Partnering with CAPS

November 12, 2020

8:00 – 9:00

Presented by:

Cathy Neidner, Chris Tucker, Ashley Lund

Wisconsin State Procurement Conference

Session Objective

To strengthen the partnership between CAPS supported agencies and CAPS by providing information on staff, policies and procedures to facilitate more efficient management of procurement activities and tasks.

Did you know?

- The CAPS section was created in 2006 to provide procurement support to non-delegated agencies when the procurement function was consolidated within the Bureau.

- The CAPS Section Chief is the special designated agent for your agency (hold the delegation) and acts as the Procurement Director for your agency.

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Did you know?

CAPS Mission Statement

Manage the responsibility of procuring goods and services on behalf of its supported agencies by providing leadership, support and accountability.

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Did you know?

Consolidated Agency Purchasing Services (CAPS)

DASHBOARD FY20

24 Agencies/Boards Supported

4949 Requisition Approvals

33 RPA

21 Grant Exceptions

33 RFB/RFI

116 Renewals

51 CAPS Waiver

50 Simplified Bids

12 RFP

Meet the Team

Cathy Neidner

Amber Rademacher

Penny Lawler

Chris Tucker

Stella Ness

Ashley Lund

Mark Simon

COMING SOON!
+1

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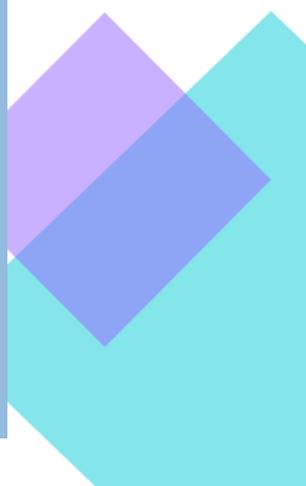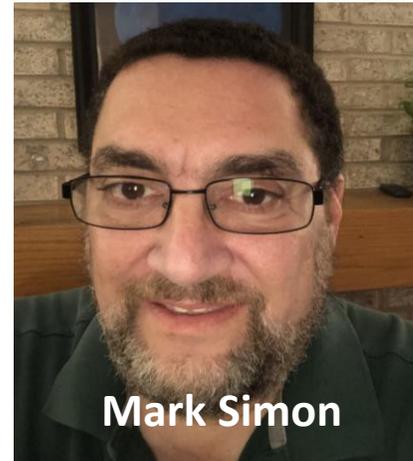
Using Discussion Forum Chat box . . .

What is the one thing that you wish you could learn more about or feel that you need more training on?

"Survey says . . . "

WAIVERS

RFB/RFP/SIMP BID PROCESS

REQUISITION/PURCHASE ORDER PROCESS

Waivers

PRO-501
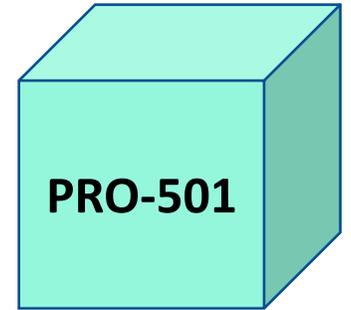
- Competitive procurement process may be waived when bidding is not possible for *uniqueness*, *emergency* or substantial *time pressure*.
    - Exceptional and rare; will be scrutinized to ensure that bidding is not feasible, particularly for sole source requests.

Waivers
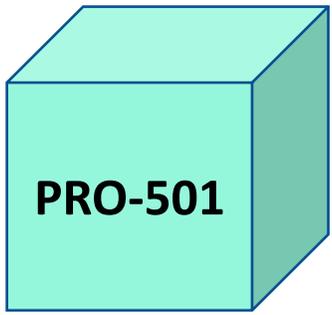
PRO-501

- Agencies must provide:
  - Justification of need and all relevant documentation to support the waiver request (e.g., market research to demonstrate that only one source exists, sole source letter from vendor, etc.)
  - How cost reflects market value:
    - Data-driven justification that the State is not being charged more than customers with similar products and services.

Waivers

PRO-501
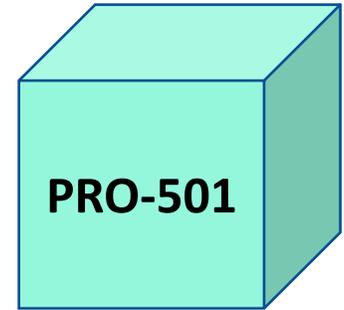
- **General Waivers**
  - Consolidation of like purchases from like vendors
  - Maximum 1-year term
  - Example: DOC requests approval to waive official sealed bid process to enter into agreements with local farmers to purchase produce and eggs as needed to support correctional farm enterprises

- **Sole Source Waivers**
  - Commodity/service is available from only one source
  - Can be longer than 1 year
  - Example: Maintenance on OEM equipment must be performed by OEM

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CAPS Waiver Procedures

- Under $25K requires CAPS Section Chief approval
- Over $25K requires Governor's Approval (through SBOP) RPA – DOA-3046

RESOURCES:

- CAPS How to Request a CAPS Waiver (Sole Source <$25K)
- CAPS How to Submit a Request for Purchasing Authority (Governor's Waiver)

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Waivers

PRO-503
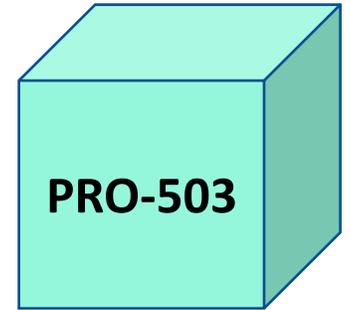
- **Emergency Waivers**
  - Beyond agency control, risk of human suffering or damage to state property requiring immediate action.
  - May be a result of a declaration by the Governor

Business Case Exceptions from Mandatory Enterprise Contracts

- Enterprise contracts may have a waiver process for the following situations:
  - Required items are not available from the vendors on contract
  - Required items can be purchased from another source at a ***significant*** cost savings

- Consult with the Contract Manager to determine what process and documentation is needed to request the waiver.

- Some contracts have an automatic waiver under a certain dollar threshold
  - Intended for emergency purchases only; not a mechanism to avoid using the contract

"Survey says . . . "

WAIVERS ✓

RFB/RFP/SIMP BID PROCESS

REQUISITION/PURCHASE ORDER PROCESS

Special Considerations

Mandatory Contract

Optional Contract

Purchasing Thresholds

<$5,000
Best Judgment

$5,000-$50,000
Simplified Bid

>$50,000
Request for Bid or Proposal

Simplified Bid - $5,000 to $50,000
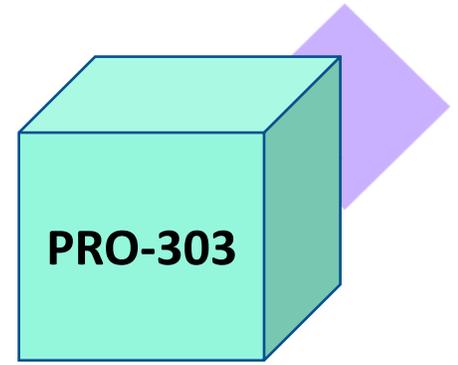
PRO-303

- Minimum of 3 quotes by telephone, verbal, catalog, web, etc. and confirm in writing

- Award to the lowest possible bidder (PRO-305)

- Be aware of serial contracting/purchasing (PRO-107)

- Use the Simplified Bidding Record Form (DOA-3088)

- Strongly recommended to post bid opportunities on the eSupplier Portal

RESOURCES:

- CAPS How to Guide – Simplified Bid

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Simplified Bid - DOA-3088

Special Considerations

Mandatory Contract

Optional Contract

Purchasing Thresholds

<$5,000
Best Judgment

$5,000-$50,000
Simplified Bid

>$50,000
Request for Bid or Proposal

Request for Bid

When to Use

- You know precisely what you need

- You have detailed requirements and specifications

- Lots of competition exists

- The product or service is available from more than one source

Request for Bid (RFB) Process

PRO-304

Identify Need → Develop Bid Package → Issue and Manage Bid → Review, Abstract & Award → Post- Award Activities

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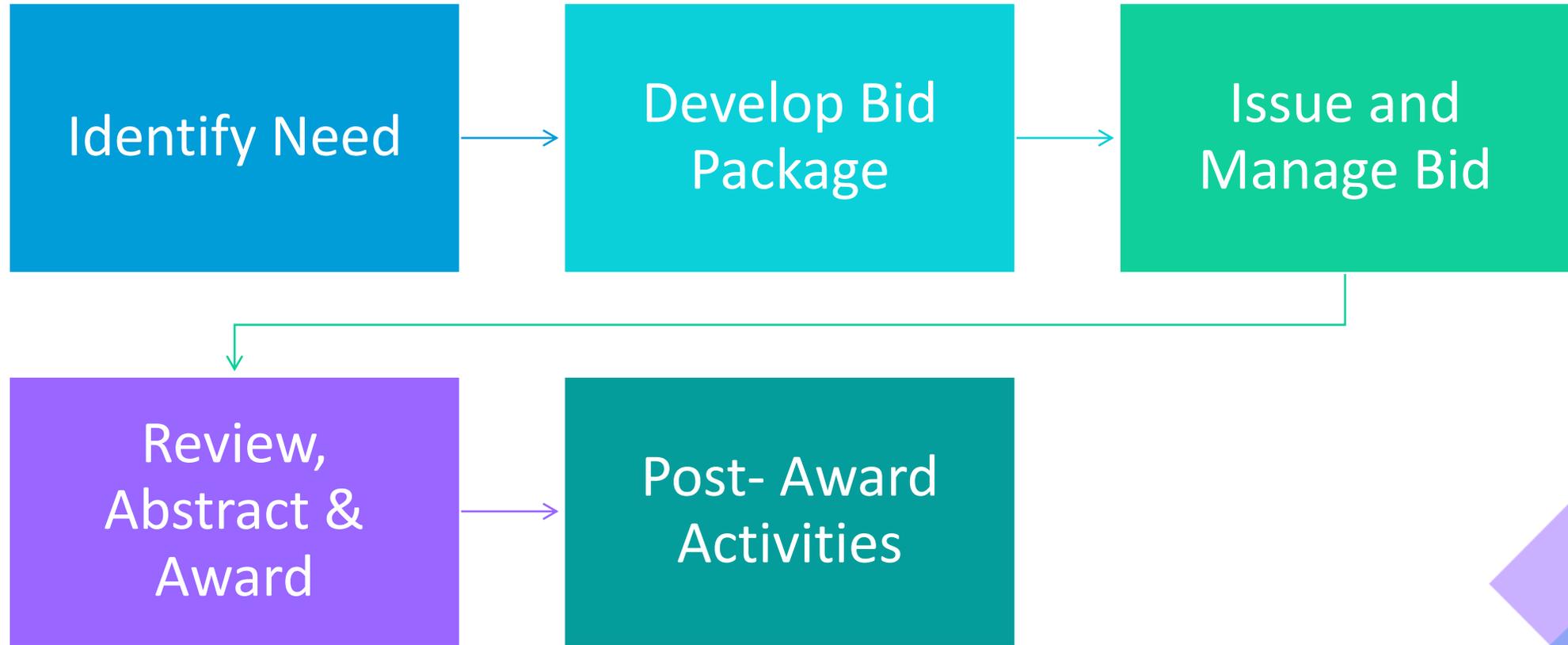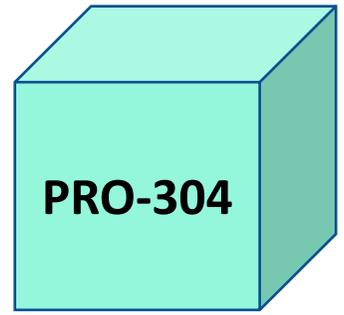
RFB Process: Identify Need

Agency

- New or existing procurement?

- Software purchase?

- Existing contract?

- Commodity or a Service?

- Create a timeline with CAPS

CAPS

- Aid in development of timeline

- Research existing contracts

RFB Process: Develop RFB (Planning & Preapproval)

PRO-201
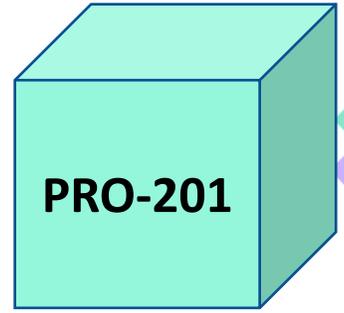
Agency

- Complete Procurement Plan
- Complete CBA
- Send Proc Plan and CBA to CAPS

CAPS

- Review and submit completed Procurement Plan to SBOP
- Bid Number assigned
- Receives approved or denied Procurement Plan
- Review and send completed CBA to SBOP

RFB Process: Develop RFB
(RFB Document & Cost Sheet Preparation)

Agency

- Purpose and Scope

- Bidder Qualifications

- Mandatory Specifications (Technical Requirements, Performance and Support Requirements, etc.)

- Any Special Terms and Conditions

- Cost Sheet

- Compile list of Potential Bidders

CAPS

- Bidder Outreach

- Assist Agency with Mandatory Specifications (Technical Requirements, Performance and Support Requirements, etc.)

- RFB and Cost Sheet entered into Strategic Sourcing

- Provide DRAFT RFB to agency for discussion and revisions

- RFB and Cost Sheet Finalized

- Peer Review

- Section Chief Review

- Agency approval to post to eSupplier

- RFB Posting to eSupplier

RFB Process: Issue and Manage RFB

Agency

- Answer Questions received from Bidders

CAPS

- Questions and concerns reviewed as needed
- Creation of Amendments
- Post Bidder Communication to eSupplier
- If multiple rounds of questions, repeat

RFB Process: Review, Abstract and Award

Agency

- Reference Checks
- Protest and Appeal Period

CAPS

- Review all Bidder responses
- Review all Bidder documents
- Verify Cost Sheet is completed
- Clarifications
- Eligible/ineligible status check
- Create Cost Abstract
- Admin Review (only occurs on Thursday)
- Notice of Intent to Award

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RFB Process: Post Award Activities

Agency

- Negotiate and create Contract with winning Bidder(s)

CAPS

- Assign Contract Number
- Create Transactional Contract in STAR
- Award in Strategic Sourcing
- Ensure official procurement file is complete

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RFB: Pros and Cons

Advantages

- Award process is simpler
- Award is made to the responsive qualified bidder providing the best value
- Explicitly outlines what the specifications and desired end-product will be

Disadvantages

- Defined specifications may be difficult to develop
- Does not always encourage innovative solutions
- Performance and track record are not sufficiently considered

Request for Proposal

When to Use

- Factors other than price are evaluated
- Negotiations are desired
- Proposer is expected to provide innovative ideas
- When a project is sufficiently complex

Request for Proposal (RFP) Process

PRO-306
PRO-307
PRO-308

Identify Need → Develop RFP → Issue and Manage RFP

Review, Evaluate & Award → Post- Award Activities

RFP Process: Identify Need

Agency

- New or existing procurement?

- Software purchase?

- Existing contract?

- Commodity or a Service?

- Create a timeline with CAPS

CAPS

- Aid in development of timeline

- Research existing contracts

RFP Process: Develop RFP (Planning & Preapproval)
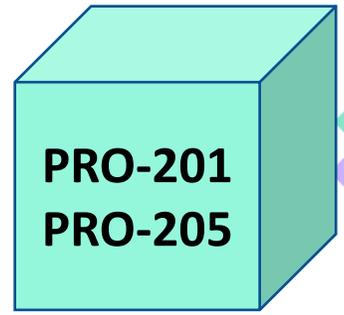
PRO-201
PRO-205

Agency

- Complete Procurement Plan (PRO-201)

- Complete CBA (PRO-205)

- Send Proc Plan and CBA to CAPS

CAPS

- Review and submit completed Procurement Plan to SBOP

- Proposal Number assigned

- Receives approved or denied Procurement Plan

- Review and send completed CBA to SBOP

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RFP Process: Develop RFP (RFP Document, Cost Sheet and Benchmark Preparation)

Agency

- Purpose and Scope
- General/Mandatory Requirements
- Technical, Performance and Support Requirements, etc.
- Any Special Terms and Conditions
- Cost Sheet
- Scoring Criteria/Benchmarks
- Compile list of Potential Bidders
- Compile list of Evaluators, PRO-307

CAPS

- Proposer Outreach
- Assist in development of RFP
- RFP, Cost Sheet and Scoring Criteria entered into Strategic Sourcing
- Review of questions or concerns
- RFP, Cost Sheet and Benchmarks Finalized
- Peer Review
- Section Chief Review
- Agency approval to post to eSupplier
- RFP Posting to eSupplier

RFP Process: Issue and Manage RFP

Agency

- Answer Questions received from proposers

CAPS

- Questions and concerns reviewed as needed
- Creation of Amendments
- Post Bidder Communication to eSupplier
- If multiple rounds of questions, repeat

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RFP Process: *Review,* Evaluate and Award

Agency/Evaluation Committee

- Evaluation Committee acts on Agency's behalf during this process

CAPS

- Review all Proposer responses
- Review all Proposer documents
- Verify Cost Sheet is completed
- Review exceptions
- Ensure cost is not referenced in Proposals
- Clarifications
- Eligible/ineligible status

RFP Process: Review, *Evaluate and Award*

Agency/Evaluation Committee

- Attend all meetings
- Read and review all proposals
- Score proposals against benchmarks
- Raise questions
- Request clarifications

CAPS

- Kick off Meeting
- Evaluation Meeting(s)
- Demonstrations/interviews/site visits
- Reference Checks
- Evaluation Follow-up Meeting(s)
- Cost Evaluation
- BAFO
- Evaluation Committee Report (PRO-307)
- Admin Review (only occurs on Thursday)
- Notice of Intent to Award

RFP Process: Post Award Activities

Agency

- Negotiate and create Contract with winning Proposer(s)

- Protest and Appeals period

CAPS

- Assign Contract Number

- Create Transactional Contract in Strategic Sourcing

- Post Award Information to STAR

- Ensure official procurement file is complete

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RFP: Pros and Cons

Advantages

- Flexibility
- Vendors give ideas and solutions you had not considered
- Not just based on price
- Allows for negotiations in order to obtain the best value

Disadvantages

- Lead times for procurement are much longer
- Evaluations are more complex
- Not always the lowest cost

RFB	vs.	RFP
Specifications	**Request**	Outcomes
Objective; yes/no, lowest cost	**Response**	Subjective; how well met, cost is a factor
Lowest responsible bidder	**Award**	Evaluation committee scores
Only with the lowest responsible bidder on price	**Negotiation**	Multiple proposers before award
3-6 months	**Average Time**	6-12 months

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"Survey says . . . "

WAIVERS ✓

RFB/RFP/SIMP BID PROCESS ✓

REQUISITION/PURCHASE ORDER PROCESS
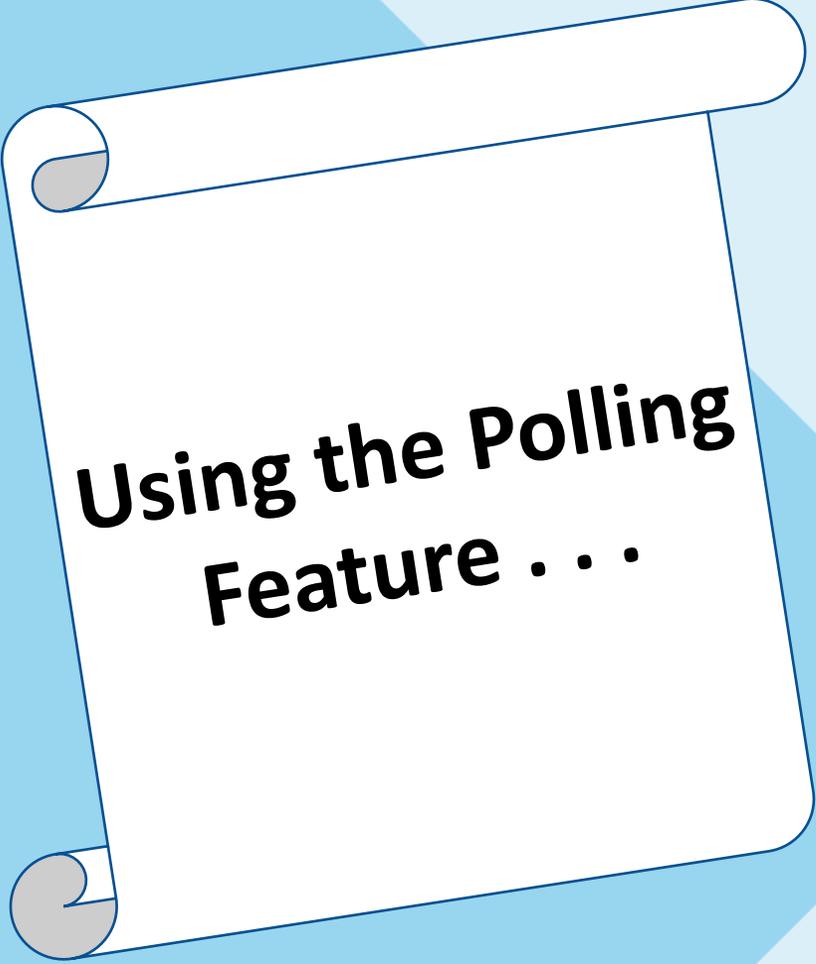
Using the Polling Feature . . .

What part of the requisition process do you find most challenging?

Overview

- Creating a Requisition
  - Common Pitfalls/Things to consider
  - Procurement Authority and Documentation
- Monitoring the Requisition
  - Who are the Approvers?
  - What is the status?
- Purchase Order
  - Change Order

Common Pitfalls of the Requisition Process

- Creating a Requisition
  - Purchasing Authority
  - Category/ Commodity/ NIGP Codes
  - PO Type
    - General vs. Grant
  - Amount Only Flag

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Procurement Authority

Procurement Authority	Description	Required Attachments	Approval Justification
Best Judgement	$5,000 or less over a fiscal year	Quote where available	Best Judgement
Simplified Bid	Over the $5,000 up to the $50,000 over full contract duration	DOA-3088 as attachment or on contract	Simplified Bid
Sole Source Under $25K	Under $25,000 over full contract duration	*Contract notated in Contract ID *Signed authorization letter from CAPS Section Chief	PRO-501
RPA	Over $25,000 over full contract duration	Contract notated in Contract ID	RPA Number
Enterprise, CAPS, or Piggybacking Contract	*Mandatory Contracts *Optional Contracts *Piggybacking off UW System	Contract notated in Contract ID	Contract Number

Procurement Authority-Continued

Procurement Authority	Description	Required Attachments	Approval Justification
Grant	Awarding Grant Funds to Participants	Exemption Letter PO Type: Grant Recommended: Contract w/ $$	Grant
Interagency	Purchase of commodities or services from Wisconsin state agencies	Nothing Required	Interagency
Intergovernmental	Purchase of commodities or services from the Federal Government	Must be a federal government listed as the supplier	Intergovernmental
Collective/ Collaborative Purchase	Purchase from any vendor on agreements established by any other state government, federal government, or any municipality of the State of Wisconsin.	If over $50K will require a Procurement Plan	Collective Purchase

quisition Settings

Business Unit 50500 🔍   Department of Administration

*Requester LUNDAXHUG 🔍   Lund,Ashley Kay

*Currency USD

Requisition Name FY21 Laptop Computer SHI

Priority Medium ▼

Default Options ?

◉ Default   If you select this option, the defaults specified below will be ap
                 fields.

○ Override   If you select this option, the defaults specified below will over

Line Defaults ?

Supplier 0000004111 🔍

Supplier Location LOC-6 🔍   Unit

Buyer 🔍

Shipping Defaults

Ship To 🔍

Due Date 📅   Attent

Distribution Defaults

SpeedChart

Accounting Defaults

Chartfields1 | Details | Asset Information | 🔲▸

Dist	Percent	Location	GL Unit	Bud Ref	Fund
1		MADEWI0017 🔍	50500 🔍		

Look Up Category   ✕

Help

Note: You may either Search or Browse to look up the appropriate category for your special request.

▼ **Search Categories**

Search By Description ▼   laptop   Find

Categories   Personalize | Find | View All | 🗗 | 🔳   First ◀ 1-4 of 4 ▶ Last

	Catalog	Category	Description	Find in Tree
1	NON_CATALOG	05567	Mounting Hardware, Automotive: Laptops, GPS, Cameras, Electr	🌳
2	NON_CATALOG	20454	Microcomputers, Handheld, Laptop, and Notebook	🌳
3	NON_CATALOG	20554	Microcomputers, Handheld, Laptop, and Notebook, Environmenta	🌳
4	NON_CATALOG	98424	Computers, Microcomputer, Handheld, Laptop and Notebook, Ren	🌳

▶ **Browse Category Tree**

Return

Vendornet.wi.gov

VendorNet Registration Bids **Contracts** **NIGP Codes** Forms General Procurement FAQ Contact Us Login

Search [laptop]

*Hit Enter to Search

Code	Description
05500	AUTOMOTIVE ACCESSORIES FOR AUTOMOBILES, BUSES, TRAILERS, TRUCKS, ETC.

Code	Description
05567	Mounting Hardware, Automotive: Laptops, GPS, Cameras, Electronic Devices, etc.

Code	Description
20400	COMPUTER HARDWARE AND PERIPHERALS FOR MICROCOMPUTERS

Code	Description
20454	Microcomputers, Handheld, Laptop, and Notebook

Code	Description
20500	COMPUTER HARDWARE AND PERIPHERALS FOR MICROCOMPUTERS, ENVIRONMENTALLY CERTIFIED BY AN AGENCY ACCEPTED CERTIFICATION ENTITY

Code	Description
20554	Microcomputers, Handheld, Laptop, and Notebook, Environmentally Certified Products

Code	Description
98400	RENTAL OR LEASE SERVICES OF COMPUTERS, DATA PROCESSING, AND WORD PROCESSING EQUIPMENT

Code	Description
98424	Computers, Microcomputer, Handheld, Laptop and Notebook, Rental or Lease

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Business Unit 50500 🔍 Department of Administration   Requisition Name FY21 Laptop Computer SHI

*Requester LUNDAXHUG 🔍 Lund,Ashley Kay   Priority Medium ▾

*Currency USD

Default Options ❓

🔵 Default   If you select this option, the defaults specified below will be applied to requisition lines when there are no predefined values for these fields.

⚪ Override   If you select this option, the defaults specified below will override any predefined values for these fields, only non-blank values are assigned.

Line Defaults ❓

Supplier 0000004111 🔍   Category 20454 🔍

Supplier Location LOC-6 🔍   Unit of Measure UNT 🔍

Buyer 🔍

Shipping Defaults

Ship To DOA001709 🔍   Add One Time Address

Due Date 📅   Attention Ashley Lund

Distribution Defaults

SpeedChart

Accounting Defaults

Personalize | Find | 🔲 | 📊   First ◀ 1 of 1 ▶ Last

| Chartfields1 | Details | Asset Information | 📋➤ |

Dist	Percent	Location	GL Unit	Bud Ref	Fund	Appropriation	Dept	Account	Progra
1		MADEWI0017 🔍	50500 🔍	🔍	🔍	🔍	505R30000(🔍	🔍	

OK   Cancel

Special Requests ⓘ

Enter information about the non-catalog item you would like to order:

🛒 1 Line   [Checkout]

Item Details

*Item Description	Laptop Computer			
*Price	100	*Currency	USD	
*Quantity	1	*Unit of Measure	UNT 🔍	
*Category	20454 🔍	Due Date	📅	

Supplier

Supplier ID	0000004111 🔍
Supplier Name	SHI International Corp 🔍 SHI International Corp Suggest New Supplier
Supplier Item ID	

Manufacturer

Mfg ID	🔍
Manufacturer	
Mfg Item ID	

Additional Information

Extended notes on the product you are purchasing. Some examples: Product specifications, color, type,
Anything you think is important to share about this line.

☑ Send to Supplier   ☑ Show at Receipt   ☑ Show at Voucher

Request New Item

☐ Request New Item   A notification will be sent to a buyer regarding this new item request.

[Add to Cart]

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Checkout - Review and Submit

Review the item information and submit the req for approval.

🪄 My Preferences   ⚙ Requisition Settings

Requisition Summary

Business Unit	50500 🔍	Department of Administration	Requisition Name	FY21 Laptop Computer SHI

*Requester LUNDAXHUG 🔍 Lund,Ashley Kay

Priority Medium ▾

*Currency USD

PO Type ▾

Chap 160
Chap 281
Chap 283
Chap 285
Chap 289
Chap 291
Chap 350
Chapter 13
Chapter 23
Chapter 26
Chapter 27
Chapter 28
Chapter 29
Chapter 30
Chapter 31
Chapter 33
Chapter 40
Chapter 84
General
➡ Grants

Cart Summary: Total Amount 100.00 USD

Expand lines to review shipping and accounting details   ➕

Requisition Lines ❓

Line	Description	Item ID	Supplier	Quantity	UOM	Price	Total	Details	Comments	Delete
▸ ☐ 1 🖥 Laptop Computer			SHI International Corp	1.0000	Units	.0000	100.00	📄	💬 Edit	🗑

☐ Select All / Deselect All   Select lines to: 📋 Add to Favorites   📲 Add to Template(s)   🗑 D   🖳 Mass Change

Amount   100.00 USD

Shipping Summary

✏ Edit for All Lines

Ship To Location	DOA001709
Address	ADMINISTRATION, DEPARTMENT OF
	DIVISION OF ADMINISTRATIVE SERVICES
	101 EAST WILSON ST
	MADISON, WI 53703
Attention To	Lund,Ashley Kay
Comments	

Requisition Comments and Attachments

Enter requisition comments

[   ]

☐ Send to Supplier   ☐ Show at Receipt   ☐ Shown at Voucher   Add more Comments and Attachments

Approval Justification

Enter approval justification for this requisition

[   ]

🖥 Check Budget   🖥 Pre-Check Budget

| 🖥 Save & submit | 💾 Save for Later | ➕ Add More Items | 👓 Preview Approvals | 🖥 Add Request Document |

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Amount Only Flag

Line Details

Co

Header Comments

Help

Business Unit 50500   Requisition Date 10/22/2020

Status Open

Comments   Find   First ◀ 1 of 1 ▶ Last

Use Standard Comments   Entered On:

1 Add notes for the full requisition

☑ Send to Supplier   ☑ Show at Receipt   ☑ Show at Voucher

Add Attachments

OK   Cancel

Shipping Summary

✎ Edit for All Lines

Ship To Location   DOA001709
Address   ADMINISTRATION, DEPARTMENT OF
                    DIVISION OF ADMINISTRATIVE SERVICES
                    101 EAST WILSON ST
                    MADISON, WI 53703

Attention To   Lund,Ashley Kay
Comments

Requisition Comments and Attachments

Enter requisition comments

Add notes for the full requisition

☑ Send to Supplier   ☑ Show at Receipt   ☑ Shown at Voucher   Add more Comments and Attachments

Approval Justification

Enter approval justification for this requisition

505ENT-M17-WICOMPUTER-03

Check Budget   Pre-Check Budget

Save & submit   Save for Later   Add More Items   👓 Preview Approvals   Add Request Document

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Approval Process

- Where is the requisition in the process?

- Who are the Approvers?

- Expedite to PO

Change Order-Purchase Order Process

Trigger Approval Routing

- Increase or Decrease Amount or Item Price
- Increase or Decrease Quantity
- Add Amount Only Checkbox
- Adding an Item Line
- Updating Chartfields

Does not Trigger Approval Routing

- Change the PO Type
- Supplier Location
- Updating Item Description

"Survey says . . . "

WAIVERS ✓

RFB/RFP/SIMP BID PROCESS ✓

REQUISITION/PURCHASE ORDER PROCESS ✓

RESOURCES

- CAPS Liaison

- State Procurement Manual

- SBOP Trainings

- STAR Job Aids

- VendorNet

- WISBuy

- eSupplier

HOW TO Guides

(available on CAPS SharePoint site)

- Grant Exemption
- Request a CAPS waiver
- Search VendorNet
- Submit an RPA
- Do a Simplified Bid
- How to Enter a Reseller on a Requisition

Thank You for attending!

Questions?