

DCA Virtual Workshop

AGENDA

January 26, 2023

- Welcome and Introduction of the CnP team – Casilda (Casi) Clarich
- Workshop Objectives - Susanna Olivarez
- Module 1 – Understanding the Basic Procurement Cycle, Vanessa Aguilar
- Module 2 – DCA roles and responsibilities - Susanna Olivarez and Erica Haynes
- Module 3 – CCARS refresher and Peoplesoft - Ben Kalenak and Taylor Naiser
- Q & A



THE TEAM



Casilda (Casi) Clarich,
Director



Susanna Olivarez,
Associate Director



Ben Kalenak,
Assistant Director



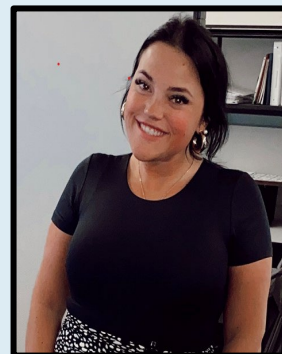
Erica Haynes,
Contract Administrator II



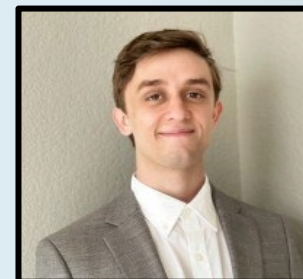
Vanessa Aguilar,
Contract Administrator II



Stephen Mikolaitis,
Contract Administrator



Taylor Naiser,
Purchasing
Coordinator



Patrick Condra,
Purchasing
Coordinator



DCA Workshop Objectives

The Five W's

- What we are trying to accomplish
- Who this is intended for
- Why the need for a workshop
- When will this be offered again
- Where will the resources be located

Type questions on the chat and we will answer throughout if we haven't answered it already.
Taylor will monitor chat and ask the question when appropriate.
This presentation will be recorded for future views as needed.



Module 1: Procurement Cycle

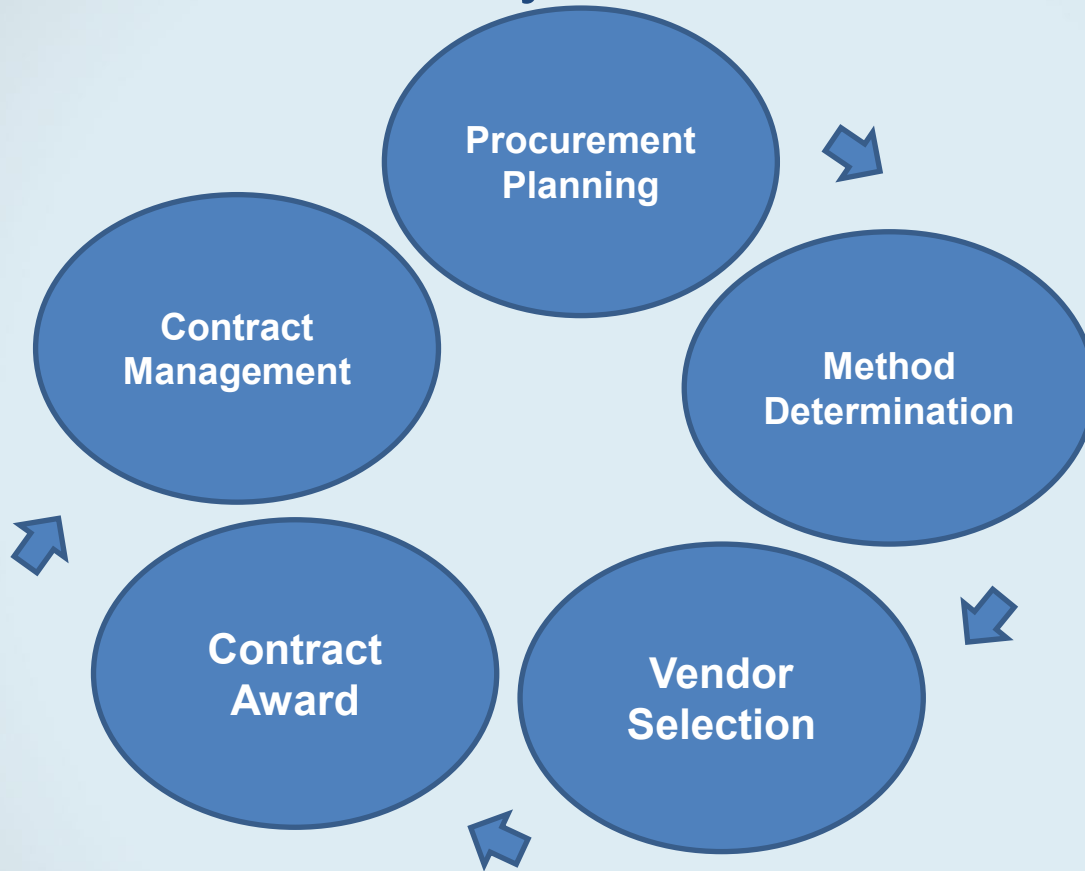
A General Overview

Vanessa Aguilar



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The Procurement Cycle - General Overview



Step 1: Procurement Planning

- Goal: *To define your business need and establish the procurement objectives.*
- Procurement planning entails:
 - Market research
 - Historical spending analysis
 - Benchmarking
 - Informal budgetary quotes
- Informs the second step in the cycle



Step 2: Procurement Method Determination

- Goal: *To determine which procurement method would best achieve the identified business requirements and procurement objectives.*
- Texas law mandates that contract awards may only be made to vendors that provide the Best Value.
- Procurement method options consider these factors:
 - Value, Exclusivity (i.e., competition), and Complexity.



Procurement Methods: At-a-Glance

- Direct Purchase
- Informal Bid
- Formal Solicitation (ITB, RFI, RFQ, RFP)
- Existing Contract
- Exclusive Acquisition Justification (EAJ)

Dollar Range		Solicitation Process
\$0	\$14,999.99	Competitive quotations are encouraged, but not required. Departments can solicit quotations from suppliers
\$15,000	\$50,000	A minimum of three (3) quotations are required. Quotations must be received in writing (mail, email, fax). A good-faith effort must be made to include at least one (1) quote each from a minority-owned or woman-owned business. Departments can solicit quotations in most situations (some exceptions exist for State contracts and Group Purchasing Organization contracts). An Exclusive Acquisition Justification (EAJ) may be used in situations where the good or service may be proprietary or only one (1) supplier is capable of meeting the requirement.
\$50,000.01	+	Consult with Office of Contracts and Procurement to determine the most appropriate procurement method. A formal solicitation process may be required. Other procurement methods include the use of existing State contracts, Group Purchasing contracts or local contract. An Exclusive Acquisition Justification may be used in situations where the good or service may be proprietary or only one supplier is capable of meeting the requirement.



Step 3: Vendor Selection

- Goal: *Fairly and objectively select the vendor that provides the Best Value.*
- Dependent on procurement method:
 - Bid Tabulation Process used for Informal bids and ITBs
 - Evaluation of Responses used for Formal Solicitations and requires an evaluation committee
 - Obtaining quotes (as applicable) if procuring service via a certified Group Purchasing Organization (GPO)



Step 4: Contract Formation and Award

- Goal: *Ensure that the awarded contract complies with applicable procurement law and contains the appropriate provisions.*
- Process:
 - Determine contract form (PO or Services Agreement)
 - Engage in negotiations
 - Finalize the terms and conditions
 - Perform compliance verifications (e.g., vendor checks, TX-RAMP certification, HSP, ISO, Privacy, Insurance, etc.)
 - Execution/PO Acceptance



Step 5: Contract Management

- Goal: *Administer and enforce the terms of the contract.*
- Prevents/minimizes the potential for claims or disputes
- Effective contract management includes:
 - Monitoring of contractor progress/performance
 - Documenting contract changes (i.e., contract modifications/amendments, renewals, etc.)
 - Verifying accuracy of invoices
 - Tracking contract spend
 - Contract closeout



Module 2 – DCA Roles and Responsibilities

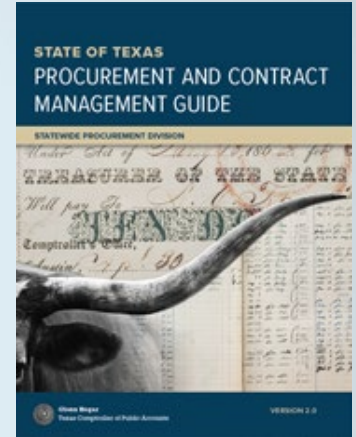
Susanna Olivarez and Erica Haynes



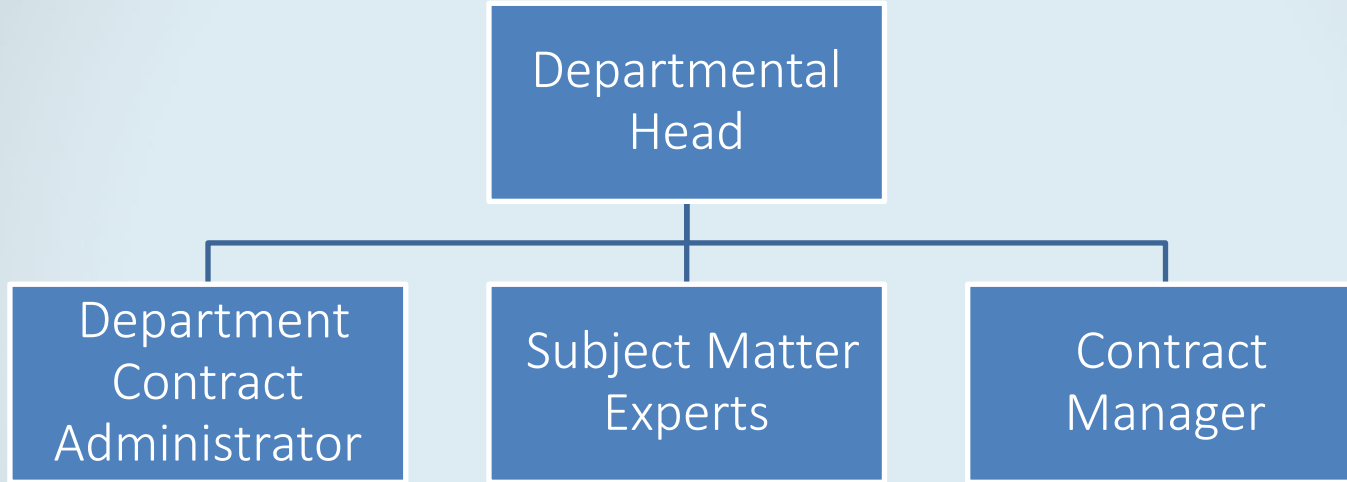
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Contract and Procurement Support

- CnP is guided by the State of Texas – Procurement and Contract Management Guide
- The Contracts and Procurement Team supports over 30 departments at The University of Texas System
- Each department should have an individual(s) that is responsible for specific duties related to their contracts



The University of Texas System Administration



- In some departments, these duties are overlapping
- CnP works with the individual who submitted the request



Stakeholders in the CnP Process



Vendor(s)



Legislative TX-RAMP, LBB



Office of General Counsel



System Info
Services



Department



Office of Risk/Mngt



HUB



ISO, Privacy



Group Purchasing Organizations



BOR



Did you Know.....# of Days/Weeks

Average # of
new weekly
requests

12

Average Weekly
Total # of
Requests Being
Worked On

74

Average time
for an RFP

16 weeks

Week 1 # of
weeks work

7.2

Current
Active RFPs

9

of Requests
completed since
9/1

302

Avg. # of
stakeholders in
the CnP
process **8**

Current # of
weeks work

3



Departmental Duties

Solicitation/Procurement

- Provide a list of solicitations needed for the year in September.
- Engage CnP 4-6 months prior to it needing to be posted.
- CnP facilitates the RFP/solicitation and the department provides a lead, evaluators, SME, and information needed for the solicitation.

New or Modified Contracts

- Engage with CnP via CCARS as soon as you start working on the request (Draft Status).
- If you need to consult prior to making a request, send us an email.

Contract Management

- Starts as soon as contract is signed until end of contract.
- Ongoing management of the vendor/contract.



The Departmental Contract Administrator Role

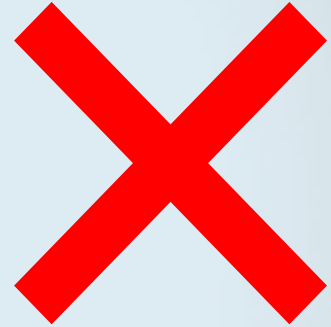
- A full list of the DCA's responsibilities can be found at:
 - [CNP Contracting Procedures Sec. 3.7 – Departmental Contract Administrator Responsibilities](#)
- Excerpt from the list
 - A role assigned to an individual in a UT System Administration Department who has responsibilities for managing aspects of a specific contract or portfolio of contracts
 - Serving as the University's official point of contact for the contractor upon execution of the contract
 - Monitoring budgeting and accounting processes to assure sufficient funds are available to pay contractor, including verifying accuracy of invoices and authorizing payments consistent with contract terms



The Departmental Contract Administrator Role

The DCA does not have the authority to:

- Instruct contractor to start work before the contract is fully executed
- Change the terms or scope of the contract without a formal amendment.
- Direct contractor to perform work that is not specifically described in the SOW and funded by the contract.
- Enter into project addenda that add terms & conditions not found in the master agreement.
- Extend the term of the contract without a formal written amendment.
- Allow contractor to incur costs in excess of the cap or limit set by the contract.



DCA Role and Responsibilities

Contract Processing Checklist

- **Now** - the request form in CCARS is essentially your checklist
- Pre-CCARS - Historically, CnP has required that all contracts and contract modifications be submitted with the contract processing checklist
- But now, your CCARS request is your checklist
 - You will be asked to answer the same questions
 - You will find that some of the questions allow for more collaboration between the DCA and CnP
- If you are missing any required items, the CCARS submitted request will be returned to you to upload the required item.
- Items required in the request will be covered more in depth in the next module that walks through CCARS



Contract Execution and Required Reporting

- After the DCA submits the request in CCARS, CnP will review and assign the contract request, perform a quality check for all required items and arrange for authorized UT System signature
 - Contractor should sign before UT System signs
- CnP will upload the final contract in CCARS
- DCA is responsible for providing a fully-signed contract to the contractor
- CnP manages all reporting responsibilities (e.g. LBB and logging the contract in the transparency reporting)



Contract Documentation

- The DCA and CnP must ensure that all contract-related documentation is maintained in CCARS:
 - Master Agreements, amendments, addenda, order forms, etc.
 - If applicable, specifications, drawings, manuals, and other reference materials
 - Procurement Process documentation, which may include an EAJ or Best Value Determination
 - Other Examples:
 - Contractor monitoring plan and close-out forms
 - Nepotism disclosure forms
 - Form 1295 and COI (Certificates of Insurance)
 - HSP (HUB Subcontracting Plan)
 - EIR exception (Electronic Information Resource exception)



DCA Roles and Responsibilities: Contract Monitoring Plan and Closeout

- A contract monitoring plan and close-out form is required for all contracts over \$250,000.
- The CnP Risk Assessment form determines what level of a monitoring plan and close-out form is required (routine-suggested, routine-required, enhanced-required)
- Examples of routine items:
 - Vendor Kick-off meeting
 - Review/Approve invoices prior to submittal to accounts payable
 - Maintain file of key communications with vendor



Module 3: Purchase Orders

Taylor Naiser



Purchase Order Route

When determining if you should go the contract or purchase order route there are some questions to ask:

- What are you procuring- Goods or Services
- What is the spend amount-
- Is this a low or high-risk procurement-
- How is it being procured-
- Will the vendor accept a Purchase Order and agree to our Terms & Conditions-



Purchase Order Guidelines

- **Under \$15K:** Each Department is responsible for keeping the following documentation on all orders under \$15K:
 - Copy of the signed Purchase Order
 - Vendor Quote
 - Applicable email correspondence with the vendor
- **Above \$15K:** Purchasing will require that you forward via email to CnP@utsystem.edu with the following: (suggest PO over \$15K on title)
 - All Vendor Quotes with Valid Dates
 - Applicable email or written correspondence with Vendor(s).
 - Completed and signed [Exclusive Acquisition Justification](#) form, if applicable
 - ISO, Privacy, Tx Ramp, HSP and all other relevant documentation

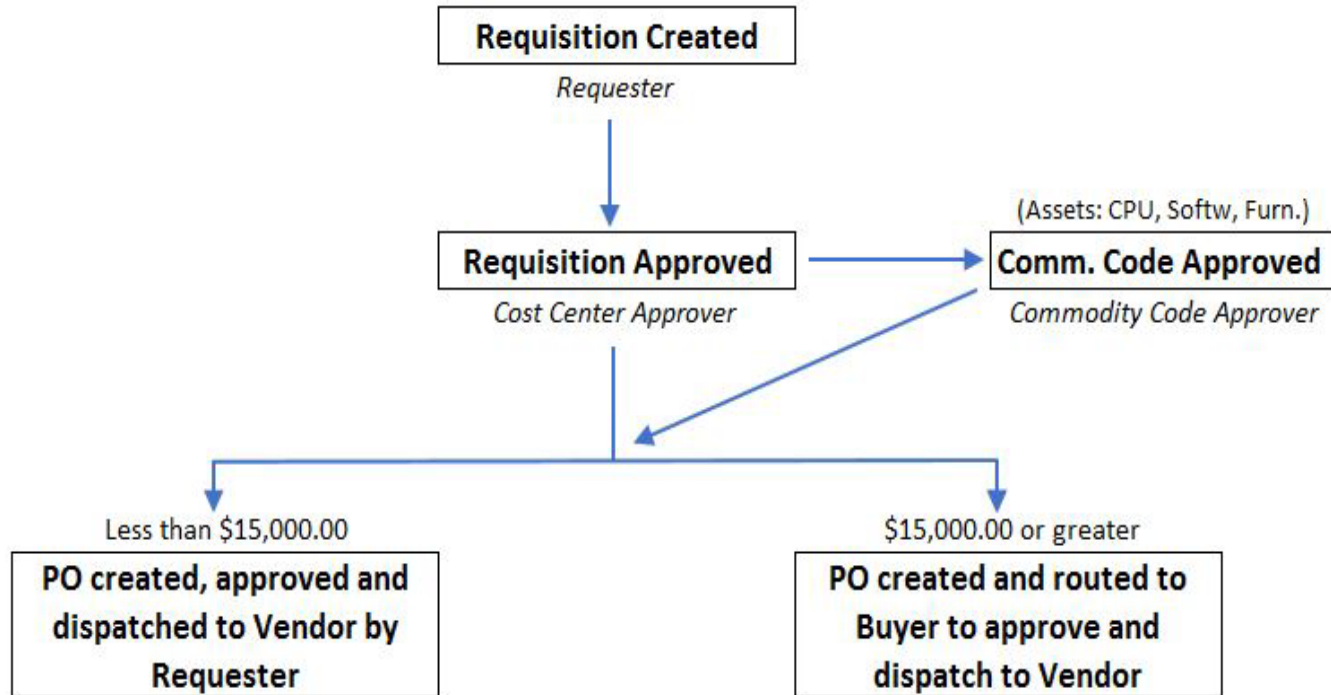


Examples of POs:

- Office Supplies
- Land Services
- Computer Parts
- License Renewals
- Marketing Services
- Photography / Videography
- Repair to maintenance of building
- Research Services
- Cleaning Services
- Vehicles



PS Requisition Workflow



TX-RAMP

To better protect state data from future cybersecurity threats, the state has implemented the Texas Risk and Authorization Management Program (TX-RAMP)

TX-RAMP requires state agencies and institutions to only contract with cloud vendors that comply with TX-RAMP certification standards.

How do we know if the software we are going to purchase is TX-RAMP compliant?

- Complete the PSQ and IT will assess and provide a response on the certification level.

PRIVACY & SECURITY QUESTIONNAIRE (PSQ) JOB AID

The PSQ was developed to help determine whether a software product and/or service may need to go through the TXRAMP certification process. TXRAMP certification is required when certain cloud services are used to access, create, store, or transmit UT System data. TXRAMP is a state-mandated initiative that all state agencies are required to adhere to.

It should be submitted well in advance of the purchase of any software and/or services that will be used to create, transmit, access, or store UT System data.

Begin by accessing the online form here: <https://forms.office.com/r/v2vTdketA>

QUESTIONS 1-3: DEPARTMENT NAME, CONTACT, & EMAIL ADDRESS

Provide the name of the department for which the purchase will be made, as well as the name of the primary departmental contact and their email address. This information is required in the event that follow-up questions are necessary. The departmental contact will also receive communications regarding the status of the PSQ.

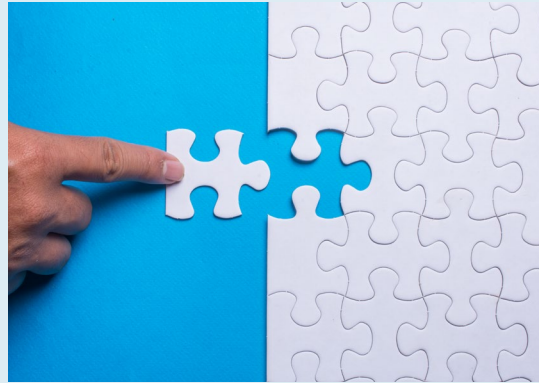


Module 3: CCARS

Ben Kalenak



Main Takeaways



DCA Partnership Key Piece



Resources

- UTS Sharepoint Site
- CnP website
 - Job Aids
 - Helpful Links
 - Checklists
 - DCA contact list
 - FAQs

