AIRA
AMERICAN IMMUNIZATION REGISTRY ASSOCIATION

Navigating the Procurement Journey

Discovery Session

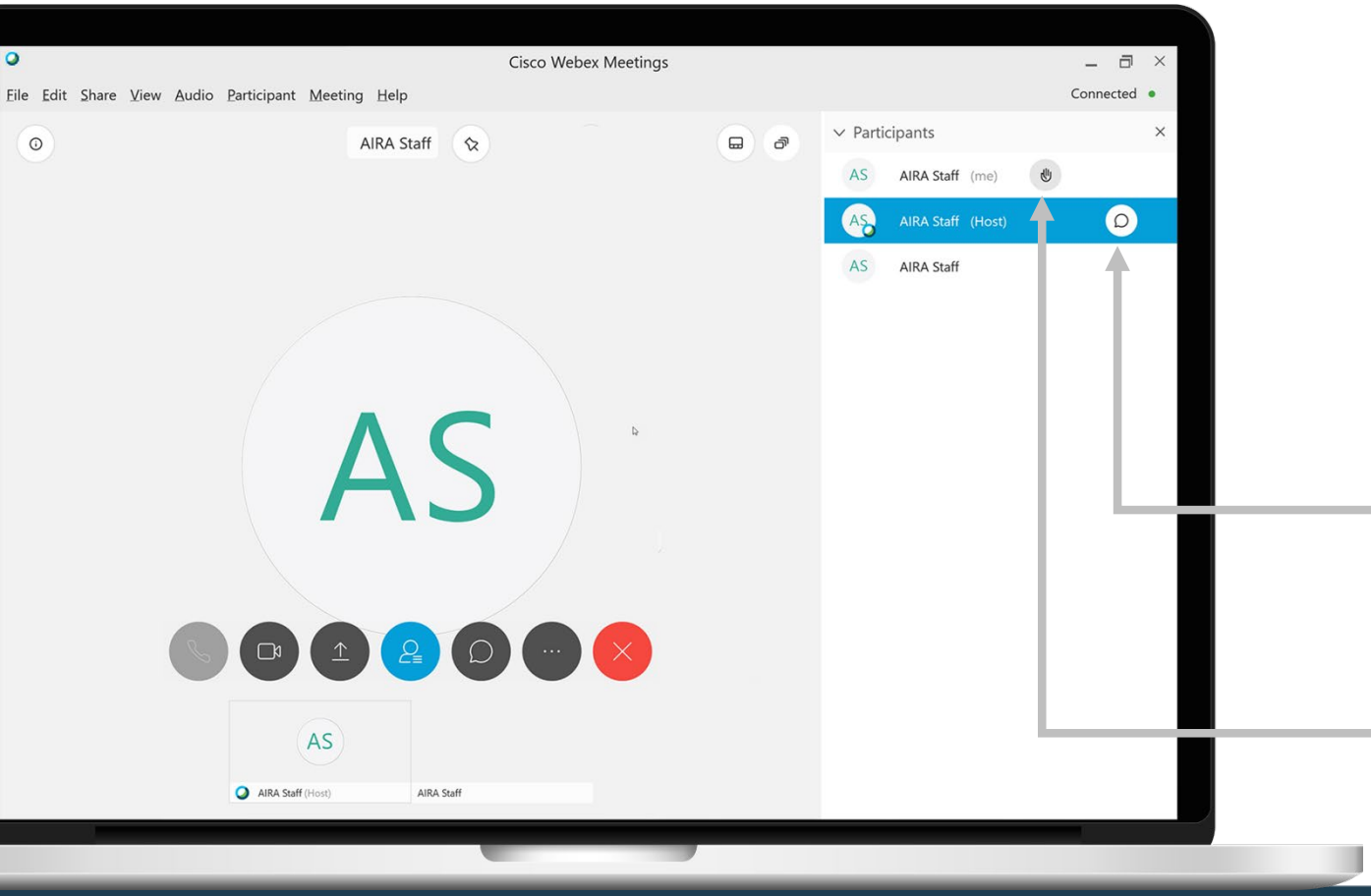
November 25, 2019

AIRA Discovery Session

All phone lines
are muted

This meeting is being recorded
and will be posted on the
AIRA repository

AIRA Discovery Session



- **How do I ask a question?**
  - There will be time allotted for Q&A following each of the updates, to unmute your line press *6
  - Via WebEx:

Select the chat icon next to the host and type question into the chat box.

Select the hand icon next to your name and you will be called on.

Today's Topic

- Key points to consider when involved in the procurement process
- Questions, Comments, Discussion

Today's Speakers

- Beth Cox (CDC)
- Bill Brand (PHII)
- Marcey Propp (HLN)

Navigating the Procurement Journey

AIRA *Discovery Series* Webinar

November 25, 2019

CDC
Centers for Disease Control and Prevention

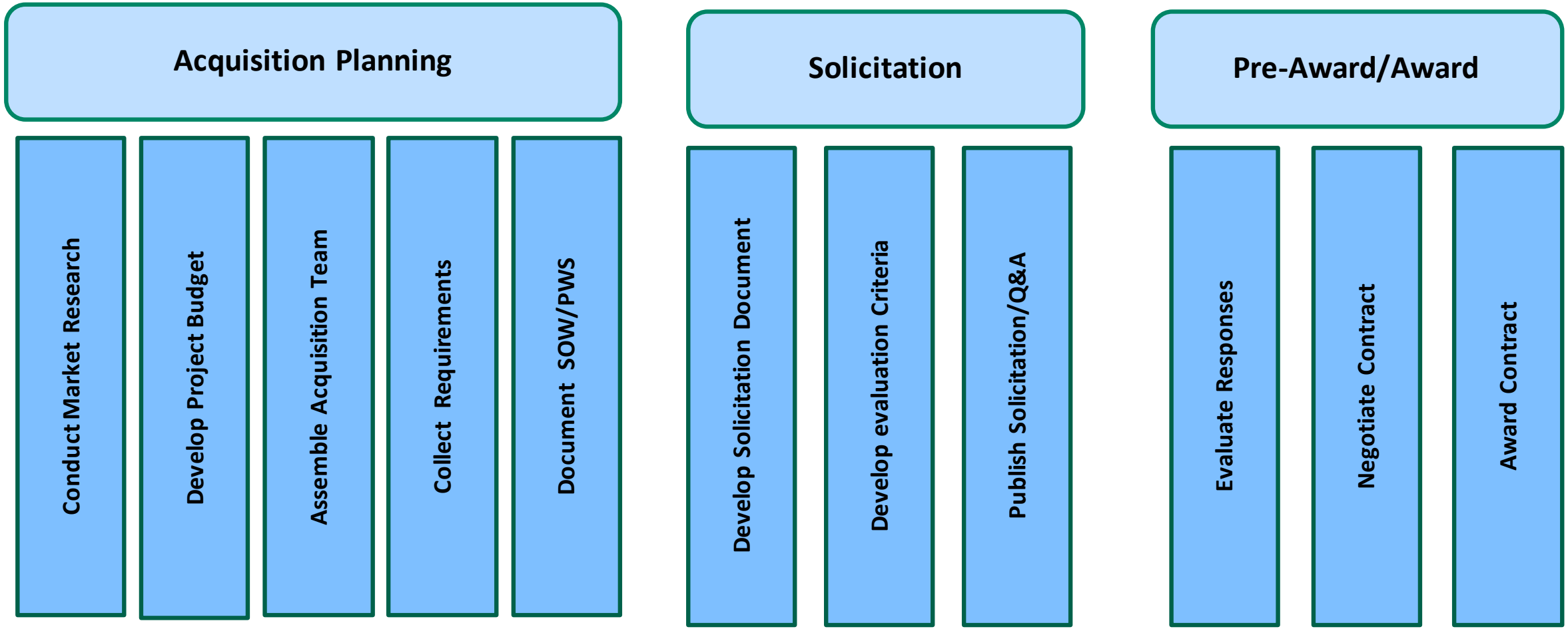
Public Health Informatics Institute

AIRA
American Immunization Registry Association

Why understand procurement?

- IIS and programmatic personnel *OWN* the requirements
- A complex, long process that is foreign to most of us … but impacts us all
- Requires strong partnerships outside typical technical or programmatic realms

"Typical" procurement phases and steps



Key points: Acquisition Planning Phase

- Procurement, especially IT procurement, increasingly managed centrally outside of the health department
  - Start early: Know all the phases, steps, timelines, templates and people you will need to work with.
- Be proactive in forming the relationships you will need
- Assemble the right team
- Use a Request for Information (RFI) if you need to collect information on the capabilities, services or costs of suppliers/contractors/vendors.
- Understand the available options; select the optimal procurement method to meet your needs

Research your procurement options

- Jurisdiction procurement processes
- GSA schedule 70, through state or CDC
- “Piggy-back” RFP or contract
- Competitive vs. non-competitive (sole source)
- Cooperative purchasing among jurisdictions
- Build vs. buy (for system migrations)

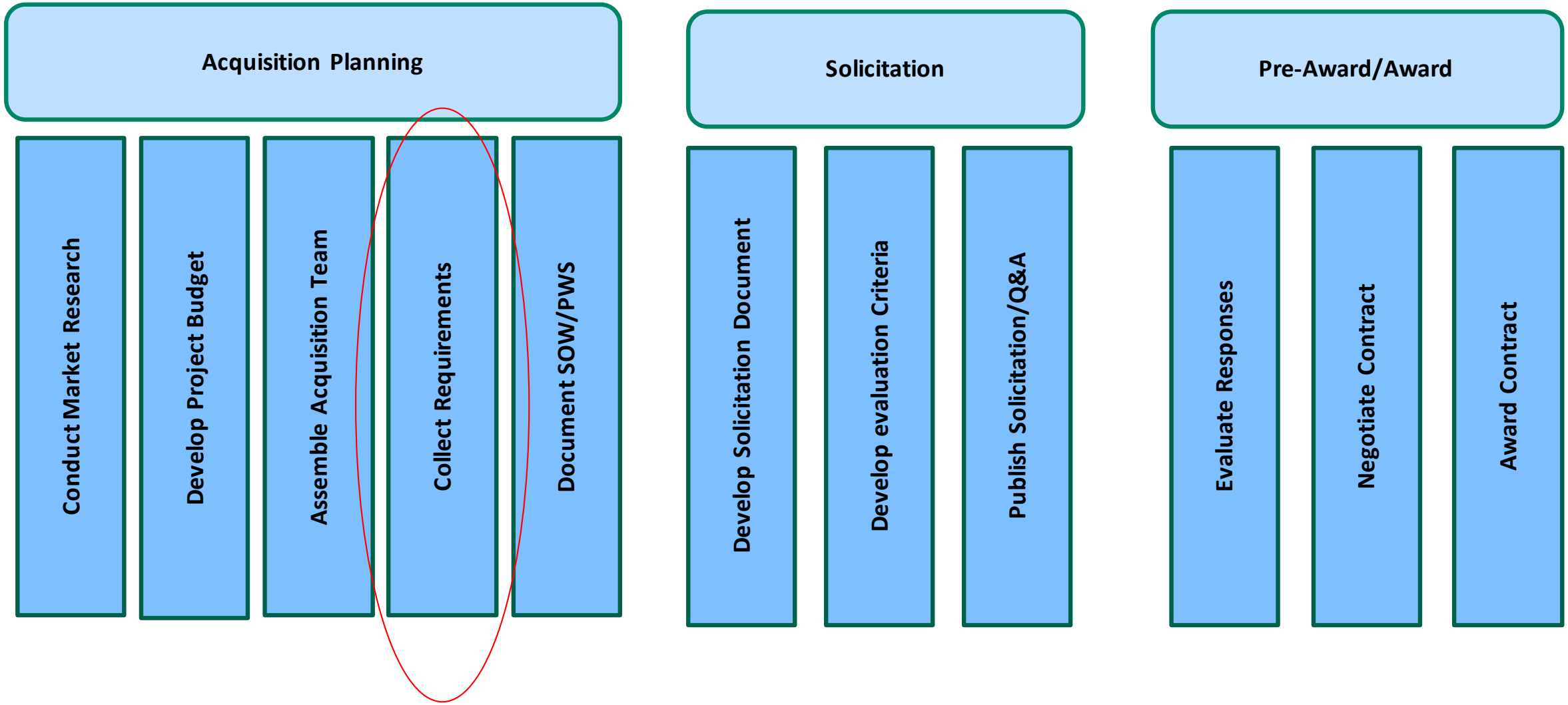
Key points: Developing the Budget

- Any acquisition must be scaled, scoped and structured to the available funding
- Your jurisdiction is likely to have rules on how the budget is documented to authorize/support a procurement
- Source, availability and amount of funding are the thread that weaves through every aspect of procurement, from business case through requirements to contracting

Key points: Assemble the acquisition team

- As with any project, early engagement of the team is a crucial element
- Assembling the team – Identify necessary individuals and their role
- Team members within the organization or from outside to include:
  - Sponsors
  - Core Team
  - Extended Team

"Typical" procurement phases and steps



Key points: Collect requirements

- Labor and time intensive phase of procurement, but crucial
- Objective - detailed documentation of program requirements
- May involve staff across the program, department and other agencies
- Can start well in advance of issuing a solicitation

Requirements guidelines

- Describe the needed functionality of a system.
- Provide a description of ***what*** the system needs to capture, perform, and display, but not ***how***.
- Answer the question of "How would you see the system supporting task/activity X?"
- Be clear and concise, so that all workgroup participants can understand them.
- Be "SMART" - **S**pecific, **M**easurable, **A**ttainable, **R**ealistic **T**ime Bound

Requirement types

- **Functional -** High level/detailed requirements that speak to what needs to be done in support of a business function.
- **Non-functional -** Specify criteria that can be used to judge the *operation of a system*, rather than the specific behavior.
- **Technical -** Translates the business requirements into a system / application design to drive the construction of the functionality.
- **Performance -** Simulates the effect of scaling the user base to an anticipated “maximum” load.

Considerations: requirements development

- Clearly defined requirements are indispensable to achieving your programmatic goals.
- Note whether specific requirements are mandatory or optional/”nice to have”.
- A skilled business analyst can be indispensable in facilitating the requirements process.
- Be careful not to adopt another jurisdiction’s requirements without thorough review.
- Align requirements with available funding

Hosting considerations

- Is hosting outside of the jurisdiction, either vendor-hosted or cloud-hosted, an option for our procurement?
  - If so, what technical and policy (e.g., security, liability) requirements must we and/or the contractor meet?
  - What role(s) does central IT play in reviewing/approving external hosting? What information do they need to make any such decision?
  - Will the procurement, legal or any other office need to review and approve?
  - What can we learn from other jurisdictions hosting in the way we are considering? For example, should the vendor and the hosting service be separate?

Getting started: Requirements development

- Do we have our requirements defined and documented?
  - Have we reviewed any of our own prior requirements documentation?
  - Have we asked CDC, AIRA or other jurisdictions for samples?
  - Does our jurisdiction have a specific format we must use for our requirements?
  - Does our intended procurement process have a specific format or template we must use for documenting our requirements?
  - Who on the core or extended teams would ideally be involved in requirements gathering? In validating the draft requirements?

Requirements tracking spreadsheet

ID	BUSINESS PROCESS	ACTIVITY	ENTITY / FUNCTIONAL ROLE	REQUIREMENT (The system must or should...)	COMMENTS
1.1.1	Requisition	Estimate Need	Program Manager	Estimate stock needs according to defined rules	
1.1.1A	Requisition	Estimate Need	Program Manager	Based on past consumption data	
1.1.1B	Requisition	Estimate Need	Program Manager	Based on minimum quantity threshold	
1.1.1C	Requisition	Estimate Need	Program Manager	Based on patient records/registry data	
1.1.1D	Requisition	Estimate Need	Progra	ased on aggregating requisitions by intermediate levels	
1.1.1E	Requisition		Progr	ed on target populations	WHO Method
1.1.2	Requisition			ble flexible order point based on user defined criteria	
1.1.3	Requisition	Estimate Nee		play past consumption data	
1.2.1	Requisition	Determine Current/Projected Available		play current available and usable on hand quantity of h stock item	That is to account for estimated consumption (name change of activity)
1.2.2	uisiti		Progr	play open orders in transit inbound	Orders that are in country but not yet in central store
1.2.3	Requ		Progr	play open outbound orders and projected usage	
1.2.4	Requisi		Program Manager	Display current stock levels at all relevant levels	
1.2.5	Requisi		Program Manager	Display expiry dates for	
1.4.1	Requisition	Issue Requisition	Program Manager	Generate requisition bas	
1.4.2	Requisition	Issue Requisition	Program Manager	Display lead time for ord	
1.4.3	Requisition	Issue Requisition	Program Manager	Allow for validation of or	
1.4.4	Requisition	Issue Requisition	Program Manager	Ability to display item co	
1.4.5	Requisition	Issue Requisition	Program Manager	Ability calculate order co	e system should be able to adjust sell price anytime yet ound to sell price quoted on requisition
1.4.6	Requisition	Issue Requisition	Program Manager	Display minimum quantity order increments	e.g. quantity in a bottle, or box
1.5.1	Requisition	Transmit Requisition	Program Manager	Print the requisition	
1.5.2	Requisition	Transmit Requisition	Program Manager	Submit requisition	
1.5.3	Requisition	Transmit Requisition	Program Manager	Ability to monitor/inquire/maintain order status, approval status and shipping status	WORLD VISION validated in Rwanda
1.6.1	Requisition	Validate Requisition	Program Manager	Provide approval/rejection mechanism at appropriate levels	WORLD VISION va
1.6.2	Requisition	Validate Requisition	Program Manager	Ability to modify the requisition	
1.6.3	Requisition	Validate Requisition	Program Manager	Record requisition approval date	WORLD VISION

Legend | Requisition | Receiving | Storage | Dispatch | Transport | Dispense | Administer | General Requirements

Ready

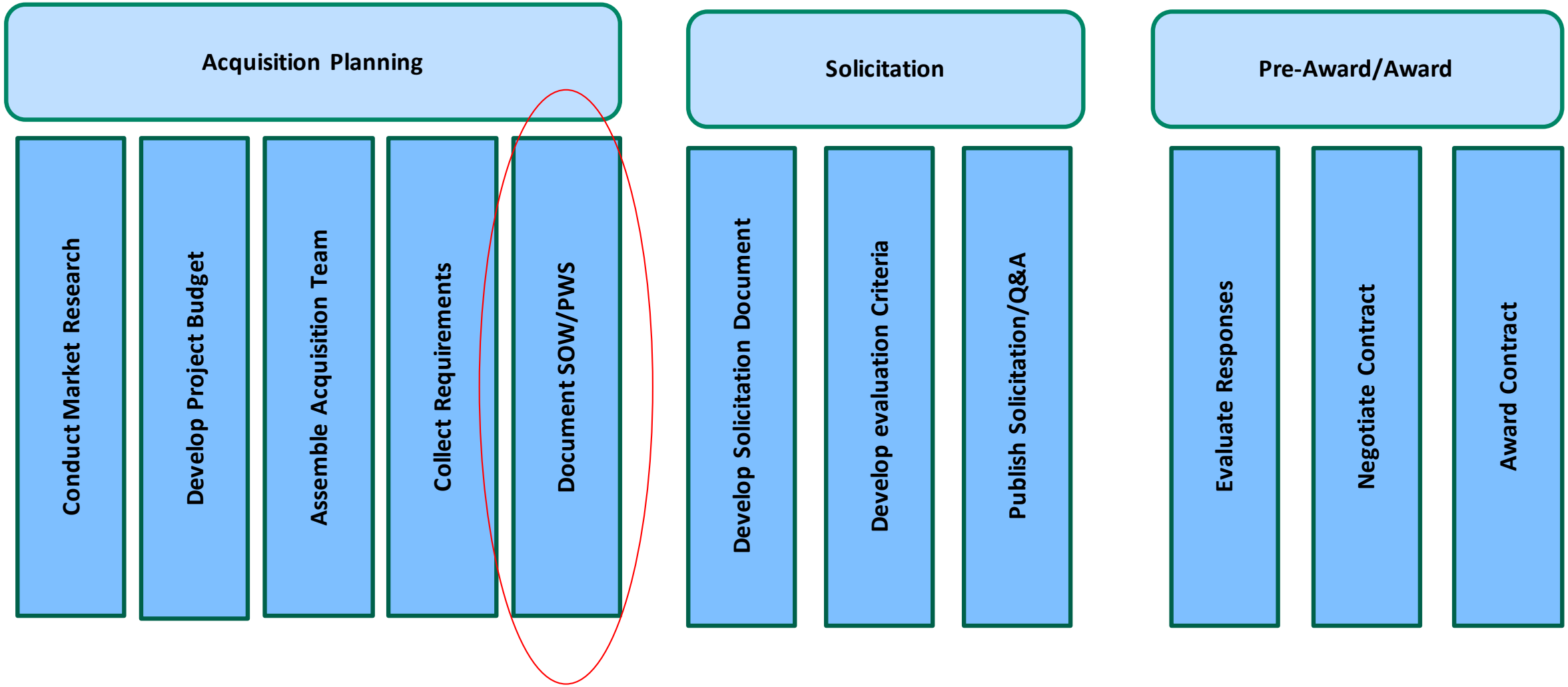
Business Process and activity is referenced for each requirement

Each requirement is assigned an ID number

The functional role for each requirement has been identified

Worksheet for each business process

"Typical" procurement phases and steps



Key points: Document Requirements

- The centerpiece of a solicitation document is the Performance Work Statement (PWS), Statement of Work (SOW) or Statement of Objectives (SOO)
- Documenting your needs as requirements drives what is being solicited and the scope, services and deliverables of the contract.
  - Defines the criteria for acceptance of any deliverables.
  - Defines your responsibilities and those of your contractor.
- Documenting requirements is your primary responsibility!
  - Requires significant attention, thought and time.
- The key to good documentation is precision and completeness.

SOO, PWS and SOW…which to use?

- Statement of Objectives
  - Focuses on overall objectives rather than specific requirements.
  - Least prescriptive, encouraging maximum flexibility in solution offered.
- Performance Work Statement
  - Description of the requirements with greater emphasis on what is to be done rather than how it is to be done.
  - Best used when project is well defined but want some flexibility in how requirements are met by a vendor.
- Statement of Work
  - Detailed description of what specifically is to be accomplished by the vendor in measurable terms, often stipulating how the work should proceed.
  - Because the jurisdiction is more prescriptive in how to do the work, it may also bear more responsibility for any project failures.

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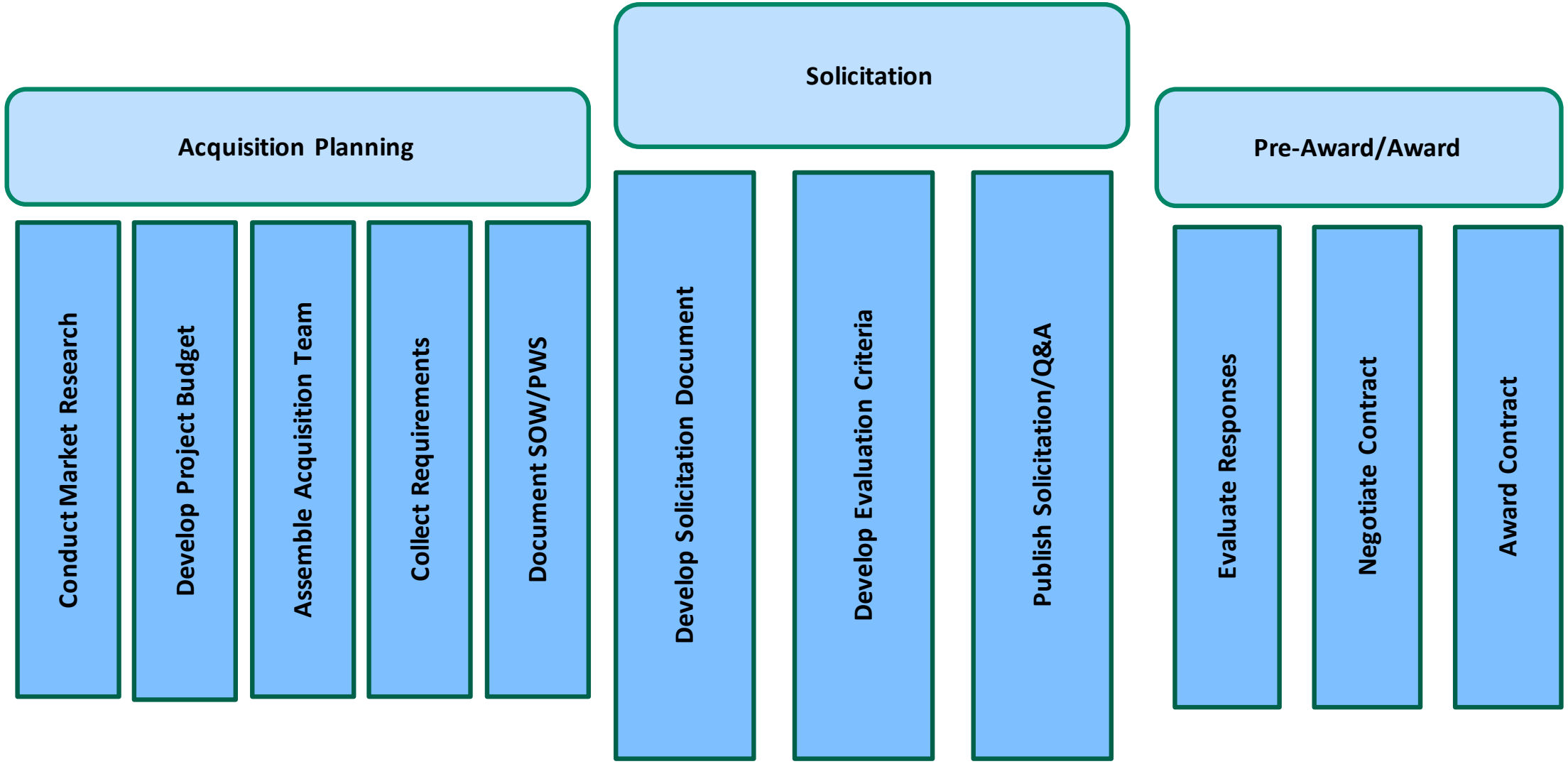

Key points: Solicitation Phase

- Solicitation document is written by whoever in the jurisdiction has procurement authority, generally the contracting office.
- Be crystal clear about the outcomes you want to achieve.
- Don’t make assumptions about what bidders know about your needs or process
- Allow enough time for thoughtful responses
- Establish (and ideally publish) clear evaluation criteria
- Consider hosting a bidder’s conference to respond to questions

Public solicitations

- Request for Proposal (RFP)
- Request for Quotation (RFQ)

Solicitation types

- Competitive bid
- Selective bid
- Single (sole) source

Helpful hints

- Common mistakes made in solicitations include:
  - Assuming the selected offeror will perform tasks not specified in the solicitation document.
  - Assuming the program will have direct access to the data for data cleansing or other purposes.
  - Over-specification of either tasks or timelines by a program.

Responding to questions

- Establish a clear process for receiving, documenting, drafting/reviewing/approving responses to written and verbal questions, and promptly publishing or sending responses
- Can help to identify provisions/requirements in the solicitation which aren't clear

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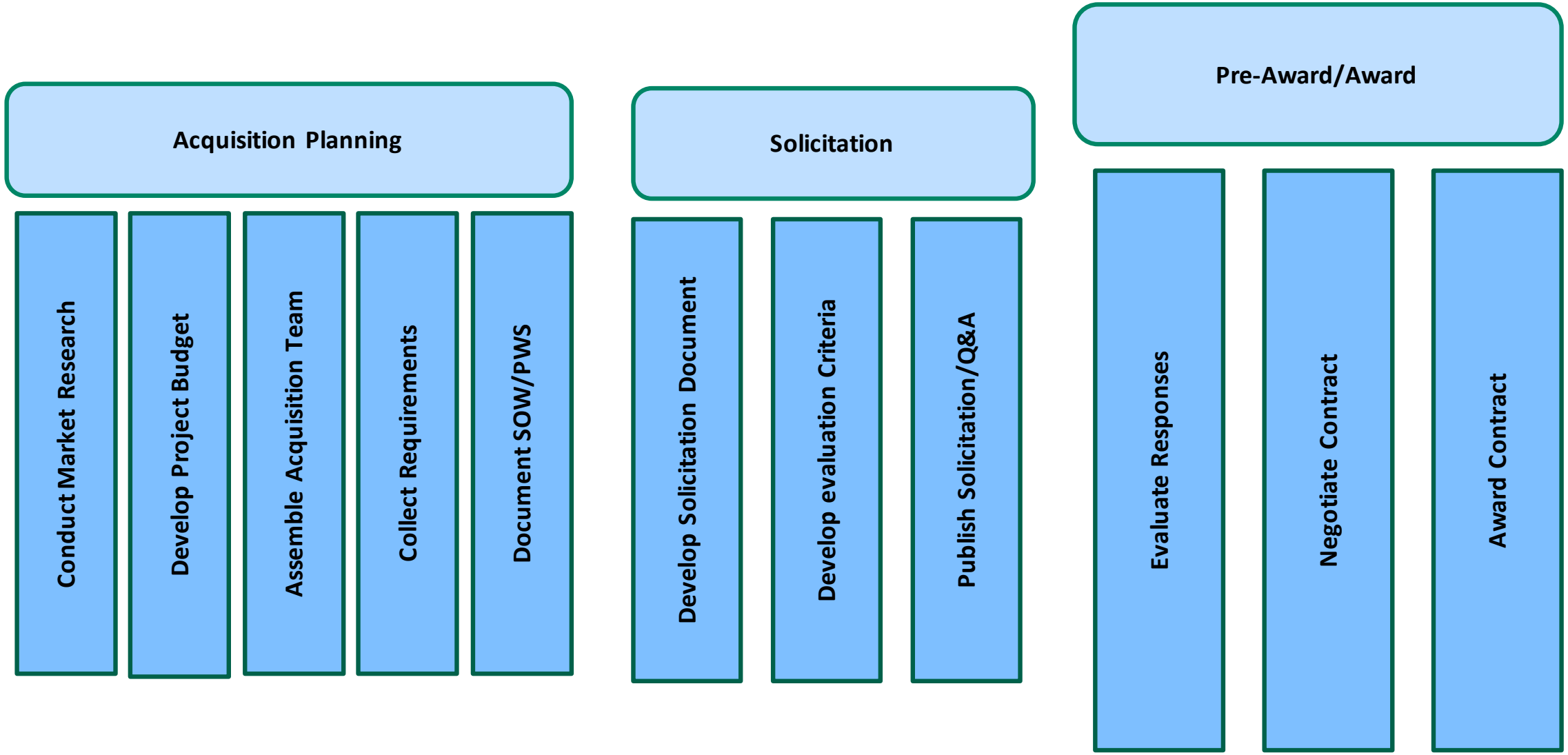


Key points: Pre-Award/Award Phase

- A contract is negotiated, awarded and then administered
- A contract is mostly drafted prior to being solicited and it is finalized after the negotiations are completed
- The key to a well written contract are well defined documented requirements
- *How contracting proceeds in a jurisdiction is subject to the jurisdiction's rules and regulations*

Due Diligence

In addition to written proposals, indicate in the solicitation document options for:

- Vendor demonstration - based on specific use cases
- ‘Freeplay’ or sandbox environment - become acquainted with the system and its capabilities

Negotiating the contract

- Allow enough time!
  - Can take up to three months
- Take the opportunity to refine terms used in the solicitation document
- The more you rely on your vendor, the more you need to be clear about roles and responsibilities, and about system performance and service level expectations.
  - Don’t ever make assumptions about what will be provided and by whom.

A word about penalties

- Are penalties for non-performance clear as to:
  - The circumstances under which the penalties are invoked?
  - The type(s) of penalties (financial or other) and, if more than one type, which apply to which circumstance(s)?
  - The role of program staff in providing supporting documentation related to penalties?
- Be incremental in your penalties; avoid “all or nothing” clauses that don’t allow you or your vendor any wiggle room

Newly Available Resource: Service Level Agreements

Mary Beth Kurilo, AIRA

Past Discovery Session

AIRA Discovery Session: Considerations When Documenting IIS Service Level Expectations

Issued on May 30, 2019 by AIRA

☆☆☆☆☆

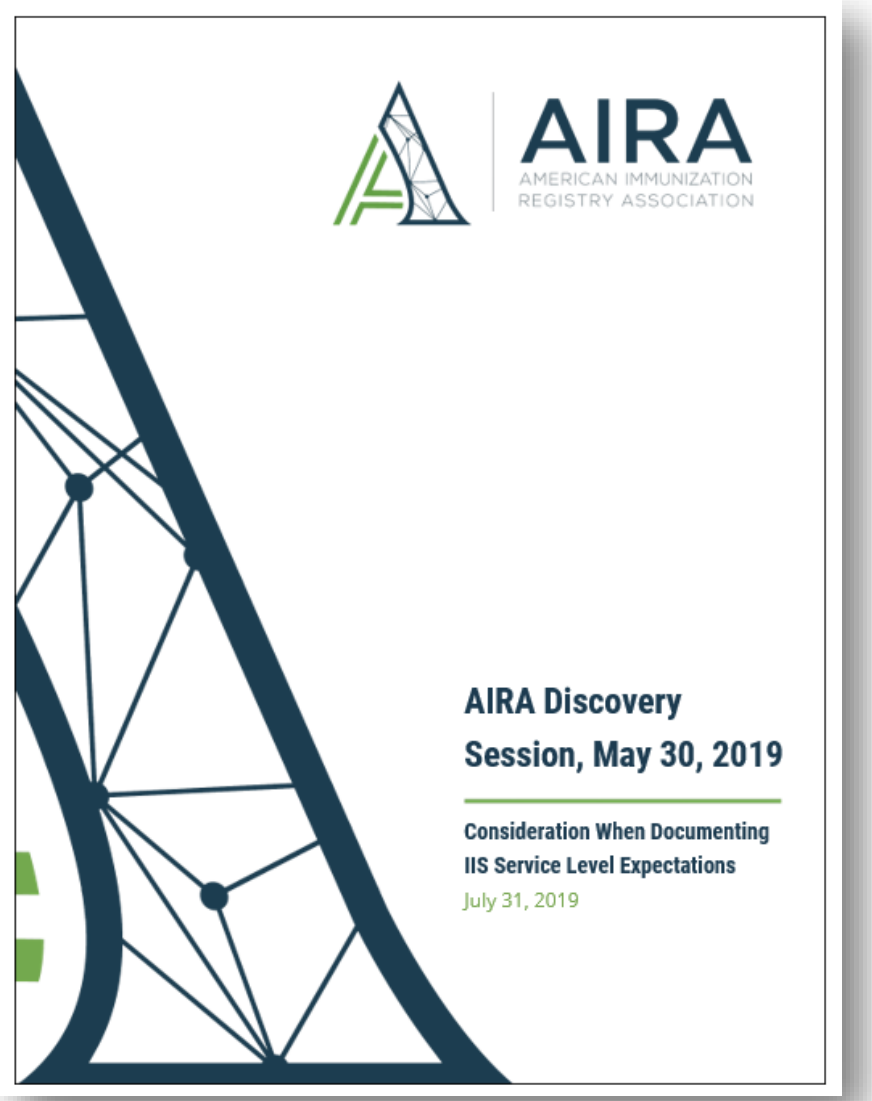
OPEN RESOURCE:

Slides | AIRA Discovery Session: Considerations when Documenting IIS Service Level Expectations

Webinar | AIRA Discovery Session: Considerations when Documenting IIS Service Level Expectations

This session focused on Service Level Agreements (SLAs) and provided considerations for documentation of service performance measures across IIS and all services that support IIS.

Recently Added Resource



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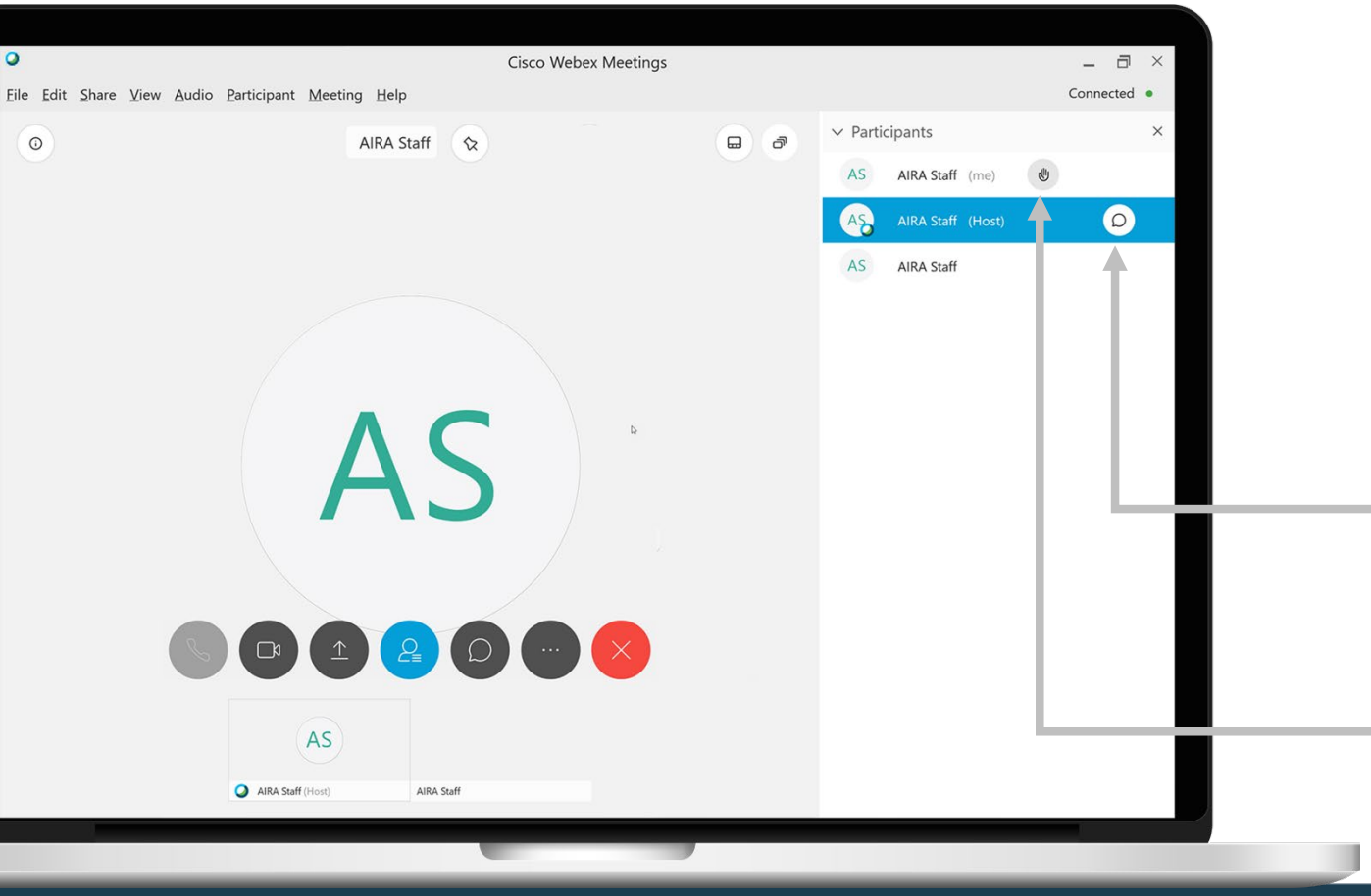

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Thank you to our presenters, and thanks to all of you for joining us!

A brief evaluation survey will be sent out following this webinar

The next Discovery Session will be
December 16th at 4pm ET