Data Management System Acquisition

A Project Management Approach

NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

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Introduction

- Jonathan Ballew has served the Weatherization industry in a variety of roles, including Grantee Monitor, Subgrantee WAP/LIHEAP Director, and an independent consultant. Jonathan is committed to eliminating barriers and supporting all stakeholders in the WAP network to ensure the success of this crucial work that we do. When Jonathan is not sleuthing into the facets of Weatherization policy, you can find him chasing his three young boys, wife, and enormous dog through the mountains around Helena, MT.

- Save the Date: NASCSP 2021 Annual Training Conference September 20 – 24, 2021

About NASCSP

NASCSP members are state administrators of the **U.S. Department of Health and Human Services (HHS)** Community Services Block Grant (CSBG) and **the U.S. Department of Energy's** Weatherization Assistance Program (DOE/WAP).

NASCSP provides research, analysis, training and technical assistance to **State CSBG and WAP grantees**, Community Action Agencies, and State Associations in order to increase their capacity to prevent and reduce poverty and build economic and energy security.

Overview

- What are the necessary elements of an RFP for a Data Management System?
  - Who should be involved?
  - How long will it take?
  - Why would we do this?
- Learning Aids/Resources
  - Smartsheet project outline
  - Project Charter
  - Sample documents

Project Purpose or Justification:

As the need for quality data reported in a timely manner increases, Weatherization Implementers at all levels must be able to provide this data to their federal funders, elected officials, and program participants. Further, there are program metrics that are necessary to run a solid program. This training is meant to illustrate the scope of acquiring a data management system from a Project Management perspective. Participants in this training can expect to learn how to:

- Develop a Group/Project Charter
- Develop a timeline (Gantt chart)
- Identify key Stakeholders.
- Build the requirements of the system with Stakeholder input

Learning Objectives

- Project Management fundamentals
  - Scoping the project
  - Assessing and including relevant stakeholders
  - Team development and expectations
  - Creating and implementing a timeline
- Budgets, Workplans, and Timelines
- System requirements building
- Necessary elements for RFP
- Potential pitfalls
- Project Closeout

Project Background

- Why a Project Management Approach?
- Setting the Scope and Timeline
- Benefits of the Project Management Approach

5 Phases to the Process

I. Initiation
II. Planning and Design
III. Implementation
IV. Testing and Training
V. Close-out, Monitoring, and Upkeep

Poll

What is your Program using for a data management software?

Initiation Phase (1/5)

- Develop Project Charter
  - What is the scope of the system – intake, eligibility, referrals, fiscal, energy modeling, reporting, legacy data, inventory?
- Secure Approval for Project
  - Admin, IT, budget
- Identify Core Stakeholders
- Develop Project Timeline (Gantt Chart)
- Kick-off Meeting

Identify Core Stakeholders (1/5)

- Cast a very wide net
- Think beyond your normal realm
  - IT, administration, WAP technical/programmatic/fiscal staff, Procurement officer, outside consultants, program manager, training providers/contractors, Subgrantees, State Association, Policy Advisory Committee, other program implementers
- Stakeholder Group, Working Group, Sub-groups
- In-house development or off-the-shelf product

Project Charter (1/5)

- High level organizational document
- Project purpose and scope
- Project Milestones and deliverables
- Preliminary budget
- Preliminary system requirements
- Data storage

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PROJECT CHARTER

Project Title: Data Management System Procurement

Project Sponsor: NASCSP **Date Prepared:** April 13, 2020

Project Managers: Jonathan Ballew

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Project Description:

Phase I: Initiation. The culmination of the initiation phase will be the Kick-off meeting. This phase of the project is crucial to identifying the necessary stakeholders and establish the framework and communication expectations.

- Identify all project Stakeholders
- Define the goal of the project (project charter)
- Secure approval and budget authority
- Determine presentation format of final deliverable. How will this be most useful to the network?
- Develop value proposition and the 'Why' statement

Phase II: Planning and Design. The working group must now build the scope of what the Data Management System will do and its interaction between programs. If the Stakeholder group needs to be expanded, it must be done immediately. Ensure Phase 1 planning and deliverables have been executed prior to beginning Phase 2 objectives. The culmination of this phase is the development of the RFP. All aspects of the System must be clearly mapped out (if it is not in the RFP, it won't be in the final product).

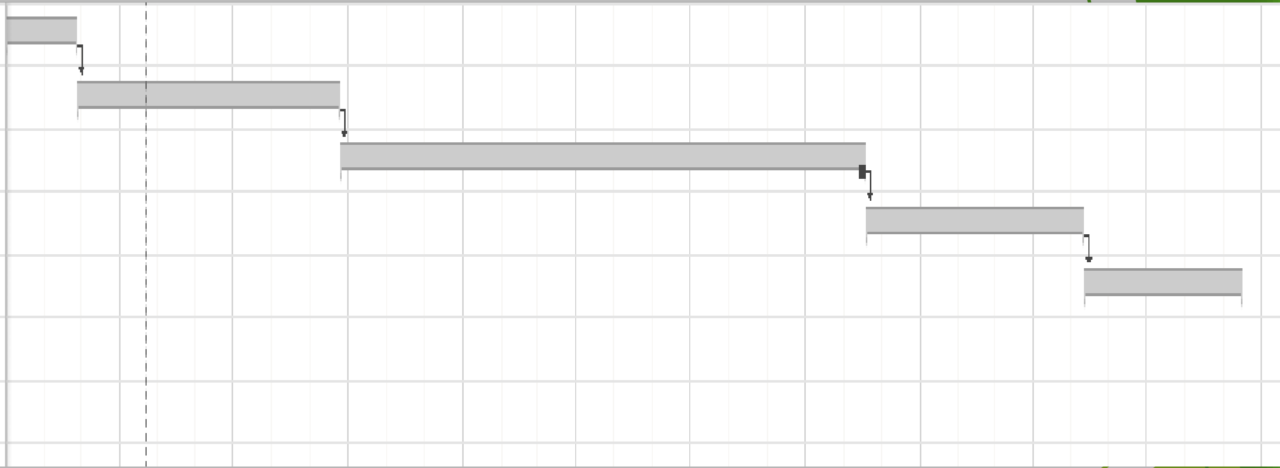
- Confirm what can be accomplished with existing staff and resources and/or if an outside consulting firm may be required. A dedicated Project Manager is recommended
- Verify all necessary Stakeholders are present
- System requirements build-out
- Preparation of preliminary project budget and RFP as required
- Develop project schedule
- Scope budget requirements
- Draft, review and finalize system RFP

SMARTSHEET (1/5)

	Task Name	Duration	Start	Finish	Predecessors	Assigned To	% Complete	Status	Comments
1									
2	**Initiation**	40d	01/01/21	02/25/21					
3	Identify the goal of the WAP DMS - project charter	10d	01/01/21	01/14/21					
4	Secure approval for project	30d	01/15/21	02/25/21	3				
5	Identify core stakeholders	30d	01/15/21	02/25/21	3				
6	Kick-off Meeting	10d	01/15/21	01/28/21	3				
7	**Planning and Design**	150d	02/26/21	09/23/21	2				
8	Develop Communication Plan and Stakeholder Engagement Strategy	5d	02/26/21	03/04/21					
9	Confirm all stakeholders are represented	15d	02/26/21	03/18/21					
19	Requirements Building	90d	03/19/21	07/22/21	9				
46	Scope Budget Requirements	60d	02/26/21	05/20/21					
47	DRAFT DMS RFP	45d	07/23/21	09/23/21	19				
48	Draft qualification questions for potential bidders	11d	02/26/21	03/12/21					
49	Review RFP with Stakeholders	15d	02/26/21	03/18/21					
50	Deliver Final DMS RFP	20d	02/26/21	03/25/21					
51	**Implementation**	300d	09/24/21	11/17/22	7				
52	Solicit RFP in accordance with 2 CFR 200	5d	09/24/21	09/30/21	7				
53	Respondent Q&A timeframe	15d	10/01/21	10/21/21	52				
54	Draft DMS Contract for Services	1d	10/01/21	10/01/21	52				
55	DMS RFP Respondants Received	30d	10/22/21	12/02/21	53				
56	Review and Score RFP Respondants	20d	12/03/21	12/30/21	55				
57	References and Demo Checks	15d	12/31/21	01/20/22	56				
58	Select DMS Vendor	5d	01/21/22	01/27/22	57				
59	Execute DMS Contract for Services	60d	01/28/22	04/21/22	58				
60	Execute and Configure DMS	90d	04/22/22	08/25/22	59				
61	Data Migration (if there was a legacy system)	90d	04/22/22	08/25/22	59				
62	Phased Rollout - alpha test	30d	08/26/22	10/06/22	61				
63	Go-Live Assessment / State approvals / Stakeholder approvals	30d	10/07/22	11/17/22	62				
64	**Testing and Training**	125d	11/18/22	05/11/23	51				
65	Phased Rollout - completed	90d	11/18/22	03/23/23	63				
66	Training Completed	120d	11/18/22	05/04/23	63				
67	Confirm project delivered to contract scope	5d	05/05/23	05/11/23	66				
68	**Close-Out and Monitoring**	90d	05/12/23	09/14/23					
69	Finalize project financials	30d	05/12/23	06/22/23	64				
70	Document Lessons Learned with Stakeholders	15d	06/23/23	07/13/23	69				
71	Monitor Trouble Tickets and Customer Service Requests	90d	05/12/23	09/14/23	64				
72									

Gantt Chart example (1/5)

2	Initiation	40d	01/01/21	02/25/21
7	Planning and Design	150d	02/26/21	09/23/21
51	Implementation	300d	09/24/21	11/17/22
64	Testing and Training	125d	11/18/22	05/11/23
68	Close-Out and Monitoring	90d	05/12/23	09/14/23
72				
73				



Kick-off Meeting (1/5)

- Ensure you have all the right people
- Set expectations
- Project milestones
- Project budget
- Approve/present project charter
- What/who was missed?

Poll

Does your current data management system have energy modeling embedded?

Planning and Design Phase (2/5)

- Confirm All Stakeholders
  - Develop subgroups as needed
- Requirements building
  - What will the system do?
  - Proposed Timeline
  - Budget requirements
  - “Wouldn’t it be great if…”
- Draft, Review, and Approve DMS RFP

ATTACHMENT 3
EXPEDITED ENERGY AUDITS FOR WAP

	Single Family (1-4 units)	**Manufactured Housing**	**Small Multifamily (5-24 units, each unit separately heated/cooled)**	**Large Multifamily (25+ units or central mechanical systems)**
	Developer: Association for Energy Affordability, New York, NY			
EA-QUIP	YES	NO	YES	YES
	Developer: JAI Software, Farmingdale, ME			
ECOS	YES	YES	NO	NO
	Developer: Lawrence Berkeley National Laboratory, Berkeley, CA			
eQUEST	NO	NO	YES	YES
	Developer: OptiMiser LLC, Denver, CO			
OptiMiser	YES	YES	NO	NO
	Developer: NORESCO, LLC, Boulder, CO			
REM	YES	YES	YES	YES
	Developer: Performance Systems Development (PSD), Ithaca, NY			
TREAT	YES	YES	YES	YES
	Developer: Oak Ridge National Laboratory (ORNL), Oak Ridge, TN			
Weatherization Assistant (NEAT, MHEA and MulTEA)	NEAT approved	MHEA approved	NEAT and MulTEA approved only for buildings with individually heated and cooled dwelling units	MulTEA approved only for buildings with individually heated and cooled dwelling units

“YES” means that the audit tool has been previously approved for this housing stock
“NO” means that the audit tool has not been previously approved for this housing type or that it is not designed for this housing type

Communication Plan (2/5)

- **Who's leading this outfit?**
- Formalization of the preliminary plan
- This serves as the structure that will be followed
- Stakeholder buy-in is essential
- Clearly defined expectations are critical
- Make an organization chart
  - Define project leader
  - Subgroups and chairs

System Requirements (2/5)

- Must have:
  - Federal and State reporting
    - REQUIRED METRICS – ACPU, H&S%, BUDGETS, ETC.
  - Legacy Data Migration
  - IT/Data Security/Architecture requirements
  - Accessibility Requirements
    - ADA, Web Content Accessibility Guideline (WCAG)
  - Interoperability with other programs
  - 2 CFR 200/State Fiscal Guidelines

System Requirements (2/5)

- **<u>Might have:</u>**
  - Workflow mapping
  - Training requirements, tracking
  - Energy Modeling requirements
  - Client Intake, Demographics
  - Eligibility determinations
  - Unit eligibility and tracking
  - Monitoring and Inspections requirements
  - Fiscal Management Requirements
  - Inventory management
  - Contractor tracking and maintenance
  - HPXML compliance
- Multiple funding stream functionality
- Ability to build rules (financial)
- Deferral Tracking and Reporting
- Metrics: energy, greenhouse gas, IAQ improvement, cost/sq. ft., energy burden reduction
- SHPO, NEPA, EPA requirements
- Document repository
- Reference documents
- Communication functionality/automated mailing
- Work scope development
- Demographic reporting
- Energy Use Analysis
- Utility Data Plug-in

System Requirements (2/5)

THINK ABOUT WX WORKFLOW!

- Application and intake
- Priority scoring, eligibility, unit eligibility
  - Deferrals
- Scheduling/auditing
- Purchase orders
  - Material and inventory management
- Project management
- Final inspections and documentation
- Invoicing and budget management
- Reporting
- Monitoring

(2/5) Sample System Requirements

An adequately detailed scope of work includes information on these aspects of aDMS, all of which are detailed later in the toolkit:

- System Security and Access Restrictions
- compatibility for information share with current system
- Experience and certifications of bidder
- defined goals of the system (intake, energy audit, referrals, fiscal, reports) Keep statewide goals in mind i.e., what does state legislature ask for?
- define eligibility for program(s)
- define the need and establish timelines for modifications to the program based on regulatory changes and system bugs.
- Define the maintenance tables that can be edited by Grantee staff.
- Track demographic data.
- list required metrics: %FPL, %AMI, Living Wage data, Energy Burden.
- Have address verification software.
- Ability to store and track historical data.
- Document Historic Preservation information
- System must be able to support multi- family and single-family buildings.
- Include project milestones and work tracking features (see WA RFP)
- Ability to track user inputs.
- Ability to track the QA process and enable system to generate QCI form from audit data.
- Allow users to upload forms in various formats, i.e., excel, jpeg, pdf, etc.
- Define user interface and communication capability.
- Include a depository for documents and program guidance.
- Reporting functions must allow for formatted (canned) and raw data extracts in a variety of export formats to include excel, pdf, csv, depending on the report. Raw data custom query creation capability
- Ability to migrate legacy data into the new system.
- Define the amount of training the provider will provide to Grantee/Subgrantee.
- Comply with Web accessibility guidelines for the disabled.
- Energy modelling must support HPXML.

System Considerations (2/5)

- **<u>Deferrals</u>**
- Are they being tracked?
- Tracking deferrals provides valuable information
- DOE Deferral Tracking Template
- Deferral Classification and Tracking video

2	ISSUES OR ACTIONS NEEDED	Total Occurrences		Listed as Issue 1	Listed as Issue 2	Listed as Issue 3
3	Non-funding-related Issues	0				
4	Building for sale or foreclosure	0		0	0	0
5	Remodeling work in process that prohibits weatherization	0		0	0	0
6	Health may be negatively affected by installation	0		0	0	0
7	Refused installation of weatherization measure	0		0	0	0
8	Illegal activity concerns	0		0	0	0
9	Threatening or uncooperative behavior	0		0	0	0
10	Refusal of ASHRAE 62.2 2016 ventilation requirements	0		0	0	0
11	Refusal to remove unsafe combustion appliances	0		0	0	0
12	Potentially Treatable Issues, with Funding	0				
13	Roof repair needed	0		0	0	0
14	Wall repair needed e.g. interior or exterior	0		0	0	0
15	Ceiling Repair needed	0		0	0	0
16	Floor repair needed	0		0	0	0
17	Foundation or subspace repair needed	0		0	0	0
18	Exterior drainage repairs needed e.g. landscaping or gutters	0		0	0	0
19	Plumbing repair needed	0		0	0	0
20	Electrical repair needed	0		0	0	0
21	Cleanup or remediation required beyond scope of WAP	0		0	0	0
22	Other	0		0	0	0
23						
24	Total Homes	0				
25	Total Deferral Issues	0				
26	Average Number of Issues Per Home	#DIV/0!				
27	UNDERLYING PROBLEMS THAT COULD BE REMEDIED WITH REPAIRS					
28	Mold/moisture	0				
29	Sewage	0				
30	Pest infestation	0				
31	Prohibits effective weatherization	0				
32	Prohibits effective weatherization (e.g., walls cannot support insulation with	0				
33	Prohibits effective weatherization (e.g., cannot insulate walls due to knob & t	0				
34	Structurally unsound	0				
35	Safety hazard (electrical)	0				
36	Suspected Asbestos Containing Materials (indicate attic, walls, etc.)	0				
37	Lead paint	0				
38	Clutter restricting access to necessary areas	0				
39	Other (please specify)	0				
40						

System Considerations (2/5)

- T&TA Tracking
  - Can the DMS capture the data needed for the T&TA report?
    - Incorporate DOE template?

a. Training and Technical Data Tracking:

i. *Tracking Forms for Training and Technical Assistance (T&TA)*: The web-based system must track all data for T&TA including: names, dates (hired and training received), types of training offered, and generate a T&TA request form for contractors, contractor staff and local Subgrantee staff. This will include a detailed expenditure report (with receipts) for per diem, hotel, vehicle, and miscellaneous expenses that must be submitted and entered in the system for re-imbursement purposes.

ii. *Training for State and Local Subgrantee Personnel:* The web-based database must be able to compile a listing of all training provided including; number of hours of training attended by individual; total number of training hours offered; the names of all new hires and the date they were hired; the date new hires were trained; type of training received (a drop down menu should be available to distinguish the types); training required; date to be trained for new employees; and date of next continuing education requirement.

iii. *Training for Contractors:* The web-based database must be able to compile a listing of all contractors and the names of all workers/staff hired to work on weatherization jobs, type of work for that employee, date hired, date trained, type of training received (a drop down menu should be available to distinguish the types) ; date

System Considerations (2/5)

- Referrals, Intake, Eligibility
  - How can the system assist and interact with other programs and software systems?
  - Functionality needed to add programs/processes in the future?
- Performance Tracking
  - Can we ascertain which contractors are having go-backs for certain measures?
  - Are the contractors not performing certain measures?
  - Which Agencies keep jobs open the longest?
- Look at the State Planning Process
  - Can we automate parts of the process?

System Considerations (2/5)

- Energy Modeling
  - Embedded, separate, or able to communicate
- Utility Data Plug-in
  - Energy use analysis
- HPXML compliance
  - Open data standard to assist in data transfer
- Assess Policy implications for a new modeling platform!

System Considerations (2/5)

- Financial
  - Contract and Budget Management for Multiple Funding Streams
  - Invoicing
  - rule building
- Inventory
  - Ordering, receiving
- Document repository
- Clearinghouse for program guidance
- Mailing, surveys, announcements

Poll

Rate your current Data Management System from 1 to 5.

(2/5)
Performance Metrics

Think of the data requests that do and might come in!

- Demographic information (think equity)
- Materials/measures installed
- Building types served
- Deferrals
- Non-compliance (missed, skipped measures)
- Performance metrics (energy saved, GHG reductions, Home Heating Index, price per sq. ft., energy burden reduction)

Example Reports (WI) (2/5)

WHEAP | WISWAP | FURNACE

WISWAP Reports

Fiscal

- Average Invoice Cost Per Unit
- Expenditure Detail by Grantee
- Expenditure Summary by Fund
- Interest Income Allocation

Building and Units

- Building and Unit Counts
- DOE Quarterly Report
- Monthly Production Vs Contract Plan
- Reasons Deferred Report
- Weatherization Unit Duration Report
- Weatherization Unit Status Report
- WXDemographics Report

Job Costing

- Average Cost Per Measure
- DOE Average Cost Per Unit
- Funds Remaining
- Grantee Measure Defaults
- Measure Cost Details Report
- Measure Exception Report
- Unit Counts by Fund
- Unit Measure Frequency And Average Cost

Example Reports (WI) (2/5)

DOE Average Cost Per Unit

Selection Criteria: | Contract Year: 2021 | LineItem: Operations, Program Support | Report Month From: 1 | Report Month To: 7

Grantee Name StateWide
Total Budget $ 7,494,222.00
Total DOE Units 1118

Month	Actual Expenditures	Actual Units Production	YTD Total Actual Units
Jul - 2020	$ 33,832.71	6	6
Aug - 2020	$ 47,912.48	10	16
Sep - 2020	$ 241,064.96	39	55
Oct - 2020	$ 701,380.64	110	165
Nov - 2020	$ 448,475.45	64	229
Dec - 2020	$ 622,515.89	83	312
Jan - 2021	$ 399,354.90	62	374
Feb - 2021	$ 0.00	0	0
Mar - 2021	$ 0.00	0	0
Apr - 2021	$ 0.00	0	0
May - 2021	$ 0.00	0	0
Jun - 2021	$ 0.00	0	0

Total Actual Expenditures $ 2,494,537.03
DOE Average Cost Per Unit $ 6,669.89
% of Annual Budget 33.29%
YTD Total Units 374
% of Annual Units Goal 33.45%

Reasons Deferred Report

Grantee Name : State of Wisconsin — **Report Run Date:** 2/15/2021
BuildingStatus : Deferred
Deferral Date From: 2/16/2020 **to** 2/15/2021
Housing Type: Single family house

Statewide Totals

Reason Deferred	#Units Deferred	% of Total Units Deferred
Building is For Sale or in Foreclosure	28	1.02%
Chemical or Combustion Hazard	8	0.29%
Clutter/Restricted Access to Work Area	270	9.85%
Covid-19	15	0.55%
Lead Paint Hazard	1	0.04%
Moisture/Mold	143	5.22%
No Treatment	366	13.36%
Other	341	12.45%
Possible Asbestos Containing Material	43	1.57%
Refused/Unable to Pay Contribution	35	1.28%
Remodeling	75	2.74%
Repair	390	14.23%
Service Declined by Customer/Owner	265	9.67%
Sewage/Animal Feces	37	1.35%
SIR<1	638	23.28%
Vermin/Pests	85	3.10%
Total # of Units with Deferral Reason	2,215	
Total # of Deferred Units with Multiple Reasons Deferred	376	
Total # of Deferred Units Corrected - Weatherized	33	

Sample Language (2/5)

1. **GENERAL REQUIREMENTS**

a. The web-based database must be currently in-use and actively being used by other U.S. state WAP agencies. To verify its effectiveness, two (2) contact names, addresses, and phone numbers of current WAP users must be supplied with response.

System Requirements (2/5): Considerations

State Approval for Exceeding Allowable Limits per Unit:

Within each funding source, there are generally limits to the amount that can be spent per unit. If a value is input that exceeds this amount, a message will be sent to the State requesting approval to exceed the allowable limit.

The State approval or denial of the request will be captured within the system and notification will be sent to the Subgrantee.

Reporting Requirements (2/5): Considerations

5. DOE – Monitoring, Training and Technical Assistance and Leveraging Report
    a. Monitoring Activities section of the report – include the following data:
        i. Grantee/Agency
        ii. Dates Visited
        iii. Number of DOE units from 7/1/XX to 6/30/XX
        iv. Number of Full Monitoring
        v. Number of Inspection Only
        vi. Number of Findings/Discrepancies/Corrections and what they were
6. The reporting functions must allow for formatted (canned) and raw data extracts in a variety of export formats to include excel, pdf, csv depending on the report.
7. Create reports based on energy modeling software that can demonstrate cost effectiveness of proposed measures based on savings investment ratios.
8. Create aging reports showing progression of project milestones.
9. Allow for ad-hoc reporting for all fields.
10. Ability to track funding source(s), demographics, project measures, contractor, measure and funding amount and funding used for each project.

- Make sure you include a requirement that provides for **automated** Federal and any specific state reporting in the WAP
- This should be as easy as a click of a button and a date range
- LIHEAP; DOE; Utility: Other Funding
- DOE's reporting requirements can be found in Fed Connect with your award.

Budget (2/5)

- Define the Stakeholders that will contribute
  - Create a subgroup of budget analysts, if needed
    - Grant schedules
    - Brief description of program allowability
    - Spending authority
- Balance program needs/wants with budget
- True up the budget with the timeline
- Grant applications?

CSBG 20	$19,000	CSBG 21	$22,000
DOE 20	$22,000	DOE 21	$18,000
Head Start 20	$6,000	Head Start 21	$6,000
LIHEAP 20	$9,000	LIHEAP 21	$9,000
Total 2020 funds	**$56,000**	**Total 2021**	**$55,000**
CSBG spend by 6/31/XX	DOE spend by 6/31/XX	Head Start spend by 12/31/XX	LIHEAP spend by 9/30/XX

Timelines (2/5)

- How will this process interact with current timelines?
  - 5-year audit approval from DOE (submit 6 months prior)
  - 5-year field guide approval
  - Grant/contract periods
  - Aligning approved budgets and workplans

SECTION 1: ENERGY AUDIT APPROVAL PROCESS
Energy audit processes are approved by DOE every 5 years. Grantees are required to submit the energy audit information to their DOE Project Officer (PO) at least six months before their previous approval expires to allow sufficient time for review and approval. **All Grantees must have site-built and manufactured housing procedures and protocols in place** (except for the limited instances where manufactured housing is rare or prohibited, as is the case with some territories).

For audit procedure reviews, DOE reviews not only how the energy audit tool is used to estimate energy use and potential weatherization savings, but also how a Grantee implements its energy audit procedures. Therefore, Grantees requesting approval of any energy audit tool must provide a list of measures typically enabled and provide the input data, assumptions, and audit results (recommended measures) for at least ten dwelling units of each housing type, e.g., 10 site-built audits, 10 manufactured home audits. If a Grantee requests multifamily approval and wishes to submit fewer than 10 multifamily audits, then the Grantee should contact the DOE PO of record to discuss this requirement. Audit results must come from previously completed Subgrantee audits that are typical of homes weatherized by the Grantee's program and represent climate zones throughout the service territory. All information on field procedures and administrative requirements described in Attachment 1 must be provided with requests audit procedure reviews.

Program Updates (2/5)

- Will the acquisition of a new DMS impact policy decisions?
  - Include renewable energy systems?
  - Include fuel switching?
  - Remove SIR requirement for air-sealing?
  - Blending funds, differing ACPU, SIR requirements
  - Update to Fiscal or Procurement Policies
    - CAPLAW sample procurement policy

2 CFR 200: Procurement

- §200.317 Procurements by States
- §200.318 General Procurement Standards
- §200.319 Competition
- §200.320 Methods of Procurement to be followed
- §200.321 Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms
- §200.322 Domestic preferences for procurements
- §200.323 Procurement of recovered materials

State Procurement (2/5)

- What are your State procurement guidelines?
  - What are the communication guidelines once the RFP has been released?

Communications with State

From the issue date of this RFP until a Vendor is selected and the selection is announced, responding Vendors or their representatives may not communicate, either orally or in writing regarding this RFP with any statewide elected official, state officer or employee, member of the legislature or legislative employee except as noted herein. To ensure equal treatment for each responding Vendor, all questions regarding this RFP must be submitted in writing to the State's contact person for the selection process, and not later than the last date for accepting responding Vendor questions provided in this RFP. All such questions will be answered officially by the State in writing. All such questions and answers will become addenda to this RFP, and they will be posted to the ITS web site. Vendors failing to comply with this requirement will be subject to disqualification.

9.3 Number each page of the proposal.

9.1 The Vendor is required to submit one clearly marked original response and **8** identical copy/copies of the complete proposal, including all sections and exhibits, in three-ring binders.

State Procurement (2/5)

- What are your State procurement guidelines?
  - Must you select the least expensive option?
  - “The bitterness of poor quality remains long after the sweetness of low price has been forgotten”

§200.318 General procurement standards.

(a) The non-Federal entity must have and use documented procurement procedures, consistent with State, local, and tribal laws and regulations and the standards of this section, for the acquisition of property or services required under a Federal award or subaward. The non-Federal entity's documented procurement procedures must conform to the procurement standards identified in §§200.317 through 200.327.

(d) The non-Federal entity's procedures must avoid acquisition of unnecessary or duplicative items. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis will be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach.

Sample Bidder Qualifications (2/5)

X. CONTRACTOR QUALIFICATIONS

Minimal Bidder(s) qualifications required for implementation of contract activities include:

1. The Bidder(s) shall have detailed knowledge of, and experience in, issues related to information technology, database development, and related software, hardware and peripherals.

2. The Bidder(s) shall be familiar with and have experience designing and operating software specific to the DOE Weatherization Assistance Program and/or State WAP grantees.

Sample Technical Considerations (2/5)

1.2.2 Technical Considerations

Please provide answers to the following in your response (as a part of the **TECHNICAL PROPOSAL SUBMITTAL – SECTION 3.2 in this RFP**):

1. How do you manage enhancements to your base system to ensure that custom coding for client requirements remains functional and the client is able to accept the enhancement with minimal change required?
2. Define how you will handle change requests and the change control process.
3. How often are regular releases scheduled and made to the code base? What about security-related releases?
4. Is your solution a Software as a Service solution (SaaS)?
5. Is your solution web-based or web-enabled?
6. Is your solution responsive in design? Adaptable to various devices including mobile devices?
7. Describe the data migration approach from the legacy system.
8. Does the system allow for single sign-on for internal COM users?
9. Describe the technologies/platforms used to build your solution.
10. Can screen design be performed by a business user?
11. Can your product be configured with minimal technical expertise for changing business rules?
12. Is your product scalable to meet new business programs?
13. Describe the recommended technical architecture of your solution, including recommended hardware platform, operating systems, communications, and external interfaces.
14. Which database management systems can your solution be hosted on? Which are preferred?
15. Does your product use/require SQL Server authentication, Windows authentication or both?
16. Is database access done via stored procedures, direct SQL commands (e.g., dynamic sql), through ADO, OLEDB and/or ODBC API's (e.g., using sp_prepexec & sp_execute), or combination of the above?
17. What kind(s) of database-level customization does your product allow?
18. How do you prefer or allow your customers to address database performance problems?
19. Define expectations for turnaround time for Commerce staff when reviewing documents or submissions.
20. Define the level of input and roles and responsibilities for Commerce staff.
21. Define where the vendor staff will be located and expectations from Commerce to support this staff from a technical perspective.
22. Define the measures that you have in place to protect Commerce's data and prevent its unauthorized usage.
23. We would like to have a phased approach to implementation. As part of the Technical Proposal, in the Project Schedule section, please identify the schedule to implement Weatherization (both single family and multi-family) on or before July 1, 2021; Weatherization Plus Health on or before October 1, 2021, and Rehabilitation Loan Program on or before December 1, 2021.
24. The total number of customers using your product, and the type of business they support. A listing of government agencies for which your company has successfully implemented a business solution. For each, please include an agency name, contact name, phone number, and email address.

RFP Development (2/5)

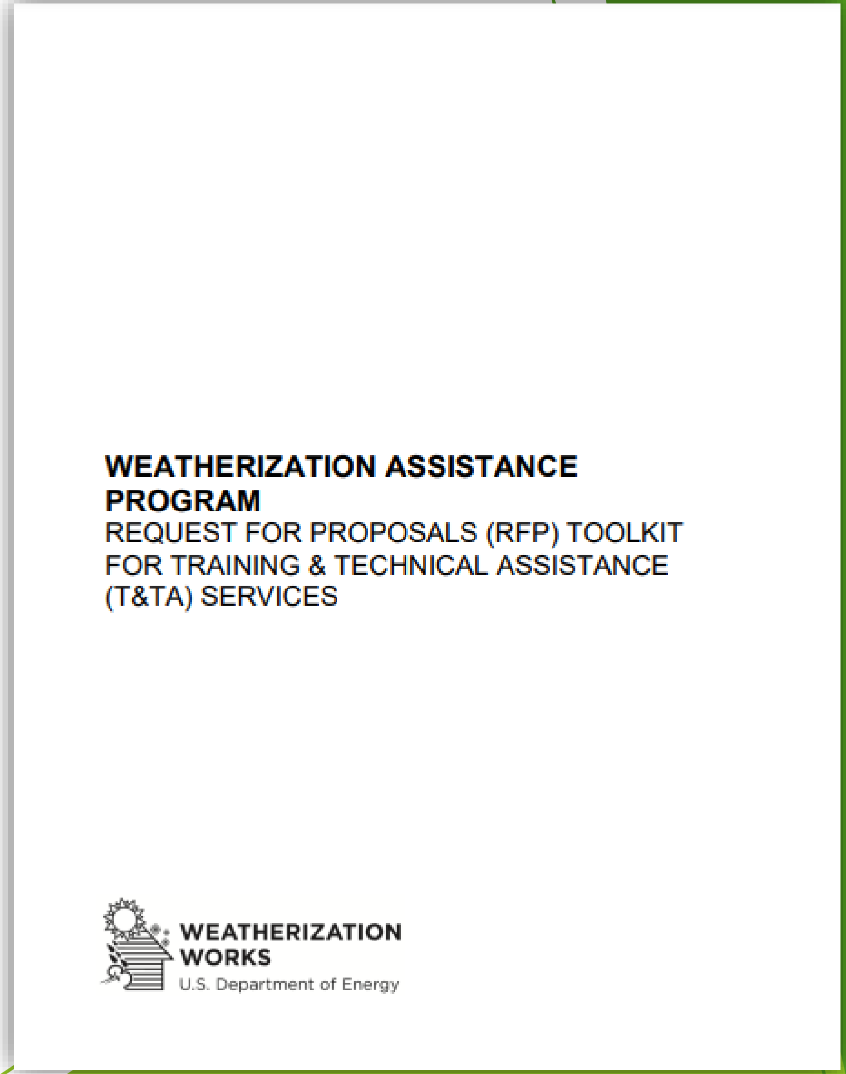
- Everything you want in the System must be clearly communicated
- Bidder qualifications, references
- RFP examples on Member Portal
- How will the RFP be publicized?
  - What are the limitations?

  - Ability to assign projects within and outside agency's
  - Ability to assign jobs to another agency at the unit le
  - Ability for users to be assigned multiple projects.
- Manage warehouse inventory:
  - Ability to calculate and track all costs of purchased r
  - Maintain inventory by item.
  - Manage DOE equipment and vehicles.
- Upload any DOE approved auditing software, i.e., NEAT/MI Tool/Manufactured Home Energy Audit for weatherization.
- Provide reports on a monthly, quarterly, annually, and/or as
  - Ability to provide and generate dynamic, real-time re
  - Ability to schedule reports.
  - Unit completion according to DOE guidelines.
  - Provide LIHEAP reporting known as the Long House
  - Produce an WX800 document for signature.
- Import and export data to and from existing systems, Castin
- Provide Application Programming Interface (API) and docu
- Provide user and administrator system training and docume
- Provide post implementation support.
- Technical Requirements:
  - Supports all major web browsers with responsive de screen resolutions.
  - Works offline and synchronizes data once back onli
  - Provide details to the following questions and reque
    - Detail the device(s) requirements necessary software.
    - What is the provider's back up and retention
    - How long is data retained?
    - Must have a process in place where at the c exported to KHC
    - What type of security and monitoring practice center?
    - Who has access to the data and how is acce
    - What Service Agreements (SLAs and OLAs) infrastructure and applications?
    - How are support requests handled, and wha time?
  - KHC may request for a demonstration of software approximately two weeks after submission deadline.
- Security Requirements:
  - Captcha bot detection
  - Is there a Multifactor Authentication option, and if so, what is the tool used?
  - Is there an SSL certification to secure access to the site?
  - Core Security Requirement
  - Are you able to provide a copy of your SOC 1 and/or SOC 2 audit upon request?
  - If this is a hosted solution, do you have redundant data centers for hosting?
    - If so, are both data centers in the United States?
  - Is data encrypted?
    - At rest?
    - In transit?
  - Any breaches or security incidents in the past 3 years? If so, please provide details of the breach or security incident and how it was handled.

TABLE OF CONTENTS

Implementation Phase (3/5)

- Decision time!
- Respond to proposals in accordance with 2 CFR 200, State Policy, and RFP language.
  - Review and score proposals
  - Reference checks, initial system demonstrations
- Select DMS Vendor!
- Draft DMS Contract for Services
- Execute and Configure DMS


WEATHERIZATION ASSISTANCE PROGRAM
REQUEST FOR PROPOSALS (RFP) TOOLKIT FOR TRAINING & TECHNICAL ASSISTANCE (T&TA) SERVICES

WEATHERIZATION WORKS
U.S. Department of Energy

Implementation (3/5)

- Data Migration
- Phased Rollout
  - Alpha testing (vendor and key stakeholders)
  - Go-Live assessment/State Approvals/Stakeholder Approvals
- Train the Trainer sessions (vendor training Alpha testing group)

Poll

Who is working to update/acquire a Data Management System?

Testing and Training Phase (4/5)

- System Testing
  - Beta Testing
    - Could be a phased approach
    - Train the Trainer Sessions (Vendor/Alpha group to train the rest of the network)
  - Document and fix issues before next phase of testing
- Confirm project delivered to contract scope
- Define implementation date
  - Double data entry period?

Testing and Training Phase (4/5)

- Roll-out process
- What is the process for support during testing? Be sure to build in language around having vendor support for testing and training.
- Be mindful of the T&TA needs of the network when submitting next Annual Plan
- Training should be a process, not just a one-time event.
  - Consider several trainings with the network over the course of the first year.

Close-out and Monitoring Phase (5/5)

- Finalize project financials
- Project Postmortem with Stakeholders
- Establish process for system updates and maintenance
  - Cost schedule, updates, fix bugs

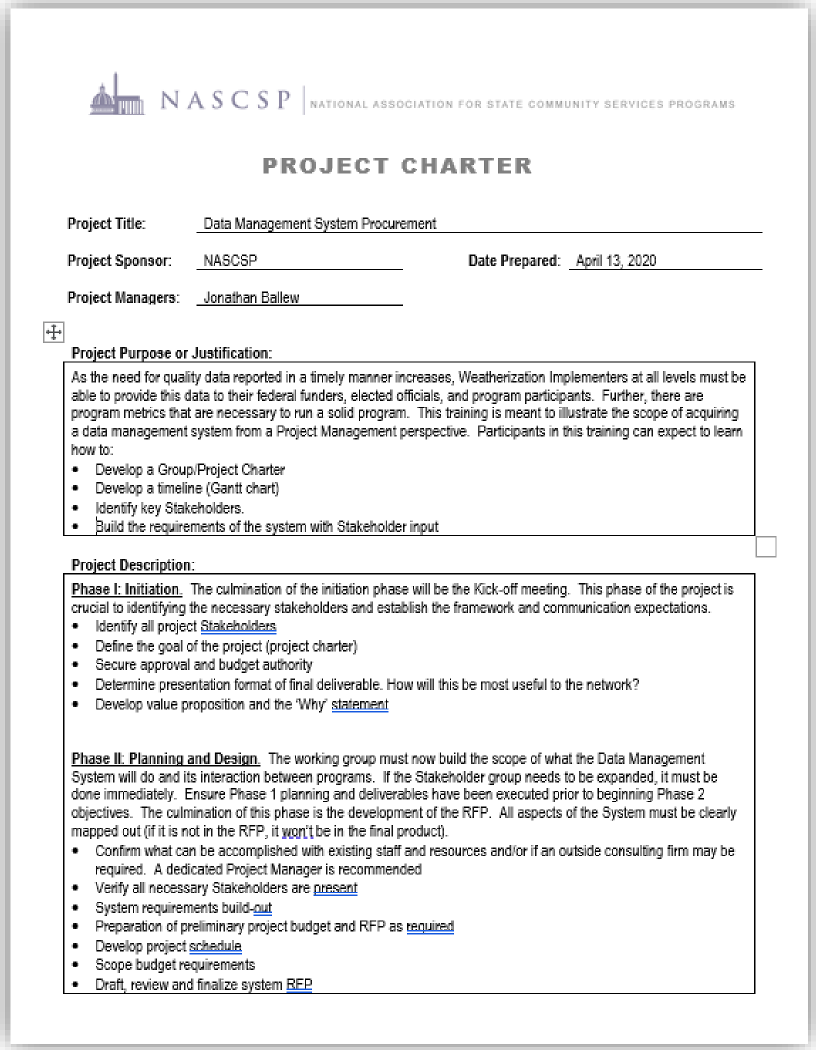
Project Post-mortem (5/5)

- Project Postmortem
  - Process improvement
  - Evaluate success, pitfalls
  - Goal – improve process for future projects
    - Good for morale
    - Better communication
    - Transparency

Future Considerations (5/5)

- Updates and maintenance
  - How was this stated in RFP, Contract?
- Did anyone update the Policy Manual? Fiscal Manual? Operations Manual?

Resources



NASCSP | NATIONAL ASSOCIATION FOR STATE COMMUNITY SERVICES PROGRAMS

PROJECT CHARTER

Project Title: Data Management System Procurement

Project Sponsor: NASCSP **Date Prepared:** April 13, 2020

Project Managers: Jonathan Ballew

Project Purpose or Justification:

As the need for quality data reported in a timely manner increases, Weatherization Implementers at all levels must be able to provide this data to their federal funders, elected officials, and program participants. Further, there are program metrics that are necessary to run a solid program. This training is meant to illustrate the scope of acquiring a data management system from a Project Management perspective. Participants in this training can expect to learn how to:

- Develop a Group/Project Charter
- Develop a timeline (Gantt chart)
- Identify key Stakeholders.
- Build the requirements of the system with Stakeholder input

Project Description:

Phase I: Initiation. The culmination of the initiation phase will be the Kick-off meeting. This phase of the project is crucial to identifying the necessary stakeholders and establish the framework and communication expectations.

- Identify all project Stakeholders
- Define the goal of the project (project charter)
- Secure approval and budget authority
- Determine presentation format of final deliverable. How will this be most useful to the network?
- Develop value proposition and the 'Why' statement

Phase II: Planning and Design. The working group must now build the scope of what the Data Management System will do and its interaction between programs. If the Stakeholder group needs to be expanded, it must be done immediately. Ensure Phase 1 planning and deliverables have been executed prior to beginning Phase 2 objectives. The culmination of this phase is the development of the RFP. All aspects of the System must be clearly mapped out (if it is not in the RFP, it won't be in the final product).

- Confirm what can be accomplished with existing staff and resources and/or if an outside consulting firm may be required. A dedicated Project Manager is recommended
- Verify all necessary Stakeholders are present
- System requirements build-out
- Preparation of preliminary project budget and RFP as required
- Develop project schedule
- Scope budget requirements
- Draft, review and finalize system RFP

- RFP Toolkit
- Sample Project Charter
- Sample Smartsheet Project Timeline
- Sample RFPs (member portal)
- 2 CFR 200 Toolkit
- WPN 19-4
- Metrics that Matter presentation (2021 Winter Conference)

Thank you!

- Jonathan Ballew,
WAP Program Manager
- jballew@nascsp.org
- 202.370.3661

Open Discussion

- Keli Reynolds, KY
- Andy Etue, WA

- Best Practices
- Lessons Learned