter Expert
<b>B. Interview Staff</b> Facilitation skills related to the ability to explore root causes and belief structures for current state and identify potential inhibitors to future process development and culture shifts	Subject Matter Expert	Subject Matter Expert	Lead Analyst	Subject Matter Expert	Subject Matter Expert
<b>C. Review Sampling of Documents</b>	Subject Matter Expert	Subject Matter Expert	Key Contributor	Subject Matter Expert	Subject Matter Expert

Task/Areas of Expertise	Harris	Beekman	Harvey	Sperty	Heinze
Experts at cleaning and auditing a variety of data sources and identifying compliance patterns					
<b>D. Analyze Results and Develop Report</b> Ability to communicate with agency staff that will result in a motivation to act and prioritize process that will result in new ways of interacting and thinking	Subject Matter Expert	Subject Matter Expert	Key Contributor	Subject Matter Expert	Subject Matter Expert
<b>E. Hands-on Knowledge with methods if procurement</b>	Subject Matter Expert	Subject Matter Expert	Subject Matter Expert	Subject Matter Expert	Subject Matter Expert
<b>F. Familiarity with and experience with running procurements of all kinds envisioned by the RFP</b>	Subject Matter Expert	Subject Matter Expert	Key Contributor	Subject Matter Expert	Key Contributor

Years of experience with the following:					
Key area	Harris	Beekman	Harvey	Sperty	Heinze
<b>A. Competitive Procurement Process</b>	42	14	6	50	20
<b>B. RFPs</b>	42	14	6	50	20
<b>C. RFIs</b>	42	14	6	50	20
<b>D. RFSQ</b>	42	14	6	50	20
<b>E. Market Research</b>	42	14	3	50	8
<b>F. Specifications/SOW Development</b>	42	14	3	50	8
<b>G. Statutory Interpretation and Compliance</b>	42	14	6	50	20
<b>H. DBE Programs</b>	42	14	6	20	20
<b>I. Procurement with Federal Grant funds</b>	25	14	6	25	20
<b>J. Procurement of Construction Services</b>	25	14	3	25	8
<b>K. Exemptions to Competitive Procurement</b>	42	14	6	50	20
<b>L. Cooperative Procurement</b>	42	14	6	50	20
<b>M. Public Procurement Negotiation</b>	42	14	3	50	20

The key Calyptus personnel proposed for this effort have taken on the following roles on procurement consulting projects with these major projects that are related to the broad scope of work described for this work.

<b>Project Tasks</b>	<b>Dr. Harris</b>	<b>Mr. Beekman</b>	<b>Ms. Harvey</b>
Conduct assistance in types of procurements	<u>Ongoing</u> FTA F5LA CSOSA Sound Transit Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston PHA City of Rockville	<u>Ongoing</u> FTA F5LA Sound Transit Western University  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> FTA F5LA CSOSA Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County PASSHE University of Houston
Evaluate and provided technical assistance in procurement planning through contract signature	<u>Ongoing</u> FTA Wilmington Housing Authority  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston PHA City of Rockville	<u>Ongoing</u> FTA  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> FTA  <u>Recent</u> Alameda County PASSHE University of Houston
Assistance in development of templates for solicitations, contract, CAPA, SOW/specifications, and evaluation process	<u>Ongoing</u> F5LA CSOSA Sound Transit  <u>Recent</u> Alameda County Fulton County University of Houston	<u>Ongoing</u> F5LA Sound Transit  <u>Recent</u> Fulton County	<u>Ongoing</u> F5LA CSOSA  <u>Recent</u> Alameda County University of Houston

<b>Project Tasks</b>	<b>Dr. Harris</b>	<b>Mr. Beekman</b>	<b>Ms. Harvey</b>
Conduct Procurement Process Mapping	<u>Ongoing</u> F5LA CSOSA Sound Transit Wilmington Housing Authority Western University  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston City of Rockville	<u>Ongoing</u> F5LA Sound Transit  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> F5LA Western University  <u>Recent</u> Alameda County PASSHE University of Houston
Complete Policies and procedures review and update	<u>Ongoing</u> FTA F5LA CSOSA Sound Transit Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston PHA City of Rockville	<u>Ongoing</u> FTA F5LA Sound Transit Western University  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> FTA F5LA CSOSA Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County PASSHE University of Houston
Evaluate Relative standing, benchmarking of procurement operations and practices	<u>Ongoing</u> FTA F5LA CSOSA Sound Transit Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County Fulton County PASSHE	<u>Ongoing</u> FTA F5LA Sound Transit Western University  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> FTA F5LA CSOSA Wilmington Housing Authority Western University OCTA  <u>Recent</u> Alameda County PASSHE University of Houston

Project Tasks	Dr. Harris	Mr. Beekman	Ms. Harvey
	University of Houston PHA City of Rockville		
Develop Ideal future state of procurement for procurement organization, including delegation	<u>Ongoing</u> F5LA Sound Transit Wilmington Housing Authority Western University  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston City of Rockville	<u>Ongoing</u> F5LA Sound Transit Western University  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> F5LA Western University  <u>Recent</u> Alameda County PASSHE University of Houston
Develop implementation plans to make procurement a best practice organization	<u>Ongoing</u> F5LA Sound Transit Wilmington Housing Authority Western University  <u>Recent</u> Alameda County Fulton County PASSHE University of Houston PHA City of Rockville	<u>Ongoing</u> F5LA Sound Transit Western University  <u>Recent</u> Fulton County PASSHE PHA City of Rockville	<u>Ongoing</u> F5LA Western University  <u>Recent</u> Alameda County PASSHE University of Houston

## Resumes

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### **DR. GEORGE L. HARRIS – Program/Project Manager**

#### **Education**

Dr. Harris holds a DBA — NOVA Southeastern University; a B.S. (Business Management) from Georgetown University; and an M.B.A. (Government Procurement and Materials Management) from George Washington University.

#### **General Experience**

Dr. Harris specializes in the areas of procurement, materials management, lean management and quality systems. He has established ways for companies to evaluate their quality and lean effectiveness. He has performed consulting and training services for clients in the food, electronics, metal fabrication, financial services, oil/gas, mining, and capital equipment industries as well as for public sector clients. He is an expert in the sourcing of transportation-related products and services.

#### **Representative Consulting Experience**

Since 1992, Dr. Harris has been involved in a wide variety of consulting and training projects, as represented below:

- Completed over 350 Procurement Assessments for public sector agencies and higher education clients across the country
- Conducted spend analysis and submitted recommendations for strategic sourcing for the Pennsylvania State System of Higher Education
- Developed and delivered training plan and curriculum for the Michigan Department of Transportation
- Conducted negotiations training for State of Arkansas
- Presented strategic sourcing recommendations to the Oregon Department of Human Services
- Conducted comprehensive process review for State of Georgia
- Completed over 500 strategic sourcing projects for clients resulting in over \$1 Billion in savings.
- Conducted organizational studies for Johnson & Johnson, State of Oregon Department of Human Studies, City of Portland (OR), City of Sacramento (CA), Texas A&M University, Lone Star College, Pepsi, and others.
- Created a web-based self-assessment of procurement performance.



- Developed list of core competencies for supply management, then trained managers to review others performance along each dimension.
- Completed studies in eProcurement and IT systems and established the value added functionality of 29 software suppliers.
- Created ten key performance measurements for clients and instituted policy deployment in procurement; developed and trained over 300 managers in implementing procurement objectives.
- Created tools to assess and establish total cost savings, functional headcount, key processes, risks, inventory stocking, and supply chain effectiveness.

Dr. Harris has written extensively on benchmarking, procurement systems, quality measurements, strategic direction setting and developing supplier partnerships to improve organizational performance. He spent five years as a senior consultant with Harbridge House, Inc., an international training and consulting firm, designing, developing, and delivering training programs for management and individual contributors.

Dr. Harris has also led supply chain audits of complex organizations in the private and public sectors that purchase capital items, construction, engineering, services, information technology, land and buildings, rolling stock, parts, raw material, semiconductors, and subsystems.

#### **Professional Memberships**

Dr. Harris is a Certified Purchasing Manager (C.P.M.)

**JAMESON BEEKMAN – Consultant**

**Education**

Mr. Beekman holds an MBA from Bryant University in Smithfield, RI with a concentration in Operations Management and a BA in Psychology from American University in Washington, DC.

**General Experience**

Mr. Beekman specializes in transit management, compliance, data analysis, process mapping, and training. He has developed comprehensive analysis and strategies across several different industries including retail, human services, insurance, and government. He has performed consulting and training services for both private sector and government clients. He has extensive experience in inventory control and operations.

**Representative Consulting and Training Experience**

Since 2006, Mr. Beekman has been involved in a wide variety of consulting and training projects, as represented below:

- Managed the strategic process analysis for a large state agency
- Evaluated policies and procedures against governing regulations to highlight gaps and developed new policies and procedure documents as needed
- Developed detailed value stream maps of client processes
- Conducted a benchmarking study of non-emergent transportation services including question design, outreach to participants, and developing recommendation from the results
- Conducted organizational assessments of key business functions for multiple state, local, and quasi-government agencies
- Conducted over 170 Procurement Assessments, and 15 training workshops for FTA. Delivered Civil Rights compliance reviews and provided technical assistance to recipients
- Developed a sub-recipient monitoring program and conducted subrecipient site visits.
- Conducted comparable studies for the State of Oregon, City of Rockville, City of Sacramento. Office of Personnel management, Fulton County, Minneapolis Housing Authority and Philadelphia Housing Authority
- Development and presentation of training in key operational areas

**Professional Memberships**

Mr. Beekman is a Certified Purchasing Manager (C.P.M.)

**ELLEN HARVEY – CALYPTUS ANALYST**

**Education:**

Ms. Harvey holds a Master of Arts in Law and Diplomacy (MALD) from The Fletcher School at Tufts University and a B.A. from Rice University in Houston, TX.

**General Experience:**

Ms. Harvey has five (5) years of experience working in government contracting and grants management. Ms. Harvey joined Calyptus in 2016 to manage FTA programs, business development initiatives, and consulting work. Ms. Harvey worked with the United Nations in Jerusalem and the humanitarian sector in Pakistan and South Sudan for 3 years developing programs for EU, US, and UN funding.

**Representative Consulting and Training Experience:**

Ms. Harvey has been involved in a wide variety of consulting and business development projects with Calyptus, including:

- Participated in preparation of RIR materials and on-site reviews.
- Developed 71 Procurement Assessment reports
- Manage FTA programs, acting as liaison between FTA HQ, FTA Regional Offices, and recipients; tracking progress, reporting, and billing; and conducting quality control to ensure consistency and prevent program delays for 100+ FTA recipients
- Increased efficiency and improved consistency by developing automated assessment tools and training materials for Department of Transportation (DOT) programs and streamlining procurement system review process for federal award recipients.
- Enhanced internal communications and ensured consistent messaging across clients, creating standardized business development and marketing tools, workplans, and tracking systems.
- Drafted, compiled, and helped finalize a procurement workshop training deck used for training of 1,000 public sector staff
- Conduct research for FTA special assignments, including recipient support in determining DBE presence for setting DBE-goals
- Completed system-wide spend analyses for the Pennsylvania State System of Higher Education (PASSHE), University of Houston, Alameda County, and the Cincinnati/Northern Kentucky International Airport (CVG), including cleaning, analyzing, and reporting on data
- Finalized PASSHE, Alameda County, and CVG contract reviews through collaboration and regular communication with staff and external contracting mechanisms

- Reviewed procurement coding systems and provided recommendations to align the system with financial systems
- Finalized procurement system improvement reports for PASSHE, University of Houston, Alameda County, and CVG with recommendations for organizational realignment
- Conducted market analysis for PASSHE to develop cost savings strategic sourcing strategy
- Conducted market analyses for Marin County to support RFP dissemination and developed standardized tools for more efficient procurement
- Developed standardized RFP templates for Marin County and CATA

**Joseph Sperty – Consultant**

**Proposed Position:** Senior Procurement Analyst, Procurement Analyst (Consultant)

**Work History**

Leon Snead and Co. – Consultant, October 2013 to present

*416 Hungerford Dr., Suite 400, Rockville MD 20850*

- Conducts research and writes the “Best Practices Procurement Manual” for the Federal Transit Administration (FTA) that is disseminated to the FTA grantee community. The manual is designed to provide guidance to transit agencies throughout the United States concerning grantee third-party contracts, as well as the “best practices” being followed in the transit industry. The manual covers all aspects of procurement, and includes coverage of all types of services and commodities, including construction, rail cars, buses, professional services, and major systems acquisition.
- Manages the FTA Procurement Helpline for FTA. The Helpline annually processes hundreds of procurement and acquisition strategy questions from transit agencies and private companies throughout the U. S.
- Provides technical assistance and acquisition support to FTA grantees as requested by FTA. Acquisition projects supported include the design and construction of a major intermodal transportation facility in Scranton, PA (\$10M); design and construction of a state of the art hydrogen fueling facility for buses in Flint, MI (\$3M); outsourcing of a large bus parts inventory management function for the Chicago Transit Authority (\$50M); and the development of a procurement policy and procedures manual for the County of Lackawanna, PA Transit System. The support provided includes development of Request For Proposals (RFPs) or Invitation for Bids (IFBs), evaluation of cost and price proposals, discussions with offerors in the competitive range, drafting of source selection decision memorandum, contract negotiations, and drafting of contract documents.
- Serves as Team Leader for Procurement System Reviews (PSRs), which are conducted at transit agency facilities on behalf of FTA to review grantee procurement operations for compliance with FTA requirements in Procurement Circular 4220.1F.
- Serves as Instructor for Procurement System Review Workshops to teach grantees the particular elements of Procurement System Reviews so that they can understand the PSR process and conduct their own self-evaluation in order to prepare for a PSR of their agency procurement operations.

**Education**

- B.S. in Business Administration, University of Maryland, 1963

Mr. Sperty has 53 years of experience working in government procurement roles and with transit agencies. Most recently, Mr. Sperty has worked with Government Contract Solutions, Coleman Troup, LYNX Transit, Leon Snead and Co., NASA, FAA, FRA, and the Northeast Corridor Procurement.

**Laurie Heinze – Consultant**

**Proposed Position:** Senior Procurement Analyst, Procurement Analyst (Consultant)

**Work History**

Calyptus Consulting Group, Inc. – Consultant, 2020-Present

*16 Leonard Avenue., Cambridge MA, 02139*

- Conducted on-site Sandy change order reviews for FY20 Q1
- Quality Assurance reviewer, conducted independent review of the FY19 CORTAP cycle, including assessing root causes of inconsistencies, inaccuracies, and lack of thoroughness
- Provided comment on the FY21 Contractor Manual updates
- Conducted research and analysis for the Oversight Assessment Tool improvement effort, including finalizing a recommendations paper for FTA consideration
- Provided input for the Oversight Policy Guidance Handbook
- Supported FTA efforts to develop an oversight risk model
- Provided input and recommendations for conducting reviews in a virtual setting

Federal Transit Administration – Senior Reviewer/IEI Project Manager, October 2002-2018

*1200 New Jersey Ave., SE, Washington DC 20590*

- Performs baseline reviews and specialty reviews, is considered a subject matter expert in the fields of procurement, technical capacity/management, operations, and maintenance.
- Uniquely skilled in systems theory, she is able to identify underlying management factors that impact grantee compliance.
- Provides technical support to Regional staff for problematic grantees.
- Provides technical support in the development of program workshops and was the lead instructor for IEI.
- Directed the FTA Triennial Review Program as well as several other major projects.
- For the Triennial Review program, managed 12 transit professionals in the assessment of practices for FTA grantees in 23 program areas.
- Was responsible for the technical expertise of the review staff; scheduling and conducting of on-site reviews; preparation of performance-based reports for FTA review; ensuring all deliverables met established quality standards.
- Organized and led Triennial Review Regional Workshops; applying expertise in transit operations and federal regulations to present sound grants management practices for rail and bus transit operations.

**Education**

- Brenau University, MBA, Business Administration, 2000
- Georgia State University, Certificate of Training, ISO 9000 - Auditing and Procedural Development, 1999 Oglethorpe University, State of Georgia Mediation Certification, 1997
- University of Georgia, BS, Education, 1981

Ms. Heinze brings over 30 years of experience working in the transit industry to the Triennial Review Program; 13 years working directly for transit agencies; 7 years as a capital projects contractor, and over 10 years as a transit consultant.

Performs baseline reviews and specialty reviews, is considered a subject matter expert in the fields of procurement, technical capacity/management, operations, and maintenance. Uniquely skilled in systems theory, she is able to identify underlying management factors that impact grantee compliance. Provides technical support to Regional staff for problematic grantees.

## TAB D TECHNICAL PROPOSAL

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### Designated contact persons

Dr. George Harris is the company's president and principal and will be the contact person for (1) bid process, (2) contracting process, and (3) contract administration. For procurement management services, a key staff member will be responsible for managing a procurement throughout the procurement process.

### Experience in the industry

We have performed assessments over five hundred (500) public entities' procurement systems, including mass transit systems (Boston MBTA, New York MTA), Cities and Counties (Portland, OR and Fulton County, GA), and public housing agencies (Wilmington Housing Authority, Marin Housing Authority Philadelphia Housing Authority, Cambridge Housing Authority, and Minneapolis Housing Authority). We are experts in reviewing County procurement systems. A list of the procurement assessments completed for 32 Counties is included below, as previously noted:

- Broward
- County,
- LA County MTA,
- Miami Dade,
- Black Hawk County
- Kings County
- Escambia County
- Martin County
- Indian River County
- Tuscaloosa County
- Lorrain County
- Miami County Transit
- Allen County
- Butler County
- Allen County
- Licking County
- Richland County
- Placer County
- Beaver County
- Cambria County
- Monongalia County
- Chittenden County
- Butte County
- Imperial County
- San Mateo County
- Ventura County
- Westmoreland County
- Bay County
- Lake County
- Lee County
- Livingston County
- Harris County
- Fort Bend County

We are experts in how procurement systems are managed and organized, and some of the pressure points for procurement based on this and other experience.

### Expertise reviewing, monitoring, and auditing public procurement and contracting processes and procedures

Below is an example of a checklist used for the Philadelphia Housing Authority (table of contents for the full report in **Appendix A**); another checklist used for the Department of Transportation Procurement Assessment to evaluate procurement procedures is also available for review in **Appendix B**. We would expect to sample procurements for compliance, particularly for supplier selection and monitoring. This checklist was used to audit procurement files for compliance.



### **Procurement Checklists**

PHA Name: \_\_\_\_\_

1. Procurement Policy dated: \_\_\_\_\_  
➤ Adopted by the Board of Commissioners per resolution no.: \_\_\_\_\_
2. Procurement Procedures dated: \_\_\_\_\_  
➤ Implemented by the Executive Director on: \_\_\_\_\_

### **Micro Purchase Checklist**

Description of Item: \_\_\_\_\_

### **Planning Stage:**

1. Authorized Individual/Department requesting action: \_\_\_\_\_
2. Funding source: \_\_\_\_\_
3. Estimated cost: \$ \_\_\_\_\_ Is the estimated cost less than \$2,000.00?  
☐ Y ☐ N  
» Historical information identified under attachment #: \_\_\_\_\_

### **Pre-Award Stage:**

1. ID solicitation method to use: ☐ Verbal ☐ In writing via email/fax ☐ Other: \_\_\_\_\_
2. Date solicitation package for Micro Purchase finalized: \_\_\_\_\_
3. Date proposal received: \_\_\_\_\_
4. If more than one proposal requested/received,  
explain: \_\_\_\_\_

### **Contract Award Stage:**

1. CO has determined that the price is reasonable. ☐ Y ☐ N
2. CO has determined that successful offeror is responsible ☐ Y ☐ N
3. Date award executed by CO: \_\_\_\_\_
4. Format used: ☐ Purchase Order ☐ Purchase Card ☐ Other Method: \_\_\_\_\_  
» Copy provided under attachment # \_\_\_\_\_

### **Administration Stage:**

1. Implementation time-frame: Start date: \_\_\_\_\_ Completion date: \_\_\_\_\_ Duration: \_\_\_\_\_
2. ID monitoring instructions: \_\_\_\_\_
3. ID processing of payments: \_\_\_\_\_
4. Itemize any completion requirements: \_\_\_\_\_
5. Date task completed: \_\_\_\_\_

### **Small Purchase Checklist**

Description of item: \_\_\_\_\_

### **Planning Stage:**

1. Authorized Individual/Department requesting action: \_\_\_\_\_
2. Funding source: \_\_\_\_\_
3. Provide Statement of Work for SP: \_\_\_\_\_  
☐ Additional information provided under attachment no. #: \_\_\_\_\_
4. ICE: \$ \_\_\_\_\_ Date: \_\_\_\_\_
5. ID source(s) used to develop the ICE: \_\_\_\_\_

### **Pre-Award Stage:**

1. Identify solicitation method: ☐ Verbal ☐ In writing via email/fax ☐ Other: \_\_\_\_\_
2. Date solicitation package for Small Purchase finalized: \_\_\_\_\_
3. ID solicitation period: \_\_\_\_\_ days ☐ N/A
4. If required, ID date of pre-solicitation conference: \_\_\_\_\_ ☐ N/A
  - a. ID any addenda to be issued: \_\_\_\_\_
  - b. ID any other issues of importance: \_\_\_\_\_
7. Scheduled date/time receipt of solicitations: \_\_\_\_\_ Location: \_\_\_\_\_
8. Two or more solicitations received: ☐ Y ☐ N  
 » If no competition, explain: \_\_\_\_\_
9. Solicitation to be awarded to the lowest offeror: ☐ Y ☐ N  
 » If not, justify award to other than lowest offeror: \_\_\_\_\_
10. Name of entity selected for award: \_\_\_\_\_
11. Wage Rates (for maintenance and construction contracts only) obtained? ☐ Y ☐ N ☐ N/A

### **Contract Award Stage:**

1. Determine that the price by lowest offeror is reasonable for goods and services procured:  
☐ Y ☐ N
2. Method used: ☐ Quotes/Offer received ☐ Price Analysis  
 » Explain assessment: \_\_\_\_\_
3. Is a Cost Analysis required? ☐ Y ☐ N  
 » If yes, see copy under attachment #: \_\_\_\_\_
4. Successful offeror determined to be a responsible entity prior to award? ☐ Y ☐ N  
 » Justify determination: \_\_\_\_\_
4. CO verified successful offeror has not been excluded from participation in Fed. Gov.? ☐ Y ☐ N  
 » Supporting documentation provided under attachment #: \_\_\_\_\_

5. Date of contract award : \_\_\_\_\_  
» Format used: ☐ Purchase Order ☐ Contract ☐ Agreement
6. Rationale for type of PO or Contract/Agreement used is acceptable for type of service:  
☐ Y ☐ N  
a. If other than a standard format used, please explain: \_\_\_\_\_  
b. Copy provided under attachment #: \_\_\_\_\_
7. Identify HUD forms to be attached to PO or Contract or Agreement:  
☐ Table 5.1, Mandatory Contract Clauses for SP Other Than Construction  
☐ HUD-5370-EZ (if construction contract)  
☐ HUD-5370-C (Sections I & II if maintenance contract)

#### **Administrative Stage:**

1. Implementation time-frame: Start date: \_\_\_\_\_ Completion date: \_\_\_\_\_ Duration: \_\_\_\_\_  
2. Date notification letter(s) issued to unsuccessful offerors: \_\_\_\_\_  
3. ID monitoring instructions: \_\_\_\_\_  
4. ID processing of payments: \_\_\_\_\_  
5. Date task completed: \_\_\_\_\_  
6. Itemize completion requirements: \_\_\_\_\_

#### **Sealed Bids Checklist**

Description of Item: \_\_\_\_\_

#### **Planning Stage:**

1. Authorized Individual/Department requesting action: \_\_\_\_\_  
2. Funding source: \_\_\_\_\_  
3. Provide Statement of Work for IFB: \_\_\_\_\_  
☐ Additional information provided under attachment no. #: \_\_\_\_\_  
4. ICE: \$ \_\_\_\_\_ Date: \_\_\_\_\_  
5. ID source(s) used to develop the ICE: \_\_\_\_\_

#### **Pre-Award Stage:**

1. Date solicitation package for IFB finalized: \_\_\_\_\_  
2. Date formal bids will be advertised in the open market: \_\_\_\_\_  
» ID advertisement venues to use: \_\_\_\_\_  
3. ID solicitation period for advertisement by no. of days and frequency: \_\_\_\_\_  
4. Newspaper (or other venues) advertisements copied for the contract file record: ☐ Y ☐ N  
5. If required, ID date of pre-bid conference: \_\_\_\_\_ ☐ N/A  
a. ID any addenda to be issued: \_\_\_\_\_  
b. ID any other issues of importance: \_\_\_\_\_  
6. Scheduled date/time receipt of IFBs: \_\_\_\_\_ Location: \_\_\_\_\_  
7. Tabulation Log completed showing all requirements? ☐ Y ☐ N

» Tabulation Log - see attachment #:_____ Were 5 % bid bonds submitted?	
<input type="checkbox"/> Y <input type="checkbox"/> N	
8. Two or more bids received:	<input type="checkbox"/> Y <input type="checkbox"/> N
» If no competition (only one bid received), explain: _____	
9. Responsiveness assessment satisfied for all bidders?	<input type="checkbox"/> Y <input type="checkbox"/> N
» Explain assessment: _____	
10. Solicitation to be awarded to the lowest bidder:	<input type="checkbox"/> Y <input type="checkbox"/> N
» If not, justify award to other than lowest bidder: _____	
11. Name of entity selected for award: _____	
12. Date HUD approval provided to award contract to single bid or other than lowest bidder: _____	
13. Wage Rates (for maintenance and construction contracts only) obtained?	<input type="checkbox"/> Y <input type="checkbox"/> N
<b><u>Contract Award Stage:</u></b>	
1. Determine that the price by lowest bidder is reasonable: <span style="float: right;"><input type="checkbox"/> Y <input type="checkbox"/> N</span>	
2. Method used: <input type="checkbox"/> Quotes/offers received as noted in bid tab <input type="checkbox"/> Price Analysis	
» Explain assessment: _____	
3. Is a Cost Analysis required? <input type="checkbox"/> Y <input type="checkbox"/> N If yes, see copy under attachment #: _____	
4. Successful bidder/offeror determined to be a responsible entity prior to award? <span style="float: right;"><input type="checkbox"/> Y <input type="checkbox"/> N</span>	
» Justify determination: _____	
5. Successful bidder/offeror has not been excluded from participation in the Federal Gov.? <input type="checkbox"/> Y <input type="checkbox"/> N	
» Supporting documentation provided under attachment no: _____	
6. Is BOC's approval required for award? <input type="checkbox"/> Y <input type="checkbox"/> N	
Date/No. of Board Resolution: _____	
7. Date award made: _____: Name of entity: _____	
8. ID award format used: <input type="checkbox"/> Contract <input type="checkbox"/> Agreement	
9. Fixed-price contract format used is acceptable for IFB? <span style="float: right;"><input type="checkbox"/> Y <input type="checkbox"/> N</span>	
» If other format/type used, specify: _____	
» Copy provided under attachment #: _____	
10. Identify HUD forms to be attached to Contract or Agreement, as applicable:	
a. <u>Non-construction Solicitation</u> : <input type="checkbox"/> HUD-5369-B <input type="checkbox"/> HUD-5369-C	
b. <u>Non-construction Contract</u> : <input type="checkbox"/> HUD-5370-C Sections I & II	
c. <u>Construction Solicitation</u> : <input type="checkbox"/> HUD-5369 <input type="checkbox"/> HUD-5369-A	
d. <u>Construction Contract</u> : <input type="checkbox"/> HUD-5370	
11. Processing of work permits completed: <span style="float: right;"><input type="checkbox"/> Y <input type="checkbox"/> N</span>	
» ID types of permits required: _____ » Copies provided under attachment #: _____	
<b><u>Administrative Stage</u></b>	
1. Date Notice to Proceed (for construction/development contracts only) issued: _____ <input type="checkbox"/> N/A	
» Start date: _____ Completion date: _____ Duration: _____	
2. Date notification letter issued to unsuccessful bidders: _____ See copies under attach. # _____	
3. Did the contractor provide acceptable proof of insurance? <span style="float: right;"><input type="checkbox"/> Y <input type="checkbox"/> N</span>	

» Explain assessment: _____	
4. Date of pre-construction conference (for construction/dev. contracts only): _____	
<input type="checkbox"/> N/A	
5. Was the Implementation Schedule submitted?	<input type="checkbox"/> Y <input type="checkbox"/> N
6. Has the contractor provided the required Performance and Payments Bonds?	<input type="checkbox"/> Y <input type="checkbox"/> N
» ID optional submissions: _____	
7. Are the bonding documents provided before construction start acceptable?	<input type="checkbox"/> Y <input type="checkbox"/> N
8. Name of Surety Co: _____	
9. Verified that surety co. issuing P&P Bonds is listed in the Dept. of Treasure roster of acceptable entities? <input type="checkbox"/> Y <input type="checkbox"/> N	
» Explain assessment: _____	
10. Document issuance of contract modification(s) and supporting documentation: _____	
11. ID monitoring instructions: _____	
12. ID processing of payments per Progress Schedule: _____	
13. Regular monitoring inspections and field reports: _____	
a. Verify quality and progress: _____	
b. ID deficiencies and corrections before final payment: _____	
14. ID specific completion requirements: _____	
15. Punch List required? <input type="checkbox"/> Y <input type="checkbox"/> N	See copy under attachment #: _____
16. Itemize additional requirements:	
a. Assignment of Guarantee/Warranties:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
b. Certificate of Completion:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
c. Contractor's Release and Certification:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
d. Certificate of Occupancy:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
17. Date task completed: _____	
18. Date warranty inspection scheduled (due in 11 months following completion): _____	
<b>Competitive Proposals Checklist</b>	
Description of Item: _____	
» ID type: <input type="checkbox"/> Request for Proposals (RFP)	<input type="checkbox"/> Request for Qualifications (RFQs)

**Planning Stage:**

1. Authorized Individual/Department making request: \_\_\_\_\_
2. Funding source: \_\_\_\_\_
3. Provide Statement of Work for IFB: \_\_\_\_\_  
☐ Additional information provided under attachment no. #: \_\_\_\_\_
4. ICE: \$ \_\_\_\_\_ Date: \_\_\_\_\_
5. ID source(s) used to develop the ICE: \_\_\_\_\_
6. Date of completion of Evaluation Factors: \_\_\_\_\_  
 a. Evaluation Factors for RFP to include price itemized under attachment #: \_\_\_\_\_  
 b. Evaluation Factors for RFQ excluding price itemized under attachment #: \_\_\_\_\_
7. Date CO identifies Evaluation Committee: \_\_\_\_\_  
 » Copy of members provided under attachment #: \_\_\_\_\_

**Pre-Award Stage:**

1. Date solicitation package for RFP/RFQ finalized: \_\_\_\_\_
2. Date formal proposals will be issued in the open market: \_\_\_\_\_  
 » ID advertisement venues to use: \_\_\_\_\_
3. ID solicitation period for advertisement by no. of days and frequency: \_\_\_\_\_
4. Newspaper (or other venues) advertisements copied for the contract file record: ☐ Y ☐ N
5. If required, ID date of pre-proposal conference: \_\_\_\_\_ ☐ N/A  
 a. ID any addenda to be issued: \_\_\_\_\_  
 b. ID any other issues of importance: \_\_\_\_\_
6. Scheduled date/time receipt of proposals: \_\_\_\_\_ Location: \_\_\_\_\_
7. Two or more proposals received: ☐ Y ☐ N  
 » If no competition (only one proposal received) explain: \_\_\_\_\_
8. Evaluation of proposals scheduled for (enter date) \_\_\_\_\_ to be performed using:  
 a. ☐ One-step process      b. ☐ Two-step process
9. Evaluation Report issued by Evaluation Committee listing final ranking: ☐ Y ☐ N  
 a. Date of report: \_\_\_\_\_ Negotiation Objectives included? ☐ Y ☐ N  
 b. Copy provided under attachment #: \_\_\_\_\_
10. Proposal to be awarded to top-ranked entity as selected by the CO: ☐ Y ☐ N  
 a. If no selection made by CO, Best and Final Offers requested by COB: \_\_\_\_\_  
 b. Schedule date for second evaluation: \_\_\_\_\_
11. Name of entity selected for award: \_\_\_\_\_
12. Justify award to other than best-ranked entity: \_\_\_\_\_
13. Date HUD approval provided to award without competition: \_\_\_\_\_

**Proposal Award Stage:**










































1. Price reasonableness test satisfied prior to award? ☐ Y ☐ N
  - a. RFP: see specific evaluation factor
  - b. RFQ: negotiated after initial award with most qualified entity
2. Explain Price/Cost Analysis performed: \_\_\_\_\_
3. Successful offeror determined to be a responsible entity prior to award? ☐ Y ☐ N
  - » Justify determination: \_\_\_\_\_
4. Successful entity has not been excluded from participating in Federal Government? ☐ Y ☐ N
  - » Supporting documentation provided under attachment #: \_\_\_\_\_
5. Is BOC's approval required for award? ☐ Y ☐ N Date/No. of Board Resolution: \_\_\_\_\_
6. Date award made: \_\_\_\_\_ Name of entity: \_\_\_\_\_
7. Format for Contract or Agreement used is acceptable for RFP/RFQ? ☐ Y ☐ N
8. Terms of Contract/Agreement do not exceed 5 years, including options: ☐ Y ☐ N
  - » Copy provided under attachment #: \_\_\_\_\_
9. Identify HUD forms to be attached to Contract or Agreement, as applicable:
  - a. Solicitations for A/Es and Non-construction: ☐ HUD-5369-B ☐ HUD-5369-C
  - b. Contract for Non-construction: ☐ HUD-5370-C
  - c. A/E Agreement: ☐ HUD-51915
  - d. A/E Contract Provisions: ☐ HUD-51915-A

**Administrative Stage:**

1. Implementation time-frames:
  - » Start date: \_\_\_\_\_ Completion date: \_\_\_\_\_ Duration: \_\_\_\_\_
2. Date notification letter issued to unsuccessful entities: \_\_\_\_\_
  - » See copies under attachment #: \_\_\_\_\_
3. Did the contractor provide acceptable Proof of Insurance? ☐ Y ☐ N
  - » Explain assessment: \_\_\_\_\_
4. Was the Implementation Schedule submitted? ☐ Y ☐ N ☐ N/A
5. Document issuance of contract modification(s) and supporting documentation: \_\_\_\_\_
6. ID monitoring instructions: \_\_\_\_\_
7. ID processing of payments per Implementation Schedule: \_\_\_\_\_
8. Inspections and Field Reports: \_\_\_\_\_
  - a. Verify quality and progress: \_\_\_\_\_
  - b. ID deficiencies and corrections before final payment. \_\_\_\_\_
9. Date task completed: \_\_\_\_\_
10. Itemize completion requirements: \_\_\_\_\_

*Calyptus resources to support procurement assignments*

Calyptus maintains a library of more than 18,000 documents relating to procurement, including solicitations, templates, forms, policies and procedures and best practices including results from benchmarking. We are completing an assessment of an agency in LA County and have developed recent information on both NIGP and NASPO best practices. We also have ties to the ISM, and to CIPS that both have tools and templates for all types of procurements and actions for consideration. Templates, resources, and training materials are available in the following areas on a real-time basis to staff supporting procurements for services, construction, parts, supplies, facilities, temporary services, IT, leases, travel, and professional services:

<ul style="list-style-type: none"> <li> [56 Elements] PSR Report Template</li> <li> 1 - Conflict of Interest Disclosure Form</li> <li> 7 - Independent Cost Estimate Template - Copy</li> <li> 7 - Independent Cost Estimate Template</li> <li> 18 - Responsibility Determination Form</li> <li> 21 - Fair and Reasonable Price Determination</li> <li> 24 - SOW Template</li> <li> 25 - Single Bid - Copy</li> <li> 25 - Single Bid Analysis Template - Copy</li> <li> 25 - Single Bid Analysis Template</li> <li> 25 - Single Bid</li> <li> 32 - Bid Opening Form</li> <li> 33 - Responsiveness Checklist</li> <li> 36 - Sample Proposal Evaluation Form</li> <li> 38 - Sole Source Justification</li> <li> 39 - Cost Analysis Template</li> <li> 41 - Price Analysis Template</li> <li> 42 - Procurement Summary Memorandum</li> <li> 43 - Option Analysis Form</li> <li> 44 - Change Order Review Checklist</li> <li> 47 - Method of Procurement Decision Matrix - REV2012 (smaller)</li> </ul>	<ul style="list-style-type: none"> <li> Contract File Indices</li> <li> Procurement Checklists</li> <li> PSR Appendices</li> <li> 8. Price Analysis Form</li> <li> 8a. Price Analysis Worksheet</li> <li> 9. Piggybacking Checklist</li> <li> 11. Santa Fe Procurement Manual</li> <li> 11a. PARTA Procurement Procedure Manual 07182012-FINAL</li> <li> 14. Contract Administrator Job Description</li> <li> 19. Language to Include on Purchase Orders for FTA Clauses</li> <li> 2013-03-08 TCC Decision Letter on Joint Procurements and Piggybacking</li> <li> Change Order Guidelines</li> <li> CM_GC procurement method best practices</li> <li> Contract File Indices</li> <li> Design Build procedures</li> <li> DRAFT_Pre-Award_and_Post-Delivery_Handbook_15-05-01</li> <li> FTA Federal Clauses and Certifications-NYS DOT ISSUED-Dec-1</li> <li> FTA_Circular_4220.1F(List_of_Revisions)</li> <li> GET Procurement Manual-Final 030714</li> <li> NTI Contract Compliance Course</li> </ul>
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Calyptus is adept at understanding and adopting work approaches as necessary to the client's usual standards of practice and ethics. We have a plethora of benchmarking information on universities, states, counties, and cities as well as for private sector firms. We have benchmarking information for the following areas:

- Strategic Sourcing
- Benchmarking
- Process Analysis
- Customer surveys and interviews
- Policy and Procedure review
- Evaluation of Procurement headcount
- Six sigma and lean management
- Organizational Analysis
- Training and development
- Procurement Measures
- Roles and Responsibilities (RACI charts)



We will use a procurement plan much like the one noted below for any procurement support project.

## PHA Procurement Planning Individual Procurement Plan



### 1. Description of Item or Service to be Purchased

Description / Part Number	Quantity	Delivery Schedule	User
1.			
2.			
3.			
4.			
5.			
6.			

### 2. Degree of Competition

2.1. What are the market conditions?

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2.2. What is the expected level of competition?

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2.3. Can a competitive atmosphere be created and how?

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2.4. What suppliers are expected to submit bids on proposals?

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2.5. What are the market constraints?

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2.6. What are the risks associated with this procurement?

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### **3. Past Experience with Previous Purchases**

- 3.1. What has been our experience with this type of procurement with respect to delivery and quality?**  
(Include known competitive history, price history, volume sensitivity)

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### **4. Rationale for Decision to Procure as RFP or IFB**

- 4.1. Should this item be procured as an RFP or an IFB? Why?**

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### **5. Quantity to be Purchased**

- 5.1. What quantity is needed?**

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- 5.2. How will the price/volume relationship be established for the procurement?**

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- 5.3. What is the contemplated duration of the procurement?**

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### **6. Lead Time**

- 6.1. What is the time to be allowed for bid or proposal development?**

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### **7. Procurement Objectives Stated in Specific Terms**

- 7.1. What is the target price and why?**

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- 7.2. What is the budget for this procurement, if any?**

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## 8. Statement of Negotiation Strategy (for RFPs)

8.1. What strategy is to be employed in the attainment of the objectives above?

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## 9. Basis for Award / Evaluation Criteria

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## 10. Expected DBE/WBE Participation

DBE	WBE
Volume	Volume
Type	Type

## 11. Expected Section 3 Participation

Narrative

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Approval	
<input type="text"/>	<input type="text"/>
Director of Procurement	Date
<input type="text"/>	<input type="text"/>
Contracting Officer	Date

References for procurement projects similar to Texas SHARE

Full references are available under TAB E REFERENCES.

### Finding and selecting vendors to be notified of solicitations

We conduct market research of potential vendors ready and willing to submit bids or submit proposals for a specific procurement requirement. This is done through reviewing a list of firms with contracts with the State and GSA, and firms that have registered with a given agency for a predetermined NAICS code. Some agencies will have access to public websites such as Public Purchase to publicize its solicitations and this can be reviewed for potential vendors. There are also resources like the Chamber of Commerce that could provide potential vendors, as well as lists of certified DBEs and Small Businesses. Further, the agencies may have their own list of commonly used vendors, and this can also be used to create a potential bidders list for specific procurements to direct approach for bidding.

We develop a procurement plan for each procurement that includes an analysis of the extent of competition expected, and whether there are barriers to entry into a specific market. In these cases, geographic proximity, capacity, knowledge of public sector procurement techniques, size of procurement, availability of personnel, insurance and bonding, and other agency-specific requirements may have impact on the number of firms that are able to submit a bid/proposal.

### Approach to services – Section 5 – Specifications and Exhibit B

Calyptus will be available to work with all of the NCTCOG members as part of the SHARE program as task orders/separate contracts with any of the agencies. These would be either competitive or non-competitive contracts. We would send information to all members, if allowed, with a brief brochure on our services provided.

- 1) We would respond to any competitive or other request for proposal
- 2) We would provide proposal in the requested format and propose hourly rates as noted herein or discounted based on the size of the engagement
- 3) We will negotiate a contract and report the sales under the SHARE program and pay the associated fee.
- 4) We would complete the work according to the terms of the contract and report on activities to SHARE as required.

We would respond to any and all combinations of the following tasks, taking no exceptions to the list:

- Procurement Planning (have planning tool)
- Coordinate and Facilitate Stakeholder Meetings (for IPTs and solicitation development)
- Procurement Development (full procurement cycle covered)
- Specification/Scope of Work Development (specification and SOW template)
- Market Research (have templates and training)
- Independent Cost Estimate (using tools)
- Cost & Price Analysis (using templates)
- Solicitation Document Development (using templates)
- Evaluation Criteria Development (have standards, tools, and process)
- Coordinate Evaluation Process (have standards, tools, and process)
- Coordinate BAFO, and Oral Presentations Procedures(have standards, tools, and process)
- Coordinate Selection Process (as part of a collaborative team)
- Review Internal Controls (with collaboration from finance and internal audit)
- Procurement Policy Development (using over 300 examples to choose from, and revised for each client's specialized environment)

We would provide assistance to the development, issuance, and award of procurements by method:

Types of Procurements to be Facilitated and Managed

- Request for Information (RFI)
- Request for Proposals (RFP)
- Invitation to Bid (ITB)
- Request for Statement of Qualifications (RFSQ) (RFQ)
- Request for Competitive Sealed Proposal (RFCSP)
- Request for Quote (RFQ)
- Non-competitive sole source
- Cooperative Agreement/Piggyback
- Qualifications-Based Procurement (A&E)

We are also prepared to provide assistance in the following areas based on our experience:

A. Competitive Procurement Process:

- Procurement Need Identification/ Procurement Data Collection
- Procurement Method Selection
- Procurement Schedule Development/Procurement Planning
- Solicitation Document Development
- Solicitation Document Issuance
- Bid/Proposal Evaluation
- Negotiations (if applicable)
- Contract Formation & Award

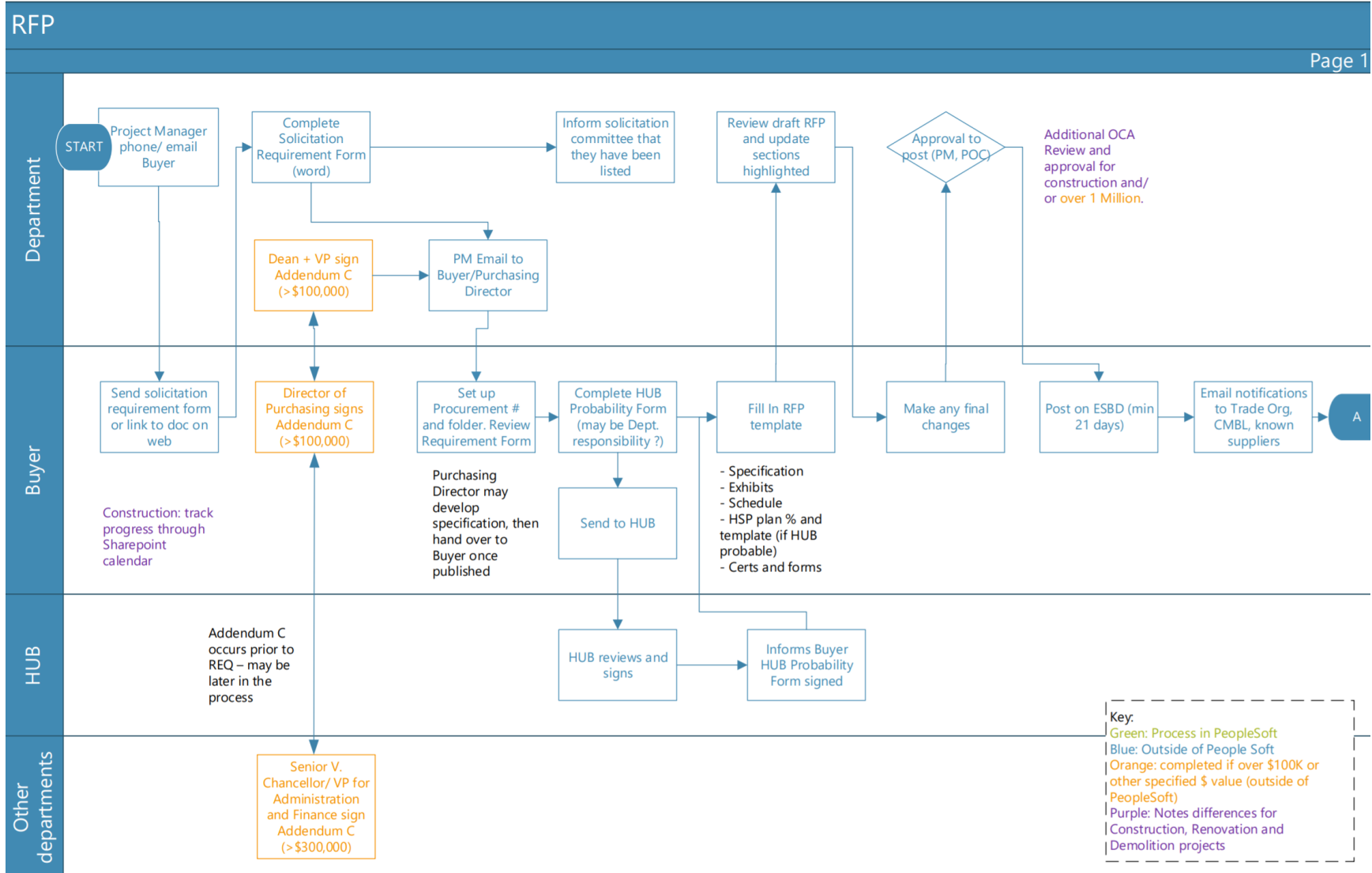
**Response:** We have more than 25 years of experience in this area and have provided these services to public sector clients since 1992. We can provide procurement management services that encompass the full procurement cycle from planning to contract formation. We have performed these services recently for housing agencies, and some counties. All team members assist in the elements of the RFP process. Calyptus has many different solicitation templates that can be modified for use.

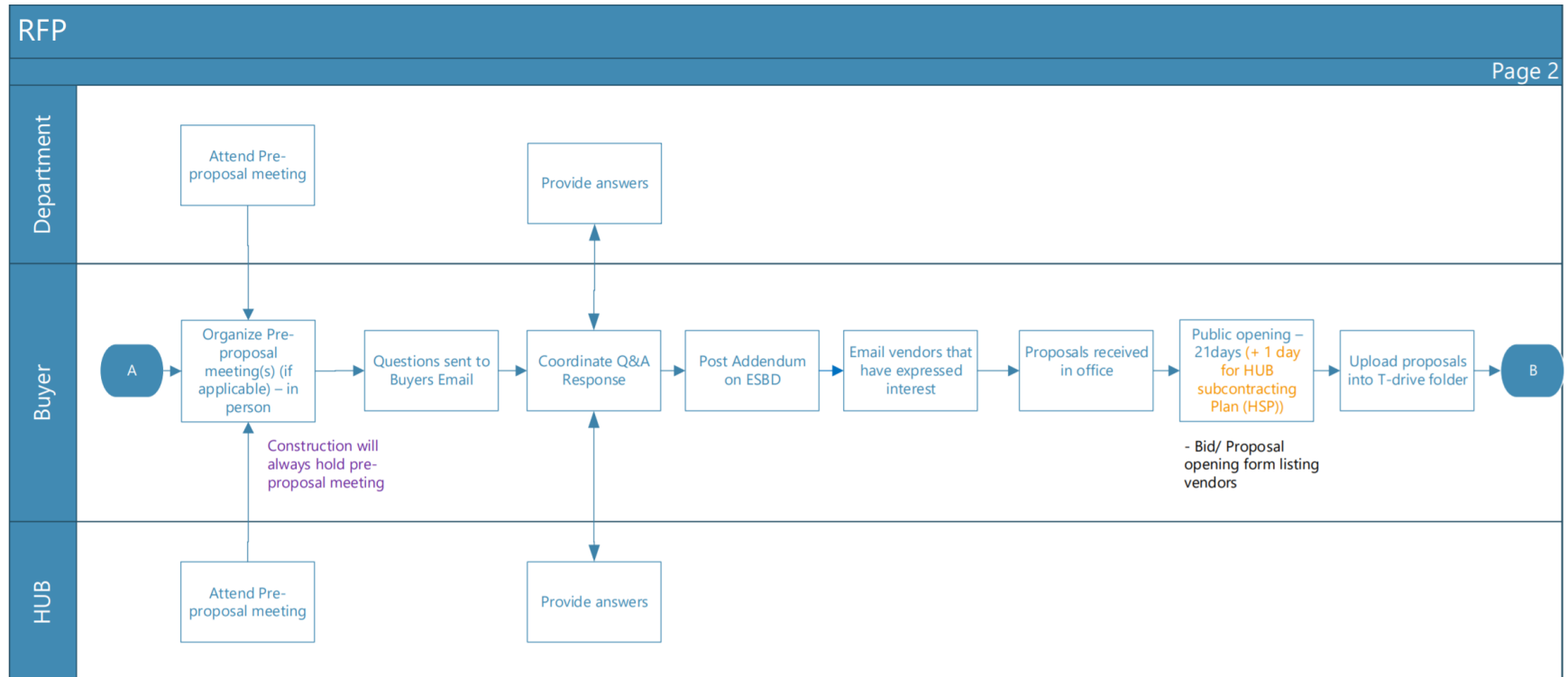
- B. Request for Proposal (RFP): The method used to solicit proposals from potential providers (proposers) for goods and services. Price is usually not a primary evaluation factor. Provides for the negotiation of all terms, including price, prior to contract award. May include a provision for the negotiation of best and final offers.

**Response:** We have more than 25 years of experience in this area and have provided these services to public sector clients since 1992. We can provide procurement management services that encompass the full procurement cycle from planning to contract formation. We have performed these services recently for housing agencies, and some counties. All team members assist in the elements of the RFP process. We would search the NAICS list of vendors in Texas or other geographic area, holders of state or cooperative agreements, GSA schedule holders, search of on-line marketing websites like BidSync, list of previous offeror/bidders, and DBE/WBE/Veteran owned listings.

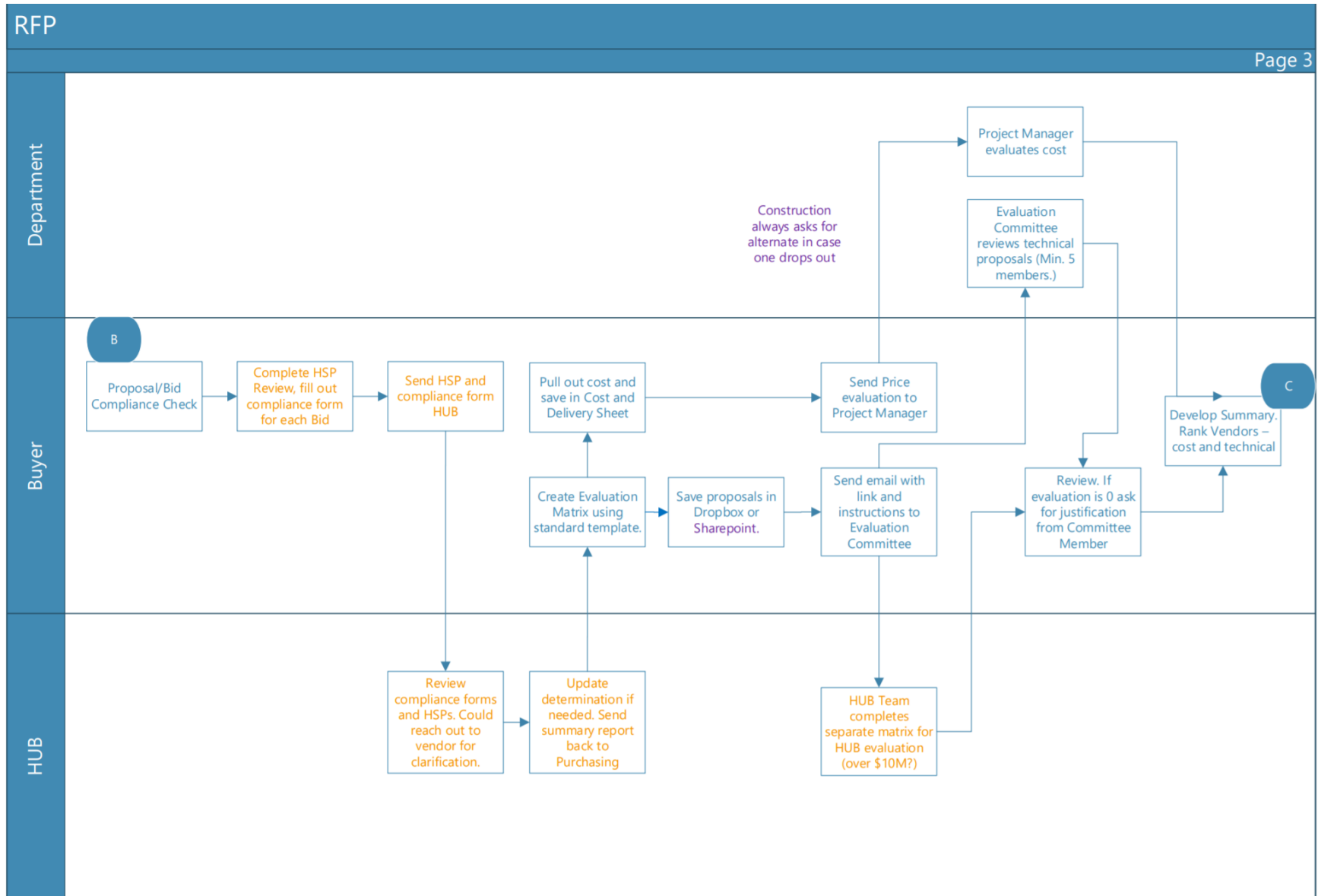
- C. Request for Information (RFI): A non-binding method whereby a jurisdiction publishes via newspaper, Internet, or direct mail its need for input from interested parties for an upcoming solicitation. A procurement practice used to obtain comments, feedback, or reactions from potential responders (suppliers, contractors) prior to the issuing of a solicitation. Generally, price or cost is not required. Feedback may include best practices, industry standards, technology issues, etc.

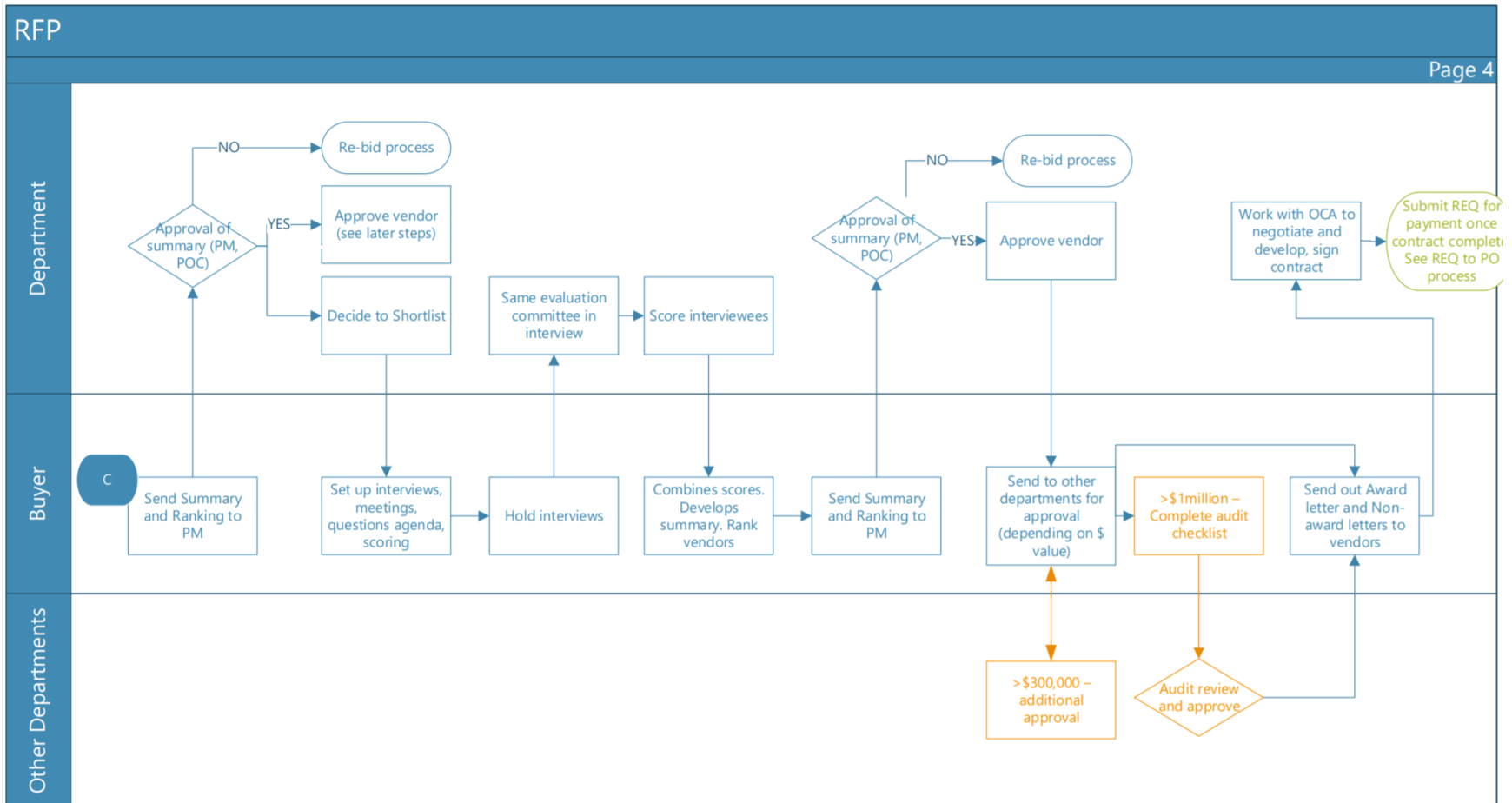
**Response:** We have more than 25 years of experience in this area and have provided these services to public sector clients since 1992. We can provide procurement management services that encompass the full procurement cycle from planning to contract formation. We have performed these services recently for housing agencies, and some counties. All team members assist in the elements of the RFI process. Sample future state RFP process flows that we developed for the University of Houston are included on the following page for reference.











- D. Request for Statement of Qualifications (RFSQ): The method used by a procurement entity to obtain statements of the qualifications of potential responders (development teams or consultants) to gauge potential competition in the marketplace, prior to issuing the solicitation.

**Response:** We have more than 25 years of experience in this area and have provided these services to public sector clients since 1992. We can provide procurement management services that encompass the full procurement cycle from planning to contract formation. We have performed these services recently for housing agencies, and some counties. All team members assist in the elements of the RFQ process. This process established a short list of vendors to be considered for bidding by service or product, and the list should be updated every 12 months.

- E. Market Research: Collecting and analyzing information about capabilities within the market to satisfy agency needs. The results of market research are used to arrive at the most suitable approach to acquiring, distributing, and supporting goods and services.

**Response:** We have more than 25 years of experience in this area and have provided these services to public sector clients since 1992. We can provide procurement management services that encompass the full procurement cycle from planning to contract formation. Oftentimes, market research is misunderstood but can be used to find alternate specifications, vendors, procurement methods, and potential different procurement strategies. We have three training programs on this subject and many sets of templates and checklists to be used.

- F. Specification Development: Assist in the development and preparation of effective, concise, and open technical requirements for the material, product, or service to be procured. There are several types of specifications that are commonly used. The names may vary by the source describing them, but the following are the most commonly used terms. A single specification may be a combination of two or more of these types.
- Design specifications
  - Performance specifications
  - Combination specifications
  - Brand name specifications
  - Brand name or equal specifications
  - Qualified products list specifications
  - Standard specifications

**Response:** Calyptus uses tools like WBS to develop specifications. We have standard templates for specifications and for Statements of work. We can also benchmark other public sector agencies to find appropriate examples for use. We also use value analysis techniques to narrow the needs of the end user, as appropriate.

G. Statutory Interpretation and Compliance:

- Interlocal Cooperation Act, Texas Government Code Chapter 791
- Purchasing and Contracting Authority of Municipalities, Texas Local Government Code Chapter 252.
- Contracting and Delivery Procedures for Construction Projects, Texas Government Code Chapter 2269
- General Rules and Procedures, Texas Government Code Chapter 2155
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200
- All applicable State and Federal Procurement Regulations

**Response:** We perform this type of assessment for all of our clients, completely over 400 assessments like this for transit agencies, counties, and cities.

The following exhibit presents a basic list of the areas Calyptus evaluated for the policy review of Fulton County.

**Policy Evaluation of Article IV, PT.1, CH.2, Article IV, Fulton County Code of Ordinances**

System-Wide Elements	Areas Not Covered in Article IV
<ul style="list-style-type: none"> <li>• Written Standards of Conduct</li> <li>• Contract Administration System</li> <li>• Written Protest Procedures</li> <li>• Prequalification System (If Applicable)</li> <li>• System for Ensuring Most Efficient and Economic Purchase</li> </ul>	<ul style="list-style-type: none"> <li>• Written Standards of Conduct</li> <li>• Contract Administration System</li> <li>• Prequalification System</li> </ul>
Procurement Policies and Procedures	Areas Not Covered in Article IV
<ul style="list-style-type: none"> <li>• Responsibility Determination</li> <li>• Procurement Records and Documentation</li> <li>• Use of Time and Materials Type Contracts</li> <li>• Full and Open Competition</li> <li>• Prohibition of Unreasonable Requirements</li> <li>• Organizational Conflicts of Interest</li> <li>• Prohibition of Arbitrary Action</li> <li>• Contractor Selection Procedures</li> <li>• Clear and Accurate Specifications and Statements of Work</li> <li>• Brand Name or Equal Requirements</li> <li>• Requirements Applicable to Micro-Purchases</li> <li>• Requirement Applicable to Simplified Small Purchase Threshold</li> <li>• Requirements Applicable to Sealed Bid Method of Procurement</li> <li>• Requirements Applicable to Competitive Proposal (RFP) Method</li> <li>• Procedures for the Procurement of A&amp;E Services</li> <li>• Procedures for the Procurement of Design-Bid-Build</li> <li>• Sole Source Documentation Requirements</li> <li>• Requirements for Use of Options</li> <li>• Cost and Price Analysis</li> <li>• Independent Cost or Price Estimates</li> <li>• Cost and Profit Analysis When Adequate Competition is Lacking</li> </ul>	<ul style="list-style-type: none"> <li>• Use of Time and Materials Type Contracts</li> <li>• Prohibition of Unreasonable Requirements</li> <li>• Organizational Conflicts of Interest</li> <li>• Prohibition of Arbitrary Action</li> <li>• Brand Name or Equal Requirements</li> <li>• Procedures for the Procurement of A&amp;E Services</li> <li>• Procedures for the Procurement of Design-Bid-Build</li> <li>• Requirements for Use of Options</li> <li>• Prohibition of Cost Plus Percentage of Cost Type Contracts</li> <li>• Bonding Requirements</li> <li>• Advance Payment Requirements</li> <li>• Progress Payment Requirements</li> <li>• Liquidated Damages</li> <li>• Termination for Cause and Convenience</li> <li>• Requirements for Contract Funded under Federal Grants</li> </ul>

- |   |  |
|---|--|
| <ul style="list-style-type: none"><li>• <b>Prohibition of Cost Plus Percentage of Cost Type Contracts</b></li><li>• <b>Bonding Requirements</b></li><li>• <b>Advance Payment Requirements</b></li><li>• <b>Progress Payment Requirements</b></li><li>• <b>Liquidated Damages</b></li><li>• <b>Remedies for Breach of Contract</b></li><li>• <b>Termination for Cause and Convenience</b></li><li>• <b>Requirements for Contract Funded under Federal Grants</b></li></ul> |  |
|---|--|

#### H. Disadvantaged Business Enterprise (DBE) Programs

**Response:** Calyptus has evaluated DBE goals, assisted in the completion of race-conscious and race neutral goals, providing mentoring, assisting with reporting and expending the amount of opportunities for diverse firms. We also assist in reviewing procurements to ensure that scopes are not too large for smaller firms to apply/propose/bid.

#### I. Procurement of Goods and Services with Federal Grants

**Response:** This is a specialty for Calyptus and we have assisted clients with managing these types of procurements since 1996, including over 400 transit agencies in the U.S, and many in Texas. We are experts in in CARES Act procurements and 2 CFR 200.318. A full list of Federal grant reviews conducted for the US Federal Transit Administration is below. Sample reports developed for the University of Houston and Texas A&M are available in **Appendix D and F**.

The following is the partial list of PSRs completed on behalf of FTA. A full list since 1996 is available upon request. A partial list of Triennial reviews for which procurement is evaluated is included as well below.

##### PSRs Completed Since 1996

- |  |   |
|--|---|
| • The Chicago Transit Authority (CTA)  | • The Lower Rio Grande Valley Development Council (LRGVDC), McAllen, TX                         |
| • The Georgia Regional Transportation AUTHORITY (GRTA)                                       | • Follow-Up Procurement System Review for the Massachusetts Bay Transportation Authority (MBTA) |
| • The Central Florida Regional Transportation Authority (LYNX)                               | • Follow-Up Procurement System Review for the Maryland Transit Administration (MTA)             |
| • The Metropolitan Atlanta Rapid Transit Authority (MARTA)                                   | • Follow-Up Procurement System Review for the Michigan Department of Transportation (MDOT)      |
| • The Massachusetts Bay Transportation Authority (MBTA)                                      | • Northeast Illinois Regional Commuter Railroad Corporation (METRA), Chicago, IL                |
| • The Memphis Area Transit Authority (MATA)  | • The Metropolitan Washington Airports Authority (MWAA)   |
| • The Rhode Island Department of Transportation (RIDOT)                                      | • The Southeastern Pennsylvania Transportation Authority (SEPTA)                                |
| • The Clermont Transportation Connection (CTC)   | • The Bay County, FL (TPO)  |
| • The Central Ohio Transit Authority (COTA)  | • The Fresno Area Express (FAX)   |
| • Follow-Up For The Chicago Transit Authority (CTA)  | • The Gary Public Transportation Corporation (GPTC)   |
| • The Flint Mass Transportation Authority (MTA)  | • Lee County Transit (LEETRAN)  |
| • Follow-Up For The Gary Public Transportation Corporation (GPTC)                            | • The Martin County Board of County Commissioners (Martin County BOCC)                          |
| • The Metropolitan Transit Authority Of Harris County, Houston, Texas (METRO)                | • The Massachusetts Bay Transportation Authority (CTA)  |
| • The Los Angeles County Metropolitan Transportation Authority (LACMTA)                      | • Northeast Illinois Regional Commuter Railroad Corporation (METRA), Chicago, IL                |
| • The Michigan Department of Transportation (MDOT)   | • Follow-Up Procurement System Review for Pace Suburban Bus, Chicago (PACE)                     |
| • Pace Suburban Bus, Chicago (PACE)  | • The Puerto Rico Ports Authority (PRPA)  |
| • Review of the Construction Management at Risk (CMAR) Services RFP for the Town of Avon, CO | • Riverside County Transportation Commission (RCTC)   |
| • The Chicago Transit Authority (CTA) ARRA Procurement System Review                         | • The San Joaquin Regional Rail Commission (SJRRRC)   |
| • The Flint Mass Transportation Authority (MTA)  | • The Santa Clara Valley Transportation Authority (VTA)   |
| • The Foothill Transit ARRA Procurement System Review, The County of Los Angeles             | • The Transbay Joint Powers Authority (TJPA)  |
|  | • The Wisconsin Department of Transportation (WisDOT)   |
|  | • The Capital Area Transportation Authority (CATA)  |
|  | • The Los Angeles County Metropolitan Transportation Authority (LACMTA)                         |

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>and 22 Member Cities in The San Gabriel and Pomona Valleys</li> <li>The Greater Cleveland Regional Transit Authority (GCRTA)</li> </ul> | <ul style="list-style-type: none"> <li>Omnitrans, OmniLink, and OmniGo, San Bernardino Valley CA (OMNITRANS)</li> <li>The San Diego Association of Governments (SANDAG)</li> <li>Illinois Department of Transportation (IDOT)</li> </ul> |
|--|--|

### Triennial Reviews

- |   |   |
|---|---|
| <ul style="list-style-type: none"> <li>City of Lewiston</li> <li>City of Pocatello</li> <li>Targhee Regional Public Transportation Authority</li> <li>Metropolitan Transit Authority of Black Hawk County</li> <li>University of Northern Iowa</li> <li>Topeka Metropolitan Transit Authority</li> <li>City of Lincoln</li> <li>City of Sioux City</li> <li>Golden Empire Transit District Bakersfield CA</li> <li>Kings County Area Public Transit Agency</li> <li>San Joaquin Regional Transit District</li> <li>Southern California Regional Rail Authority</li> <li>Escambia County Board of Commissioners</li> <li>City of Tallahassee - Taltran</li> <li>City of Greensboro</li> <li>Piedmont Authority For Regional Transportation (PART)</li> <li>City of Montgomery - Montgomery Area Transit System</li> <li>City of Gadsden</li> <li>City of Jacksonville</li> <li>Franklin Transit Authority/City of Franklin</li> <li>Jackson Transit Authority</li> <li>Memphis Area Transit Authority</li> <li>Martin County Board Of County Commissioners</li> <li>Indian River County Board of County Commissioners</li> <li>Goldsboro/Wayne Transportation Authority</li> <li>City of High Point</li> <li>City of Greenville</li> <li>City of Winston-Salem</li> <li>City of Rock Hill</li> <li>Birmingham-Jefferson County Transit Authority</li> <li>Tuscaloosa County Parking And Transit Authority</li> <li>City of Asheville</li> <li>Western Piedmont Regional Transit Authority</li> </ul> | <ul style="list-style-type: none"> <li>City of Terre Haute</li> <li>RTA Chicago</li> <li>Washington County Transit</li> <li>City of Anderson</li> <li>City of Kokomo</li> <li>Transit Authority of Northern Kentucky (TANK)</li> <li>Clermont County Transit (CTC)</li> <li>City of Sheboygan</li> <li>City of Chippewa Falls</li> <li>North Indiana Commuter Transport</li> <li>Northwest Indiana Regional Planning Commission</li> <li>Michigan City Transit</li> <li>Bay Metro Transit Authority</li> <li>Michigan Area Council of Governments (Michiana)</li> <li>City of Waukesha Metro</li> <li>City of Hartford</li> <li>Indianapolis Public Transit (IndyGo)</li> <li>River Valley Metro</li> <li>County of Lorrain</li> <li>City of Dekalb</li> <li>Miami County Transit</li> <li>Laketran</li> <li>City of Springfield</li> <li>Portage Area Regional Transportation Authority</li> <li>Steel Valley RTA</li> <li>Gary Public Transportation Corp</li> <li>Allen County RTA</li> <li>Twin Cities Area Transportation Authority</li> <li>Butler County RTA</li> <li>City of Middletown</li> <li>City of Newark</li> <li>Danville Mass Transit</li> <li>Licking County Transit</li> </ul> |
|---|---|



### Triennial Reviews

- Metropolitan Transit Authority Nashville
- Nashville Regional Transportation Authority
- Golden Gate Bridge, Highway, and Transportation District
- City of Santa Rosa
- Eastern Contra Costa Transit Authority
- Livermore-Amador Valley Transit Authority
- Central Contra Costa Transit Authority
- Western Contra Costa Transit Authority
- City of Visalia
- City of Madera
- Placer County, Department of Public Works
- Yuba-Sutter Transit Authority
- Sacramento Regional Transit District
- Yolo County Transportation District
- Redding Area Bus Authority
- San Diego Association of Governments (SANDAG)
- City of Fresno
- County of Lebanon Transit Authority
- Cumberland-Dauphin Transit Authority
- City of Winchester
- City of Charlottesville
- City of Harrisonburg
- Beaver County Transit Authority (BCTA)
- Southwestern Pennsylvania Commission
- Hazelton Public Transit
- Lehigh & Northampton Transportation Authority
- Erie Metropolitan Transit Authority
- Cambria County Transit Authority
- River Valley Transit (Formally Williamsport Bureau of Transportation)
- Greater Lynchburg Transit Authority
- Eastern Panhandle Transit Authority
- Tri-State Transit Authority
- Monongalia County Urban MTA (Mountain Line)
- City of Weirton (Weirton Transit Corporation)
- Brockton Area Transit Authority (BAT)
- Worcester Regional Transit Authority
- Cape Cod Regional Transit Authority
- Montachusett Regional Transit Authority
- Pioneer Valley Transit Authority
- Kalamazoo Metro Transit
- City of Niles
- City of Beloit
- Richland County Transit Board
- Janesville Transit System
- City of Stamford
- Greater Bridgeport Transit Authority
- Greater New Haven Transit District
- Norwalk Transit District
- Valley Council of Governments
- Lowell Regional Transit Authority
- Merrimack Valley Regional Transit Authority
- Southeastern Regional Transit Authority
- Biddeford-Saco-Old Orchard Beach
- City of Bangor
- Greater Portland Transit District
- City of Nashua
- Manchester Transit Authority
- Butte County
- City of Elk Grove
- City of Fairfield
- City of Gardena
- City of Montebello
- City of Redondo Beach
- City of Roseville
- Gold Coast Transit
- Imperial County Transportation Commission
- Long Beach Public Transportation Company
- Monterey-Salinas Transit
- Municipal Transportation Agency
- Napa County Transportation Planning Agency
- Omnitrans
- Peninsula Corridor Joint Powers Board
- Riverside Transit Authority
- San Mateo County Transit District
- Santa Cruz Metro Transit District
- Sunline Transit Authority
- Ventura County Transportation Commission
- Alaska Railroad Corporation
- Fairbanks North Star Borough

### Triennial Reviews

- Northern New England Passenger Rail Authority
- Greater Attleboro-Taunton
- Chittenden County Transit Authority
- Municipality of Anchorage
- Josephine County (Grants Pass)
- Ben Franklin Transit
- Central Puget Sound Regional Transit Authority (Sound Transit)
- Puget Sound Regional Council
- City of Yakima
- Washington Metropolitan Area Transit Authority
- Atlanta Regional Commission
- Gwinnett County Board of Commissioners
- Central Pennsylvania Transportation Authority
- Transit Authority of Lexington-Fayette Urban County Government
- Centre Area Transportation Authority
- City of Hattiesburg
- County of Fayette
- City of Jackson
- Mid-Mon Valley Transit Authority
- Cape Fear Public Transportation Authority
- City of Sharon
- Town of Cary
- City of Washington
- Town of Chapel Hill
- Westmoreland County Transit Authority
- City of Concord
- Town of Blacksburg
- City of Durham
- City of Fredericksburg
- City of Fayetteville
- Greater Roanoke Transit Company
- Central midlands Council of Governments
- Potomac and Rappahannock Transportation Commission
- Charleston Area Regional Transportation Authority
- City of Richmond
- Waccamaw Regional Transportation Authority (CRPTA)
- Williamsburg Area Transit Authority
- City of Spartanburg
- Eastern Ohio/Ohio Valley Regional Transportation Authority
- Spartanburg County Government
- Mid-Ohio Valley Transit Authority
- City of Bristol, Tennessee
- Bay County Transportation Planning Organization
- City of Clarksville, Clarksville Transit Systems
- City of Gainesville
- City of Johnson City
- Lake County Board of County Commissioners
- City of Murfreesboro
- Lee County Transit
- City of Bristol, Virginia
- Palm Beach County Board of Commissioners (Pam Beach County Transit Authority)
- Arkansas Department of Transportation
- Paso County Board of County Commissioners
- Alexandria, LA
- Massachusetts Bay Transportation Authority
- Lake Charles, LA
- Pennsylvania Allegheny County
- Monroe, LA
- City of Charlotte
- Lafayette, LA
- Greater Peoria Mass Transit
- Shreveport Transit Management
- South Bend TRANSPO
- St. Tammany, LA
- City of Detroit
- Capital Area Transit System, LA
- Detroit Transportation Co.
- Tangipahoa Parish, LA
- Livingston County
- Las Cruces, NM
- Mass Transportation Authority, Inc.

### Triennial Reviews

- City of Midland
- RTA Southeast Michigan
- Saginaw Transit Authority Regional
- Suburban Mobility Authority (SMART)
- Metropolitan Council of Minneapolis
- Toledo Area RTA
- Albuquerque
- Rio Metro RTA
- Lawton City
- Beaumont
- Brownsville
- Conroe
- Dallas Area Rapid Transit
- Denton County
- Fort Bend County
- Harris County
- Laredo
- MTA Harris County
- Odessa
- Port Arthur
- Texarkana
- Cedar Rapids
- Coralville
- Des Moines Area RTA
- University of Iowa
- Flint Hills Regional Council
- City Utilities of Springfield
- Kansas City Area
- Grand Island
- Fort Collins
- Greeley, CO
- East Grand Forks City
- Moorhead
- Fargo
- Grand Forks City
- Central Oklahoma
- Met Tulsa Transit Authority
- Cleveland Area Rapid Transit
- Abilene, TX
- Corpus Christi RTA
- El Paso, TX
- Fort Worth Transportation Authority
- Galveston, TX
- Waco, TX
- North Central Texas Council of Governments
- Lower Rio Grande Valley Development Council
- Lubbock, TX
- McAllen, TX
- Gulf Coast Regional Mental Health Center
- Round Rock, TX
- The Woodlands Township, TX

J. Procurement of Construction Related Services

**Response:** This is also a specialty for Calyptus. We have reviewed and analyzed out 2000 construction solicitations and contracts. We assisted Alameda County in revising its procurement procedures, construction solicitations and contracts. We are experts in wage laws across the country, including prevailing wages and Davis-Bacon. We have a detailed compliant contract change order process that we have employed for federal clients.

K. Competitive Solicitation Process Exemptions:

- State Procurement Exemptions
- Federal Procurement Exemptions

**Response:** This is an area where analysis of sources are compared to the allowable exemptions. Cost and Price analysis is needed as well as market research. We assist with the research and the justification as required. We can assist in completing the necessary cost or price analysis as well as negotiations and overall documentation.

L. Cooperative Procurement (Purchasing): The action taken when two or more entities combine their requirements to obtain advantages of volume purchases, including administrative savings and other benefits.

A variety of arrangements, whereby two or more public procurement entities purchase from the same supplier or multiple suppliers using a single Invitation for Bids (IFB) or Request for Proposals (RFP). 3. Cooperative procurement efforts may result in contracts that other entities may "piggyback."

Common Cooperative Purchasing Programs:

- BuyBoard National Purchasing Cooperative
- The Interlocal Purchasing System (TIPS)
- Sourcewell
- OMNIA Partners, Inc.
- Choice Partners National Purchasing Cooperative
- Houston-Galveston Area Council (H-GAC) Cooperative Purchasing Program
- State of Texas Cooperative Purchasing Program (Texas SmartBuy)
- General Services Administration (GSA) Cooperative Purchasing Program

**Response:** We are familiar and have worked with Omnia, GSA, SmartBuy, Buyboard and Sourcewell. We have the required checklist to be used and assist clients with ensuring competition, fair pricing, and effective terms and conditions.

M. Public Procurement Negotiation: A process of planning, reviewing, analyzing, and conferring used by two or more parties to reach a mutually acceptable agreement in a contracting relationship.

**Response:** We have assisted clients in the negotiations of pricing and terms, for RFPs, A&E procurement, sole sources, and change. We have developed procedures and requirements for documentation.

#### Team and business involvement in the RFP process

Calypsus would involve the NCTCOG team at the outset of every potential engagement ensuring that the member is in good standing and that the request for services is within the scope of the RFP/contract. We will report on bidding activity and any potential contract, so that the payment of the fee can be tracked and collected. We will also provide a status report of ongoing contracts, and results achieved.

#### Managing and securing NCTCOG and client data

We use a secure server to upload and download data from clients. Only staff with a need to know will have access to data, and the data is backed up every day. Any inadvertent deletion of data can be recovered with 24 hours.

## TAB E REFERENCES

Dr. Harris was the Project Manager for all projects listed in this proposal and directly and personally performed the majority of the services provided to those clients. Dr. Harris also holds primary responsibility for the performance of all projects. **All the proposed staff have worked on these assignments/projects.**

Calyptus Group submits the following client references highlighting ongoing and previous experience with similar procurement consulting projects in the last five (5) years.

### **a. Alameda County**

Detra Dillon  
Procurement Administrator  
(510) 208-9632

1401 Lakeside Drive, Suite 907  
Oakland CA 94612  
Detra.Dillon@acgov.org

**Performance Period:** 2018-ongoing

**Award Value:** Assessment \$96,860

**Contract #:** 901582 SSA

**Contract Type:** FFP and Time & Material

#### **Brief Description:**

Completed a County-wide assessment for the County General Services Administration including a review of statutes, ordinances, policies and procedures; business process review; benchmarking; spend analysis; assessing customer service; organizational and staff assessment; and organizational structure assessment and recommendations. Facilitated staff process assessment and redesign workshops. The tasks included:

#### **Task 1: Comprehensive Assessment of Procurement Practices, Policies, and Procedures**

Assessment A: Statutes, Ordinances, Policies, & Procedures

Assessment B: Business Process Review

Assessment C: Benchmarking Operations & Efficiency

Assessment D: Spend Analysis

Assessment E: Assess Customer Service & Relationships with Internal Departments

Assessment F: Organization & Staff Assessment

Assessment G: Organizational Structure Alternatives

#### **Task 2: Recommendations for improvement**

Prepare Business Case

Resource strategy

#### **Task 3: Review & Create Manuals for Elements of Procurement**

#### **Task 4: Participate in CBO Procurements**

#### **Task 5: Create, Pilot and Conduct Training**

Creating & Delivering Training Courses

**b. Wilmington Housing Authority**

LaVerne Hanson  
(302) 429-6701 ext. 1022  
LHanson@whadelaware.org

400 N. Walnut St.  
Wilmington, DE 19801

**Performance Period: 02/2020-Ongoing**

**Award Value: Multiple**

**Narrative:** Calyptus provided an Assessment Report for the Wilmington Housing Authority that includes a summary of interviews, an overview of grant management responsibilities and functions, analysis of the current process, a comparison of current policies and procedures against benchmarking results, and an overall analysis of the organizational structure and headcount.

Calyptus is also supporting active project activities:

- Brick repointing
- Concrete
- HVAC preventive maintenance
- Mechanical equipment
- Roof repair
- Painting
- Fencing
- A&E engineering
- Cellular services
- Electrical services
- Employee benefits
- Janitorial services
- Roof consulting
- Security cameras
- Unit remodeling
- Unit rehabs

**c. Marin Housing Authority**

Lewis Jordan  
(415) 491-2525

4020 Civic Center Drive  
San Rafael CA 94903  
ljordan@marinhousing.org

**Performance Period: 2020-ongoing**

**Award Value: \$50,000**

**Brief Description:**

Calyptus took on all procurement activity for the Marin Housing Authority, including procurement planning, issuing request for proposals and bids, managing all evaluations, and developing contracts. In total, Calyptus completed procurement for the following services and products:

- CFO Training
- Property Management/Maintenance
- Human Resources Consulting
- Destructive Testing
- EPC Feasibility Study
- HCV Program Services
- HVAC Services
- IT Services
- IT products and security software
- Janitorial Services
- Housing Rehabilitation
- Legal Services
- Section 3 Consulting
- Temporary Services

**d. Pennsylvania State System of Higher Education**

Jeffrey Mandel  
Director of Procurement and Operations  
(570) 389-4045

PASSHE  
400 E Second Street/WAB 38  
Bloomsburg PA 17815  
jmandel@bloomu.edu

**Performance Period:** 2016-2017

**Award Value:** \$115,600 (+ \$15,000 travel)

**Contract #:** SP 4000046497

**Contract Type:** FFP

**Proposed Key Personnel Involved:** Dr. Harris, Mr. Beekman, Ms. Harvey

**Brief Description:**

Calyptus completed a system-wide spend analysis and level of effort of analysis to develop strategic sourcing projects to centralize operations and assist with cost savings. Calyptus additionally conducted a process and procedure review and developed organizational restructuring recommendations to assist with centralization of operations. The project involved three (3) phases:

**A. Phase I, Spend Analysis:**

1. Assess and analyze spend data, which may include data for Purchase Cards (Pcard), Purchase Order, Service Purchase Contract and Blueback spend.
2. Examine the completeness of spend data.
3. Make recommendations as to a potential change in material groups currently utilized vs. other options such as NIGP or UNSPSC codes. Recommended alternative classifications will also be considered.

**B. Phase II:**

1. Cross reference spend analysis from Phase I against any/all of the following existing contracting mechanisms:
  - State contracts
  - COSTARS contracts
  - Authorized cooperative contracts (ex. PEPPM, National IPA, and others)
  - Existing PASSHE contracts



2. List spend not covered by number 1, above that is significant in size
3. Assess savings potential opportunities for those commodities identified in number 2, above.
4. Prepare recommendation(s) for a review/governance and decision process for new and recurring significant solicitations that cross multiple/all universities.
5. Interviews with university procurement directors to solicit their input for collaboration and application of PASSHE spend leverage

**C. Phase III:**

1. Provide organization options with recommendations on those which best support the opportunities developed in Phase II.
2. Prepare a high level business case to support/justify any proposed transformations

**e. Federal Transit Administration**

**Procurement Assessments**

Audrey Bredehoft - COR  
(202)366-2524 audrey.bredehoft@DOT.gov

Office of Oversight  
Federal Transit Administration  
1200 New Jersey Avenue SE  
Washington, DC 20590

Please note that FTA is a bit inconsistent in providing references and is historically slow in providing written responses

**Performance Period: 2013-12/31/2023**

**Award Value: NTE \$30 Million**

**Narrative:** As an FTA contractor Calyptus has performed over 300 Grant Reviews including a full procurement assessment. We have delivered technical assistance and training on FTA requirements and are currently completing corrective action assistance to recipients in Region 1 and 4 (Puerto Rico).

In addition, Calyptus has conducted over 120 procurement reviews of rapid transit agencies throughout the United States. In the reviews, 60 elements of procurement performance were evaluated. Six of these elements were system-wide elements and 54 of the elements were related to compliance with policies and procedures. Each of the elements are evaluated with feedback provided and corrective actions supported with best practice information.

**f. University of Houston**

Karin Livingston  
Assistant Vice President for Finance and Controller  
(713) 743-4415

University of Houston  
4800 Calhoun Road  
Houston TX 77004  
klivingston@uh.edu

**Performance Period: 2018**

**Award Value: \$148,448**

**Contract #: RFP730-18017**

**Contract Type: FFP**

**Proposed Key Personnel Involved:** Dr. Harris, Ms. Harvey

**Brief Description:**

Conducted a comprehensive review of the university procurement system, including a review of procurement functions; automation potential; internal processes; institutional proposal process; standard or common training; oversight of Universities; staffing levels; an organizational structure. Facilitated staff process improvement workshops. Tasks included:

1. Conduct a review of procurement functions for the University of Houston, minimal disruption of business operations. Review will focus on identification of best business practices and opportunities for improvement in the areas of automation, leveraging cooperative agreements, procurement procedures, procurement training, and staffing as detailed in the following scope requirements.
2. Review automation potential including maximization of use of current PeopleSoft system and identification of additional modules or external systems to manage the procurement and purchasing cycle.
3. Review purchasing department internal processes for efficiency and effectiveness including: documentation and approvals of formal and informal procurements, effectiveness of standard forms, vendor protest procedures, scoring matrices, and identification of opportunities for decentralization and/or centralization.
4. Review institutional proposal review processes, including identification of potential improvements for training provided to selection committees, standard timelines for the evaluation and review process, and guidelines for short-list interviews.
5. Identify standard or common training provided by purchasing departments and compare to current training provided, review website for functionality, and recommend improvements.
6. Identify oversight necessary for procurement managed by other campus divisions.
7. Review staffing levels compared to workload as defined by the volume and complexity of formal and informal procurement, and determine whether procurement specialists for capital construction or other areas could be beneficial.
8. Review purchasing department job descriptions, responsibilities, and salaries to determine whether job descriptions are commensurate with actual responsibilities, and whether salaries are commensurate with responsibilities.

**g. Western University**

Kevin Shaw  
Senior VP, Treasurer, and CFO  
(909) 469-5401

Western University of Health Sciences  
309 East Second Street  
Pomona, CA 91766-1854  
kshaw@westernu.edu

**Performance Period:** 2019-ongoing

**Award Value:** \$162,200

**Brief Description:**

Calyptus conducted an assessment of the WesternU Procurement department and spend to identify potential areas for cost savings. Tasks included: staff interviews, customer service expectation interviews and surveys, policy/procedure review, spend analysis, market analysis, use of contracts, benchmarking, process analysis and management, recommendations and implementation plan. In Phase II of the project we worked directly with the Procurement Department on strategic sourcing projects to realize and measure cost savings.

**h. Court Services and Offender Supervision Agency (CSOSA)**

Mesfin Ketema  
Supervisor – Quality Improvement Unit  
(202) 220-5379

633 Indian Avenue, NW  
Washington DC  
20004  
Mesfin.Ketema@csosa.gov

**Performance Period:** 09/2016-09/2021

**Award Value:** \$413,955

**Contract #:** CSOSA-16-F-0217

**Contract Type:** T&M

**Proposed Key Personnel Involved:** Dr. Harris, Mr. Beekman, Ms. Harvey

**Brief Description:**

Calyptus conducted an assessment of the CSOSA COR Desk Guide alongside a thorough analysis of the CLM and PRISM software and their usage within CSOSA. We delivered a recommendation report and worked with CSOSA to share recommendations and encourage implementation within the procurement department. We are assisting implementation on an ongoing basis and supporting procurement activities as needed.

Calyptus Group provided software review services, including a review of CSOSA requirements and software capabilities. We work intimately with the procurement department and support process improvement through commenting on and assisting revisions to the COR Desk Guide.

## TAB F PROPOSAL PRICING

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Exhibit D is included on the following pages and in Tab G Required Attachments.

**EXHIBIT D**  
**Pricing Proposal (Firm/Organization)**

Respondents are to provide a rate chart for the labor categories/ skill sets outlined below. All rates should be presented as fully loaded hourly rates. Include any other cost categories that should be considered within the "other" category. Attach extra sheets, as necessary. Respondents are encouraged to offer additional Public Sector Procurement Consulting functions and services as options for retainer under this solicitation.

Pricing Format Request Example		Procurement No.:	NCT 2021-083
<b>Respondent Name:</b>	Calyptus Consulting Group, Inc.		
<b>Notes:</b>	1. This pricing sheet is an EXAMPLE of how pricing should be submitted for RFP 2021-083 2. Please provide hourly rates for <b>all</b> staff that would be involved in Procurement related projects. 3. Use as many lines as needed. 4. Detail any additional information necessary. 5. Proposers are encouraged to offer additional Public Sector Procurement Consulting functions or services to be offered as a catalog option. Please provide any additional options with 'list less' or 'cost plus percentages for pricing. A copy of any catalog services your firm can provide should be included with this response.		
Public Sector Procurement Consulting Services Rate Chart - SHARE Cooperative Purchasing Program			
Item	Description	Offered Price	
1	Project Manager	\$190/hour	
2	Consultant	\$160/hour	
3	Analyst	\$140/hour	
4			
5			
6			
7			
8			
Contractor shall provide additional Public Sector Procurement Consulting goods or services at cost plus:		10% discount in rates to be provided for each contract awarded %	

## TAB G REQUIRED ATTACHMENTS

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ATTACHMENT I: Instructions for proposals Compliance and Submittal

ATTACHMENT II: Certification of Offeror

ATTACHMENT III: Certification Regarding Debarment

ATTACHMENT IV: Restrictions on Lobbying

ATTACHMENT V: Drug-Free Workplace Certification

ATTACHMENT VI: Certification Regarding Disclosure of Conflict of Interest

ATTACHMENT VII: Certification Regarding Fair Business Practices

ATTACHMENT VIII: Certification of Good Standing Texas Corporate Franchise Tax Certification

ATTACHMENT IX: Historically Underutilized Businesses, Minority, or Women-Owned or Disadvantaged Business Enterprises

ATTACHMENT X: Prohibited Telecommunications and Video Surveillance Services or Equipment Certification

Exhibit A: Service Area Designation Form

Exhibit B: Description of Deliverable Topics

Exhibit C: Pricing Proposal (Individual Consultant)

Exhibit D: Pricing Proposal (Firm/Organization)

**ATTACHMENT I:  
INSTRUCTIONS FOR PROPOSALS COMPLIANCE AND SUBMITTAL**

**Compliance with the Solicitation**

Submissions must be in strict compliance with this solicitation. Failure to comply with all provisions of the solicitation may result in disqualification.


**Acknowledgment of Insurance Requirements**

By signing its submission, Offeror acknowledges that it has read and understands the insurance requirements for the submission. Offeror also understands that the evidence of required insurance may be requested to be submitted within ten (10) working days following notification of its offer being accepted; otherwise, NCTCOG may rescind its acceptance of the Offeror's proposals. The insurance requirements are outlined in Section 6.04.

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

Signature of Authorized Representative:



Date: 12/02/2021

**ATTACHMENT II:  
CERTIFICATIONS OF OFFEROR**

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

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Signature of Authorized Representative:



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Date: 12/02/2021

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**ATTACHMENT III:  
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

This certification is required by the Federal Regulations Implementing Executive Order 12549, Debarment and Suspension, 45 CFR Part 93, Government-wide Debarment and Suspension, for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Parts 85, 668, 682), Department of Health and Human Services (45 CFR Part 76).

The undersigned certifies, to the best of his or her knowledge and belief, that both it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency;
2. Have not within a three-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or Local) transaction or contract under a public transaction, violation of federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false Proposals, or receiving stolen property;
3. Are not presently indicated for or otherwise criminally or civilly charged by a government entity with commission of any of the offense enumerated in Paragraph (2) of this certification; and,
4. Have not within a three-year period preceding this contract had one or more public transactions terminated for cause or default.

Where the prospective recipient of federal assistance funds is unable to certify to any of the qualifications in this certification, such prospective recipient shall attach an explanation to this certification form.

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

Signature of Authorized Representative:



Date: 12/02/2021

## **ATTACHMENT IV: RESTRICTIONS ON LOBBYING**

Section 319 of Public Law 101-121 prohibits recipients of federal contracts, grants, and loans exceeding \$100,000 at any tier under a federal contract from using appropriated funds for lobbying the Executive or Legislative Branches of the federal government in connection with a specific contract, grant, or loan. Section 319 also requires each person who requests or receives a federal contract or grant in excess of \$100,000 to disclose lobbying.

No appropriated funds may be expended by the recipient of a federal contract, loan, or cooperative agreement to pay any person for influencing or attempting to influence an officer or employee of any federal executive department or agency as well as any independent regulatory commission or government corporation, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with any of the following covered federal actions: the awarding of any federal contract, the making of any federal grant, the making of any federal loan the entering into of any cooperative agreement and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

As a recipient of a federal grant exceeding \$100,000, NCTCOG requires its subcontractors of that grant to file a certification, set forth in Appendix B.1, that neither the agency nor its employees have made, or will make, any payment prohibited by the preceding paragraph.

Subcontractors are also required to file with NCTCOG a disclosure form, set forth in Appendix B.2, if the subcontractor or its employees have made or have agreed to make any payment using nonappropriated funds (to include profits from any federal action), which would be prohibited if paid for with appropriated funds.

**LOBBYING CERTIFICATION  
FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge or belief, that:

1. No federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an officer or employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal loan, the entering into of any cooperative Contract, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative contract; and
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, and or cooperative contract, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying”, in accordance with the instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers and that all sub-recipients shall certify accordingly.

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

Signature of Authorized Representative:



Date: 12/02/2021

**ATTACHMENT V:  
DRUG-FREE WORKPLACE CERTIFICATION**

The Calyptus Consulting Group, Inc. (company name) will provide a Drug Free Work Place in compliance with the Drug Free Work Place Act of 1988. The unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited on the premises of the Calyptus Consulting Group, Inc. (company name) or any of its facilities. Any employee who violates this prohibition will be subject to disciplinary action up to and including termination. All employees, as a condition of employment, will comply with this policy.

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE**

This certification is required by the Federal Regulations Implementing Sections 5151-5160 of the Drug-Free Workplace Act, 41 U.S.C. 701, for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Parts 85, 668 and 682), Department of Health and Human Services (45 CFR Part 76).

The undersigned subcontractor certifies it will provide a drug-free workplace by:

Publishing a policy Proposal notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and specifying the consequences of any such action by an employee;

Establishing an ongoing drug-free awareness program to inform employees of the dangers of drug abuse in the workplace, the subcontractor's policy of maintaining a drug-free workplace, the availability of counseling, rehabilitation and employee assistance programs, and the penalties that may be imposed on employees for drug violations in the workplace;

Providing each employee with a copy of the subcontractor's policy Proposal;

Notifying the employees in the subcontractor's policy Proposal that as a condition of employment under this subcontract, employees shall abide by the terms of the policy Proposal and notifying the subcontractor in writing within five days after any conviction for a violation by the employee of a criminal drug abuse statute in the workplace;


Notifying the Board within ten (10) days of the subcontractor's receipt of a notice of a conviction of any employee; and,

Taking appropriate personnel action against an employee convicted of violating a criminal drug statute or requires such employee to participate in a drug abuse assistance or rehabilitation program.

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

Signature of Authorized Representative:

  
\_\_\_\_\_

Date: 12/02/2021

**ATTACHMENT VI:  
CERTIFICATION REGARDING DISCLOSURE OF CONFLICT OF INTEREST**

The undersigned certifies that, to the best of his or her knowledge or belief, that:

“No employee of the contractor, no member of the contractor's governing board or body, and no person who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of this contract shall participate in any decision relating to this contract which affects his/her personal pecuniary interest.

Executives and employees of contractor shall be particularly aware of the varying degrees of influence that can be exerted by personal friends and associates and, in administering the contract, shall exercise due diligence to avoid situations which give rise to an assertion that favorable treatment is being granted to friends and associates. When it is in the public interest for the contractor to conduct business with a friend or associate of an executive or employee of the contractor, an elected official in the area or a member of the North Central Texas Council of Governments, a permanent record of the transaction shall be retained.

Any executive or employee of the contractor, an elected official in the area or a member of the NCTCOG, shall not solicit or accept money or any other consideration from a third person, for the performance of an act reimbursed in whole or part by contractor or Department. Supplies, tools, materials, equipment or services purchased with contract funds shall be used solely for purposes allowed under this contract. No member of the NCTCOG shall cast a vote on the provision of services by that member (or any organization which that member represents) or vote on any matter which would provide a direct or indirect financial benefit to the member or any business or organization which the member directly represents”.

No officer, employee or paid consultant of the contractor is a member of the NCTCOG.

No officer, manager or paid consultant of the contractor is married to a member of the NCTCOG.

No member of NCTCOG directly owns, controls or has interest in the contractor.

The contractor has disclosed any interest, fact, or circumstance that does or may present a potential conflict of interest.


No member of the NCTCOG receives compensation from the contractor for lobbying activities as defined in Chapter 305 of the Texas Government Code.

Should the contractor fail to abide by the foregoing covenants and affirmations regarding conflict of interest, the contractor shall not be entitled to the recovery of any costs or expenses incurred in relation to the contract and shall immediately refund to the North Central Texas Council of Governments any fees or expenses that may have been paid under this contract and shall further be liable for any other costs incurred or damages sustained by the NCTCOG as it relates to this contract.

Name of Organization/Contractor(s):

Calyptus Consulting Group, Inc.

Signature of Authorized Representative:



Date: 12/02/2021

**CONFLICT OF INTEREST QUESTIONNAIRE**  
For vendor doing business with local governmental entity

**FORM CIQ**

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.

This questionnaire is being filed in accordance with Chapter 176, Local Government Code, by a vendor who has a business relationship as defined by Section 176.001(1-a) with a local governmental entity and the vendor meets requirements under Section 176.006(a).

By law this questionnaire must be filed with the records administrator of the local governmental entity not later than the 7th business day after the date the vendor becomes aware of facts that require the statement to be filed. See Section 176.006(a-1), Local Government Code.

A vendor commits an offense if the vendor knowingly violates Section 176.006, Local Government Code. An offense under this section is a misdemeanor.

**OFFICE USE ONLY**

Date Received

**1** Name of vendor who has a business relationship with local governmental entity.

**2** ☐ Check this box if you are filing an update to a previously filed questionnaire. (The law requires that you file an updated completed questionnaire with the appropriate filing authority not later than the 7th business day after the date on which you became aware that the originally filed questionnaire was incomplete or inaccurate.)

**3** Name of local government officer about whom the information is being disclosed.

\_\_\_\_\_  
Name of Officer

**4** Describe each employment or other business relationship with the local government officer, or a family member of the officer, as described by Section 176.003(a)(2)(A). Also describe any family relationship with the local government officer. Complete subparts A and B for each employment or business relationship described. Attach additional pages to this Form CIQ as necessary.

A. Is the local government officer or a family member of the officer receiving or likely to receive taxable income, other than investment income, from the vendor?

☐

Yes

☐

No

B. Is the vendor receiving or likely to receive taxable income, other than investment income, from or at the direction of the local government officer or a family member of the officer AND the taxable income is not received from the local governmental entity?

☐

Yes

☐

No

**5** Describe each employment or business relationship that the vendor named in Section 1 maintains with a corporation or other business entity with respect to which the local government officer serves as an officer or director, or holds an ownership interest of one percent or more.

**6** ☐ Check this box if the vendor has given the local government officer or a family member of the officer one or more gifts as described in Section 176.003(a)(2)(B), excluding gifts described in Section 176.003(a-1).

**7**

\_\_\_\_\_  
Signature of vendor doing business with the governmental entity

\_\_\_\_\_  
Date


**ATTACHMENT VII:  
CERTIFICATION OF FAIR BUSINESS PRACTICES**

That the submitter has not been found guilty of unfair business practices in a judicial or state agency administrative proceeding during the preceding year. The submitter further affirms that no officer of the submitter has served as an officer of any company found guilty of unfair business practices in a judicial or state agency administrative during the preceding year.

Name of Organization/Contractor(s):

Calypus Consulting Group, Inc.

Signature of Authorized Representative:



Date: 12/02/2021

**ATTACHMENT VIII:  
CERTIFICATION OF GOOD STANDING  
TEXAS CORPORATE FRANCHISE TAX CERTIFICATION**

Pursuant to Article 2.45, Texas Business Corporation Act, state agencies may not contract with for profit corporations that are delinquent in making state franchise tax payments. The following certification that the corporation entering into this offer is current in its franchise taxes must be signed by the individual authorized on Form 2031, Corporate Board of Directors Resolution, to sign the contract for the corporation.

The undersigned authorized representative of the corporation making the offer herein certified that the following indicated Proposal is true and correct and that the undersigned understands that making a false Proposal is a material breach of contract and is grounds for contract cancellation.


Indicate the certification that applies to your corporation:

- X                The Corporation is a for-profit corporation and certifies that it is not delinquent in its franchise tax payments to the State of Texas.
- The Corporation is a non-profit corporation or is otherwise not subject to payment of franchise taxes to the State of Texas.

- Type of Business (if not corporation):      ☐      Sole Proprietor
- ☐      Partnership
- ☐      Other

Pursuant to Article 2.45, Texas Business Corporation Act, the North Central Texas Council of Governments reserves the right to request information regarding state franchise tax payments.

Dr. George Harris, President  
(Printed/Typed Name and Title of Authorized Representative)

  
Signature

Date: 12/02/2021



**ATTACHMENT IX:  
HISTORICALLY UNDERUTILIZED BUSINESSES, MINORITY OR WOMEN-OWNED OR DISADVANTAGED  
BUSINESS ENTERPRISES**

Historically Underutilized Businesses (HUBs), minority or women-owned or disadvantaged businesses enterprises (M/W/DBE) are encouraged to participate in the solicitation process. Representatives from HUB companies should identify themselves and submit a copy of their certification.

NCTCOG recognizes the certifications of both the State of Texas Program and the North Central Texas Regional Certification Agency. Companies seeking information concerning HUB certification are urged to contact:

State of Texas HUB Program  
Texas Comptroller of Public Accounts  
Lyndon B. Johnson State Office Building  
111 East 17th Street  
Austin, Texas 78774  
(512) 463-6958  
<http://www.window.state.tx.us/procurement/prog/hub/>

Local businesses seeking M/W/DBE certification should contact:

North Central Texas Regional Certification Agency  
624 Six Flags Drive, Suite 100  
Arlington, TX 76011  
(817) 640-0606  
<http://www.nctrca.org/certification.html>

**Submitter must include a copy of its minority certification documentation as part of this solicitation.**

If your company is already certified, attach a copy of your certification to this form and return with your proposal.

**Indicate all that apply:**

\_\_\_\_\_ Minority-Owned Business Enterprise

\_\_\_\_\_ Women-Owned Business Enterprise

\_\_\_\_\_ Disadvantaged Business Enterprise

**ATTEST TO Attachments of Certification:**

\_\_\_\_\_  
Authorized Signature

NOT APPLICABLE

\_\_\_\_\_  
Typed Name

\_\_\_\_\_  
Date

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_ (month), 20\_\_ in  
\_\_\_\_\_  
(city), \_\_\_\_\_ (county), \_\_\_\_\_ (state).

\_\_\_\_\_  
**SEAL**

Notary Public in and for \_\_\_\_\_ (County),  
State of \_\_\_\_\_ Commission expires: \_\_\_\_\_

**ATTACHMENT X:  
PROHIBITED TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT  
CERTIFICATION**

This RFP and any resulting Contract is subject to the Public Law 115-232, Section 889, and 2 Code of Federal Regulations (CFR) Part 200, including §200.216 and §200.471, for prohibition on certain telecommunications and video surveillance or equipment.


Public Law 115-232, Section 889, identifies that restricted telecommunications and video surveillance equipment or services (e.g. phones, internet, video surveillance, cloud servers) include the following:

- A) Telecommunications equipment that is produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliates of such entities).
- B) Video surveillance and telecommunications equipment produced by Hytera Communications Corporations, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliates of such entities).
- C) Telecommunications or video surveillance services used by such entities or using such equipment.
- D) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, Director of the National Intelligence, or the Director of the Federal Bureau of Investigation reasonably believes to be an entity owned or controlled by the government of a covered foreign country.

The entity identified below, through its authorized representative, hereby certifies that no funds under this RFP or any resulting Contract will be obligated or expended to procure or obtain telecommunication or video surveillance services or equipment or systems that use covered telecommunications equipment or services as a substantial or essential component of any system, or as a critical technology as part of any system prohibited by 2 CFR §200.216 and §200.471, or applicable provisions in Public Law 115-232 Section 889.

☒ The Respondent hereby certifies that it does comply with the requirements of 2 CFR §200.216 and §200.471, or applicable regulations in Public Law 115-232 Section 889.

SIGNATURE OF AUTHORIZED  
PERSON:

  
\_\_\_\_\_

NAME OF AUTHORIZED PERSON:

Dr. George Harris  
\_\_\_\_\_

NAME OF COMPANY:

Calyptus Consulting Group, Inc.  
\_\_\_\_\_

DATE:

12/02/2021  
\_\_\_\_\_

**-OR-**

☐ The Respondent hereby certifies that it cannot comply with the requirements of 2 CFR §200.216 and §200.471, or applicable regulations in Public Law 115-232 Section 889.

SIGNATURE OF AUTHORIZED PERSON:

\_\_\_\_\_

NAME OF AUTHORIZED PERSON:

\_\_\_\_\_

NAME OF COMPANY:

\_\_\_\_\_

DATE:

\_\_\_\_\_

**EXHIBIT A**  
**Service Area Designation Forms**

<b>RFP 2021-083</b>	<b>Texas Service Area Designation or Identification</b>				
<b>Proposer Name:</b>	Calyptus Consulting Group, Inc.				
<b>Notes:</b>	<b>Indicate in the appropriate box whether you are proposing to service the entire State of Texas</b>				
	Will service the entire State of Texas	Will not service the entire State of Texas			
	YES, will service the entire State				
	<b>If you are not proposing to service the entire State of Texas, designate on the form below the regions that you are proposing to provide goods and/or services to. By designating a region or regions, you are certifying that you are willing and able to provide the proposed goods and services.</b>				
<b>Item</b>	<b>Region</b>	<b>Metropolitan Statistical Areas</b>	<b>Designated Service Area</b>		
1.	North Central Texas	16 counties in the Dallas-Fort Worth Metropolitan area			
2.	High Plains	Amarillo Lubbock			
3.	Northwest	Abilene Wichita Falls			
4.	Upper East	Longview Texarkana, TX-AR Metro Area Tyler			
5.	Southeast	Beaumont-Port Arthur			
6.	Gulf Coast	Houston-The Woodlands-Sugar Land			
7.	Central Texas	College Station-Bryan Killeen-Temple Waco			
8.	Capital Texas	Austin-Round Rock			
9.	Alamo	San Antonio-New Braunfels Victoria			
10.	South Texas	Brownsville-Harlingen Corpus Christi Laredo McAllen-Edinburg-Mission			
11.	West Texas	Midland Odessa San Angelo			
12.	Upper Rio Grande	El Paso			

<b>RFP 2021-083</b>	<b>Nationwide Service Area Designation or Identification Form</b>						
<b>Proposer Name:</b>	Calyptus Consulting Group, Inc.						
<b>Notes:</b>	<p><b>Indicate in the appropriate box whether you are proposing to provide service to all Fifty (50) States.</b></p> <table border="1"> <tr> <td>Will service all Fifty (50) States</td> <td>Will not service Fifty (50) States</td> </tr> <tr> <td>YES, will service all 50 states</td> <td></td> </tr> </table> <p><b>If you are not proposing to service to all Fifty (50) States, then designate on the form below the States that you will provide service to. By designating a State or States, you are certifying that you are willing and able to provide the proposed goods and services in those States.</b></p> <p><b>If you are only proposing to service a specific region, metropolitan statistical area (MSA), or city in a State, then indicate as such in the appropriate column box.</b></p>			Will service all Fifty (50) States	Will not service Fifty (50) States	YES, will service all 50 states	
Will service all Fifty (50) States	Will not service Fifty (50) States						
YES, will service all 50 states							
<b>Item</b>	<b>State</b>	<b>Region/MSA/City</b>	<b>Designated as a Service Area</b>				
1.	Alabama						
2.	Alaska						
3.	Arizona						
4.	Arkansas						
5.	California						
6.	Colorado						
7.	Connecticut						
8.	Delaware						
9.	Florida						
10.	Georgia						
11.	Hawaii						
12.	Idaho						
13.	Illinois						
14.	Indiana						
15.	Iowa						
16.	Kansas						
17.	Kentucky						
18.	Louisiana						
19.	Maine						

20.	Maryland		
21.	Massachusetts		
22.	Michigan		
23.	Minnesota		
24.	Mississippi		
25.	Missouri		
26.	Montana		
27.	Nebraska		
28.	Nevada		
29.	New Hampshire		
30.	New Jersey		
31.	New Mexico		
32.	New York		
33.	North Carolina		
34.	North Dakota		
35.	Ohio		
36.	Oregon		
37.	Oklahoma		
38.	Pennsylvania		
39.	Rhode Island		
40.	South Carolina		
41.	South Dakota		
42.	Tennessee		
43.	Texas		
44.	Utah		
45.	Vermont		
46.	Virginia		
47.	Washington		
48.	West Virginia		
49.	Wisconsin		
50.	Wyoming		

## **EXHIBIT B**

### **Description of Deliverable Topics**

The Respondent should provide a response as to how the individual or firm would supplement existing procurement personnel to assist SHARE Members in procuring desired goods and/or services. A quality response will detail the individual's or firm's capabilities and knowledge related to the following procurement areas that could constitute services desired by a Public Sector Procurement Consultant.

The following selection is **not all-encompassing**, and knowledge and experience related to additional procurement areas are desired.

#### **A. Competitive Procurement Process:**

- Procurement Need Identification / Procurement Data Collection
- Procurement Method Selection
- Procurement Schedule Development/Procurement Planning
- Solicitation Document Development
- Solicitation Document Issuance
- Bid/Proposal Evaluation
- Negotiations (if applicable)
- Contract Formation & Award

**B. Request for Proposal (RFP):** The method used to solicit proposals from potential providers (proposers) for goods and services. Price is usually not a primary evaluation factor. Provides for the negotiation of all terms, including price, prior to contract award. May include a provision for the negotiation of best and final offers.

**C. Request for Information (RFI):** A non-binding method whereby a jurisdiction publishes via newspaper, Internet, or direct mail its need for input from interested parties for an upcoming solicitation. A procurement practice used to obtain comments, feedback, or reactions from potential responders (suppliers, contractors) prior to the issuing of a solicitation. Generally, price or cost is not required. Feedback may include best practices, industry standards, technology issues, etc.

**D. Request for Statement of Qualifications (RFSQ):** The method used by a procurement entity to obtain statements of the qualifications of potential responders (development teams or consultants) to gauge potential competition in the marketplace, prior to issuing the solicitation.

**E. Market Research:** Collecting and analyzing information about capabilities within the market to satisfy agency needs. The results of market research are used to arrive at the most suitable approach to acquiring, distributing, and supporting goods and services.

**F. Specification Development:** Assist in the development and preparation of effective, concise, and open technical requirements for the material, product, or service to be procured. There are several types of specifications that are commonly used. The names may vary by the source describing them, but the following are the most commonly used terms. A single specification may be a combination of two or more of these types.

- Design specifications
- Performance specifications
- Combination specifications
- Brand name specifications
- Brand name or equal specifications
- Qualified products list specifications
- Standard specifications

## **G. Statutory Interpretation and Compliance:**

- Interlocal Cooperation Act, Texas Government Code Chapter 791
- Purchasing and Contracting Authority of Municipalities, Texas Local Government Code Chapter 252.
- Contracting and Delivery Procedures for Construction Projects, Texas Government Code Chapter 2269
- General Rules and Procedures, Texas Government Code Chapter 2155
- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200
- All applicable State and Federal Procurement Regulations

## **H. Disadvantaged Business Enterprise (DBE) Programs**

## **I. Procurement of Goods and Services with Federal Grants**

## **J. Procurement of Construction Related Services**

## **K. Competitive Solicitation Process Exemptions:**

- State Procurement Exemptions
- Federal Procurement Exemptions

**L. Cooperative Procurement (Purchasing):** The action taken when two or more entities combine their requirements to obtain advantages of volume purchases, including administrative savings and other benefits.

2. A variety of arrangements, whereby two or more public procurement entities purchase from the same supplier or multiple suppliers using a single Invitation for Bids (IFB) or Request for Proposals (RFP). 3. Cooperative procurement efforts may result in contracts that other entities may “piggyback.”

- **Common Cooperative Purchasing Programs:**

- BuyBoard National Purchasing Cooperative
- The Interlocal Purchasing System (TIPS)
- Sourcewell
- OMNIA Partners, Inc.
- Choice Partners National Purchasing Cooperative
- Houston-Galveston Area Council (H-GAC) Cooperative Purchasing Program
- State of Texas Cooperative Purchasing Program (Texas SmartBuy)
- General Services Administration (GSA) Cooperative Purchasing Program

**M. Public Procurement Negotiation:** A process of planning, reviewing, analyzing, and conferring used by two or more parties to reach a mutually acceptable agreement in a contracting relationship.

**EXHIBIT C**  
**Pricing Proposal (Individual Consultant)**

The Respondent shall furnish a unit rate for its services. Please provide a unit rate for services described in the Scope of Work and attach it to your submission. Include any other cost categories that should be considered within the “other” category. Attach extra sheets, as necessary. Respondents are encouraged to offer additional Public Sector Procurement Consulting functions and services as options for retainer under this solicitation. All rates should be presented as fully loaded hourly rates.

Pricing Format Request Example Individual Consultant		Procurement No.:	NCT 2021-083
<b>Respondent Name:</b>	NOT APPLICABLE, NOT INDIVIDUAL CONSULTANT		
<b>Notes:</b>	1. This pricing sheet is an EXAMPLE of how pricing should be submitted for RFP 2021-083 2. Please provide hourly rate for Public Sector Procurement Consulting Services 3. Detail any additional information necessary. 4. Proposers are encouraged to offer additional Public Sector Procurement Consulting functions or services to be offered as fully loaded hourly rates. Additional services that you can provide should be included with this response.		
Public Sector Procurement Consulting Services Rate Chart - SHARE Cooperative Purchasing Program			
Item	Description	Offered Price	
1	Individual Consultant	Specify Rate (Hourly)	
2	Other, Miscellaneous, Etc.	Specify Rate (Hourly, Daily, Weekly)	
3	Other, Miscellaneous, Etc.	Specify Rate (Hourly, Daily, Weekly)	
Contractor shall provide additional Public Sector Procurement Consulting goods or services at hourly rate:		%	



**EXHIBIT D**  
**Pricing Proposal (Firm/Organization)**

Respondents are to provide a rate chart for the labor categories/ skill sets outlined below. All rates should be presented as fully loaded hourly rates. Include any other cost categories that should be considered within the "other" category. Attach extra sheets, as necessary. Respondents are encouraged to offer additional Public Sector Procurement Consulting functions and services as options for retainer under this solicitation.

Pricing Format Request Example		Procurement No.:	NCT 2021-083
<b>Respondent Name:</b>	Calyptus Consulting Group, Inc.		
<b>Notes:</b>	1. This pricing sheet is an EXAMPLE of how pricing should be submitted for RFP 2021-083 2. Please provide hourly rates for <b>all</b> staff that would be involved in Procurement related projects. 3. Use as many lines as needed. 4. Detail any additional information necessary. 5. Proposers are encouraged to offer additional Public Sector Procurement Consulting functions or services to be offered as a catalog option. Please provide any additional options with 'list less' or 'cost plus percentages for pricing. A copy of any catalog services your firm can provide should be included with this response.		
Public Sector Procurement Consulting Services Rate Chart - SHARE Cooperative Purchasing Program			
Item	Description	Offered Price	
1	Project Manager	\$190/hour	
2	Consultant	\$160/hour	
3	Analyst	\$140/hour	
4			
5			
6			
7			
8			
Contractor shall provide additional Public Sector Procurement Consulting goods or services at cost plus:		10% discount in rates to be provided for each contract awarded %	

## Additional Information

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The following appendices are attached in this section as additional supporting information to assist the evaluation:

- A. Philadelphia Housing Authority Desk Manual, Table of Contents
- B. Procurement System Review – System-wide Procurement Procedure Checklist
- C. Sample Interview Templates: User and procurement staff
- D. Staffing Analysis for UHouston
- E. CSOSA Evaluation of Two Acquisition Management Systems
- F. Benchmarking Survey Conducted for Texas A&M University
- G. Strategic Sourcing Opportunities and Governance Report, PASSHE (Table of Contents)
- H. Hybrid Organizational Structure Recommendations to PASSHE

## [Appendix A: Philadelphia Housing Authority Desk Manual, Table of Contents](#)

The table of contents of the finalized procurement desk manual created for the Philadelphia Housing Authority is available below. The full document can be available for review upon request.

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## [Appendix B: Procurement System Review – System-Wide Procurement Procedure Checklist](#)

The system-wide procurement checklist used for Department of Transportation Procurement System Reviews is available on the following pages for reference.

<b>Grantee:</b>						
<b>Reviewer:</b>						
<b>Date Reviewed:</b>						
<b>Observations:</b>						
No	Element	Basic Requirement 4220.1F	ND	D	NA	Comments
1	<p><b>Written Standards of Conduct</b> - The grantee has a written code of standards of conduct which provides that no employee, officer, agent, immediate family member, or Board member of the grantee shall participate in the selection, award, or administration of a contract supported by FTA funds if a conflict of interest, real or apparent, would be involved. The grantee defines such a conflict to be when any of the following has a financial or other interest in the firm selected for award:</p> <p>(a.) The employee, officer, agent, or Board member, (b.) Any member of his/her immediate family, (c.) His or her partner, or</p> <p>(d.) An organization that employs, or is about to employ, any of the above.</p> <p>The grantee's code of conduct also provides that its officers, employees, agents, or Board members will neither solicit nor accept gifts, gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to subagreements and contains penalties, sanctions, or other disciplinary action for violation of such standards by the grantee's officers, employees, or agents, or by contractors or their agents.</p>	III, 1.a.b.c.				
2	<p><b>Contract Administration System</b> - The grantee has a contract administration system that ensures that it and its third party contractors perform in accordance with the terms,</p>	III, 3.				



	conditions, and specifications of their contracts or purchases.					
3	<p><b>Written Protest Procedures</b> - The grantee has written protest procedures to handle and resolve disputes relating to their procurements. These procedures require the following:</p> <p>(a.) In all instances involving FTA funds the grantee must disclose information regarding the protest to FTA, and keep FTA informed about the status of the protest,</p> <p>(b.) All protest decisions must be in writing, and</p> <p>(c.) A protester must exhaust all administrative remedies with the grantee before pursuing a protest with FTA.</p>	VII, 1. a. b.				
4	<p><b>Prequalification System</b> - The grantee has a system of prequalification which ensures that all lists of prequalified persons, firms, or products that are used in acquiring goods and services are current and include enough qualified sources to ensure maximum full and open competition. The system also provides that potential bidders may not be precluded from qualifying during the solicitation period, which is from issuance of the solicitation to its closing date. If the grantee does not prequalify bidders and offerors, so state in the comments column and mark NA in the Not Deficient column.</p>	VI, 1.c.				
5	<p><b>System for Ensuring Most Efficient and Economic Purchase</b> - The grantee has a system for review of proposed procurements to avoid purchase of unnecessary or duplicative items. It provides for analysis of lease versus purchase alternatives and for considering consolidating or breaking out procurements to obtain a more economical purchase.</p>	IV, 1. b. c. e.				
6	<b>Procurement Policies &amp; Procedures</b>		YES	NO	Comments	

	<b>Procurement Policies and Procedures</b> - The grantee's procurement policies and procedures contain the following FTA C 4220.1F, requirements: <i>(After checking YES or NO for regulatory coverage of the following, mark Not Deficient or Deficient)</i>	III, 3.a.			
a.	<b>Make awards only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement.</b> Consideration shall be given to contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.  YES _____ NO _____	VI, 8. b.			
b.	<b>Maintain records detailing the history of a procurement.</b> At a minimum, these records shall include:  (1) The rationale for the method of procurement, (2) Selection of contract type, (3) Reasons for contractor selection or rejection, and (4) The basis for the contract price.  YES _____ NO _____	III, 3. d. (1)			
c.	<b>Requirement that "Time and Materials Type Contracts" may only be used:</b>  (1) After a determination that no other type of contract is suitable, and (2) If the contract specifies a ceiling price that the contractor shall not exceed except at its own risk.  YES _____ NO _____	VI, VI, 2.(2)(b)			

d.	<p><b>Contract term limitation for rolling stock and replacement parts shall not exceed the recipient's needs for rolling stock and replacement parts within five (5) years inclusive of options without prior written FTA approval when FTA funds are involved.</b> For all other types of contracts, the contract file contains evidence that the contract term is based upon sound business judgment.</p> <p>YES _____ NO _____</p>	IV, 2.e.(10)			
e.	<p><b>Tag-ons.</b> The use of tag-ons is prohibited and applies to the original buyer as well as to others. Tag-on is defined as the addition of work (supplies, equipment or services) that is beyond the scope of the original contract that amounts to a cardinal change and is subject to non-competitive procurement procedures.</p> <p>YES _____ NO _____</p>	V, 7.b.(2).			
f.	<p><b>All procurement transactions will be conducted in a manner providing full and open competition.</b></p> <p>YES _____ NO _____</p>	VI, 1. a.			
g.	<p><b>Prohibits unreasonable requirements from being placed on firms in order for them to qualify to do business (e.g. unnecessary experience and excessive bonding requirements).</b></p> <p>YES _____ NO _____</p>	VI, 2. a. (4) (b) (e)			
h.	<p><b>Coverage that defines Organizational Conflicts of Interest and provides means for eliminating or mitigating such conflicts.</b> For instance, a "Hardware Exclusion Clause" may be recommended for inclusion in hardware design or R&amp;D contracts.</p> <p>YES _____ NO _____</p>	VI, 2. a. (4) (h)			

i.	<b>Prohibit any arbitrary action in the procurement process (e.g. in the competitive selection of contractors).</b> YES _____ NO _____	VI, 2. a. (4) (j)			
j.	<b>Except when procuring A&amp;E services, prohibits the use of statutorily or administratively imposed in-State or local geographical preferences in the evaluation of bids or proposals unless Federal statutes expressly mandate or encourage geographic preference.</b> YES _____ NO _____	VI, 2. a. (4) (g)			
k.	<b>Contains contractor selection procedures.</b> YES _____ NO _____	III, 3. a.			
l.	<b>Require clear and accurate contract specifications (or statements of work) that do not unduly restrict competition and identify all requirements that offerors must fulfill and all factors to be used in evaluating bids or proposals.</b> YES _____ NO _____	VI, 2. e.; VI, 3. c. (1) (a)			
m.	<b>Requirements for using "Brand Name or Equal" purchase descriptions:</b>  (1) Only when an adequate specification cannot be provided without performing an inspection and analysis in time for the acquisition under consideration, and  (2) Minimum needs are carefully identified and those salient physical and functional characteristics of the brand name product are clearly set forth in the solicitation.  YES _____ NO _____	VI, 2. a. (3)			
n.	<b>Requirements applicable to micro-purchases (\$3,000 or less) :</b>  (1) Competition not required, (2) Must document determination that price is fair and reasonable and how the determination	VI, 3. a.			

	<p>was derived,</p> <p>(3) Prohibit splitting of procurements to avoid competition, and</p> <p>(4) When competition is not obtained, require equitable distribution among qualified suppliers.</p> <p>YES _____ NO _____</p>				
<b>o.</b>	<p><b>Requirements applicable to the grantee's simplified small purchase threshold (for FTA funded purchases the threshold may range from \$3,000 to \$100,000) :</b></p> <p>(1) Must obtain price or rate quotations from an adequate number of qualified sources, and</p> <p>(2) Document file that price is fair and reasonable.</p> <p>YES _____ NO _____</p>	<b>VI, 3. b.</b>			
<b>p.</b>	<p><b>Requirements applicable to sealed bid method of procurement:</b></p> <p>(1) Defines conditions for sealed bid,</p> <p>(2) Requires public advertising,</p> <p>(3) Must allow sufficient time to prepare bids prior to bid opening,</p> <p>(4) Award must be made to the lowest responsive and responsible bidder, and</p> <p>(5) Must document sound business reason if any or all bids are rejected.</p> <p>YES _____ NO _____</p>	<b>VI, 3. c.</b>			

q.	<p><b>Requirements applicable to competitive proposal (RFP) method of procurement:</b></p> <p>(1) Requests for proposals will be publicized. All evaluation factors will be identified along with their relative importance;</p> <p>(2) Proposals will be solicited from an adequate number of qualified sources;</p> <p>(3) Grantees will have a method in place for conducting technical evaluations of the proposals received and for selecting awardees;</p> <p>(4) Awards will be made to the responsible firm whose proposal is most advantageous to the grantee's program with price and other factors considered; and</p> <p>(5) In determining which proposal is most advantageous, grantees may award (if consistent with State law) to the proposer whose proposals offer the greatest business value to the Agency based upon an analysis of a tradeoff of qualitative technical factors and price/cost to derive which proposal represents the "best value" to the Procuring Agency as defined in 4220.1F, I, 5. b., Definitions. If the grantee elects to use the best value selection method as the basis for award, however, the solicitation must contain language that establishes that an award will be made on a "best value" basis.</p> <p>YES _____ NO _____</p>	VI, 3. d.			
r.	<p><b>Unless State law provides procedures for procurement of A&amp;E services the Brooks Act procedures apply and may only be used when procuring A&amp;E services:</b></p> <p>(1) Evaluate qualifications excluding price as a factor,</p> <p>(2) Negotiate only with the most qualified offeror, and</p> <p>(3) Failing agreement on price, negotiate with the next most qualified offeror until agreement is reached on a price that is determined to be fair</p>	VI,3.f.3.			

	and reasonable. YES _____ NO _____				
s.	<p><b>Procurement of Design-Bid-Build.</b> Grantees may procure design-bid-build services through means of sealed bidding or competitive negotiations. These services must be procured in a manner that conforms to applicable state and local law, the requirements of this Circular relative to the method of procurement used and all other applicable federal requirements.</p> <p>YES _____ NO _____</p>	<p><b>9.f</b></p> <p>VI, 3.g.</p>			
t.	<p><b>Procurement of Design-Build.</b> Grantee must procure design-build services through means of qualifications-based competitive proposal procedures based on the Brooks Act as set forth in 4220.1F, VI, 3. h. when the preponderance of the work to be performed is considered to be for architectural and engineering (A&amp;E) services as defined in 4220.1F, VI, 3. f. Qualifications-based competitive proposal procedures should not be used to procure design-build services when the preponderance of the work to be performed is not of an A&amp;E nature as defined in 4220.1F, VI, 3. f, unless required by State law adopted before August 10, 2005.</p> <p>YES _____ NO _____</p>	<p><b>VI, 3.h.</b></p>			
u.	<p><b>Sole source documentation requirements:</b></p> <p>(1) Infeasible to use small purchase, sealed bid, or competitive procedures, and</p> <p>(a) Item is available only from one source,</p> <p>(b) The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation,</p> <p>(c) FTA authorizes noncompetitive negotiations,</p> <p>(d) After solicitation of a number of sources, competition is determined inadequate, or</p> <p>(2) Cost and profit analysis are required.</p>	<p><b>VI, 3.i.</b></p>			

	YES _____ NO _____				
<b>v.</b>	<b>Requirements for use of options:</b> (1) Option quantities must be evaluated to determine contract award, and (2) When exercising options, ensure it is in accordance with the contract and that the price is better than prices available in the market or is more advantageous at the time the option is exercised. YES _____ NO _____	<b>V, 7. a.; VI, 7. b.</b>			
<b>w.</b>	<b>Must perform cost or price analysis in connection with every procurement action, including contract modifications.</b> YES _____ NO _____	<b>VI, 6.</b>			
<b>x.</b>	<b>Must make independent cost or price estimates before receiving bids or proposals.</b> YES _____ NO _____	<b>VI, 6.</b>			
<b>y.</b>	<b>Must perform cost and profit analysis when adequate price competition is lacking.</b> YES _____ NO _____	<b>VI, 6. a.</b>			
<b>z.</b>	<b>Grantee's cost principles for evaluation of proposed costs are consistent with Federal cost principles.</b> YES _____ NO _____	<b>VI, 4.</b>			
<b>a. a</b>	<b>Cost plus percentage of cost type contract is prohibited.</b> YES _____ NO _____	<b>VI, 2.c.(2)(a)</b>			
<b>b. b</b>	<b>Bonding requirements for construction contracts above \$100,000 meet the following minimums:</b> (1) 5% bid guarantee, (2) 100% performance bond, and (3) Payment bonds as follows: - 50% on contracts under \$1 million - 40% on contracts between \$1 million and	<b>IV, 2.b.h.(1)</b>			



	<p>\$5 million, or - \$2.5 million on contracts over \$5 million.</p> <p>If grantee bonding policy and requirements do not comply with this criteria, FTA approval must be obtaining.</p> <p>YES _____ NO _____</p>				
c.c	<p><b>Advance payments utilizing FTA funds are prohibited unless prior written concurrence is obtained from FTA.</b></p> <p>YES _____ NO _____</p>	IV, 2.b.(5)(b)			
d. d	<p><b>Progress payments may only be made on the basis of costs incurred (or, in the case of construction contracts only, on the basis of percent of completion) and the grantee must obtain adequate security for which progress payments are made.</b> Adequate security may include taking title, letters of credit or equivalent means to protect the grantee's interest.</p> <p>YES _____ NO _____</p>	IV, 2.b. (5) (c)			
e. e	<p><b>Liquidated damages assessment must be at a specific rate per day for each day of overrun and must be specified in the contract.</b> Any damages recovered must be credited to the project involved unless the FTA permits otherwise.</p> <p>YES _____ NO _____</p>	IV, 2.(b).(6)(b)			
f.f	<p><b>Each State must include provisions in all its RFPs, solicitations, press releases or other publications involving FTA assistance, stating that FTA is or will be providing Federal assistance for the project, the amount of the assistance FTA has provided or expects to provide, and the Catalogue of Federal Domestic Assistance (CFDA) Number of the program that authorizes Federal assistance.</b></p> <p>Note: This notification requirement applies only</p>	III, 3. e.			

	to States and their subrecipients, lessees, and third party contractors. It does not apply to grantees that are not States (e.g., Transit Agencies). The current Master Agreement will define the notification requirements that are currently in effect, as they may change from year to year.  YES _____ NO _____				
g. g	<b>Contracts above the small purchase threshold must contain remedies for breach of contract.</b>  YES _____ NO _____	IV, 2.(c)(6)(b) 2			
h. h	<b>Contracts in excess of \$10,000 must have termination for cause and termination for convenience provisions.</b>  YES _____ NO _____	IV, 2.(c)(6)(b) 4			
i.i	<b>Addresses Federal statutory and regulatory requirements for contracts funded under Federal grants.</b>  YES _____ NO _____	II, 3			
j.j	<b>Revenue contracts are those third party contracts whose primary purpose is to either generate revenues in connection with a transit related activity, or to create business opportunities utilizing an FTA funded asset. FTA requires these contracts to be awarded utilizing competitive selection procedures and principles. The extent of and type of competition required is within the discretionary judgment of the grantee.</b>  YES _____ NO _____	II, 2.b.(4)			

## Appendix C: Sample Interview Template

University of Houston Interview Guide Institutional Users			
Interviewee Name:		Date:	
Department and Position:		Interviewer:	

1. What do you think are the three most important procurement tasks?
2. What do you think are the three least important procurement tasks?
3. What goods or services do you most frequently need procured?
4. What procurement processes are used?
5. How are roles and responsibilities for each aspect of the procurement process divided between your department and the purchasing department?
6. What are the evaluation processes used?
7. How do you ensure that requirements imposed by the funding agency for a particular grant are complied with?
8. Which areas does UH's current procurement system excel at?
9. Which areas does UH's current procurement system have difficulty with?
10. How could UH's procurement system be improved?

**University of Houston Interview Guide  
Purchasing Staff**

<b>Interviewee Name:</b>		<b>Date:</b>	
<b>Position:</b>		<b>Interviewer:</b>	

**NOTE: Ensure that the interviewee understands the objectives/goals of the consulting project**

What is your background in purchasing/procurement? How many years of experience? Certifications? What work is assigned to you?	
--	--

1. What do you think are the three most important procurement tasks?
2. What do you think are the three least important procurement tasks?
3. Which areas does UH's current procurement system excel at?
4. Which areas does UH's current procurement system have difficulty with?
5. How could UH's procurement system be improved?

6. How often do you use each procurement method?

Regularly

Sometimes

Never

**Choose one column for each method**

- a. Informal Bids
- b. Request for Quote (RFQ)
- c. Request for Proposal (RFP)
- d. Sole Source
- e. Emergency Procurements
- f. Collaborative Procurements


7. What products and services do you purchase?
8. Who are your largest customers?
9. Is your job description an accurate reflection of your duties?

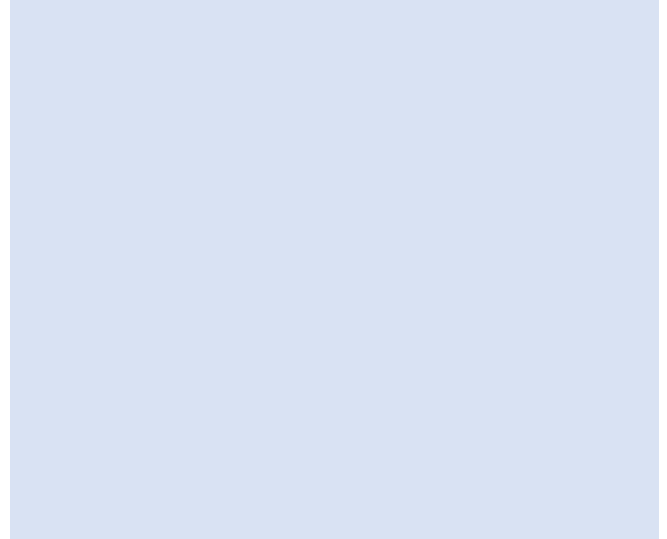

10. How are you made aware of policies and procedures governing your purchases? How are you notified of changes in requirements? Who is responsible for updating the policies and procedures?
11. What changes to the policies and procedures do you think are needed? Are there any conflicting regulations?
12. At what point in the procurement cycle do you communicate with User Departments? What are the key points discussed? What data is provided? What guidance is given?
13. How is the status of procurement tracked and communicated?
14. What is your role in the development of specifications? What is the development process? What guidance or templates are available?
15. Do you engage in any of the following procurement planning activities? If so, please describe how:
  - a. Market Research
  - b. Specification/SOW Development
  - c. Independent Cost Estimate Development
  - d. Researching Best Practices
  - e. Researching previous purchases
16. Which categories do you think have opportunities for strategic sourcing projects? Are there any specific supplies or services you think would benefit from strategic sourcing?
17. How is the method of procurement determined?
18. How is the contract type determined?
19. How are potential conflicts of interest (real or apparent) determined and addressed?

20. Who is responsible for managing and evaluating supplier/contractor performance? How is contractor performance evaluated?
21. How are contract issues and disputes addressed? Who is involved?
22. Have there been any complaints or violation of regulations of which you are aware?
23. Do you currently have goals or targets relating to your procurement work?
24. What should the key performance measures for the Procurement Department be?
25. How should the university measure cost savings?
26. What IT systems do you use? How are these systems used?
27. On a scale of 1 to 7, how much opportunity is there for increased automation? (1: Low, 7: High)
28. What processes do you think should be automated?
29. Do you have any recommendations on how the Department is organized or work delegated?
30. What approvals are not value added and should be eliminated?
31. Do you think the procurement teams should be divided according to users or according to purchase categories?
32. Do you think that the goals and objectives of procurement department staff are aligned with the goals and objectives of department management? If not, please describe.

33. Are there any steps in the process for the following procurement methods that you feel do not add value? Please describe:

- a. P-Card
- b. Informal Bid
- c. Request for Quote (RFQ)
- d. Request for Proposal (RFP)s
- e. Sole Source
- f. Emergency Procurements
- g. Piggyback and Collaborative Procurements

34. What kinds of training do you currently receive?  
Are there types of training that you would like to attend or think would be valuable?



<b>Interviewee Name:</b>		<b>Date:</b>	
<b>Department and Position:</b>		<b>Interviewer:</b>	

1. What goods or services to you most frequently need procured?
2. What do you think are the three most important procurement tasks?
3. What do you think are the three least important procurement tasks?
4. Which areas does UH's current procurement system excel at?
5. Which areas does UH's current procurement system have difficulty with?
6. How could UH's procurement system be improved?

Never

- a. P-Card
- b. Informal Bids
- c. Request for Quote (RFQ)
- d. Request for Proposal (RFP)
- e. Sole Source
- f. Emergency Procurements
- g. Collaborative Procurements

Request for Proposal (RFP):



**Section B:**

**These questions will be used to frame the discussion during the interview.**

9. What products and services does your Department purchase on its own? Who is responsible?
10. What supplies or services that you purchase do you consider highly specialized?
11. At what point in the procurement cycle do you communicate with the Procurement Department? What are the key points discussed? What data is provided? What guidance does Procurement give?
12. How is the status of procurement tracked and communicated?
13. What is your role in the development of specifications? What is the development process? What guidance or templates are available?
14. Do you engage in any of the following procurement planning activities? If so, can you describe the activities? What are the challenges?
  - Market Research
  - Specification/SOW Development
  - Independent Cost Estimate Development
  - Researching Best Practices
  - Researching previous purchases by UH
15. What is your involvement in determining the method of procurement?
16. What is your involvement in determining the contract type?
17. How are potential conflicts of interest (real or apparent) determined and addressed?

18. Who is responsible for managing and evaluating supplier/contractor performance? How is contractor performance evaluated?
19. How are contract issues and disputes addressed? Who is involved?
20. What should the key performance measures be for the Procurement Department?
21. Should Procurement measure cost savings? If so, how? What are your ideas about how to reduce costs?
22. What IT systems do you use? How are these systems used?
23. Are there any procurement activities that could be automated? If so, how?
24. Do you have any recommendations on how the Department is organized or work delegated?
25. What approvals are not value added and should be eliminated?
26. Do you think the procurement teams should be divided according to users or according to purchase categories?
27. Do you think that the goals and objectives of procurement department staff are aligned with the goals and objectives of department management? If not, please describe
28. Are there any steps in the process for the following procurement methods that you feel do not add value? Please describe:
  - a. P-Card
  - b. Informal Bids
  - c. Request for Quote (RFQ)
  - d. Request for Proposal (RFP)

- e. Sole Source
  - f. Emergency Procurements
  - g. Collaborative Procurements
28. What kinds of training would be useful for you to attend in purchasing/procurement topics?
29. How can communications be improved between your department and the purchasing department?
30. In what areas do you think that the University can consolidate volumes of purchases of services or products, for strategic sourcing opportunities?

## Appendix D: Staffing Analysis for UHouston

### Level of Effort Analysis

#### LOE Calculation Methodology

The LOE analysis indicates estimated median hours for completing the methods of procurement highlighted in the spend data. The final LOE calculation is the sum of all procurement actions multiplied by the benchmarked median number of hours as they relate to the complexity of that procurement method.

First, each procurement method (or group of methods) is assigned a respective median number of hours required to complete each action. Calyptus referenced the GSA workforce analysis study to gauge the tasks and median hours per procurement method. These were refined based on interview data, benchmarking data, and discussions University staff to better suit the University reality. The tables on the following page illustrate the range of steps and the complexity deemed most appropriate for each group of procurement methods. Each table notes both a low-end and most reasonable case scenario.

**Table 1: Request for Proposals (RFP) | Formal Solicitation | Subrecipient Award |  
Z Invitation for Bids (IFB)**

Task	Low-End Median # of Hours	Reasonable Median # of Hours
Develop solicitation	3	2
Solicit Bids/Proposals	2	2
Review proposals	2	2
Negotiate	0	1
Selection	1	1
<b>TOTAL</b>	<b>8</b>	<b>8</b>

**Table 2: Informal RFQs | Sole Source | Blanket Purchase Agreement (BPA) |  
Emergency | Administrative**

Task	Low-End Median # of Hours	Reasonable Median # of Hours
Solicit Bids/Proposals	1	1
Review proposals	2	1
Selection	1	1
<b>TOTAL</b>	<b>4</b>	<b>3</b>

**Table 3 – Renewals | Local Contract | Collaborative/State Contract | Fee/Spot**

<b>Task</b>	<b>Low-End Median # of Hours</b>	<b>Reasonable Median # of Hours</b>
Evaluate quotes/ proposals	2	1
Award PO	1	1
<b>TOTAL</b>	<b>3</b>	<b>2</b>

#### FTE Calculation Methodology

Once the LOE was established for all procurement actions, the FTE requirement was calculated. Although the volume data relates to two (2) fiscal years, the FTEs are presented for a single year in this report. We use an annual number of productive hours to be 1,530 per FTE, calculated as follows:

- Number of hours in one year: 2080
- Vacation hours: 160
- Sick time hours: 40
- Holiday hours: 80
- Productivity: 85% of available hours
- Net Hours: 1,530 productive hours per year

#### University of Houston LOE and FTE Requirements

We can apply this calculation approach to the spend data provided by University of Houston. In the subsequent subsections we provide data on the approximate range of procurement FTEs required to manage the procurement actions identified in the spend analysis. Analysis is provided regarding (1) overall headcount requirement, and (2) each of the departments present in the spend data.

#### *Overall LOE and FTE*

The University of Houston System currently has 8 procurement positions (2 vacant) – Purchasing Director, Purchasing Manager, Senior Buyer, Buyer 3 (2), Buyer 2, and Buyer 1 (2).

Based on the procurement volumes noted in the spend data over the last two fiscal years and the assumptions noted above, the GSA procurement department would require between 10 and 13.6 FTEs per year to manage the full volume of procurement actions that they handle related to 11,893 POs. This is consistent with the benchmarking data – in which all large universities/colleges have between 10-13 staff. Table 4 below illustrates the low-end and most reasonable case scenarios side-by-side. Calculations for each are presented separately in Tables 5 and 6.

**Table 4 – Range of Overall FTEs Required**

Range	# of Total Actions	# Hours (LOE)/year	# FTEs/year
Low-End	11,893	15,302.5	10.00
Reasonable	11,893	20,778.5	13.58

**Table 5 – Low-End FTE Calculation**

Row Labels	Sum of Amt	Hours	Total Hours	2 Year FTEs
Contract-Local	3,883	2	7,766	5.08
Informal	1,851	3	5,553	3.63
Department of Information Resources	1,674	2	3,348	2.19
Spot	1,441	2	2,882	1.88
Sole Source	1,096	3	3,288	2.15
Administrative	357	3	1,071	0.70
RFP	247	8	1,976	1.29
Renewal	235	2	470	0.31
Formal Solicitation	158	8	1,264	0.83
Subrecipient Award	98	8	784	0.51
IFB	81	8	648	0.42
State Contracts	64	2	128	0.08
Change Order	14	2	28	0.02
FEE	9	2	18	0.01
Emergency	8	3	24	0.02
BPA	3	3	9	0.01
Collaborative Contracts	674	2	1,348	0.88
<b>Grand Total (2 years)</b>	<b>11,893</b>	-	<b>30,605</b>	<b>20.00</b>
<b>Grand Total (/years)</b>	<b>5,946.50</b>	-	<b>15,303</b>	<b>10.00</b>

**Table 6 – Reasonable FTE Calculation**

Row Labels	Sum of Amt	Hours	Total Hours	2 Year FTEs
Contract-Local	3,883	3	11,649	7.61
Informal	1,851	4	7,404	4.84
Department of Information Resources	1,674	3	5,022	3.28
Spot	1,441	3	4,323	2.83
Sole Source	1,096	4	4,384	2.87
Administrative	357	3	1,071	0.70
RFP	247	8	1,976	1.29
Renewal	235	3	705	0.46
Formal Solicitation	158	8	1,264	0.83
Subrecipient Award	98	8	784	0.51

<b>IFB</b>	81	8	648	0.42
<b>State Contracts</b>	64	3	192	0.13
<b>Change Order</b>	14	3	42	0.03
<b>FEE</b>	9	3	27	0.02
<b>Emergency</b>	8	4	32	0.02
<b>BPA</b>	3	4	12	0.01
<b>Collaborative Contracts</b>	674	3	2,022	1.32
<b>Grand Total (2 years)</b>	<b>11,893</b>	-	<b>41,557</b>	<b>27.16</b>
<b>Grand Total (/years)</b>	<b>5,946.50</b>	-	<b>20,779</b>	<b>13.58</b>

*Department-Level LOE and FTE Requirement*

The Administration & Finance, including all 8 subdivisions (noted individually below), account for between 4.64 and 5.82 annual FTEs, nearly half of the total University system. The two colleges with the most procurement actions are the Liberal Arts and Social Sciences college and the College of Arts. Both conduct a large number of local contracts, considered to require a level of effort akin to a full RFP. Low end and reasonable LOE and FTE calculations are presented in Tables 7 and 8 respectively.

**Table 7 – Low-End Departmental FTE Calculation**

	Department	# POs	# Hours	# FTEs	# Annual FTEs
1	Liberal Arts and Social Sciences	1,121	2,742	1.79	0.90
2	College of the Arts	979	2,162	1.41	0.71
3	Engineering	902	2,297	1.50	0.75
4	Student Affairs	784	1,833	1.20	0.60
5	Natural Science and Mathematics	780	2,011	1.31	0.66
6	Facilities Construction and Management (A&F)	761	3,408	2.23	1.11
7	Business Administration	668	1,614	1.05	0.53
8	Chancellor/President	644	1,628	1.06	0.53
9	Academic Affairs	530	1,280	0.84	0.42
10	Information Technology (A&F)	528	1,436	1	0.47
11	Research	484	1,249	1	0.41
12	Education	435	999	0.65	0.33
13	Technology	375	838	0.55	0.27
14	Pharmacy	374	959	0.63	0.31
15	Optometry	334	820	0.54	0.27
16	Administration (A&F)	268	701	0.46	0.23
17	Finance (A&F)	262	759	0.50	0.25
18	University Advancement	261	583	0.38	0.19
19	Law Center	250	542	0.35	0.18
20	Hotel and Restaurant Management	209	462	0.30	0.15
21	Architecture	174	392	0.26	0.13
22	Public Broadcasting (A&F)	157	382	0.25	0.12
23	Honors College	122	266	0.17	0.09
24	Graduate College of Social Work	121	298	0.19	0.10
25	Library	121	315	0.21	0.10
26	Univ Marketing, Comm & Media Rel	58	134	0.09	0.04
27	Campus Safety (A&F)	57	155	0.10	0.05
28	Police (A&F)	56	136	0.09	0.04
29	Human Resources (A&F)	50	123	0.08	0.04
30	College of Nursing	28	81	0.05	0.03



<b>Grand Total</b>	<b>11,893</b>	<b>30,605</b>	<b>20</b>	<b>10</b>
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**Table 8 – Reasonable Departmental FTE Calculation**

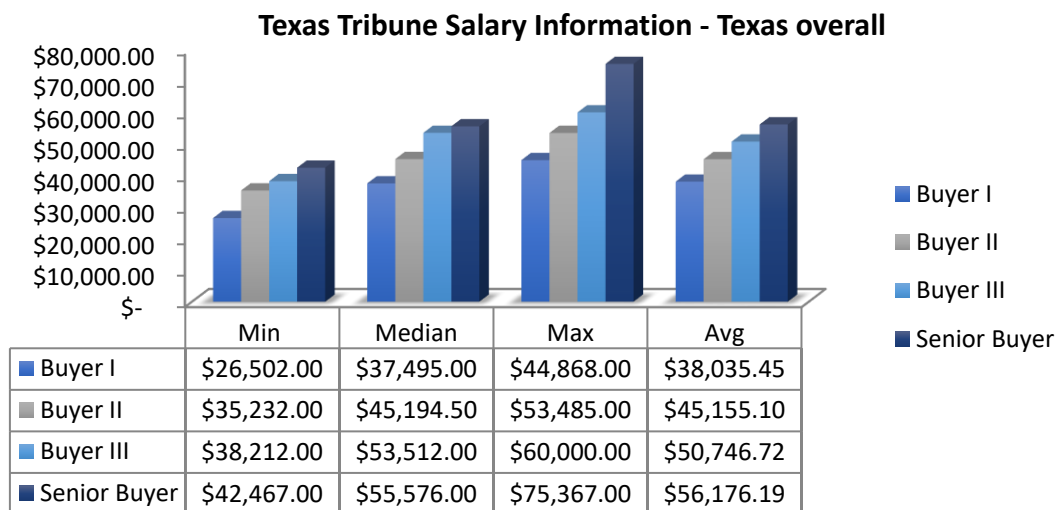
	<b>Department</b>	<b># POs</b>	<b># Hours</b>	<b># FTEs</b>	<b># Annual FTEs</b>
1	Liberal Arts and Social Sciences	1,121	3,850	2.52	1.26
2	College of the Arts	979	3,139	2.05	1.03
3	Engineering	902	3,168	2.07	1.04
4	Student Affairs	784	2,596	1.70	0.85
5	Natural Science and Mathematics	780	2,757	1.80	0.90
6	Facilities Construction and Management (A&F)	761	3,925	2.57	1.28
7	Business Administration	668	2,258	1.48	0.74
8	Chancellor/President	644	2,240	1.46	0.73
9	Academic Affairs	530	1,795	1.17	0.59
10	Information Technology (A&F)	528	1,916	1	0.63
11	Research	484	1,706	1	0.56
12	Education	435	1,428	0.93	0.47
13	Technology	375	1,209	0.79	0.40
14	Pharmacy	374	1,320	0.86	0.43
15	Optometry	334	1,151	0.75	0.38
16	Administration (A&F)	268	955	0.62	0.31
17	Finance (A&F)	262	997	0.65	0.33
18	University Advancement	261	840	0.55	0.27
19	Law Center	250	790	0.52	0.26
20	Hotel and Restaurant Management	209	669	0.44	0.22
21	Architecture	174	565	0.37	0.18
22	Public Broadcasting (A&F)	157	535	0.35	0.17
23	Honors College	122	387	0.25	0.13
24	Graduate College of Social Work	121	414	0.27	0.14
25	Library	121	433	0.28	0.14
26	Univ Marketing, Comm & Media Rel	58	192	0.13	0.06
27	Campus Safety (A&F)	57	209	0.14	0.07
28	Police (A&F)	56	189	0.12	0.06
29	Human Resources (A&F)	50	172	0.11	0.06
30	College of Nursing	28	109	0.07	0.04
<b>Grand Total</b>		<b>11,893</b>	<b>41,914</b>	<b>27</b>	<b>13.5</b>

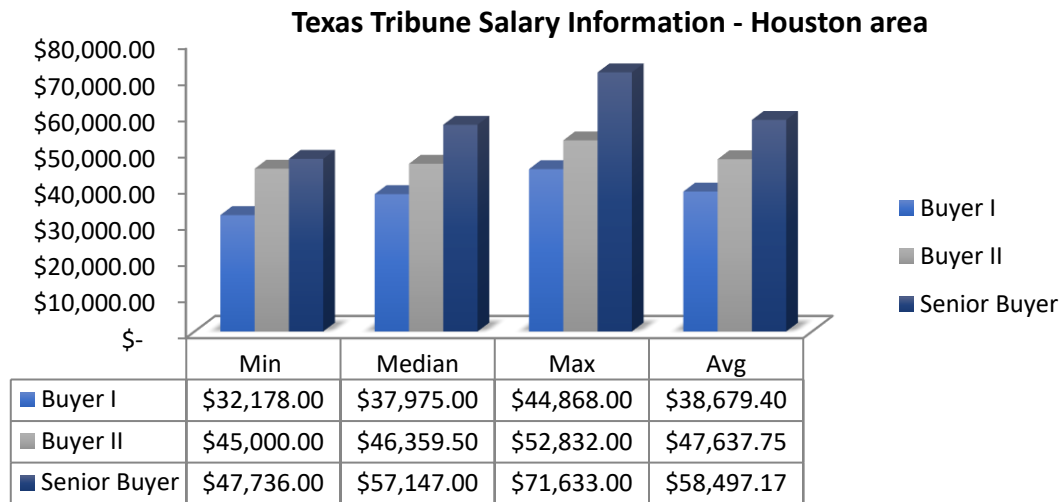
### Salary Analysis – Sample

Calyptus Consulting Group researched job descriptions, job requirements, and salary pay scales/salary bands for personnel employed in the procurement field. Specifically, we researched Buyer I, Buyer II, Buyer III, Senior Buyer, and Director of Purchasing from the Houston area and other locations in Texas. We gathered salary band information and job description information (when available) from city governments, universities, hospitals, and independent school districts. The Salary Bands we obtained contained Minimum Range, Midpoint, and Maximum Range data. The HUB Specialist position was also researched. We primarily focused our analysis on the midpoint of the salary ranges. Additionally, we used public salary information from the Texas Tribune (a Texas Newspaper providing user-friendly data interactives of public information in Texas). We incorporated non-university institutions into our research because procurement personnel can transition from the University of Houston to other entities for job opportunities. Based on research, it was determined that the University of Houston Downtown Buyer's job responsibilities are not comparable with the University of Houston Buyers. Thus, this data has been removed to prevent skewing the analysis.

### General Salary Summary

The charts below encompass salary data from public institutions such as Texas municipalities, Texas universities, and Texas ISD. The charts show that the overall compensation levels for the various procurement roles. When comparing the Texas Tribune salary information – Texas Overall vs. Houston area, the Houston Area buyer salaries are slightly higher.

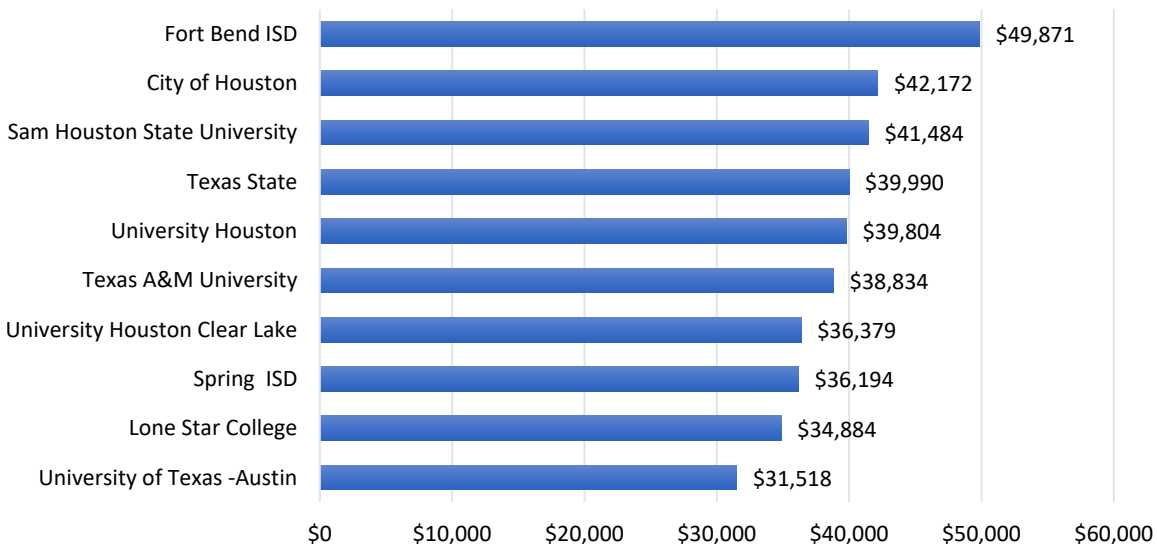




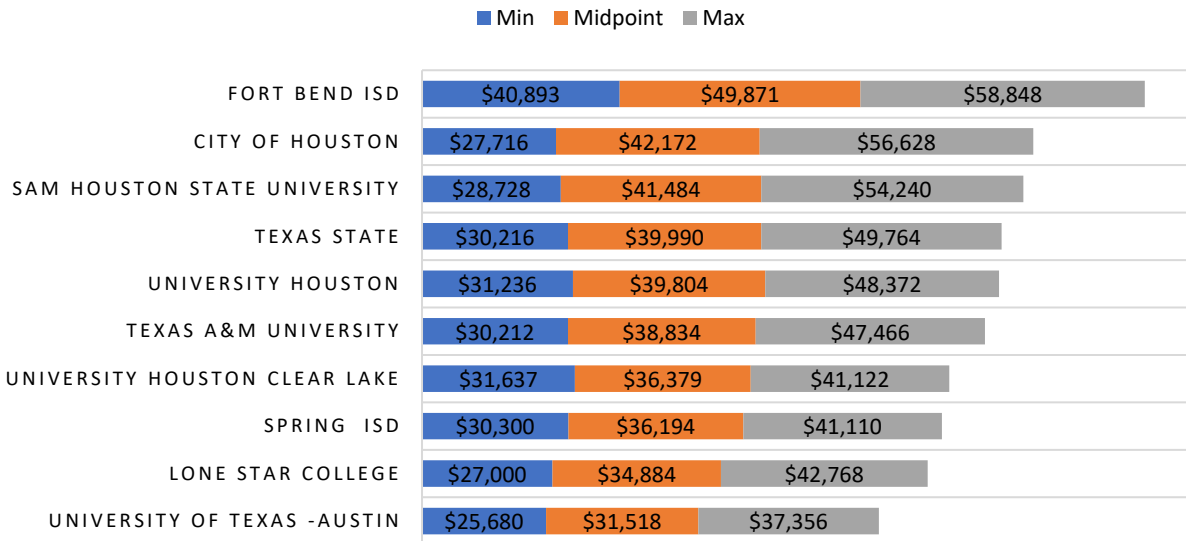
#### Salary Analysis - Buyer I

When analyzing the Buyer I Midpoint Salary Band Category, Fort Bend ISD has the highest salary for the Buyer I. Fort Bend ISD Buyer I midpoint salary is \$49,871 vs. \$39,804 for the University of Houston, representing a difference of \$10,067 or 25%.

#### **Buyer 1 - Midpoint Salary Band Comparison**



## BUYER L - SALARY BAND SUMMARY

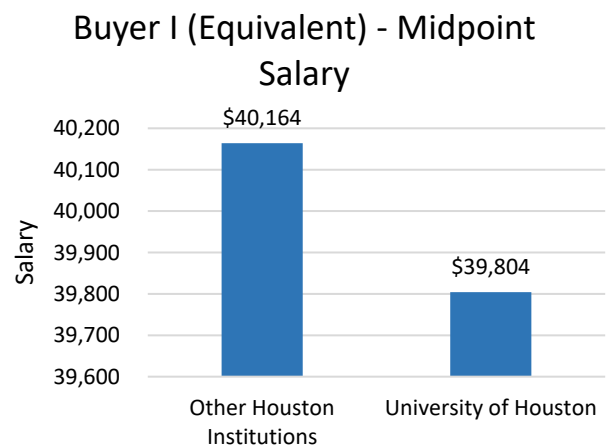


The chart below compares the average Buyer I salary (midpoint bands) for Houston Metro Institutions and the University of Houston Buyer I. The average Buyer I salary band midpoint for the other Houston Metro Institutions of \$40,164, which exceeds the University of Houston Buyer I salary band by \$360 or 1%.

The other Houston institutions consist of the following:

### Buyer I (Equivalent)

Other Institutions	Salary Band - Midpoint
Lone Star College	\$34,884
Spring ISD	\$36,194
University Houston Clear Lake	\$36,379
Sam Houston State University	\$41,484
City of Houston	\$42,172
Fort Bend ISD	\$49,871
Average	<b>\$40,164</b>



Buyer I - Job Requirements and Position Descriptions

In this section, we compare the University of Houston's Buyer I job requirements and position descriptions to other institutions. The University of Houston Buyer I job requirements and core job duties are comparable to the institutions we researched. Some key differences are the University of Texas at Austin requires the Buyer I position to obtain the Certified Texas Purchaser (CTP) certification within 18 months of initial employment. This may account for some of the difference in salary. The University of Houston core job duties are comparable to the other institutions we researched.

Buyer I (Equivalent) - Comparison				
	University of Houston	UT at Austin	Texas State University	City of Houston
Education	Bachelor's Degree	Bachelor's Degree	To qualify for this classification, an individual must possess any combination of experience and education that would likely produce the required knowledge, skills, and abilities.	Associate's Degree *Professional buying experience may substitute for education requirement
Experience	Requires a minimum of one (1) year of directly job-related experience.	None		No Experience
Certification	None	CTP certification or must train and obtain certification within 18 months of initial employment under an approved UT System certification program (CTP or CTPM).	May require certification as a Certified Texas Purchaser (CTP).	Not Specified

Buyer I (Equivalent) - Comparison				
Job Description	University of Houston	UT at Austin	Texas State University	City of Houston
	<ul style="list-style-type: none"> <li>• Makes purchases within a specific commodity grouping to meet departmental needs for goods and services.</li> <li>• Provides guidance and counseling to requisitioning departments regarding purchases.</li> <li>• Prepares bid documents and specifications; analyzes bids and makes awards.</li> <li>• Acts as liaison between the Accounts Payable Section and the vendor to assure proper and timely payment of orders placed by the University.</li> <li>• Researches market trends and techniques to affect the most cost-efficient purchase of needed goods and services.</li> <li>• Assigns the duties of purchasing clerks and provides work direction to them.</li> <li>• Performs other job-related duties as assigned</li> </ul>	<ul style="list-style-type: none"> <li>• To perform routine and varied purchasing duties in the Purchasing Department.</li> <li>• Responsible for routine and basic skills in carrying out procurement actions in accordance with University and state rules and regulations.</li> <li>• Receives requisitions, secures bids, tabulates and makes awards on routine purchases.</li> <li>• Processes contract requisitions. Maintains records and files of requisitions, bids and awards processed to provide departments, bidders and vendors current status of purchases processed.</li> <li>• Maintains limited contact with departmental personnel and vendors on varied and routine items. Performs related duties as required.</li> </ul>	<ul style="list-style-type: none"> <li>• Prepares requisitions and orders merchandise, supplies, and equipment using procurement guidelines, rules policies, and laws. Prepares and reviews bids and orders to verify accuracy, terminology and specifications.</li> <li>• Prepares and distributes bid invitations to vendors. Reviews and tabulates bids to determine lowest and best value.</li> <li>• Tracks the status of requisitions and purchase orders. May assist with emergency purchases. May assist in monitoring legal and regulatory requirements pertaining to purchasing and procurement.</li> <li>• Maintains and reviews various purchasing and procurement reports and</li> </ul>	<ul style="list-style-type: none"> <li>• Performs routine research and follow-up on purchase orders and contracts; expedites delivery of purchase orders; maintains back-order files. Assists buyers by reviewing purchase requisitions and/or contracts for content and conformance to specifications.</li> <li>• Obtains quotations of requisitioned items by contacting vendors. Assists buyers in bid openings; may compile and compare bids; assists in preparing and proofing bid tabulations. May purchase simple, standardized items.</li> <li>• Assists buyers by compiling data for preparation of product specifications.</li> <li>• Maintains lists of bidders. Maintains requisitions and purchase order files and logs. Generates reports as needed.</li> <li>• Performs administrative support activities and other routine duties as needed</li> </ul>

		<ul style="list-style-type: none"><li>• Follows up on receipt of materials and supplies, checking on actual delivery and promised delivery.</li></ul>	records and maintains files. Perform other duties as assigned.	
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Conclusion - Buyer I Salary Analysis

The average Buyer I Midpoint salary band for the other Houston area institutions is \$40,164 compared to University of Houston Buyer I Midpoint salary of \$39,804, a 1% difference. The Fort Bend ISD Buyer I (equivalent) has the highest midpoint salary band at \$49,871, a 25% difference from the University of Houston. We also examined Buyer I job responsibilities to ascertain whether job responsibilities contribute to salary band differences. Overall, the University of Houston core job duties are comparable to the other institutions we researched. Since the job responsibilities and qualifications are similar, we would recommend an increase in the salary band and midpoint to the average midpoint of \$40,164 and suggest including a requirement to obtain certification within 1-2 years of employment.



## Appendix E: CSOSA Evaluation of Two Acquisition Management Systems

Below is the table of contents of the analysis performed for CSOSA this year, which evaluated two acquisition management systems and developed recommendations for implementation.

### **Contract Writing Management System Analysis and Recommendation**

#### **Contents**

1. Overview and Evaluation Criteria
2. Project Scope and Overview
  - A. Context
  - B. Contract Writing Management Systems
1. Oracle CLM
2. Compusearch PRISM
3. Stakeholder Interviews
  - A. Participants and Interview Guide
  - B. Major Themes
4. User Online Survey
  - A. Survey Participants and Questions
  - B. Evaluation of Results
5. Analysis of Options
  - A. Usability
    1. Interface
    2. Usability
    3. Customization and Change Management
    4. Business Process Changes
6. Final Recommendation
  - A. Evaluation Summary
  - B. Calyptus Recommendation
  - C. Implementation Implications and Considerations

### Appendix F: Benchmarking Survey Conducted for Texas A&M University

Calyptus conducted benchmarking for Texas A&M University regarding organization and structure, roles and responsibilities, purchasing productivity and cycle time, policies and procedures, and P-card usage. Examples of the results are available in the tables below. Further information is available upon request.

#### Delegated Purchasing Authority

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Delegated Commodities	Athletics	Physical Plant	N/A	Library, Items for Resale	Athletics, Research	Athletics up to \$75,000; Construction and A & E	Library; Bookstore; Construction over \$100,000	Physical Plant
Delegated Purchases	Purchasing card purchases otherwise	Up to \$5,000	\$5,000, but will change when SAP is implemented; up to \$10,000 if catalog or contract is used	Up to \$5,000	Up to \$5,000	Up to \$5,000	Up to \$2,000; \$5,000 for MRO / Facilities	Up to \$5,000
Purchase Approval Activity								

Buyer	N/A	\$25,000 - \$70,000	\$50,000	\$35,000 (associate \$15,000)		\$50,000		\$25,000
Senior Buyer	N/A	\$25,000 - \$70,000	N/A	\$100,000		\$75,000	\$200,000	\$25,000
Manager	N/A	\$70,000	\$100,000	\$250,000	\$25,000	\$100,000		\$50,000
Director	\$1 million	\$100,000	\$250,000	Asst. Director - \$500,000; Director – unlimited	\$25,000 (State approves >\$25,000)	\$125,000 (and higher if Board of Regents approve)	Unlimited	>\$50,000; >\$100,000 to next management level

**Purchasing Thresholds**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Micro-Purchase	Up to \$5,000	<\$5,000	<\$5,000	<\$5,000	<\$5,000	<\$5,000 but encourage competition	<\$2,000	<\$5,000
Initial Threshold for Competition	\$5,000 - \$25,000; 2 quotes	\$5,000 - \$25,000	\$5,000 - \$10,000; Buyer discretion under \$5,000	\$15,000 - \$35,000 (will go to \$50,000)	\$5,000 - \$25,000 (faxed bids)	\$5,000 - \$50,000; Informal quotes	\$2,000 - \$10,000	\$5,000 - \$25,000
Required Threshold for Competition	>\$25,000; 2 – 3 bids	\$25,000	>\$10,000; Need 3 written quotes	>\$35,000	>\$25,000	\$50,000	\$10,000	\$25,000
Use of RFQ	Uses primarily	Professional services	>\$10,000 off the shelf	Mostly	For services	No standards	>\$100,000 off the shelf	Uses mostly

Use of RFP	N/A	Anything else	>\$10,000 for services, projects, requiring creativity use of evaluation criteria is required	Professional services, construction, maintenance orders	Everything else	Prefers RFPs	>\$100,000 for services and more complex items	Professional services
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**Purchasing Metrics**

	<b>University of Florida</b>	<b>UT Austin</b>	<b>Purdue</b>	<b>ASU</b>	<b>Kansas</b>	<b>Oklahoma</b>	<b>Iowa State</b>	<b>Texas A&amp;M</b>
Stakeholder Metrics	Unknown	Nothing in writing	Unknown	Speed	Comply with Administration and State requirements		Unknown	Not known
Tie to Stakeholder Metrics	Purchasing survey highlights performance	Not specifically tied to stakeholders	Nothing in writing	Faster and better (particularly with Facilities)	Better flexibility	Benchmark commodities and negotiate contracts that satisfy internal customers	Institutional metrics in place	Part of departmental meetings and feedback received through training

Purchasing Metrics	None	Put supplier in place; timeliness; efficiency; HUB performance	Follow-up responsiveness; requisition planned within 48 hours; distributed work hours	Req to PO placement; purchases on purchasing card; minority / WOB; receiving data; recycling; other volume related	None	Cost savings (\$800K was goal last year)	Cost savings; cost to process \$1 of spend; value added; revenue growth	Cost savings; HUB performance
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**E-Procurement and Auctioning**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Have an E-Procurement System?	No	No	No	Yes (SciQuest)	Yes	Yes	Yes (legacy)	No
Aspects of Purchasing Process Automated								
Requisition	With contract suppliers only	Pre-requisition and supplier website	No	Yes	Online catalogs	e-mail	Yes	Requisition
RFI	No	No	No	No	No	No	Yes	No
RFP/RFQ	No	No	No	No	No	e-mail	Yes	No
Supplier Selection	No	No	No	No	No	Peoplesoft does spend analysis	No	No
Contract Mgmt.	No	No	No	No	No	No	Yes	No
Supplier Mgmt.	No	No	No	No	No	No	Yes	No



Other	No	No	Reviewing the Penn State system	No	No	No	No	Can print P.O.
Have an E-Auction Tool?	No	Yes	Yes	No	State has one; KU hasn't used	No	No	No
Which one?	N/A	Legacy; good for computers, food services, elevator services	Ariba	Could use for custodial supplies	N/A	N/A	Doesn't consider feasible	N/A
ERP System	PeopleSoft	Legacy	SAP on 10/1/06	AMS Advantage	PeopleSoft	PeopleSoft 8.4	Legacy	Legacy; in process of system selection
Purchasing Module	Version 8.4	N/A	N/A	Legacy with Ariba interface.	Migrating to Version 8.8 from Version 7.6	Migrating Version 8.9 and e-Pro	Legacy	N/A

**Training and Development**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Core Competencies	Building relationship; computer skills; negotiations	State of Texas had required for 2 certificates; higher education exempted	Analytical; decision making; communication skills; influencing skills	Provided comprehensive list of competencies by job title	Analytical skills; technology; influencing skills; how to add value	Not developed	Commodity knowledge; sound judgment; interpersonal skills; contract law	Not developed
How Are Competencies Developed?	Various based on commodity purchased	Recognize State, NAEP, ISM and NIGP certificate	Through performance reviews	NIGP survey; Organization of State Purchasing Directors	Experienced; manager observations	Use job description	Position descriptions; training and development assessment	Mostly through job descriptions
Hours of Training	N/A	24	N/A	40	N/A	N/A	One professional event per year	N/A
Training Topics	Webinars for NAEP; Total Life Cycle Costing; Contracting; Negotiating	Management courses taught at the LBJ school; conferences	Ariba Systems; Business Writing	Matrix Training; Leadership; Staff and monthly meetings	Monthly training with Purchasing; external seminars; HR training	Negotiating; Contract Terms and Conditions; Savings	NAEP courses; 2-Day Contract Law	Monthly training

Require Certificates	Yes (required to receive within 2 years)	Yes	No (C.P.M. encouraged)	No	No	No	No	No
Mentoring	No	Yes (Senior Buyer or Manager works with new staff)	No	No (sent staff to NAEP Academy)	No	No	No (informal)	No

**Organization Structure**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Centralized	Yes	Yes	No	Yes	No	Yes	Yes	No
Decentralized	Some decisions made at department level	No	No	No	No	No	No	No
Hybrid	N/A	N/A	Yes (Ariba allows local decision making)	N/A	Yes	N/A	N/A	Yes
Organized Around Commodities	Yes	No	Yes	Yes (Sci, E-commerce, Construction)	Yes	Yes	Yes	Yes
Organized Around Customers	No	Yes (tried both ways)	No	No	No	No (four exceptions)	No	No (Secondary responsibilities assigned)

Other Data	Organize terms around similar customers and purchases (Research, College of Arts/Sciences/Museum)	Product expertise more important than customer centric; customers sometimes aggregate around a commodity (MRO)	Has a philosophy of “Yes, we do that”	Trending toward decentralized	3 commodity teams (technology, medical, other)	Individual agents manage commodities, supported by office staff	6 commodity teams (Scientific, furniture; IT; print; physical plant; office equipment)
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**Policies and Procedures**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Have An Independent Set of Policies and Procedures?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Do You Comply With State Purchasing Act?	No	Exempt	Yes	Yes	Yes	Exempt from Purchasing Act	Board of Regents and the State of Iowa	Exempt
Impact of State Laws on Purchasing Process?	Public notice of supplier presentations for source selection	Can't do consultant agreements or master agreements; need to post professional services on Texas Register	Not a state agency; has to comply with Federal Acquisition Regulations	Required to compete all construction projects regardless of dollar amount	State mandates contract use; little flexibility	State cuts checks; staff maintain use of minority, women suppliers	State requires zero based budgeting; causes inefficiency in buying process and outcomes	HUB purchases; same as UT Austin
How Are Policies and Procedures Deployed?	Training; intranet	Training; portal	Training; will update with SAP	Internet; question and answer statement	Via internet	On website	Internet	Training; portal

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
Date of Last Revision?	1/2006	N/A	1993	11/2005	Constant	1/2006	2/2005	N/A
Frequency of Update?	As needed	As needed	Seldom	5/2006	As needed	Virtual	Ongoing; changes due to technology	As needed

**Use of Blanket Orders and Long Term Contracts**

	University of Florida	UT Austin	Purdue	ASU	Kansas	Oklahoma	Iowa State	Texas A&M
<b>Blankets:</b>								
What commodities?	Depends on supplier's willingness to accept terms	Gases, Office supplies, computers	Computers, lab supplies	Any; uses consortium, ENI, State contracts	Services	Office and medical - supplies, electrical supplies, building materials; plumbing; furniture	Convenience items; <2K	Food service, physical plant, computer, temporary help, furniture
% of Spend?	Unknown	60-70%	Unknown	N/A	20%	10%	1-2%	Unknown
How established?	No pricing established	Compare spend of 15 schools	Department request and purchasing initiative	Whenever possible based on volume	On annual basis; with renewal options	Look at volume; tries to narrow to one supplier	Determine items; establish ceiling amounts; review annually	On annual basis with renewal options
Duration:	12 months	1-3 years	1-2 years	5 years	5 years max.	5 years max.	1 year	5 years max.



Long-Term Contracts								
What commodities?	Services	Food service, Professional services, Office supplies, Express services	Electrical supplies; coal	As many as possible	One-time transactions	Book store, revenue contracts, book publishers	Office supplies; Scientific equipment; all major items	Bookstore; Revenue contracts; Office supplies
% of Spend?	Unknown	60-70%	50%	N/A	Unknown	Unknown	>20%	Unknown
How established?	Pricing individual	Initiative competitive bid and contracts based on volume	Customer makes case; group reviews commodity	Any dollar amount	Jointly developed with customers	Minor consideration	Contract pricing; terms and conditions	Discussion on team purchases
Duration:	>12 months	1-3 years	3-5 years	5 years (pending contracts are 5 years)	5 years	Revenue contract are 10 years but depends on commodity	5 years; (Revenue contracts are 10 years)	Mostly 5 years; depending on commodity

[Appendix G: Strategic Sourcing Opportunities and Governance Report, PASSHE  
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## Appendix H: Hybrid Organizational Structure Recommendation to PASSHE

### Centralized Organizational Option

A pure centralized approach requires that all purchases be completed by a centralized group of buyers, typically located in a single location separate from any of the operating units. Operating units must submit requisitions electronically and these requests are routed to a buyer for placement. In a centralized environment, decisions could be made to consolidate purchases, use an existing agreement or purchase the item/service directly. This structure would allow operating units to purchase only low dollar products and services, and allow release from established contracts. All procurement planning would be completed by the centralized group. This approach may be undesirable if those goods and services are unique to only one entity or if that entity wants to support its local vendors and have a higher responsiveness rate. A centralized organization typically allows for greater cost savings, more standardized products and services, improved lead times, and higher supplier quality and customer service. To do this, organizations carefully control all approvals and completion of purchases with limited involvement from local operational units. In most cases, there are local purchasing coordinators that facilitate the process.

The purely centralized system has the following advantages:

- 1) Consistent application of procurement procedures
- 2) Allows for visibility to leverage volumes
- 3) Provides a standard level of support and expertise to university users
- 4) Takes advantages of efficiencies and lowers the number of headcount to service the University System

The purely centralized system has the following disadvantages:

- 1) Slow to respond to user needs
- 2) Difficulty in knowing the requirements of the local university user community
- 3) Slow response to emergency and changing conditions
- 4) Decentralized organizations can sometimes receive local pricing and better delivery terms from local suppliers

This would be a major change for PASSHE, as the organizational approach for the PASSHE system is fully decentralized and would create a major philosophical shift requiring strict controls. In this case, it would be expected that other service departments would also be centralized to gain the benefits of this approach.

### Decentralized Organizational Option

Organizational structures are mostly decentralized in an environment where the purchasing department plans for and executes purchases of products and services requested by local staff. This approach fits within the current organizational structure of the PASSHE system. Local executive management has all functions required to support operations. There is presently little need to collaborate except for the use

of financial systems and controls. This allows for responsiveness to local educational environments and suppliers, without the need to gain approval and involvement from a centralized function.

The purely decentralized organization has the following advantages:

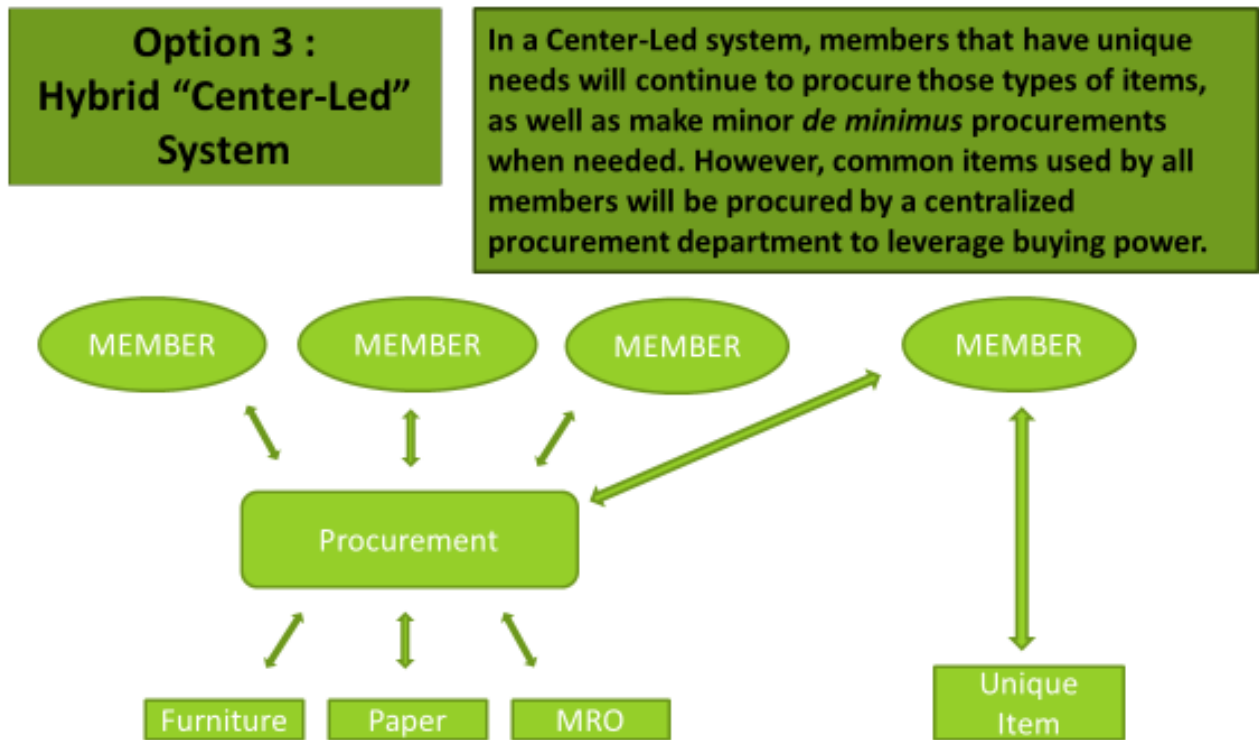
- 1) Highly responsive to local user needs
- 2) Provides conduit to the local supplier community
- 3) Allows full understanding of and cooperation with the local supply chain environment
- 4) Allows the local purchasing organization to build alliances with university departments and users

The purely decentralized organization has the following disadvantages:

1. Failure to take advantage of aggregate buying power
2. Supply problems due to lack of planning
3. Failure to strategically source and achieve cost savings by leveraging volumes
4. Duplication of staff and resources
5. Ineffective contract administration
6. Lack of breadth of buyer's expertise

#### The Hybrid Option: Center-Led

Given these inefficiencies, and recognizing the financial and organizational constraints facing many organizations, it is important to find a balanced approach that alleviates these concerns without undermining the constituent entities. Center-led operations combine the advantages of both the centralized and decentralized models. In this structure, a centralized department conducts procurement of common items used across an enterprise, with a focus on strategies and high-value cost-saving activities. Meanwhile, local staff at the university-level manage procurements that are unique to their needs and those that are below a designated cost. Individual purchasing departments can be maintained at each University to cover purchases of products and services not covered by collaborative and cooperative contracts. This structure is indicated graphically below:



As mentioned above, there is an existing capability of staff and focus on the Chancellor office level, with a staff headcount of 1.5 FTEs that have developed and implemented collaborative contracts. This will allow for the development of a broader capability across the university system.

The center-led organization has the following advantages:

1. Executive-level support for the transformation
2. Positioning and enabling the central procurement authority to execute strategically
3. Investing in training and resources for procurement staff
4. Stakeholder involvement (i.e. input from the operating units)
5. Increased leverage of the purchasing power
6. Effective implementation of use of information technology and using standard category code designations

The center-led organization has the following disadvantages:

- 1) Takes all strategic decisions away from local university staff
- 2) Makes it difficult for the local university staff to develop partnerships with suppliers
- 3) If implemented immediately, would require transfer of local staff FTEs

Requisite skills and knowledge within the organization, if staff are recruited from within the organization, may not have been available or staff may not desire to work with the new organization, either at a central location or at their present location