

2016 Achievement of Excellence in Procurement® APPLICATION

Due date is Tuesday, May 31, 2016

Part I: Instructions for Applying

The 2016 Achievement of Excellence in Procurement application is accessible online with full instructions at www.npiconnection.org. Any applicant needing assistance or guidance using the online system may contact any of the evaluation committee members. For contact information, please see the NPI website.

The Achievement of Excellence in Procurement Committee is responsible for the evaluation of the applications. The Official submitting the application will be advised of the decision and will, upon completion of the review process, be provided with an evaluation report. Please share the evaluation report with your Procurement team to identify areas for improvement in future applications. It is expected that you will receive an e-mail notification of your success by mid-August 2016. The decision of the Achievement of Excellence in Procurement Committee is final. By submitting an application, you're giving permission for NPI to use the submitted documents to further promote the program and the public procurement profession.

Additional information about the AEP program is available at www.npiconnection.org. Questions or comments concerning the Achievement of Excellence in Procurement Program should be addressed to Brian Garrity, C.P.M., CPPB, Chair of the Achievement of Excellence in Procurement Committee, at aep@npiconnection.org.

All applications must be submitted online by **Tuesday, May 31, 2016**. The following information will be requested as part of the online application. Please have this information available when entering your application online.

Name of Agency/Organization:

*Information provided here is as it will appear on the trophy
(e.g., Procurement Department, City of Pleasantville)*

Please provide to whom (mayor, board chairman, city manager, etc.) you would prefer the formal announcement of the successful Achievement of Excellence in Procurement Award be mailed. *Most agencies have the announcement sent to their supervisor or the chief executive.* Direct recognition from an outside organization is more meaningful to your boss and beneficial to you! You may list two people in the online application to receive formal announcement of the results.

Organization official to receive formal announcement of the results:

**This should be your agency's legal name, i.e. City of Pleasantville,
not Pleasantville Purchasing Department.**

Name	
Title	
Organization Name	
Address	
City/State/Zip	

**Procurement Official to also receive notification of the results and evaluation scorecard
(this should be the agency's top procurement official):**

Name & Credentials	
Title	
Organization Name	
Department Name	
Street Address (no P.O. boxes)	
City/State/Zip	
Phone	
E-mail	
Website*	

**The requested website is for your agency. If the link to procurement is not intuitive, also provide that address.*

The Achievement of Excellence in Procurement is sponsored by the following professional procurement organizations:

SPONSORS

- ❖ National Procurement Institute
- ❖ Institute for Supply Management
- ❖ California Association of Public Procurement Officials
- ❖ Florida Association of Public Procurement Officials
- ❖ NIGP: The Institute for Public Procurement
- ❖ National Association of State Procurement Officials
- ❖ National Association of Educational Procurement
- ❖ Texas Public Purchasing Association
- ❖ Canadian Public Procurement Council – Conseil canadien des marchés publics

ASSOCIATE SPONSORS

- ◆ National IPA
- ◆ U.S. Communities
- ◆ Airport Purchasing Group
- ◆ Universal Public Procurement Certification Council
- ◆ National Joint Powers Alliance

The 21st Annual Achievement of Excellence in Procurement award recipients will be recognized at the National Procurement Institute Annual Conference in Colorado Springs, CO. The National Procurement Institute also provides the list of recipients to the co-sponsor organizations for recognition at their conference.

Your trophy will be mailed directly to your agency to the person you list as “Procurement Official”.

Part II: Instructions for Submittal

Application must be submitted by **Tuesday, May 31, 2016**. Late applications will not be considered. Do not wait for the last day to complete the application. **Start today.**

Applications will only be accepted online. To assist with the online application, you may access the online application with full instructions at www.npiconnection.org. Applicants needing assistance or guidance using the online system may contact any of the evaluation committee members. See contact information on the NPI website.

Payment of the non-refundable application fee must be made electronically by credit card or procurement card when the application is submitted. Payment may be made in advance by check by contacting executivedirector@npiconnection.org. **The application fee is \$600 (\$400 for NPI members).**

Registering: Each agency will register with an e-mail address and unique password. It is important to note that only one “registered user name” can be used to input data for each agency. Therefore, if you have multiple individuals who work on the application throughout the year, consider registering with a user name and generic password that can be shared internally with those working on the application.

Log-in: You can log-in as often as you like to review uploaded information until the time you make your final submission.

Tabs: The tabs at the top will navigate you through the program.

Please note that once you make your final submission under the Payment tab, the application is locked and cannot be accessed.

ALL APPLICANTS ARE ENCOURAGED TO REVIEW THE DIRECTIONS FOR UPLOADING FILES TO THE APPLICATION.

- Link to [“Suggestions for Uploading Documents Online”](#)
- Create a **single PDF file** with a unique file name for each criterion. *Upload only one file for each criterion.*
- Make sure the submitted screen shots are easy to read.
- **Make sure the documents are all facing the same direction and are easy to read.**
- Locate the file by clicking **BROWSE**. Next, select the file and click **OPEN** to add the file to the correct criterion. Uploading files may take a few minutes. Don’t navigate away from the page while uploading. The files uploaded are listed for reference. File size is limited to 20 MB, however it is recommended that files be minimized (the suggestions for uploading documents online provides instructions for minimizing file sizes). **Do not submit zip files unless the files exceed the 20 MB size restriction.**
- To save data for each criterion, click **SUBMIT RESPONSE**. You will be able to make changes and add or delete files up until final submission.

- It is highly recommended that you have multiple staff members proof the application, narrative and attachments for all criteria for accuracy before final submission.
- It is recommended that you save a copy of uploaded files for your records.

Payment Information: Your payment information will then be required before the application is accepted. Once completed, click SUBMIT. **The application will be submitted when you click SUBMIT. Be sure you are ready to submit before doing so as you will not be able to edit after that point.**

Confirmation: A confirmation page will be displayed and the application will be submitted to the AEP Evaluation Committee. All decisions by the Evaluation Committee are final and results will be released by mid-August. By submitting an application, you're giving permission for NPI to use the submitted documents to further promote the program and the public procurement profession.

Part III: Criteria

To receive the “Achievement of Excellence in Procurement” award, the applicant must obtain a total of at least 100 points. **It is critical to check the submittal requirements as they may change each year.** Date parameters have been updated and all documentation requiring dates must fall within the established parameters to receive points.

The point value of each criterion is always 5 or 10. All criteria are pass/fail. That is, you receive all the points allocated per criteria (i.e., 5 or 10) or none. If the evaluation committee determines that the total points add up to at least 100, the application is successful. It is recommended that you determine the chances of success by completing the self-scoring worksheet before submitting the application.

If your agency has previously won the award, it is suggested that you strive to increase your score from the previous application to demonstrate that your agency continues to make process improvements each year.

The evaluation committee strongly suggests that you do not request points for criteria that have not been documented in your application. If your submittal is unclear and the information cannot be verified, the points will not be given.

Submitting false information will result in disqualification of the application and may disqualify an agency from submitting future applications.

Note: Narrative and/or annotation are required on each of the criterion to clearly explain and demonstrate to the evaluation committee what is being submitted. If the narrative and annotation information is not provided or it is unclear, points will not be given. Model examples are available to NPI members on the website after you log in.

Changes to the requirements for 2016 are italicized.

1. Establishment of a “Procurement Ethics” policy statement (5 pts)

Procurement Ethics policy must be issued by the chief procurement official at a minimum, and specifically address **procurement ethics**.

A procurement ethics statement embedded in a procurement manual is acceptable.

An ethics policy posted on the website is acceptable; however there must be evidence that this policy was adopted by the Chief Procurement Official of the agency at a minimum, not just posted, to receive points for this criterion.

Membership in a procurement association, which has an ethics policy, **is not** in and of itself an acceptable documentation of an ethics policy, unless the agency adopts said policy as its own.

- **Submit:** Narrative statement explaining when and by whom the procurement ethics policy was adopted and where it is published or can be found.
- **Submit:** A copy of the procurement ethics policy and evidence of its establishment as official procurement policy by your agency.

2. Publishes an electronic procurement manual for internal use (5 pts)

Manual must be comprehensive, addressing multiple procurement activities and not limited to specific issues (e.g., P-Card or MWBE program).

Manual must be electronically posted on a shared drive, the internet or agency intranet and should be updated regularly

- **Submit:** Current screen shots of the link, web pages or shared drive information that electronically posts your procurement manual for use by internal customers. Please explain through narrative and annotation how your internal customers access this information. Demonstrate that the manual is comprehensive and provide the date of the most recent revision.
- **Submit:** The cover page and index of the procurement manual or screen shots of the electronic contents. Please do not submit the entire manual; but only those pages that substantiate the contents.

3. Established a procurement staff “professional development” program (5 pts)

The requirement is the establishment of a continuous formal buyer or professional development program for procurement staff. Training shall be on procurement issues. This is not a customer (i.e. user) training program. Enclose the list of training provided and the **future** schedule or program. Participation in webinars, internal procurement related training and external procurement related training are all acceptable. **Two lists** should be provided; one for current year and one for future year. Future training should include dates after *January 1, 2016*.

- **Submit:** Narrative explaining the professional development program established for training all professional procurement staff members. *Include a list of all staff members and titles.*
- **Submit:** A list delineating the training received by such staff since *January 1, 2015*. List should include the names of staff in attendance, a description of training, and the dates of the training.
- **Submit:** A program or schedule for such training for next year (*2016*). List should include the names of staff scheduled to attend, a description of training, and the anticipated dates.

4. Maintains a “continuous improvement” program comprised of the following:

a. Formal survey of procurement performance, completed by internal (department) customers (5 pts)

Survey of how the procurement department is doing. This survey is completed by internal department customers on multiple procurement issues. Survey may be based on a schedule or be transaction-based.

A survey of a presentation made to customer departments is not acceptable.

General agency survey **does not** qualify unless there is a specific section designated to procurement that covers multiple procurement issues.

- **Submit:** A narrative explaining the purpose of the survey, how (e.g. e-mail) and when (date) the survey was distributed, who it was sent to, how many individuals received it and the number of responses received.
- **Submit:** A copy of the customer survey and a summary tabulation of the results indicating date that substantiates the survey was conducted on or after *January 1, 2014*.
- **Submit:** A list of suggested process improvements related to the survey results. (e.g. internal department states that it takes too long to process PO's. What is your plan to address these concerns and improve future survey results?)

b. Formal survey of procurement customer service, completed by external customers (vendors/contractors) (5 pts)

Survey of external customers (vendors/contractors) needs to be on multiple procurement issues. Some examples of topics are: efficient bid procedures, customer service, equity, website, etc.

In order to demonstrate this survey is comprehensive, the agency needs to demonstrate that the survey was distributed to at least 25 vendors or contractors.

- **Submit:** A narrative explaining how and when (date) the survey was distributed and the number of responses to the survey is required. If your agency is able to quantify the number of vendors that received the survey, please include this information. The agency must demonstrate that at least 25 vendors were sent the survey.

- **Submit:** The customer survey and a summary of tabulation of the results indicating the date that substantiates the survey was conducted on or after *January 1, 2014*.
- **Submit:** A list of suggested process improvements related to the survey results. What changes are you going to implement in light of the survey results?

c. Formal internal (user departments) customer training within the past year (5 pts)

Training needs to be comprehensive and cover multiple procurement subjects and not limited to a specific topic (procurement cards, internal automation, software training, etc.). It may be acceptable if an agency can demonstrate training workshops on multiple topics were scheduled and presented on a rotating basis for end users throughout the previous year. Training must be multi-departmental. Web-based training is acceptable as long as the training meets all the other requirements of this criterion. Workshops or training may have the same program agenda offered on different dates.

- **Submit:** A narrative explaining the purpose of the training.
- **Submit:** The training agenda with date that substantiates the training was conducted on or after January 1, 2015. Do not include the PowerPoint slides.
- **Submit:** Dated roster or dated sign-in sheet of attendees including department.

d. Formal vendor training within past year with scheduled and agendized workshop (5 pts)

Training needs to be comprehensive and not limited to a few specific contracts or pre-bid meetings.

Training specifically needs to address “how to do business” with your organization.

A “vendor fair” limited to a “table” only, is **not acceptable**. There must be an agenda specifically listing your organization as a presenter of training on “how to do business” on a comprehensive basis. Joint vendor training should clearly identify your agency as a presenter on the agenda.

- **Submit:** A narrative explaining the purpose of the training, the audience and your agency’s role and participation in the training.
- **Submit:** The training agenda with date that substantiates the training was conducted on or after January 1, 2015.
- **Submit:** Dated roster or dated sign-in sheet of vendor attendees

e. Performance measures specific to procurement function (5 pts)

The performance measures should be on multiple procurement areas. This criterion requires that you provide the measurements, the purpose of the measurements and the action plan on what you will do as a result of the data collected.

Fundamental purpose for having performance measures is to improve how procurement performs: to learn, to motivate, and to recognize achievement and areas of weakness.

Evaluation processes consist of two variables: organizational performance data and a benchmark that creates a framework for analyzing that data.

The action plan should be specific to the data provided and not generalized.

- **Submit:** A narrative explaining the performance measures, the purpose for each of the measurements and the time period the measurement covers.
- **Submit:** A copy of performance measures and the results for the most recently completed fiscal or calendar year and the prior year data for comparison.
- **Submit:** An analysis of the data (What does the data indicate? Can you make improvements based on the findings?). Provide a detailed action plan on how the results of the analysis will be used to improve efficiencies and effectiveness within your agency.

5. Centralized procurement authority based in law (statute, ordinance, or charter, if applicable) (10 pts)

Centralized procurement is a central function within the organization that has the authority to buy goods and services for the entire organization and may also operate other central services such as warehousing and surplus.

- **Submit:** A narrative explaining the law and how this provides your agency centralized authority. If governing law does not specifically state that procurement is “centralized,” *please include **explanatory narrative** that demonstrates how the written law satisfies this requirement.*
- **Submit:** The law establishing central procurement authority. Section of the law specific to centralized procurement authority **must be highlighted to receive points** and the source of the statute/ordinance/charter must be evident (e.g. resolution adopted by governing board, section of code identified). Do not submit entire ordinance/law.

6. Procurement Organizational Structure (5 pts)

This criterion recognizes agencies that place the procurement function at a high level in the organizational structure. This ensures sufficient authority, independence, and resources to foster the goals and objectives of the procurement function. Procurement reporting to the Finance Department **does not meet** this criterion. Procurement must be at least on the same organizational level as Finance. It is recognized that many agencies are structured differently. In order to receive points, an organizational chart showing where Procurement and Finance are located in the organization is required. In addition, a narrative explaining how your organization meets this criterion is necessary.

- **Submit:** A narrative explaining the organizational structure of your agency and where Procurement is in the organizational structure as compared to Finance. Explain which department Procurement reports to directly.
- **Submit:** An organization chart of the agency delineating the highest administrative position, the placement of Procurement, the placement of Finance, and any intermediate organizational levels. Clearly identify the Procurement reporting structure by either highlighting or including a cover sheet explaining the relationships between Procurement and top management.

7. Utilization of Electronic Commerce (electronic transmission of data with the business community) and Automated Technology to Improve Efficiencies

For criteria 7a – 7j, current screen shots showing the required functionality within the specified time frame must be included to demonstrate each criterion. You must have screen shots that show each step of the process with annotations and/or highlights for clarity. You must also clearly demonstrate that your agency is currently using the required functionality.

Each submission should stand alone in meeting all of the submission requirements listed. Do not reference a previous criterion to fulfill the submission requirements of any other criterion.

a. Internet home page with link to procurement activities (5 pts)

The procurement function should have an active web page that can be easily accessed by the supplier community and other key stakeholders directly from your agency's main home page. The Procurement page should explain "How to Do Business" with the agency and how to contact procurement staff.

The evaluation committee may review your website. Please ensure that documentation provides for screen shots and a web address to reach procurement activities from your agency's home page. Highlight the link or provide a text box to explain how to navigate from one web page to the next web page.

- **Submit:** Provide information explaining how the public can get to the Procurement page from your Agency's home page.
- **Submit:** Current screen shots and the web address to the main home page for your agency. Current screen shots and explanation of the link and page which directs suppliers to information on how to do business with your agency and documentation from the guide demonstrating it addresses multiple areas of procurement. This can be a Procurement web page with links to the various functions of procurement.
- **Submit:** Current screen shots and web address for the procurement home page. Current screen shots of the link and page that provides Procurement staff contact information. This should include a contact name, telephone number and e-mail address.

b. Online electronic vendor registration and screen shots of registration process (5 pts)

Online vendor registration requires an interactive website. That is, a vendor can go to your website register to receive notification of procurement activity by categories of commodities and services directly online and a vendor database is automatically updated with the vendor information. The ability for a vendor to download an application, complete the application, and then mail a hard copy or e-mail the application to you for input into a system, **is not acceptable**. A "list serve" system of general notification and without a commodity code database **is not acceptable**.

- **Submit:** A narrative explaining how a vendor would register to do business with your agency. If you use a third party vendor please provide details.
- **Submit:** If you use a third party service provider, a current screen shot of the direct link from your website to the vendor registration is required.

- **Submit:** Current screen shots of registration process that demonstrate automation and use of commodity codes.

c. Posting and downloading of solicitations (Invitations for Bid & Requests for Proposals) (5 pts)

Vendors must be able to search and review posted solicitations and must be able to download solicitations from the agency website. Attaching a notice to an e-mail on an individual basis is **not acceptable**. If you use a third party provider, a direct link from your website to the third party's website where the solicitation resides is required.

- **Submit:** A narrative explaining how a vendor would find and download a solicitation from your agency.
- **Submit:** A screen shot of a bid posting issued on or after *January 1, 2015*.
- **Submit:** A cover page of a downloaded solicitation issued on or after *January 1, 2015*.

d. System generated electronic notification of solicitation to prospective registered bidders (5 pts)

Electronic notification of solicitation to prospective registered bidders must be system-generated using a vendor database. Attaching a notice to an e-mail on an individual basis, e-mailing the solicitation manually, or use of a "list serve" general notification without commodity codes database **are not acceptable**.

- **Submit:** *A narrative explaining how a vendor is electronically notified of a solicitation and how notifications are done (i.e. based on NIGP or different commodity codes). Provide an explanation of what supporting documentation is attached.*
- **Submit:** Current screen shots that demonstrate electronic notification was used to notify supplier of a solicitation on *January 1, 2015* or later.
- **Submit:** A copy of an automated broadcast list (list of vendors that received the bid) to demonstrate use of the system.

e. Use of an electronic, interactive Request for Quotation (RFQ) process (5 pts)

The RFQ process is for **"small" purchases** (i.e., below the formal bid threshold amount and define what the formal threshold is for your agency). An interactive RFQ process includes **automatic notification to selected vendors vendor electronic response, and automatic tabulation/abstracting of quotations received**. This system is for distributing request for quotations and receiving responses for purchases under the formal bid threshold amount. (The example provided should be a different example provided for 7f). If you use a third party service provider, a direct link from your website to the third party vendor is required.

- **Submit:** Provide details of the internal system or third party software your agency is utilizing to accept request for quotes electronically. Provide a narrative explaining how your agency meets the requirements listed above.
- **Submit:** A statement of the dollar thresholds for **formal and informal** solicitations. If your agency doesn't have an adopted threshold, please explain what your current practice is to differentiate an RFQ and a formal bid. If it is unclear to the committee what the current practice is, the agency may not receive points.

- **Submit:** Current screen shots that demonstrate use of an automatic notification to selected vendors, vendor electronic responses and the automated tabulation/abstracting of quotations done by the system. Submittal receipt date must be on or after *January 1, 2015*.

f. Acceptance of formal bids & proposals via the internet (5 pts)

Acceptance of **formal bids & proposals** (define what the formal threshold is for your agency) via the internet includes **automatic notification to vendors registered in the vendor database, posting on the agency website, vendor online response, and automatic tabulation/abstracting of bids** and proposals received. This system is for distributing requests for formal bids and proposals and receiving responses to formal bids and proposals. If you use a third party service provider, a direct link from your website to the third party vendor is required. This criterion is for a formal bid and the attachment should be different than 7e.

- **Submit:** A narrative explaining how your agency meets the requirements listed above.
- **Submit:** A statement of the dollar thresholds for **formal and informal** solicitations. If your agency doesn't have an adopted threshold, please explain what your current practice is to differentiate an RFQ and a formal bid. If it is unclear to the committee what the current practice is, you may not receive points.
- **Submit:** Current screen shots that demonstrate use of an automatic notification to registered vendors, posting of a formal bid or RFP on the agency website and vendor online response, in addition to the automatic tabulation/abstract of bids/RFPs received by the system. The documentation must demonstrate required functionality and validate usage, including demonstration of an actual online formal bid submittal or other related documentation. Receipt of formal bids as an e-mail with attachments is **not considered qualifying**. Submittal receipt date must be on or after *January 1, 2015*.

g. Posting of both the solicitation tabulations and the award documentation on website (5 pts)

The purpose of this criterion is to demonstrate organizational transparency by allowing the public to see the tabulation and award.

The tabulation is the documentation of prices and other information read at bid opening. An award notification indicates who was awarded the contract. Vendors must be able to see the bid tabulation and award documentation on the agency's website. A copy of a notice of intent to award or a recommendation for a governing body's action is **not considered qualifying**.

- **Submit:** A narrative explaining where a vendor would locate the bid tabulation and award documentation on the procurement website of your agency.
- **Submit:** For the tabulation, provide current screen shots which lead to a current bid tabulation as posted on your website. Screen shots must include an actual tabulation posted after *January 1, 2015*.
- **Submit:** For the award documentation, provide screen shots which lead to current award documentation as posted on your website. **Both a solicitation tabulation, and the name and amount of the contract awarded to the successful firm is required.** In addition, if you use a third party service provider, a direct link from your website to your agency's tabulations is required. Screen shots must include an actual award

document or notice posted on or after *January 1, 2015*. Ideally the public should be able to access this without a log-in to the third party.

h. Internal Procurement Automation (Online Requisitioning) (5 pts)

Use of an internal electronic automated requisitioning system designed to facilitate the procurement process within your organization. At a minimum, the system must provide for entering requisitions online by the user, routing approvals of the requisition, and online status inquiries. System must be an enhanced user-friendly system using a “graphical user interface” or Windows based appearance instead of a text based system (green screen). Do not include a manual. Submitting procedures from a manufacturer’s supplied user manual is **not acceptable as it doesn’t demonstrate your agency’s actual use of the system**. The intent of this criterion is to demonstrate that an agency has automated the purchase requisition system by allowing the departments to enter a requisition, and submitting the requisition through workflow to Procurement electronically to issue a PO.

- **Submit:** Narrative explaining the system that your agency is using to automate the requisition to PO process.
- **Submit:** Current screen shots from system and narrative which demonstrate that the integrated system is currently being used by the agency for **online requisitions initiated by the end user**. Applicants must include a screen shot of an actual requisition dated on or after *January 1, 2015*.
- **Submit:** Current screen shots and narrative demonstrating the use of electronic approvals within your agency. Successful demonstration would include a narrative of the workflow of a requisition and copies an actual requisition at it moves through the workflow process.
- **Submit:** Current screen shots which demonstrate how an **end user** (department) can make online inquiries within the system for the status of an actual requisition *dated on or after January 1, 2015*.

i. Electronic purchase order to vendor (5 pts)

Electronic purchase order to the vendor must be generated from your agency’s procurement system (a purchase order manually attached to an email does not meet the intent of this criterion). This electronic functionality should be available to all suppliers. Purchase Order must be transmitted to the vendor electronically **by the system** via EDI (Electronic Data Interchange).

- **Submit:** A narrative explaining the current software system your agency is utilizing to distribute purchase orders electronically. Describe the EDI option used to send the purchase order to the vendor electronically.
- **Submit:** Current screen shots *demonstrating* an electronic transmittal of an actual purchase order recently issued by your agency. The documentation provided must support the functionality and demonstrate use of the system to send the purchase order to the vendor electronically. *Applicants must include a screen shot of an actual purchase order dated on or after January 1, 2015.*

j. Internet auction system to dispose of surplus materials (5 pts)

The use of an online auction service to dispose of surplus property is considered a best practice in public procurement today. Online auctions provide transparency to the buyers

and increase efficiencies in handling surplus property for the agencies. In addition, many agencies have increased revenue generated from the sale of surplus equipment.

- **Submit:** A narrative explaining your agency's current practice for using an internet auction system to list a variety of surplus items. Provide details on the third party auction company. Provide information on how the public can find the link to the items that are listed for sale by your agency from your web site.
- **Submit:** Current screen shots of your agency's auction site. In addition, if you use a third party auction service, screen shots demonstrating a direct link from your website to the auction site is required. Third party auction sites must include a site specific page for your agency or you must provide details on how the public can get to your agency's specific auction items. The site must list your agency and your auction on the page(s). The auctions conducted must be comprehensive, that is, not limited to one area (e.g., police vehicles). Documentation must be submitted to demonstrate use of multiple online auctions by your jurisdiction on or after *January 1, 2015*; that is, a listing of your jurisdiction as a participant is not in and of itself sufficient. Documentation must support that buyers can bid online and that the transaction is interactive.
- **Submit:** A report of items sold after the date as proof of multiple online auctions.

8. Procurement Card System

a. Uses a Comprehensive Procurement Card (P-Card) System and publishes an electronic P-Card manual for internal use (5 pts)

The procurement card program must be comprehensive (i.e. include policies, procedures, training, and monitoring of transactions). This program should be a supplemental tool used for efficiencies and in addition to good procurement practices. A P-card limited to travel expenses and limited internet ordering does not qualify. A P-card system that does not control maverick buying and occurs at the expense of requirements contracting also does not qualify. In other words, having a credit card available for purchases, without having policies and procedures in place would not qualify.

A P-Card manual must be electronically posted (e.g. on a shared drive, the intranet or the internet site) for internal use.

- **Submit:** Narrative providing details on how employees are able to access a P-Card manual for information relating to the P-Card program.
- **Submit:** Current screen shots of the link, web pages or shared drive information that demonstrates that you electronically post your P-Card manual for use by internal customers.
- **Submit:** The cover page and index of the P-Card manual or screen shots of the electronic contents. Please do not submit the entire manual; but only those pages that substantiate the contents and demonstrates the comprehensive nature of the program.

b. Formal Procurement Card Program Audit/Review OR a staff member with person with CPCP (Certified Purchasing Card Professional) certification from the National Association of Purchasing Card Professionals (NAPCP). (5 pts) While there are two options for earning points under this criterion, a maximum of five points will be awarded.

A successful P-card program includes a combination of best practices: dedicated resources, multi-faceted program management, training and retraining, continuous monitoring, and timely interfaces with the financial accounting system. For many agencies, Procurement is responsible for issuing cards and managing the overall program, while Finance is responsible for processing payments (receiving the receipts and monthly statements from the cardholders). Auditing this program and making improvements and corrections is a good practice. This should be done by a source outside of the card program administration (e.g. Finance or external auditors) and the review should include the whole program, from the initial card request, to training, and to viewing actual expenditures.

- **Submit:** Narrative explaining what role Procurement has in the P-Card Program, who performed the comprehensive audit and any findings.
- **Submit:** A copy of a **comprehensive management** audit of the program or a summary report reviewing the program policies and procedures from a source outside of the P-Card program (e.g., finance department, if they are not involved in the administration of the program; internal audit or outside auditor are acceptable). The audit or review should include findings and recommendations, if applicable. The audit or review must be of the P-card program and **not be limited** to individual transactions. That is, an analysis or audit limited to transactions or an organization wide audit with a limited general reference to the P-card program is **not acceptable**. The audit or review must have been completed on or after *January 1, 2012*.
- **Submit:** Narrative describing how the agency is addressing the findings in the audit report and the actions that the procurement department will take as a result of the recommendations.

OR

- **Submit:** Proof that a person on your staff has obtained the CPCP (Certified Purchasing Card Professional) certification from the National Association of Purchasing Card Professionals (NAPCP).
- **Submit:** An organizational chart showing the staff position as part of the procurement department.

9. Use of requirements contracts (annual or term also known as blanket orders) for at least 30% of total dollar commodity and services purchases (10 pts)

The purpose of this criterion is to demonstrate that your agency has leveraged spend through establishing annual requirement contracts for at least 30% of the total procurement spend. Requirements contracts improve efficiencies and provide an opportunity to save through negotiated pricing contracts. Provide the basis of your analysis, including where the spend totals came from. **The requirements contracts amount should be the actual expenditure on the contract, which may not be the same amount the term contract was issued for.** Documentation should indicate that at least 30% of total procurement spend is based on annual or requirements contracts. Cooperative purchases do qualify as term contracts.

- **Submit:** A narrative providing the basis for your analysis (explain where the total procurement spend came from – (e.g. Comprehensive Annual Financial Report (CAFR), actual expenditure report). **Please note: This actual total expenditure is not typically the sum of all purchase orders and term (blanket) orders alone.** Define how the total is

calculated (e.g. details from the CAFR, addition of one-time purchase orders, expenditures on contract, direct payment, p-card, and cooperative expenditures). The agency must provide justification of the totals provided.

- **Submit:** A list of requirements contracts including the expenditure against the contracts. *This list should not include one-time purchase orders.* The data should be from the most recently completed fiscal year (2014/15).
- **Submit:** A summary or cover page in spreadsheet or table format that shows (1) total actual procurement spend, (2) total annual requirement contract expenditures, and (3) the percentage of requirements contract purchases as it relates to the total annual procurement spend (actual expenditures).

10. Professional Certification

- a. **Current Certified Purchasing Manager (C.P.M.), Certified Professional Contracts Manager (CPCM), Certified Public Purchasing Officer (CPPO), Supply Chain Management Professional (SCMP) or Certified Professional in Supply Management (CPSM) designation earned by Chief Procurement Official (10 pts)**

CPPB and A.P.P. certifications are not acceptable for this criterion.

- **Submit:** Narrative or organization chart clearly stating the name of the Chief Procurement Official. Explain any differences in names on certifications (e.g. maiden name, married name).
- **Submit:** Name of Chief Procurement Official, title and a *legible* copy of the current certification. Instead of a copy of the certification, you may attach a copy of the issuing organization's web page that validates certifications or an official letter from the organization with the requested information.

- b. **Current Certified Purchasing Manager (C.P.M.), Certified Professional Contracts Manager (CPCM), Certified Public Purchasing Officer (CPPO), Accredited Purchasing Practitioner (A.P.P.), Certified Professional Public Buyer (CPPB), Certified Professional Purchaser (C.P.P.), Supply Chain Management Professional (SCMP) or Certified Professional in Supply Management (CPSM) designation earned by at least 65% of professional staff (10 pts)**

- **Submit:** Narrative providing details on entire staff including titles that are part of the procurement organization. Professional staff is defined as those staff involved in the traditional procurement/contracting functions (e.g., buyer, contract officer, procurement agent, specifications writer, contract administrator, etc.). *If you are considering a position as professional staff that is not typically recognized or if you are excluding one that is typically recognized, you must provide a narrative explaining why this position is / is not recognized as professional procurement staff in your organization.* Provide an organization chart with the professional staff clearly highlighted. The total number of professional staff includes the Chief Procurement Official. **The organizational chart required for 10b must be the same as submitted for 11b.**
- **Submit:** A summary or cover page in spreadsheet or table format that shows all procurement staff members, listing of total number of professional staff, and name, title, issue date, and expiration date of certified staff. Provide the total percentage of professional staff that hold one of the certifications listed above. It must be clear to receive points.

- **Submit:** **Legible** copies of current certifications. Instead of a copy of the certification, you may attach a copy of the issuing organization's web page that validates certifications or an official letter from the organization with the requested information. For larger agencies with many certified staff members, it is helpful if the certification documents are organized in the same order as summary or cover page.

11. Education

a. A Bachelor's or higher degree from an accredited university or college earned by the Chief Procurement Official (5 pts)

- **Submit:** Narrative or organization chart clearly stating the name of the Chief Procurement Official. Explain any differences in names on diplomas (e.g. maiden name, married name).
- **Submit:** Name of the Chief Procurement Official, title, university or college, degree and graduation date. Include a **legible** copy of the diploma(s) or evidence from the conferring institution that a degree was received.

b. A Bachelor's or higher degree from an accredited university or college earned by at least 65% of the professional staff (5 pts)

- **Submit:** A narrative providing details of entire staff including titles that are part of the procurement organization. Professional staff is defined as those staff involved in the traditional procurement/contracting functions (e.g., buyer, contract officer, procurement agent, specifications writer, contract administrator, etc.). If you are considering a position as professional staff that is not typically recognized *or if you are excluding one that is typically recognized*, you must provide a narrative explaining why this position is / is not recognized as professional procurement staff in your organization. Provide an organization chart with the professional staff clearly highlighted. The total number of professional staff includes the Chief Procurement Official. **The organizational chart required for 11b must be the same as submitted for 10b.**
- **Submit:** A summary or cover page in spreadsheet or table format that shows a listing of all procurement staff members, those that are professional staff, name, title of staff, the university or college, degree, and graduation date, Provide the total number and percentage of professional staff that have a bachelor's degree or higher from an accredited colleges or universities. The documentation provided must be clear to receive points.
- **Submit:** *Legible* copies of the diploma(s) for each listed individual or evidence from the conferring institution that a degree was received. Please provide the diplomas in the order they are listed in the summary page.

12. Professional staff member with a leadership position in a professional procurement association (5 pts)

Professional procurement staff member with a leadership position of officer, board member, director or committee chairperson in a national, regional, provincial, territorial or state recognized procurement association such as an *AEP sponsoring organization*; or a position of Officer or Board of Directors of a chapter of a national, state, provincial, territorial or regional procurement association such as NIGP, FAPPO, CAPPO qualifies. Committee chairpersons at the local chapter level do not meet the intent of this requirement and are not acceptable.

Regional procurement association must be multi-organizational or multi-jurisdictional and must be at least statewide. Cooperative organizations are not acceptable. The central purpose of the organization must be procurement.

- **Submit:** Narrative about the association, the name of the staff member in a leadership position, the leadership position, and the term of the position.
- **Submit:** Independent documentation (e.g., association brochure, program or website screen shot) supporting the association position. The position must have been actively served on or after *January 1, 2015*.

13. Participation at a national, state, provincial, territorial or regional conference or a seminar as a presenter or co-presenter on a public procurement topic OR author of a published article on public procurement topic (5 pts)

The intent of this criterion is to encourage continued research and presentation (either oral or written) to our peers on a procurement related topic. To receive points for this criterion it must be clearly demonstrated that the staff member prepared and presented on a specific procurement topic. Facilitating or moderating a session does not qualify.

- **Submit:** Narrative providing the name of the presenter, the national, state, or regional conference or seminar where the staff member presented, the topic and the date.
- **Submit:** A copy of conference or seminar program or other independent documentation naming the presenter and topic is required. Regional conference or seminar must be multi-organizational or multi-jurisdictional. A webinar with a potential national participation is acceptable. **A presenter at a workshop meets the intent.** If you or a staff member is the author of a published article, enclose a copy of the published article with documentation on the source, date and clearly identified author. The article must be on a public procurement topic and *educational in nature or researched based*. The presentation or article must have occurred on or after *January 1, 2014*.

14. Adoption of statute or ordinance that allows for Best Value procurements for your agency (10 pts)

“Best Value” means a technique in a competitive solicitation process which emphasizes value over price and permits the evaluation of criteria such as qualifications, experience and performance data to determine the best overall value to the Agency.

Agency must demonstrate authority to solicit through a best value procurement method for a broad range of purchases of services and commodities (not limited to professional services or technology) as it deems to be in the best interest of the agency. Best Value solicitations for construction (Construction Manager at Risk, Job Order Contracting, and Design Build) could also qualify for this criterion.

- **Submit:** A narrative explaining how your agency meets this criterion. If the governing law does not specifically state that your agency is authorized to do best value procurement, please include explanatory narrative that demonstrates how your organization is utilizing this method of procurement.
- **Submit:** The law or ordinance establishing best value procurement authority. Section of the law specific to best value procurement authority **must be highlighted** to receive points

and the source of the statute or ordinance must be evident (e.g. resolution adopted by governing board, section of code identified). Do not submit entire ordinance/law.

- **Submit:** Copy of a solicitation cover page and associated evaluation criteria page that demonstrates the use of best value evaluation. **Highlight relevant sections**, but do not submit complete specifications. Solicitation must have been published on or after *January 1, 2015*.

15. Environmental Procurement

The objective of this criterion is to show that you have put an environmental procurement policy in place (a) and then you do a report that shows how well you are doing (b).

a. Formal environmental procurement policy including reuse, reduce and recycle provisions (5 pts)

- **Submit:** A narrative explaining when the procurement policy was instituted and where the policy can be found.
- **Submit:** A copy of the environmental procurement policy. Public works projects (e.g. air, water, etc.) and hazardous material policy (e.g. hazardous spills, ground pollution policies, etc.) **do not qualify**. Requirement is for “procurement” policies (e.g. buying recycled). Highlight sections that are relevant to procurement policies.

b. Publication of performance report on environmental procurement (5 pts)

The report should include information about the environmental procurement activities and needs to be associated with the policy (e.g. utilization of % of recycled paper set by the policy and then show the measured results).

- **Submit:** A narrative providing information on where this performance can be found and how it is distributed.
- **Submit:** A copy of a published environmental performance report *highlighted specific to procurement*. This report should include information about multiple environmental procurement activities. The results of the program must have been published on or after *January 1, 2013*.

16. Lead Agency in a Cooperative Procurement Contract (5 pts)

Cooperative Procurement must qualify as an aggregate contract whereby two or more agencies aggregate their requirements to take advantage of volume purchases. This aggregate total should be defined in the solicitation. Participation as a user of a cooperative contract **does not qualify**. The solicitation must be originally issued as a cooperative; that is, the solicitation must state that it is the intent to create a cooperative contract by aggregating quantities and that the resulting contract may be used by other identified jurisdictions.

- **Submit:** A narrative explaining how the solicitation meets the requirements of this criterion of aggregate purchases and the additional agencies that were included in the initial solicitation.
- **Submit:** A copy of the solicitation that establishes your agency was the lead agency. In addition, the documentation must identify the participating agencies, aggregate quantities or estimated value of the resulting contract. If the solicitation is an RFP, provide the specific requirements for each participating agency. Highlight the key requirements, but do not submit the complete solicitation.

- **Submit:** A copy of the contract award notice. Contract award must be on or after *January 1, 2014*.
- **Submit:** Documentation supporting that participating jurisdictions actually used the contract for prior year purchases, such as the resulting purchase order.

17. Authority of the Chief Procurement Official to Solicit and Award Contracts (5 pts)

The purpose of this criterion is to demonstrate that an elected body cannot overturn the professional judgment of the Chief Procurement Official.

The agency has enacted a procurement code, directive or policy to allow the chief procurement official to solicit and award all competitively bid contracts for goods and non-professional (non A/E) services **without limits** for items that have been approved in the adopted budget, without agency governing body (e.g. Mayor and Council, Board of Supervisors, School Board, etc.) approval for specific contract award (source selection). This criterion covers those procurements that have competitive specifications, multiple sources and formal bidding processes. If it is not clearly demonstrated in your submittal that your Chief Procurement Official has unlimited authority to award contracts, you will not receive points for this criterion.

- **Submit:** A narrative explaining how your agency meets this requirement as stated above.
- **Submit:** A copy of statute, ordinance or adopted policy establishing authority of Chief Procurement Official to award contracts without a dollar threshold for goods and non-professional services and explanation of how your agency meets this requirement.

18. Continued Pursuit of Excellence

Demonstrate a performance improvement over and above any criterion listed in this application. What new program / procedure / innovation / process improvement did you enact? Did it solve a problem? How did it improve the performance or efficiency of your agency? Did it save you money or find ways to utilize new resources? (5 pts)

- **Submit:** Narrative explaining the project, action plan or innovation (must be procurement related). Project must have been completed on or after January 1, 2015.
- **Submit:** Provide the performance result of the project, action plan or innovation and demonstrate how this improved the performance of your agency.

SELF SCORING WORKSHEET

Organization Name

Part III – Criteria	POINTS	SELF-SCORE
1. Procurement Ethics Standards	5	
2. Electronic Procurement Manual	5	
3. Professional Development Program	5	
4a. Internal Department Customer Service Survey	5	
4b. External Vendor Customer Service Survey	5	
4c. Internal Customer Department Training	5	
4d. Formal Vendor Training	5	
4e. Performance Measures	5	
5. Centralized Procurement Authority	10	
6. Organizational Structure	5	
7a. Internet Home Page	5	
7b. Online Electronic Vendor Registration	5	
7c. Posting & Downloading of Solicitations	5	
7d. E-mail Notification of Solicitations	5	
7e. Acceptance of RFQ via Internet	5	
7f. Acceptance of Formal Bids via Internet	5	
7g. Posting of Tabulation & Award Online	5	
7h. Internal Procurement Automation	5	
7i. Electronic Purchase Orders to Vendor	5	
7j. Internet Surplus Auction System	5	
8a. P-Card System / Electronic P-Card Manual	5	
8b. Comprehensive P-Card Program Audit or Certification	5	
9. Use of Term/Requirements Contracts	10	
10a. Certification/Chief Procurement Official	10	
10b. Certification/Professional Staff	10	
11a. Education/Chief Procurement Official	5	
11b. Education/Professional Staff	5	
12. Association Leadership Position	5	
13. Presenter/Panel Member/Author	5	
14. Adoption of Best Value Procurement Method	10	
15a. Environmental Procurement Policy	5	
15b. Environmental Performance Report	5	
16. Lead Agency/Cooperative Procurement	5	
17. Contract Award Authority	5	
18. Continued Pursuit of Excellence	5	
TOTAL POINTS ACHIEVED	200	