



Administrative Services Committee Commission Chamber- 7/7/2014- 12:50 PM
Meeting

ADMINISTRATIVE SERVICES

1. Motion to approve an annual bid for Polo Style Uniforms Shirts for the Sheriff's Office. The item requires Commission approval due to the fact that purchases on the individual items will exceed \$25,000.00 per order. ☐ Attachments
2. Approve recommendations from the Procurement Department regarding a path forward concerning the implementation of the Disparity Study. (Referred from June 26 Commission meeting) ☐ Attachments
3. Motion to approve the minutes of the Administrative Services Committee held on June 9, 2014. ☐ Attachments
4. An Ordinance to amend the Augusta, GA Code Title One Article Four Section 1-7-51 relating to the adoption of Personnel Policies and Procedures of Augusta, Georgia; to amend Section 1000.108 AND Addendum Form RM-MVR-RF of the Personnel Policies and Procedures Manual regarding Motor Vehicle Records Check; to repeal all Code Sections and Ordinances and parts of Code Sections and Ordinances in conflict herewith; to provide an effective date and for other purposes. ☐ Attachments
5. Motion to approve Law Department reorganization to include reclassifying vacant staff attorney position to deputy general counsel, eliminating an administrative clerk position and temporary positions and creating a paralegal position. ☐ Attachments
6. Motion to approve the contract management module software package from Sungard for DBE tracking purposes. (Referred from June 26 Commission meeting) ☐ Attachments



Administrative Services Committee Meeting
7/7/2014 12:50 PM
Annual Bid item 14-158 Polo Style Uniform Shirts

Department:	Procurement
Caption:	Motion to approve an annual bid for Polo Style Uniforms Shirts for the Sheriff's Office. The item requires Commission approval due to the fact that purchases on the individual items will exceed \$25,000.00 per order.
Background:	The following annual bid item requires Commission approval: 14-158 Polo Style Uniform Shirts.
Analysis:	Each item was bid through the sealed bid process as directed in the Augusta Procurement Code. The Sheriff's Office has reviewed the submittals and has presented a recommendation of award to the Procurement Department.
Financial Impact:	The Sheriff's Office is responsible for the purchase of the items listed on the individual bid.
Alternatives:	Not to award and require the Sheriff's Office to follow the purchasing guidelines as listed in the Augusta Procurement Code for each individual purchase.
Recommendation:	Approve the recommendation as submitted by the Sheriff's Office.
Funds are Available in the Following Accounts:	273032110/5311410

REVIEWED AND APPROVED BY:

Finance.
Law.
Administrator.
Clerk of Commission



RICHMOND COUNTY SHERIFF'S OFFICE

Sheriff Richard Roundtree

Law Enforcement Center

400 Walton Way

Augusta, GA 30901

Phone: 706.821.1000 Fax: 706.821.1064

May 29, 2014

Geri A. Sams, Procurement Director
530 Greene St. Room 605
Augusta, Ga. 30901

Bid Item #14-158 Polo Style Uniform Shirts

AWARD: Command Uniforms by John

Submitted Flying Cross uniform polo shirt manufactured by Fechheimer meeting specifications.

ASR-COMMAND

Non-compliant: Failed to submit sample as requested per bid specifications and is rejected.

Richmond County Sheriff's Office requests that Bid Item #14-158 Polo Style Uniform Shirts be awarded to Command Uniforms by John as sole bidder meeting bid specifications.

Best regards,

Robert Partain
Colonel

RP/jlf

Invitation to Bid

Sealed bids will be received at this office on Tuesday, May 20, 2014 @ 11:00 a.m. for furnishing:

Bid Item 14-158 Polo Style Uniform Shirts for Sheriff's Office

Bids will be received by Augusta, GA Commission hereinafter referred to as the OWNER at the offices of:

Geri A. Sams
Procurement Department
530 Greene Street - Room 605
Augusta, Georgia 30901
706-821-2422

Bid documents may be viewed on the Augusta, Georgia web site under the Procurement Department **ARCbid**. Bid documents may be obtained at the office of the Augusta, GA Procurement Department, 530 Greene Street – Room 605, Augusta, GA 30901. Documents may be examined during regular business hours at the offices of Augusta, GA Procurement Department.

All questions must be submitted in writing by fax to 706 821-2811 or by email to procbidandcontract@augustaga.gov to the office of the Procurement Department by Friday, May 9, 2014 @ 5:00 p.m. No bid will be accepted by fax, all must be received by mail or hand delivered.

The local bidder preference program is applicable to this project. To be approved as a local bidder and receive bid preference an eligible bidder must submit a completed and signed written application to become a local bidder at least thirty (30) days prior to the date bids are received on an eligible local project. An eligible bidder who fails to submit an application for approval as a local bidder at least thirty (30) days prior to the date bids are received on an eligible local project, and who otherwise meets the requirements for approval as a local bidder, will not be qualified for a bid preference on such eligible local project.

No Bid may be withdrawn for a period of **90** days after time has been called on the date of opening.

Invitation for bids and specifications. An invitation for bids shall be issued by the Procurement Office and shall include specifications prepared in accordance with Article 4 (Product Specifications), and all contractual terms and conditions, applicable to the procurement. **All specific requirements contained in the invitation to bid including, but not limited to, the number of copies needed, the timing of the submission, the required financial data, and any other requirements designated by the Procurement Department are considered material conditions of the bid which are not waiveable or modifiable by the Procurement Director.** All requests to waive or modify any such material condition shall be submitted through the Procurement Director to the appropriate committee of the Augusta, Georgia Commission for approval by the Augusta, Georgia Commission. Please mark BID number on the outside of the envelope.

Bidders are cautioned that acquisition of BID documents through any source other than the office of the Procurement Department is not advisable. Acquisition of BID documents from unauthorized sources places the bidder at the risk of receiving incomplete or inaccurate information upon which to base his qualifications.

GERI A. SAMS, Procurement Director

Augusta Chronicle April 17, 24, May 1, 8, 2014
Metro Courier April 23, 2014

Revised: 3/7/2013

Bid Item 14-158 Polo Style Uniform Shirts for Augusta, GA Sheriff's Office Due: Tuesday May 20, 2014 @ 11:00 a.m.				
Vendors	Command Uniforms by John 511 Broad Street Augusta, GA 30901		ASR-Command 1025 Riverside Drive Macon, GA 31201	
Attachment "B"	YES		YES	
E-Verify Number	272348		540087	
SAVE Form	YES		YES	
Sample	YES		NON-COMPLIANT	
DESCRIPTION	UNIT PRICE	TOTAL PRICE	UNIT PRICE	TOTAL PRICE
POLO SHIRTS (1500 estimated qty)		\$85,350.00		
MEDIUM	\$56.90			
LARGE	\$56.90			
X-LARGE	\$56.90			
XX-LARGE	\$56.90			
XXX-LARGE	\$56.90			
XXXX-LARGE	\$56.90			
XXXXXX-LARGE	\$56.90			

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ABAMCIS
9 MAPLE ALNE
SHELTON, CT 6484

DAVID TANENBAUM
AD WEAR & SPECIALTY OF TEXAS
8120 WESTGLEN
HOUSTON, TX 77063

Artistic Designs
1809 Gordon Highway
Augusta, GA 30904

SONYA HAYNES
BOB BARKER COMPANY
134 N MAIN STREET
P O BOX 429
FUQUAY-VARINA, NC 27526

CHON MATHEWS
BOCOCK SPORTS
P O BOX 7073
NORTH AUGUSTA, SC 29860

RICHARD PACE
BRUXTON CAREER CLOTHING
176 ROUTE 81, BLDG 1C
KILLINGSWORTH, CT 6413

SCOTT MILLER
CAROLINA INDUSTRIAL MAT CO INC
1401 SUMNER ROAD
THOMASVILLE, NC 27360

Cintas
529 Laney Walker Blvd Ext
Augusta, GA 30901

Command Uniforms by John
511 Broad Street
Augusta, GA 30901 *Picked up
a copy
5/8/14 sp*

BRUCE PARKER
CSRA ADVERTISING SPECIALTIES
608 REYNOLDS
AUGUSTA, GA 30901

MARK SEVIGNY
DANA SAFETY SUPPLY
5223 A WEST MARKET STREET
GREENSBORO, NC 27409

LISA SWEAT
DGG TASER & TACTICAL SUPPLY
8275 YOUNGERMAN COURT, SUITE
305
JACKSONVILLE, FL 32244

EAGLE CORPS SERVICE LLC
958 MILLBROOK AVE SUITE 8
AIKEN, SC 29803

ELBECO INCORPORATE
P O BOX 13099
READING, PA 19612

ESTRONG SOLUTIONS
P O BOX 9543
AUGUSTA, GA 30916

SHARYN BACON
FECHHEIMER BROTHER COMPANY
4545 MALSBUY ROAD
CINCINNATI, OH 45242

PRESTON WHEELLESS
GT DISTRIBUTORS INC
2545 BROCKTON SUITE 100
AUSTIN, TX 78758

MELINDA FERRO 135 DURYEA ROAD
HENRY SCHEIN INC
SUITE 305
JACKSONVILLE, FL 32244

MARSHA NASH
ITCHIN TO BEE STITCHIN
228 FIELD END STREET
SARASOTA, FL 34240

MICHELLE CLANCY
LAW ENFORCEMENT SUPPLY
3009 HIGHWAY 77, SUITE G
PANAMA CITY, FL 32405

KERRI SHANNON
NEW AGE MARGETING GROUP
286 ROUTE 109
FARMINGTON, NY 11735

Odyssey Marketing
380 North Main Street
Alpharetta, GA 30009

Pipeline Work Clothes
3843 Wrightsboro Rd
Augusta, GA 30909

RONALD THOMAS
PTS SCREEN PRINTING
3145 GATEWAY DRIVE, SUITE B
NORCROSS, GA 30071

MITCH WILLIAMSON
SCREENPRINT PLUS INC
1336 SE 47TH STREET
CAPE CORAL, FL 33904

JAMIE LITTLETON
Sidney's
558 Broad Street
Augusta, GA 30901

Stitches Unlimited
114 Davis Road
Martinez, GA 30907

DAVID ITZKOWITZ
TAMPA TURF AND SUPPLY
313 MORNINGSIDE DRIVE
PALM HARBOR, FL 32405

KEVIN BRADY
THE INCENTIVE MALL
5625 GLENN ROAD
INDIANAPOLIS, IN 46216

Uniformal Unlimited
2047 Martin Luther King Blvd
Augusta, GA 30901 *Item # 1*

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EVERY® 5160®

UNIFORMS BY JOHN
511 BROAD STREET
AUGUSTA, GA 30901

PAT JOHANNSEN
JOHANNSEN SPORTING GOODS
P.O BOX 23
AUGUSTA, GA. 30901

Bid Item 14-158
Polo Style Uniform Shirt
For Sheriff's Office
Bid Due: Tue. 20 May 2014 @ 11:00am

Bid Item 14-158
Polo Style Uniform Shirt
For Sheriff's Office
Mailed 17 April 2014

Capt. John Francisco
Sheriff Office

Richard Round tree
Sheriff Office

Yvonne Gentry
LSBOP

Item # 1

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Planholders List

Member Name City of Augusta, GA (Augusta Commission)

Bid Number ITB-14-158-0-2014/PJM

Bid Name Polo Style Uniform Shirt

14 Planholder(s) found.

Supplier Name ▲	City	State	Phone	Fax
Ad-Wear & Specialty of Texas, Inc.	Houston	TX	7139539881	7139539893
AMERICAN SOCCER COMPANY, INC.	WILMINGTON	CA	8006267774	8004261222
ASR	Chattanooga	TN	4234244626	1111111111
Authentic Promotions	Carmichael	CA	9164897940	9164835773
BSN Sports	Dallas	TX	8005277510	8003657653
CSRA Advertising Specialties	Augusta	GA	7067225344	7067225341
Dana Safety Supply, Inc.	Greensboro	NC	3368545536	3368543884
DesignLab, Inc.	Greenville	SC	4076492099	8642977198
Elbeco Incorporated	Reading	PA	6109210651	6109210651
Five Tool Baseball L.L.C.	Merritt Island	FL	3212133873	0000000000

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Planholders List

Member Name City of Augusta, GA (Augusta Commission)**Bid Number** ITB-14-158-0-2014/PJM**Bid Name** Polo Style Uniform Shirt

14 Planholder(s) found.

Supplier Name ▲	City	State	Phone	Fax
GT Distributors, Inc.	Austin	TX	5124518298	5124536149
Onvia, Inc. - Content Department	Seattle	WA	2063739500	8882637801
Safety Products, Inc.	Eaton Park	FL	8003366860	8887007233
Uniforms Manufacturing Inc.	Scottsdale	AZ	8002221474	4803688556

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Item # 1

PROCUREMENT SOURCE SELECTION METHODS AND CONTRACT AWARDS

Sec. 1-10-48. Generally.

The following sections provide detailed information concerning the use of the seven (7) source selection methods available for use for the procurement of commodities, services and construction products for Augusta, Georgia. The seven methods are: (1) sealed bids, (2) sealed proposals, (3) special services, (4) quotations or informal bids, (5) sole source, (6) emergency procurement and (7) annual contracts.

Purpose. A significant portion of the Augusta, Georgia Annual Budget is committed each year to various purchase contracts such as raw materials, equipment, equipment parts or components, general supplies, and professional and non-professional services. Therefore, it is essential that maximum value be obtained for each public tax dollar spent. A proven technique for obtaining this goal is through the annual bid contract process,

Sec. 1-10-58. Annual contracts.

Upon approval of an annual contract by the Board of Commissioners (or the Administrator for annual bids of up to \$25,000), any using agency may order supplies or services under such annual contract as needed up to the maximum amount approved in the annual bid.

Purchases on the following annual bid items will exceed \$25,000.00 per order:

	Department	Description	Recommended Vendors	Local Vendors
14-158	Sheriff's Office	Polo Style Uniform Shirts	Uniforms by John	Uniforms by John



Administrative Services Committee Meeting
7/7/2014 12:50 PM
Disparity Study

Department: Procurement

Caption: Approve recommendations from the Procurement Department regarding a path forward concerning the implementation of the Disparity Study. (Referred from June 26 Commission meeting)

Background: On February 18, 2014, the Augusta-Richmond County Commission, at their regular meeting entered into a discussion regarding the needs for future Disparity Study and asked that the Procurement Director bring back a recommendation on how to proceed. On September 4, 2009, Augusta, Georgia received the results of a Disparity Study and Recommendations to Revise Contracting Policies and Procedures conducted by NERA Economic Consulting. There were eight (8) very specific race and gender neutral initiatives listed for consideration of ARC policy makers. (See Exhibit “A” – 2009 NERA Recommendations, pgs 1-5). Both the study and recommendations were adopted by the Commission on August 24, 2009. As of the publishing date of this agenda item, June 2014, Augusta has not implemented all of the details and/or processes as recommended. In 2009 NERA also recommended that ARC policy makers adopt several narrowly tailored race and gender conscious remedies. (See Exhibit “A” – 2009 NERA Recommendations, pgs 5-10). Augusta has also failed to implement any of these recommendations within the five (5) years following the data collection period analyzed in the NERA disparity study. In January of 2014, Attorney Colette Holt was consulted regarding what is needed to develop a path forward. Colette Holt & Associates is an Oakland-based law practice specializing in public sector affirmative action programs. The Firm provides legal and consulting services to governments and businesses relating to procurement and contracting; employment discrimination; regulatory compliance; organizational change; program development, evaluation and implementation; and issues relating to inclusion, diversity and affirmative action. Ms. Holt recommends: obtaining a new disparity study; getting software to help collect and manage disparity data and utilization rates; and consider developing and implementing a race and gender conscious pilot program for contracts over \$200,000. (See Exhibit “B” – Colette Holt’s recommendation).

Cover Memo

Analysis:

Augusta has had many discussions, workshops, directives and has become a victim of the “blame game” explanations, all of which have led to a DBE Program that is not as effective as it can be. (See Exhibit “C” – Disparity Study Timeline). There are various reasons as to why the program has not worked resulting in the loss of money from the last Disparity Study, time, disappointed vendors and taxpayers of Augusta, Georgia along with the displacement of programs responsibilities and accountabilities. The need for a new Disparity Study is justifiable and necessary for Augusta to have an effective race and gender conscious DBE program in the future. However, there is much Augusta should do and can do immediately to take advantage of the race and gender neutral initiatives provided in the 2009 Disparity Study and to prepare for a future Disparity Study to be conducted no later than 2016. Further, by having the data available for the new Study, the cost will be reduced and the process will be more efficient and effective. Moving Forward: 1) Fully implement all of the race and gender neutral recommendations from NERA a) Write a Plan of Action moving forward to include target dates of implementation and completion; b) IMMEDIATELY purchase the (SunGard) IFAS Software to collect data. 2) Review Management Structure of the DBE function. 3) Put into place performance measures. 4) Demand quarterly updates on the program. 5) Make it “Mandatory” that employees “Know”, “Implement” and change guidelines and procedures as necessary. 6) Fund the training required for employees to benefit from future software upgrades and changes in the Law. 7) Prepare a Department Standard Operating Procedures Manual (SOP). 8) Identify an effective Project Team. Team Role: a) Identify main processes; b) Provide appropriate resources to describe the current process and data flow; c) Identify current challenges; d) Provide initial prioritization for areas to analyze; e) Evaluate recommendations for improvements and collaborative prioritization Information Technology/SunGard Role: a) Analyze the team’s current process, organization, and software to identify potential areas for improvement; b) Compare existing process and implement according to Best Practices; c) Recommend the process, software and changes to improve organizational effectiveness; d) In conjunction with the Team, map new processes, to be used as a guide for implementation. Possible Change in Management Structure will result in the following: a) Increase probability of project success; b) Manage employee resistance to change; c) Build competency in the organization. Experience Tells Us to be successful in all areas there is a need to: a) Develop a new program that does not look like the current program; b) There is a need for a strong Partnership between all of Augusta Departments and the newly created Program; c) Address the concerns and issues of the current program. 9) For the race and gender conscious measures, fund a new Disparity Study to start no later than 2016 and develop a new race and gender conscious program (if supported by the new data). I do not recommend implementing

a race and gender conscious pilot program at this time.

Financial Impact: To implement the Contract Management Module which will address the needs of the DBE Office as stated by Ms. Gentry, will cost \$8,600. There will be a need to discuss at least one temporary position to help with data input, form development/design, electronic data scanning and other duties as assigned. Cost of this temporary position is estimated at \$20,000 (July – December 31, 2014). A Full-time position will be needed and should be addressed in the 2015 Budget.

Alternatives: Take no action at this time, which will result in a program that does not effectively address the effect of past and current discrimination in Augusta.

Recommendation: Approve all of the recommendations in the Analysis section above to include: Moving forward with the implementation of SunGard's Contract Management Module. Starting the process immediately to take advantage of the 2009 Disparity Study recommendations as to race and gender neutral measures while funding a new Disparity Study and preparing staff to gather information for it so that it can be let no later than 2016.

Funds are Available in the Following Accounts: Capital Outlay (\$8,600) for system upgrade. Funding of \$20,000 for Temporary Staff which will be allocated upon approval by Commission.

REVIEWED AND APPROVED BY:



Jon Wainwright
Vice President

National Economic Research Associates, Inc.
1006 East 39th Street
Austin, TX 78751-5207
512.371.8995 Fax 512.371.9612
Direct dial: 512.454.8581
jon.wainwright@nera.com
www.nera.com

Recommendations for Revised Contracting Policies and Procedures

Our principal recommendations for the consideration of ARC policy makers, based on the present state of the case law and the Study's findings, are presented in this memorandum. While all of these recommendations should be carefully considered, we are in no way suggesting that all must be implemented to operate an effective and constitutional program.

As detailed in the 2009 Disparity Study, we conducted a thorough examination of the evidence regarding the experiences of minority- and women-owned firms in ARC's geographic and procurement marketplaces. As required by strict scrutiny, we have analyzed evidence of such firms' utilization by ARC on its prime contracts and subcontracts, as well M/WBEs' experiences in obtaining contracts in the public and private sectors. We gathered statistical and anecdotal data to provide ARC with the evidence necessary to consider whether it has a compelling interest in remedying identified discrimination in its marketplace for locally-funded contracts. We have further presented evidence relevant to the narrow tailoring of any race- and gender-based remedies. Based upon our results, we make the following recommendations.

A. Race- and Gender-Neutral Initiatives

1. Appoint a Contracting Task Force

A wide spectrum of firms supported a regular process for their industries to "talk" to ARC about concerns with policies, procedures and forms. Members would be comprised of representatives from industry groups, business owners and ARC procurement and major user department staff. Such a Task Force could meet monthly until consensus has been reached on broad measures, then less frequently as problems are redressed.

2. Streamline Procurement Procedures and Forms

Firms of all types repeatedly discussed barriers to contracting with ARC presented by burdensome and duplicative processes and forms. Current policies should be reviewed to reflect best procurement practices, with an emphasis on using technologies to reduce compliance concerns, e.g., electronic submission of questions and answers regarding solicitations, regular updates to vendors, etc.

3. Increase Vendor Communication and Outreach

Increased communication with the contracting community is critical. Owners of all types of firms reported difficulties in accessing information about particular solicitations, as well as policies and procedures. Regular vendor fairs, clear instructions in addition to a Contracting Task Force were common suggestions.

4. Increase Contract “Unbundling”

Recognizing the need to segment contracts to facilitate bidding by small firms, the LSBOP ordinance specifically mandates that contracts be disaggregated to the maximum feasible extent. This approach was endorsed by M/WBEs and non-certified prime contractors. In conjunction with reduced insurance and bonding requirements, smaller contracts should permit firms to move from quoting solely as subcontractors to bidding as prime contractors. ARC should continue its emphasis on this important race- and gender-neutral measure.

5. Review Surety Bonding and Insurance Requirements

ARC should review surety bonding and insurance requirements to ensure that amounts are no greater than necessary to protect its interests. This might include reducing or eliminating insurance requirements on smaller contracts, adopting standard professional liability insurance limits, and removing the cost of the surety bonds from the calculation of lowest apparent bidder on appropriate solicitations.

6. Ensure Prompt Payments on ARC’s Contracts

Construction firms complained about slow payment by ARC. This seemed to result from the number of steps and sign offs required. Change orders were especially problematic. The recommended Task Force should evaluate how to streamline the process, as well as address other issues. An electronic contract tracking system, whereby contractors and subcontractors could see where the prime contractor’s invoice is in the process, would be helpful. “Off the shelf” software programs are available to meet this need.

7. Augment the Local Small Business Opportunities Program

At the time of our interviews, the Local Small Business Opportunities Program (“LSBOP”) had been implemented for less than one year. We therefore make the following suggestions, recognizing that ARC’s initiative is still being developed.

a. Increase LSB Certification Outreach

ARC should increase its efforts to identify businesses to encourage their owners to apply for LSB certification. The “listed M/WBEs” identified in the Study’s availability analysis

that are not currently certified should be contacted. This will help to increase the pool of firms from which prime contractors may solicit to make good faith efforts to meet goals.

b. Adopt a Local Small Business Target Market Component

If permitted by state law, ARC should consider amending the LSBOP ordinance to add a LSB Target Market for LSBs seeking work as prime contractors or consultants. Contracts subject to this market would be reserved for bidding solely by LSBs. The size of the contract, the type of work, the availability of at least three LSBs to perform the work of the contract (to create adequate competition), and ARC's progress towards meeting the annual LSB goal are factors relevant to the decision to set aside a contract. There might also be limits on the number of contracts for which a LSB could bid per designated time period.

This approach will permit small firms to compete on a more level playing field with firms of comparable size, thereby somewhat equalizing some of the barriers faced by M/WBEs to obtaining bonding, financing, access to supply networks, etc., without resort to race- and gender-based preferences.

Given the judicial prohibition on race-based contract set-asides, this is a critical race- and gender-neutral tool to provide opportunities for M/WBEs and other small firms to compete for prime contracts. Providing preferences to small firms on a race- and gender-neutral basis will also reduce ARC's reliance on race- and gender-conscious subcontracting goals, should that approach be adopted, to meet the overall annual goals, as most M/WBEs are likely to qualify as LSBs. This approach would further address the narrow tailoring requirement to reduce the burden on non-certified firms to the greatest feasible extent.

c. Adopt a Guaranteed Surety Bonding and Financing Component

A key component of a LSB initiative is a bonding and contract financing program for LSBs seeking work as prime contractors. These firms find it difficult to obtain bonding or financing or cannot obtaining bonding or financing at reasonable rates. This approach could be implemented in conjunction with other local governments or private sector owners. Business owners reported that such efforts by other agencies have been helpful.

Programs that guarantee bonding and contract financing to firms that successfully complete the diagnostic process have proven to be successful in other jurisdictions in increasing the capacity of such businesses to perform as prime contractors. Necessary participants would be a surety company, a lender, and an experienced construction business development specialist to evaluate each firm's capabilities, financials and other criteria relevant to obtaining bonding and financing.

d. Adopt a Mentor-Protégé Program

ARC should consider adopting a Mentor-Protégé Program. This component would provide direct mentoring and assistance to eligible firms through on-the-job training. This LSBOP element would seek to further the development of small firms by providing assistance in performing larger projects, moving into non-traditional areas of work and competing in the marketplace outside the Program.

The mentor-protégé relationship should be based upon an ARC-approved written development plan, including criteria for graduation from the Program, which clearly sets forth the parties' objectives and roles, the duration of the arrangement and the services and resources to be provided by the mentor to the protégé. Generally, mentors provide the protégé with financial assistance, assistance with subcontracts, assistance in performing prime contracts, management assistance, and technical assistance. Protégés should be viable firms and in a business that either is similar to the mentor firm's or is a component of the mentor firm. Mentors would receive credit towards meeting LSB goals, and protégés would have greater access to contracts and increased opportunities to grow into prime contractors. Additional incentives, such as reimbursement for participation costs, would greatly increase the attractiveness of a Program to potential mentors. The mentor-protégé agreement may include a fee schedule to cover direct and indirect costs for the services rendered by the mentor to train the small business.

e. Collect Race and Sex Data

Finally, it is critical that race and sex data be collected on firms participating in the Program. This will facilitate the next study, which should include review of the effectiveness of the LSBOP in remedying disparities on a race- and gender-neutral basis.

8. Improve Contracting and Procurement Data Collection and Retention Procedures

a. Prime Contracting and Purchasing Activity

For 2003-2007, not all ARC contract records contained all the information necessary for more efficient and comprehensive monitoring of M/WBE activity. Examples include:

- Unique prime contractor identification numbers are not in universal use throughout ARC;
- Telephone number and address information could not be easily related across files due to lack of universal use of unique prime contractor identification numbers;
- Data concerning change orders, contract renewals, and similar circumstances were not tracked completely or consistently and often could not be linked back to the original unique contract identification number.

This situation could be improved through increased training and guidance for ARC contracting and purchasing personnel and by introducing additional controls into the financial and contract management information systems to encourage data entry personnel to provide all the requisite information for any given contract or purchase.

b. First-Tier Subcontractor, Subconsultant, and Supplier Activity

In recent years ARC's ability to track non-M/WBE subcontractor, subconsultant, and supplier activity was limited. Non-M/WBE subcontracting records are equally as important as M/WBE subcontracting records for purposes of evaluating contracting affirmative action at the level of detail specified by *Croson* and *Adarand*. This is because narrow tailoring requires the allocation of contracting and procurement dollars by industry category and it has been demonstrated that expenditures with M/WBE subcontractors are likely to be distributed differently across industry categories than expenditures with non-M/WBE subcontractors.

B. Adopt a Disadvantaged Business Enterprise Program for Locally-Funded Contracts

1. Compelling Evidence of Discrimination in ARC's Marketplaces

Based upon this Report, ARC has a firm basis in evidence to adopt a race- and gender-conscious program for its locally-funded contracting activities. This record establishes that M/WBEs in ARC's marketplace continue to experience statistically significant disparities in their access to private and public sector contracts and to those factors necessary for business success, leading to the inference that discrimination is a significant cause of those disparities. Further, individuals recounted their experiences with discriminatory barriers to their full and fair participation in ARC's contracting activities. The Study provides the statistical and anecdotal evidence to answer in the affirmative the question whether there is strong qualitative evidence that establishes ARC's compelling interest in remedying race and gender discrimination, because absent government remedial intervention, ARC will be a passive participant in a discriminatory marketplace. There is ample evidence that ARC can choose to affirmatively intervene to reduce racial and gender barriers to participation in its locally-funded contracting opportunities.

Whatever the extent of new initiatives, more staff support and resources will be critical to success. At present, the M/WBE function at ARC is performed by one person. Should a new M/WBE program be adopted, additional staff will be necessary to conduct more outreach activities, set contract goals, monitor goal attainment and review contract performance.

2. Adopt Narrowly Tailored Race- and Gender-Conscious Remedies

In general, we recommend that any local program mirror the US Department of Transportation's Disadvantaged Business Enterprise ("DBE") Program, contained in 49 C.F.R. Part 26, to the greatest feasible extent. Not only have the criteria for eligibility and the implementing provisions of Part 26 been unanimously upheld by the courts, but also following Part 26 has the advantage of being familiar to those ARC staff, prime contractors and DBEs who have worked on federally-funded projects at the Airport or other agencies and DBEs certified by the Georgia Unified Certification Program.

a. Adopt the USDOT's DBE Program's Eligibility Standards

ARC should consider adopting the DBE Program's eligibility requirements.¹ This provides two important benefits. First, it creates uniformity in certification requirements and processes with the Georgia Unified Certification Program,² which lessens the burden on applicants and ARC. Second, the eligibility standards of Part 26 have been unanimously upheld by the federal courts, so ARC can be confident that its program is narrowly tailored to only benefit individuals who have clearly suffered social and economic disadvantage and whose firms are small.

Two exceptions should be considered. Part 26 provides that an applicant can be located anywhere; there is no location requirement for a federally funded contract. In contrast, case law suggests that a local government, unlike the national legislature, can only remedy discrimination in its contracting marketplace. While this does not mean that ARC's Program eligibility must be limited to only the boundaries of the jurisdiction, we have generally counseled clients to limit automatic geographic eligibility to firms located within the marketplace established by the Study. As developed in Chapter III, ARC's geographic market is the Augusta-Richmond, GA-SC MSA. However, while this reflects the location of the vast majority of firms that have done business with ARC, that does not mean that firms located outside the MSA should not be eligible for participation in the Program. There is no evidence to suggest that a disadvantaged firm seeking to do business with ARC is somehow less likely to suffer the effects of discrimination in the market because its principal office or facility is outside ARC's marketplace. If anything, the old boys network could be even more impenetrable to a minority or female "outsider." Therefore, ARC should permit firms outside the MSA to make an individual showing of efforts to do business in the MSA (*e.g.*, contracts received, quotes provided, marketing efforts, etc.).

Next, ARC should consider adopting the Small Business Administration size standards,³ but without the statutory size cap embodied in 49 CFR § 26.65(b). This will permit firms

¹ 49 C.F.R. §§ 26.61-73.

² 49 C.F.R. § 26.81.

³ 13 CFR Part 121.

to grow, without deviating from the national standards. The current limit in the LSBOP of \$500,000, averaged over three years, is probably too low to permit firms to grow their capacity.

b. Adopt an Overall, Annual M/WBE Goal

The Study's estimates of the availability of M/WBEs in ARC's marketplace are provided in Chapter IV. These form the starting point for consideration of setting an overall, annual target for ARC's spending with M/WBEs. However, this snapshot of firms doing business in the ARC's geographic and procurement marketplace does not *per se* set the level of M/WBE utilization to which ARC should aspire. As discussed in Chapter V, current M/WBE availability is depressed by the effects of discrimination. A case can be made for setting a goal that reflects a discrimination-free marketplace rather than the results of a discrimination infected marketplace.⁴ Using the disparities in the business formation of M/WBEs compared to non-M/WBEs can provide a quantitative basis for such a determination.

Should ARC choose to adopt a new DBE Program, we recommend setting an overall, annual goal for minority- and women-owned firms, as in the prior DBE Program, rather than subdivided goals, because this was ARC's prior practice. This also provides added flexibility to ARC and prime firms in meeting the Program's objectives.

ARC should annually review of its progress towards the annual M/WBE goal. ARC should further determine whether race- and gender-conscious remedies continue to be necessary to meet the previously established goals, or whether subcontracting goals should no longer be set for some types of contracts. However, there is no legal requirement to set a new goal every year; indeed, there will not be new availability data until the next disparity study, and the Census Bureau conducts the *Survey of Business Owners* only every five years. Thus, the annual goal adopted based upon the current evidence should continue until full and accurate data are analyzed in a future study.

c. Set Contract Specific Goals

This Study's detailed industry and group availability estimates provide an objective starting point for contract goal setting. A contract goal should reflect the availability of firms to perform the anticipated scopes of the contract, weighted by the extent those scopes represent of the total contract price.

We also recommend that the minimum number of available M/WBEs be at least three to set a contract goal. This will ensure that there is adequate competition within those industry sectors and reduce the burden on non-certified firms—a key component of narrow tailoring.

⁴ See, e.g., 49 CFR §26.45(d) (DBE goal must reflect the recipient's "determination of the level of DBE participation you would expect absent the effects of discrimination").



We urge ARC to permit M/WBEs to count their own participation towards the contract goal. This permits the firms to grow and enhance their capabilities. It also mirrors the practice in the USDOT DBE program.⁵

ARC should bid some contracts it determines have significant opportunities for M/WBE participation without goals. These “control contracts” will illuminate whether M/WBEs are used or even solicited in the absence of goals. Such unremediated markets data will be probative of whether ARC still needs to implement M/WBE contract goals to level the playing field for its contracts.

d. Contract award procedures

Once goals have been set on a contract, it is critical that standards be adopted for contract award. This includes consideration of the commercially useful function of a proposed DBE, and provision for bids what do not meet the contract goal.

Determination of commercially useful function

All proposed M/WBE utilization must be evaluated to determine whether the M/WBE is serving a commercially useful function. Even a firm that is legitimately owned by a minority or woman can be used as a “pass through” or “front” on a specific contract. Commercially useful function means responsibility for the execution of a distinct element of the work of the contract and carrying out the M/WBE’s responsibilities by actually performing, managing, and supervising the work involved, or fulfilling its responsibilities as the joint venture partner. The determination that a M/WBE is performing a commercially useful function will be based upon the amount of work subcontracted, normal industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing, and other relevant factors. It should be noted that the setting of contract goals based upon the real subcontractable scope of work should reduce the incentives to claim credit for work that is not commercially useful to meet artificial goals.

Good faith efforts reviews

The courts have categorically held that narrow tailoring requires that waivers of goals be available to a bidder that made good faith efforts. A bidder that made good faith efforts must be treated the same as one that met the goals. To do otherwise- that is, to favor utilization above good faith efforts- will undoubtedly be held to be an impermissible race- and gender-based quota. That so few waivers were granted by the City of Chicago was a major cause of its M/WBE Program’s constitutional infirmity. Standards for demonstrating good faith efforts must be adopted, so that bidders and ARC staff have clear guidelines about when good faith efforts have been met. We recommend the

⁵ 49 C.F.R. § 26.55(a).

EXHIBIT A

outlines of the good faith efforts provisions of Part 26 CFR §26.53 as a guide for ARC's legislation and policies.

e. Monitor Contract Performance Procedures

Once a contract with M/WBE commitments has been awarded, it is crucial that those commitments be monitored and that sanctions for non-conformance with the contract be available. Contract closeout is very late in the process to determine that a prime contractor has failed to utilize M/WBEs or that firms have not been paid. As previously discussed, the implementation of a comprehensive data tracking and monitoring system is a necessary element of a successful Program, as well as prompt payment and prohibitions on unauthorized substitutions of subcontractors. It is also obviously preferable to correct problems rather than sanction firms after the fact. In addition, the standards and processes for substituting subcontractors should be clarified and documented.

f. Increase Program Administration

A new DBE Program cannot be implemented without additional resources. The DBE Coordinator's office will require more staff to conduct outreach, certify applicants, set goals, review bids and monitor contractor performance. Further, it is essential that other departments become responsible for meeting ARC's Program objectives. The Program will be less successful if it is seen as "the M/WBE" Program," rather than a ARC-wide initiative for which all department heads will be held responsible. Job descriptions should reflect this priority, with meeting Program objectives one evaluation criterion for raises and promotions.

g. Develop Performance Measures for Program Success

While recognizing the systemic barriers faced by minorities and women in competing for ARC contracts and subcontracts on a full and fair basis, developing quantitative performance measures for certified firms and overall Program success would provide measures for evaluating the Program. Possible benchmarks are the achievement of business development plans similar to those used in the Small Business Administration's 8(a) Program; revenue targets for certified firms; increased prime contracting by M/WBEs; and increased graduation rates. It will be important to track the progress of graduated firms to evaluate whether they succeed without the Program, and if not, why not. Further, data should be kept on requests for waivers of goals, to determine the accuracy of goal setting and areas for additional M/WBE outreach.

h. Review Guidelines and Procedures for Program Violations

Contract terms and conditions should be reviewed to ensure that ARC has the maximum legal ability to enforce the Program's provisions and the contractual commitments of contractors. ARC's attorneys should work with the M/WBE Coordinator and the Purchasing Department to develop staff guidelines for sanctions.

i. Mandate Program Review and Sunset

ARC should require that the evidentiary basis for the Program be reviewed at least every five years, and that only if there is strong evidence of discrimination should it be continued. The Program's goals and operations must also be evaluated to ensure that they remain narrowly tailored to current evidence. A sunset date for the Program, when it will end unless reauthorized, should be included as in the policy.

EXHIBIT B



Disadvantaged Business Enterprise Department

DAVID S. COPENHAVER
Mayor

COREY JOHNSON
Mayor Pro Tem

YVONNE GENTRY
DBE Director

William Fennoy
Corey Johnson
Mary Davis
Alvin Mason
Bill Lockett
Joe Jackson
Donnie Smith
Wayne Guilfoyle
Marion Williams
Grady Smith

TAMEKA ALLEN
Interim City Administrator

January 17, 2014

Honorable Mayor Deke Copenhaver
And Commissioners of Augusta, Georgia

RE: Summary of conference call with Ms. Colette Holt regarding DBE Program

At the request of the Commission, the Law Department and DBE Department had a telephone conference with Attorney Colette Holt.¹

A summary of the recommendations provide by Ms. Holt are as follows:

1. It would be best for the City to procure a new disparity study now. If one can't be procured now, it should be done within the next year or two. The older the data, the greater the risk that any program relying on the data will be held unenforceable. However, the legal standard is the "most recent available data," which is the Disparity Study.
2. The City should seriously consider purchasing an off-the-shelf data management software program specifically designed to help collect and manage disparity data and utilization rates. This will allow for real-time evaluation of the existing local small business program as well as help the City to maintain its utilization data in a way that can be efficiently utilized in future disparity studies. Such software typically costs \$30,000 to \$40,000.
3. The City should consider enacting a race and gender conscious pilot program for contracts over \$200,000. This program would be narrowly tailored to address the areas of the greatest disparity as shown in the last disparity study. The pilot program, once approved by the Commission, could be enacted immediately but would only be enforceable for a few years at best, unless more recent data is collected to support it from a new disparity study. However, the results of the pilot program will be very relevant to a new study and whether there is a continuing need for a program.
4. Ms. Colette Holt suggested Augusta Richmond County do the initial drafting of the pilot program, which she will review and edit as needed. She can be available beginning in February of 2014 to assist with the initial drafting.²

¹ Ms. Holt is no longer a consultant for NERA Economic Consulting (the firm that conducted Augusta's last disparity study) and is now a principal in a business that conducts disparity studies.

² Due to her current work load, Ms. Holt is not available at this time to do the initial draft of the pilot program, but can conduct a review of such a program if the initial draft is completed by the City. She can be available in February 2014 to assist with the initial draft.

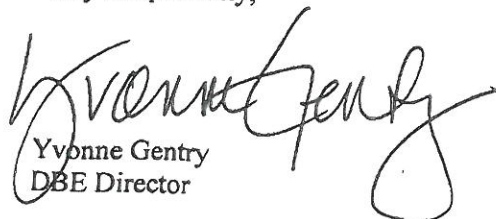
EXHIBIT B

Augusta
G E O R G I A

Disadvantaged Business Enterprise Department

We look forward to discussing these recommendations at Administrative Services Committee, but if you have any questions regarding this matter before then, please feel free to contact me at 706-821-2406 or ygentry@augustaga.gov.

Very Respectfully,


Yvonne Gentry
DBE Director

cc: Tameka Allen, Interim City Administrator
Andrew MacKenzie, General Counsel

Disadvantaged Business Enterprise Department
530 Greene Street - Room 600B - Augusta, GA 30901-4414
(706) 821-2406 - Fax (706) 821-4228
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Feb-07	February 14, 2007 - Injunction: Avant Edentfield, Judge United States District Court Southern District of Georgia February 23, 2007 - Received Bid Specification and Bid Form Checklist from DBE Department
Mar-07	March 1, 2007 - Bid Packages were Prepared March 7, 2007 - Specification uploaded in DemandStar March 8, 2007 - Bid Packages mailed out to 22 Vendors March 8, 2007 - 1st Advertisement in Augusta Chronicle March 15, 2007 - 2nd Advertisement in Augusta Chronicle March 15, 2007 - Advertisement in Augusta Focus March 22, 2007 - 3rd Advertisement in Augusta Chronicle March 29, 2007 - 4th Advertisement in Augusta Chronicle
Apr-07	April 3, 2007 - Memorandum from Geri Sams to Yvonne Gentry in reference to request for answers to questions submitted by vendors. April 9, 2007 - Addendum #1 sent out changing date from Wednesday, April 11, 2007 @ 3:00 p.m. to Friday, April 20, 2007 @ 11:00. April 9, 2007 - Email from Phyllis Mills to Yvonne Gentry, Mayor Deke Copenhaver, Geri Sams, and Fred Russell - Meeting to be set up to discuss questions and answers to be asked of vendors in reference to RFP 07-115 April 11, 2007 3:00 P.M. - Request for Proposals due to be open at 3:00 p.m. April 12, 2007 - Question and Answers were sent to all vendors in reference to questions received concerning bid proposals for RFP 07-115 April 20, 2007 (Friday) 10:03 a.m. - email from Yvonne Gentry to Phyllis Mills with a list of the Committee Members to serve on the Evaluation Committee. April 20, 2007 (Friday) 11:00 a.m. - RFP #07-115 Comprehensive Disparity Study RFP bid items are due and opened @ 11:00 a.m. April 25, 2007 - RFP Packages delivered to Department April 25, 2007 - Notification sent to Committee Members on date and time for the evaluation committee to meet.
May-07	May 3, 2007 10:00 a.m. - Evaluation Committee meeting consisting of the following members: Yvonne Gentry, Keith Brown, Kevin Glass, Harold Petteway, Jack Steinberg, Tom Beck, Gene Jessup, Rick Acree, Susan Kain, and Geri Sams. The following people were present: Susan Kain, Yvonne Gentry, Gene Jessup, Kevin Glass, Tom Beck, Keith Brown, Rick Acree, and Kathy Murry May 3, 2007 Memorandum from Eugene Jessup to Geri Sams in reference to Evaluation Committee Meeting May 9, 2007 - Notification sent to MGT Tallahassee and NERA for vendor presentation in reference to RFP 07-115 which included questions for the vendors to respond to during the presentation and copy of injunction against the City's current DBE Program. May 31, 2007 (Thursday) 9:00 p.m. - NERA vendor presentation in reference to RFP 07-115 - time changed from 10:45 due to vendors request May 31, 2007 (Thursday) 10:45 p.m. - MGT Tallahassee vendor presentation in reference to RFP 07-115 - time changed from 9:00 due to request from NERA May 31, 2007 - Evaluation Committee Meeting - Present: Steve Sheppard, Yvonne Gentry, Tom Beck, Kenneth Brown, Jack Steinberg, Phyllis Mills and Nancy Williams - Discussion of presentations with the committee recommendation of award to NERA
Jun-07	June 28, 2007 Recommendation of award from Yvonne Gentry in reference to RFQ #07-115

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Jul-07	No Date - Response from Kathy Murry in Procurement stating that the Ms. Gentry may proceed with adding RFQ#07-115 to the agenda. July 10, 2007 Commission Approval Request item #35 - Motion Carried 8-1 Approved awarded of the contract RFQ 07-115 Comprehensive Disparity Study to NERA in the amount of \$598,113.00 and directed the Administrator to negotiate for a lower price. July 16, 2007 Received copy of memorandum dated July 13, 2007 from Yvonne Gentry to Fred Russell, City Administrator concerning negotiating the best price of services with NERA. Mr. Russell requested a meeting set up to include Yvonne Gentry, Geri Sams, Tameka Allen and himself. July 23, 2007 (Monday) 2:38 P.M. Email from Yvonne Gentry to Department Heads: Subj: Requesting Assistance w/Attachments Proposed Consultant Questions for the Comprehensive Disparity Study.doc July 23, 2007 (Monday) 3:03 P.M. Email from Diana Darris to Yvonne Gentry: Subj: Requesting Assistance July 28, 2007 Memo from Yvonne Gentry to Geri Sams Subj: 07-115 - The evaluation committee unanimously selected NERA.
Aug-07	August 2, 2007 (Thursday) 3:08 P.M. Email from Rick Acree to Yvonne Gentry: Subj: Proposed Consultant Questions for the Comprehensive Disparity Study (2).doc August 7, 2007 Engineering Department to Ms. Gentry: Construction Work Program (Special 1% Sales Tax Monthly Status Report) August 9, 2007 - Memorandum to Board of Commissioners: Subj: Report to Commission on DBE and Local Participation August 17, 2007 (Friday) 2:14 P.M. Email from Diane L. Downs to Yvonne Gentry: Subj: Requesting Assistance August 18, 2007 (Saturday) 3:35 P.M. Email from Yvonne Gentry to Fred Russell: Subj: Comprehensive Disparity Study Recommendation
Sep-07	September 5, 2007 (Wednesday) 4:45P.M. Email from Jon Wainwright to Fred Russell: Subj: FW: Disparity study alternate budget scenarios w/Attachment BudgetARC v2 Original bytask.pdf; BudgetARC v2 less 50k.pdf; BudgetARC v2 less 50k by task. Pdf; BudgetARC v2 less 100k.pdf; Budget ARC v2 less 100k bytask.pdf September 5, 2007 (Wednesday) 4:45P.M. Email from Jon Wainwright to Fred Russell: Subj: FW: Disparity study alternate budget scenarios w/Attachment BudgetARC v2 Original bytask.pdf; BudgetARC v2 less 50k.pdf; BudgetARC v2 less 50k by task. Pdf; BudgetARC v2 less 100k.pdf; Budget ARC v2 less 100k bytask.pdf
Oct-07	October 31, 2007 Letter from Yvonne Gentry to Jon Wainwright: Forwarding Questionnaire sent from all Departments No Date Licensing & Inspection: Proposed Consultant's Questions for the Comprehensive Disparity Study No Date Augusta Regional Airport: Response to Questionnaire No Date Housing Neighborhood Development: Proposed Consultant's Questions for the Comprehensive Disparity Study No Date Utilities: Answers to Question on "Proposed Consultant's Questions for the Comprehensive Disparity Study" No Date Recreation and Parks Department : Proposed Consultant's Questions for the Comprehensive Disparity Study No Date Law Department: Proposed Consultant's Questions for the Comprehensive Disparity Study

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Nov-07

November 12, 2007 (Monday) 4:33 P.M. Email from Yvonne Gentry to Geri Sams: Subj: FW: Augusta disparity study data docs, round 1

November 12, 2007 (Monday) 4:59 P.M. Email from Jon Wainwright to Geri Sams: Subj: Augusta disparity study data docs, round 1

November 13, 2007 Preliminary injunction issued by Judge B. Avant Edenfield was made permanent by the Court Edenfield, Judge United States District Court Southern District of Georgia

November 14, 2007 (Wednesday) 2:45 p.m. Conference call - NERA - Call from Jon Wainwright - Procurement members present were Geri Sams, Phyllis Mills and Nancy Williams - Presented plan of action and requested information from Ms. Sams in reference to Procurement.

November 14, 2007 (Wednesday) 6:12 P.M. Email from Geri Sams to Jon Wainwright: Subj: Disparity Study (RFP #07-115)

November 17, 2007 Plan of Action for RFP 07-115 Disparity Study

November 17, 2007 (Saturday) 1:51 P.M. Email from Jon Wainwright to Geri Sams: Subj: Disparity Study (RFP #07-115) w/Attachments Data Query ARC.doc; Data Query ARC.xls

November 17, 2007 (Saturday) 3:28 P.M. Email from Geri Sams to Department Heads: Subj: Disparity Study w/Attachments Jon Nera email 11/17/07 doc.

November 19, 2007 (Monday) 4:42 P.M. Email from Jon Wainwright to Jon Wainwright: Subj: Holiday break

November 19, 2007 (Monday) 5:57 P.M. Email from Jon Wainwright to Geri Sams: Subj: Holiday break

November 26, 2007 (Monday) 4:58 P.M. Email from Jon Wainwright to Yvonne Gentry: Subj: Meeting w/Attachments RE: Disparity Study (RFP #07-115) Jon Nera email 11/17/07 doc.

November 27, 2007 (Tuesday) 12:09 P.M. Email from Jon Wainwright to Yvonne Gentry: Subj: Disparity Study (RFP #07-115)

November 27, 2007 Memorandum to Fred Russell, Keith Brown, Tameka Allen: Subj: Character Assassination Statement of character by Ms. Gentry's Report to Board

Dec-07

December 3, 2007 (Monday) 12:43 P.M. Email from Jon Wainwright to Geri Sams: Subj: ARC Geri Sams called

December 3, 2007 (Monday) 7:59 P.M. Email from Jon Wainwright to Geri Sams: Subj: Here is sample file of Purchase Orders (Sample 1 - 12/3/07)

December 4, 2007 (Tuesday) 10:51 A.M. Email from Jon Wainwright to Geri Sams: Subj: Here is sample file of Purchase Orders (Sample 1 - 12/3/07)

December 4, 2007 (Tuesday) 10:54 A.M. Email from Jon Wainwright to Geri Sams: Subj: Here is sample file of Purchase Orders (Sample 1 - 12/3/07)

December 5, 2007 (Wednesday) 12:10 P.M. Email from Jon Wainwright to Geri Sams: Subj: Vendors Listing Reports

December 6, 2007 (Thursday) 11:10 A.M. Email from Jon Wainwright to Geri Sams: Subj: Vendors Listing Reports

December 6, 2007 (Thursday) 11:43 A.M. Email from Jon Wainwright to Geri Sams: Subj: Vendors Listing Reports w/Attachments vendor ids matching.xls; vendor ids nonmatching.xls

December 6, 2007 (Thursday) 12:05 P.M. Email from Jon Wainwright to Geri Sams: Subj: Sample PO Summary Report and General Ledger 12 5 07

December 6, 2007 (Thursday) 12:13 P.M. Email from Jon Wainwright to Geri Sams: Subj: Please Call

December 8, 2007 (Saturday) 5:05 P.M. Email from Jon Wainwright to Geri Sams: Subj: Spreadsheet of COA 12/08/07

December 11, 2007 (Tuesday) 9:18 P.M. Email from Jon Wainwright to Geri Sams: Subj: PO data file for disparity study

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	December 12, 2007 (Wednesday) 9:33 A.M. Email from Mark Smith to Geri Sams: Subj: 2003 Partial file for NERA
	December 14, 2007 (Friday) 4:24 P.M. Email from Mark Smith to Geri Sams: Subj: Here is rest of 2003 PO's
	December 18, 2007 (Tuesday) 12:42 P.M. Email from Mark Smith to Geri Sams: Subj: Here is rest of 2004 files for NERA
	December 21, 2007 (Friday) 10:26 A.M. Email from Mark Smith to Geri Sams: Subj: Here is 2005 files for NERA
	December 26, 2007 (Wednesday) 9:41 A.M. Email from Mark Smith to Geri Sams: Subj: 2006 PO listings for NERA
	December 27, 2007 (Thursday) 8:51 A.M. Email from Mark Smith to Geri Sams: Subj: Here is 2007 PO reports for NERA
Jan-08	January 15, 2008 (Tuesday) 7:41 P.M. Email from Geri Sams to Fred Russell, Tameka Allen, Lena Bonner, Yvonne Gentry, Phyllis Mills, Nancy Williams, oldschoolegear34@aol.com, Chiquita T. Johnson: Subj: Purchase Orders for the Disparity Study for 2003-2007
	January 16, 2008 (Wednesday) 2:56 P.M. Email from Yvonne Gentry to Jon Wainwright, Geri Sams & Nancy Williams: Subj: Vendors Listing Reports w/Attachments Complete Listing of Procurement's P3 - Register DBEs.xls
	January 16, 2008 (Wednesday) 9:10 P.M. Email from Jon Wainwright to Yvonne Gentry, Geri Sams, Nancy Williams: Subj: Vendors Listing Reports
Feb-08	January 30, 2008 Administrative Services Committee -
	February 5, 2008 Commission - Item #18 - Approved the amended and restated Local Small Business Opportunities Program, effective March 3, 2008 and repeal in its entirety the Disadvantaged Business Enterprise Program, City Code of Ordinances, Section 1-10-62, inclusive as well as Sub-section 1-10-6. Approved by Administrative Services Committee 1/30/08
	February 19, 2008 Commission - Item 16 - Second Reading - Approved by Commission 2/5/08 - Second Reading
Apr-08	April 9, 2008 (Wednesday) 3:16 p.m. Email from Yvonne Gentry to Geri Sams cc: Virginia Williams and Lisa Sherrouse Subj: Payment for RFP 07-115 with included 2 invoices dated 12-25-07/1-28-08 and 1-29-08/2-25-08
	April 10, 2008 (Thursday) 9:35 a.m. Email from Lisa Sherrouse to Yvonne Gentry and Geri Sams to request that we issue a PO in the entire amount of \$548,093.00.
	April 10, 2008 (Thursday) 9:56 a.m. Email from Geri Sams to Lisa Sherrouse and Yvonne Gentry stating that we received request on Wednesday and are in process of creating a PO.
	April 10, 2008 Purchase Order #P148943 is issued to NERA Economic Consulting in the amount of \$548,093.00 in reference to RFP 07-115.
	April 22, 2008 (Tuesday) 2:24 P.M. Email from Yvonne Gentry to Jon Wainwright and Mark Smith: Subj: Open Hold Information
Jan-09	21-Jul-11
	January 12, 2009 Administrative Services Committee 1/12/09 Approved motion to approve an Ordinance, to amend the Augusta-Richmond County Local Small Business Opportunity Program (LSBOP) Ordinance.
	January 12, 2009 (Monday) 5:20 P.M. Email from Jon Wainwright to Yvonne Gentry: Subj: disparity study progress report w/Attachments Progress Report 20090112.pdf
	January 14, 2009 (Wednesday) 4:07 P.M. Email from Geri Sams to Tameka Allen and Fred Russell: Subj: FW: Disparity study

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	January 22, 2009 - Commission - Item #15 Deferred until the next Committee Meeting the motion to approve an Ordinance, to amend the Augusta-Richmond County Local Small Business Opportunity Program (LSBOP) Ordinance. Approved by Administrative Services Committee 1/12/09
Feb-09	February 11, 2009 Administrative Services Committee 2/11/09 Approved motion for the Supplemental Consulting Service Agreement with NERA February 12, 2009 Procurement Meeting to discuss vendor file clean-up in IFAS February 17, 2009 Commission, Item #9 - Approved the Supplemental Consulting Service Agreement with NERA - Approved by Administrative Services Committee 2/11/09
Mar-09	March 2, 2009 Business License Inquiry Only Access for Procurement - Geri Sams, Rob Sherman, Doreen Holmes, Kathy Jackson, Valerie Taylor, Nancy Williams March 5, 2009 Business License Inquiry Only Access for Procurement - Geri Sams, Rob Sherman, Doreen Holmes, Kathy Jackson, Valerie Taylor, Nancy Williams
Aug-09	August 24, 2009 Administrative Services Committee Approved motion receiving the final presentation from the consultant on the Disparity Study by September 21st or sooner if possible.
Sep-09	September 9, 2009 Commission: Item #12 - Approved receiving the final presentation from the consultant on the Disparity Study by September 21st or sooner if possible. Approved by Administrative Services Committee 8/24/09 September 23, 2009 Disparity Study - Fred Russell, Tameka Allen, Geri Sams, Yvonne Gentry, Andrew Mackenzie - Administrator request to review Disparity Study findings. September 29, 2009 Task Force Plan - Recommendation for Revised Contracting Policies and Procedures - Fred Russell, Geri Sams, Tameka Allen, Donna Williams, Yvonne Gentry, Phyllis Mills, Doreen Holmes, Nancy Williams, Brenda Brown
Oct-09	Conference call with NERA - Jon Wainwright , IT, Yvonne Gentry
Dec-09	December 4, 2009 - Disparity Study Path Forward - Tameka Allen, Yvonne Gentry, Geri Sams, Andrew Mackenzie December 7, 2009 - Contracting Task Force - Streamline Procurement Procedures and Forms - Increase Vendor Communication and Outgrowth - Abie Ladson, Tom Wiedmeier, Mike Green, Drew Goins, Geri Sams, Phyllis Mills, Yvonne Gentry, Mark Smith, Nancy Williams December 8, 2009 - System Cleanup - Geri Sams, Tameka Allen, Donna Williams, Doreen Holmes, Mike Blanchard, Valerie Taylor, Nancy Williams December 14, 2009 - Increase Contract Unbundling - Geri Sams, Tameka Allen, Drew Goins, Mark Johnson, Yvonne Gentry, Mike Green, Nancy Williams
Jan-10	January 7, 2010 - Increase Contract Unbundling - Geri Sams, Tameka Allen, Drew Goins, Mark Johnson, Yvonne Gentry, Mike Green, Nancy Williams
Jul-11	July 21, 2011 Consent Order and Judgment Approving Settlement and Modifying Injunction was issued by Judge B. Avant Edenfield
Feb-13	February 13, 2013 Administrative Services: Item #7 - Update from staff regarding the status of the Disparity Study - Motion to approve receiving this item as information passed 3-0
Mar-13	

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Apr-13	March 25, 2013 Administrative Services Committee April 2, 2013 Approved Commission: Item #27 - Approved Commission review of its commitment to the DBE Program and determine what steps are necessary to move the goals forward for DBE/Small Business Program - Approved by Administrative Services Committee March 25, 2013 April 2, 2013 Approved Commission: Item #28 - Tasked the Administrator and DBE Coordinator in formulating a plan to maximize the utilization of the Small Business Opportunity Program for Augusta Procurements by ensuring that all data to support a future disparity study is being collected and maintained. A strategic plan designed to accomplish this task needs to be submitted to the Administrative Services Committee no later than June 30, 2013 - Approved by Administrative Services Committee March 25, 2013
Jun-13	June 4, 2013 Commission: Item #45 - Tasked the Administrator to draft an administrative rule relative to the Disparity Study to be followed by the Department Directors. Requested by Commissioner Williams
Jul-13	July 18, 2013 Commission: Item #40 - Presentation by Ellis Albright of the CSRA Business League regarding minority women and disadvantaged businesses. (No recommendation from Administrative Services.) Substitute motion to accept Mr. Albright's proposal - failed - Motion to accept as information - failed - Request by Commissioner Williams to be placed on next committee meeting) July 16, 2013 Commission: Item #31 - Consider for approval presentation by Mr. Ellis Albright of the CSRA Business League regarding minority, women and disadvantaged businesses. Motion by Commissioner Williams to forward back to committee.
Aug-13	August 6, 2013 Commission: Item #37 - Consider for approval presentation by Mr. Ellis Albright of the CSRA Business League regarding minority, women and disadvantaged businesses. (No recommendation from Administrative Services Committee July 29, 2013) Secondary motion to have the Administrator, the DBE and Mr. Albright to get together and come back to the Commission with a proposal - Failed. Motion to accept as information - Failed. August 20, 2013 Commission: Item #9 - Motion to approve a presentation by Mr. Ellis Albright of the CSRA Business League regarding minority, women and disadvantaged businesses. (Approved by Administrative Services Committee August 12, 2013) Most to instruct the Administrator and the DBE Director to get together with the CSRA Business League to discuss this further - Passed August 20, 2013 Commission: Item #27 - Received as information an update from Administrator/DBE Coordinator regarding the commission's April 2, 2013 directive. Requested by Commissioner Williams
Sep-13	August 26, 2013 Administrative Services Committee September 3, 2013 Commission: Item #3 - Approved to direct the Law Department, DEB Director and Procurement to meet and come back with a finished product at the next legal meeting regarding Augusta, Georgia's DBE Program for federally assisted contracts in order to comply with the Dept. of Transportation's program and update of the DBE rules 49 CFR Part 23 Approved by Administrative Services Committee 8/26/13 September 17, 2013 Commission: Item #39 - Returned to Administrative Services Committee the discussion about the businesses who are not participating in providing data for the Disparity Study. Requested by Commissioner Williams Referred from August 28 Administrative Services Committee
Feb-14	February 10, 2014 Administrative Services

Item # 2

Disparity Study Timeline

EXHIBIT C

Apr-14	February 18, 2014 Commission: Item 32 - Directed the interim Administrator to find a funding source to allow the DBE Coordinator to work with the Information Technology Department to purchase software and a future disparity study; and approve tasking the DBE Coordinator to draft a RFQ and develop a minority program. No recommendation Administrative Services Committee 2/10/14 April 15, 2014 Commission: Item #10 - Approved tasking the Procurement Director, DBE coordinator and Law Department to meet to see where they are in the process to begin a future Disparity study and determine what steps need to be taken to move forward.
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**Administrative Services Committee Meeting
7/7/2014 12:50 PM
Minutes**

Department: Clerk of Commission

Caption: Motion to approve the minutes of the Administrative Services Committee held on June 9, 2014.

Background:

Analysis:

Financial Impact:

Alternatives:

Recommendation:

**Funds are Available
in the Following
Accounts:**

REVIEWED AND APPROVED BY:



Administrative Services Committee Meeting Commission Chamber - 6/9/2014

ATTENDANCE:

Present: Hons. Lockett, Chairman; Davis, Vice Chairman; Fennoy and Jackson, members.

Absent: Hons. Deke Copenhaver, Mayor and Jackson, member.

ADMINISTRATIVE SERVICES

1. Discuss employees attending the June 2 - 7 SUNGARD Software Conference held in Anaheim, CA. (Requested by Commissioner Marion Williams) **Item Action: Approved**

Motions

Motion Type	Motion Text	Made By	Seconded By	Motion Result
Approve	Motion to approve receiving this item as information. Motion Passes 3-0.	Commissioner Mary Davis	Commissioner William Fennoy	Passes

2. Discuss the Mercer Group Contract, lack of commission approval, state law and the procurement process. (Requested by Commissioner Marion Williams) **Item Action: Approved**

Motions

Motion Type	Motion Text	Made By	Seconded By	Motion Result
Approve	Motion to approve receiving this item as information. Motion Passes 3-0.	Commissioner Mary Davis	Commissioner William Fennoy	Passes

3. Motion to approve the minutes of the Administrative Services Committee held on May 27, 2014. **Item Action: Approved**

Motions

Motion Type	Motion Text	Made By	Seconded By	Motion Result
Approve	Motion to approve. Motion Passes 3-0.	Commissioner Mary Davis	Commissioner William Fennoy	Passes

4. Request to amend City Code for Augusta Georgia by deleting Article 2, Section 8-5-11 through 8-5-24 in its entirety and replace it with City Code Article 2, Sections 8-5-11 through 8-5-42 (Roads and Addressing). The Code was set forth to provide a system for successfully assigning road names and address within the City and conferred the authority to the Augusta Planning Commission (aka Planning and Development Department). This request will assign that authority to the Augusta Information Technology-GIS Division (IT-GIS) and update other aspects of the Code to allow for current technology to assist in road naming and addressing. Subdivisions and Development Plans must have received from IT-GIS an approved list of road names and addresses before submittal to the Planning and Development Department for review. Road names and addresses have not been properly vetted and public safety issues have arisen.
- Item Action:**
Approved

Motions

Motion Type	Motion Text	Made By	Seconded By	Motion Result
Delete	Motion to delete this item from the agenda. Motion Passes 3-0.	Commissioner Mary Davis	Commissioner William Fennoy	Passes

5. Approve the FY 2015 Metropolitan Transportation Planning Services contract between Augusta, Georgia and the Georgia Department of Transportation.
- Item Action:**
Approved

Motions

Motion Type	Motion Text	Made By	Seconded By	Motion Result
Approve	Motion to approve adding this item to the agenda and approving it. Motion Passes 3-0.	Commissioner Mary Davis	Commissioner William Fennoy	Passes

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Administrative Services Committee Meeting
7/7/2014 12:50 PM
Motion to Amend PPPM related to MVR Checks

Department: Risk Management

Caption: An Ordinance to amend the Augusta, GA Code Title One Article Four Section 1-7-51 relating to the adoption of Personnel Policies and Procedures of Augusta, Georgia; to amend Section 1000.108 AND Addendum Form RM-MVR-RF of the Personnel Policies and Procedures Manual regarding Motor Vehicle Records Check; to repeal all Code Sections and Ordinances and parts of Code Sections and Ordinances in conflict herewith; to provide an effective date and for other purposes.

Background: PPPM currently requires a 7-year motor vehicles check for all potential employees who drive as part of their potential positions with Augusta, Georgia. After receiving feedback from some department directors that felt this was punitive, the Risk Management Committee reviewed the policy. The Committee recommends that a 5-year history be used for scoring with the inclusion of all 7 years if the report revealed a pattern of behavior that could pose a risk. This would appropriately address Risk Managements concerns while not over penalizing a person for one mistake that happened several years ago.

Analysis:

Financial Impact:

Alternatives: Deny; Approve but require second reading

Recommendation: Approve and waive second reading

**Funds are Available
in the Following
Accounts:**

REVIEWED AND APPROVED BY:

Finance.

Law.

Administrator.

Clerk of Commission

ORDINANCE NO. _____

AN ORDINANCE TO AMEND THE AUGUSTA, GA CODE TITLE ONE ARTICLE FOUR SECTION 1-7-51 RELATING TO THE ADOPTION OF PERSONNEL POLICIES AND PROCEDURES OF AUGUSTA, GEORGIA; TO AMEND SECTION 1000.108 AND ADDENDUM FORM RM-MVR-RF OF THE PERSONNEL POLICIES AND PROCEDURES MANUAL REGARDING MOTOR VEHICLE RECORDS CHECK; TO REPEAL ALL CODE SECTIONS AND ORDINANCES AND PARTS OF CODE SECTIONS AND ORDINANCES IN CONFLICT HEREWITH; TO PROVIDE AN EFFECTIVE DATE AND FOR OTHER PURPOSES.

WHEREAS, Section 1000.108 and Addendum Form RM-MVR-RF of the Personnel Policy and Procedures Manual requires a seven (7) year Motor Vehicle Record (MVR) check and analysis for all candidates for employment that require driving as a part of their potential position;

WHEREAS, the Risk Management Committee has reevaluated this policy and is recommending changes to the policy to address concerns of unnecessarily penalizing candidates for employment; and

WHEREAS, Augusta, Georgia desires to update and amend Section 1000.108 and Addendum Form RM-MVR-RF of the Personnel Policy and Procedures Manual which is part of AUGUSTA, GA. CODE Section 1-7-51 to modify the MVR requirements.

THE AUGUSTA, GEORGIA COMMISSION, ordains as follows:

SECTION 1. AUGUSTA, GA. CODE Section 1-7-51 as set forth in the Augusta, Ga. Code, re-adopted March 1, 2011 (Ord. 7323), is hereby amended by striking Section 1000.108 and Addendum Form RM-MVR-RF of the incorporated Personnel Policy and Procedures Manual in their entirety and inserting in lieu thereof new Section 1000.108 and Addendum Form RM-MVR-RF as set forth in "Exhibit A" hereto.

SECTION 2. This ordinance shall become effective upon its adoption in accordance with applicable laws.

SECTION 3. All ordinances or parts of ordinances in conflict herewith are hereby repealed.

Adopted this ____ day of _____, 2014.

David S. Copenhaver
As its Mayor

Attest:

Lena J. Bonner, Clerk of Commission
Seal:

Published in the Augusta Chronicle.

Date: _____

First Reading:_____

Second Reading: Waived

EXHIBIT A

Section 1000.108 MOTOR VEHICLE RECORDS CHECK

- A. Potential Employees - Persons applying for a position requiring the driving of Augusta-owned vehicles (any position which requires the applicant to drive an Augusta, Georgia vehicle as a function of his or her job) or a position requiring driving within the course and scope of employment (even if it is a personal vehicle) will be required to successfully complete a motor vehicles records check. If the candidate is resident of Georgia or South Carolina, he/she must sign a release allowing Augusta, Georgia to run a seven (7) year driving history at the time of contingent job offer. If not a resident of Georgia or South Carolina, then the candidate will need to provide this record from the state of residency of the potential new hire. Potential employees who fail to provide the required records check or who refuse to sign a release for such records will not be considered qualified. See Addendum MVR Review Form for evaluation criteria.
- B. Regular Employees - Employees whose license is suspended for traffic violations of Driving Under the Influence (DUI) and whose job requires they drive an Augusta, Georgia vehicle or who is required to drive within the course and scope of employment (even if it is a personal vehicle) may be terminated for failure to perform job responsibilities.
- C. Any employee who is subject to drive an Augusta, Georgia vehicle or who is required to drive within the course and scope of employment (even if it is a personal vehicle) may have a Motor Vehicle Records check directed/requested as a condition of employment. Only Department Directors, Attorneys of the Law Department, Safety Review Committee, Risk Management Committee, Risk Management Director or Assistant Director, or Augusta, Georgia Administrator can direct the check. Employees required to drive an Augusta, GA vehicle in connection with their job responsibilities or who are required to drive within the course and scope of employment (even if it is a personal vehicle) will have an annual MVR run during their birth month.
- D. Employees who have been involved in two or more vehicle accidents within a one year period or whose Motor Vehicle Records Check shows repetitive traffic violations may have their Augusta, Georgia vehicle driving privileges revoked. Risk Management will identify employees in this category and forward the necessary information to the Risk Management Committee for appropriate action. The employee will be notified in writing that his or her driving record is being reviewed and they should attend the meeting to present reasons why their driving privileges for Augusta, Georgia vehicles should not be revoked. Risk Management Committee has the authority to direct a Letter of Intent to terminate the employee's employment for continued unacceptable driving practices.
- E. A Motor Vehicle Records Review Form (See Addendum MR-MVR-RF) will be completed for any employee or potential employee subjected to a Motor Vehicle Records Check. The following standards will be applied to the results of the MVR Review Form:
 1. Unacceptable: Termination of Augusta, Georgia driving privileges;
 2. Questionable: Probation of Augusta, Georgia driving privileges and attendance at mandatory driver training with testing; Any further violations while on probation status can result in potential termination of Augusta, Georgia driving privileges;
 3. Marginal: Augusta, Georgia driving privileges are maintained with the stipulation that they attend mandatory driver training Any future violations, depending on the MVR Review Form score will/can result in potential probation or termination of Augusta, Georgia driving privileges.
 4. Acceptable: Augusta, Georgia driving privileges maintained; and
 5. Adjustments: For potential employees a 7 year MVR will be run but only the most recent 5 years will be reviewed unless the score is in the Questionable range (7-9). If the score is 7-9 on this review the review will be expanded to include all 7 years. A 1-point adjustment will be given for each year there is no violation.

Form RM-MVR-RF

MVR Review Form

Name _____ Date of MVR _____

Dept: _____ Job Title _____

License Status:

Current Points:

Current Employees convictions in last 3 years; Potential employees review 5 years of 7 years

if 5 yr scored QUESTIONABLE review all 7 yrs # of Incidences Total Score Date/Violation/Pts

At-fault accident with fatality _____ X 10 = 0 _____

DUI/operating while impaired _____ X 8 = 0 _____

Chemical test refusal _____ X 8 = 0 _____

Fleeing police _____ X 8 = 0 _____

Reckless/careless driving _____ X 6 = 0 _____

Driving under suspended license _____ X 6 = 0 _____

Leaving scene of accident _____ X 4 = 0 _____

Speeding (≥ 15 mph over limit or over 75 mph) _____ X 3 = 0 _____

At-fault accident _____ X 2 = 0 _____

Speeding (< 15 mph over limit) _____ X 2 = 0 _____

Improper/illegal lane change or turn _____ X 2 = 0 _____

Following too closely _____ X 2 = 0 _____

Traffic signal offenses _____ X 2 = 0 _____

Failure to yield _____ X 1 = 0 _____

Failure to signal _____ X 1 = 0 _____

Operating a defective vehicle _____ X 1 = 0 _____

Other _____ X 1 = 0 _____

Describe: _____ 0 _____

1 Pt adjustment made for each year no violation (potential 0 0 _____employees only) _____Other issues with Record: _____

TOTAL SCORE: 0

Total Scores are:

10 or more Unacceptable

7 – 9 Questionable

4 – 6 Marginal

0 – 3 Acceptable

Reviewer: SANDRA M WRIGHT, RISK MANAGER Date: _____Notification: SHIRLEY GUERRERO, HUMAN RESOU Date: _____

Recommendation: _____

Reason: MVR SCORE _____



Administrative Services Committee Meeting
7/7/2014 12:50 PM
Motion to Approve Reorganization of Law Department

Department: Law

Caption: Motion to approve Law Department reorganization to include reclassifying vacant staff attorney position to deputy general counsel, eliminating an administrative clerk position and temporary positions and creating a paralegal position.

Background: BACKGROUND AND ANALYSIS The Law Department budget has been reduced nearly every year for the last few years. The Law Department budget was reduced approximately \$220,000 in 2014 alone, yet the legal needs of the Commission and departments continue to increase. The Law Department is in need of and therefore proposing a reorganization to improve the efficiency and functionality of the department without increasing the budget. The Law Department has a staff attorney position that is currently vacant. Further, the Law Department was recently notified that one of its administrative staff will be transitioning to a part-time role on October 1. In order to address both of these vacancies, the Law Department has developed a reorganization plan that will further develop a succession plan for the department, establish essential staffing structure, and improve efficiency. The proposed reorganization consists of reclassifying the currently vacant staff attorney position to a deputy general counsel position, eliminating the administrative clerk and temporary positions, and creating a paralegal position. The elimination of the administrative clerk position and temporary positions will free up sufficient funds in salaries currently in the Law Department budget to fund the reorganization. It is anticipated that the deputy general counsel position will be filled from within through a competitive job posting process and ultimately will result in an additional salary expense of approximately \$19,000 (depending on the qualifications of the candidate selected for the deputy general counsel position and any other vacancies being filled). It is expected that the paralegal position will be filled through an external competitive job posting process and will result in an additional salary expense of approximately \$45,000 depending on the education and experience of the selected candidate. Finally, it is anticipated that approximately \$19,500 will be necessary to fill the staff attorney position that will be vacant as a result of the

Cover Memo
Item # 5

internal promotion(s) due to the creation of the deputy general counsel position. Therefore, it is projected that the reorganization will be revenue neutral. Further, from 2009 through 2012, the Law Department has reduced overall legal expenses by \$310,000 per year by doing more legal work in-house as well as implementing preventative measures to minimize legal exposure. To effectively continue to maintain lower overall legal expense while maintaining (and increasing) service levels, it is necessary to have a sufficiently qualified Deputy General Counsel, so that General Counsel can have adequate opportunity to provide greater guidance and oversight relative to Augusta's overall legal needs and concerns, delegate and evaluate critical assignments, while still being able to respond to the needs of the Commissioners, departmental directors and other governmental clients. Upgrading the Staff Attorney position to Deputy General Counsel will prove help to maximize the capacity of the Law Department to reduce outside counsel expenses while reducing overall litigation exposure. Additionally, the inclusion of a paralegal to the Law Department staff will further advance the efficiency of the Law Department attorneys by providing much needed legal research, as well as administrative, organizational, and scheduling support. A phased approach is being proposed for this reorganization: Phase 1 – immediately: create, post internally, and fill the Deputy General Counsel position; post internally and fill any vacancy created by the filling of the Deputy General Counsel position; post externally and fill Staff Attorney vacancy created by filling aforementioned positions; and Phase 2 – October, 2014: eliminate administrative clerk and temporary positions; create, post externally, and fill paralegal position.

Analysis:

Financial Impact: Allows the Law Department to operate more effectively and efficiently without any additional funding needed

Alternatives: Deny

Recommendation: Approve

**Funds are Available
in the Following
Accounts:**

REVIEWED AND APPROVED BY:

Clerk of Commission

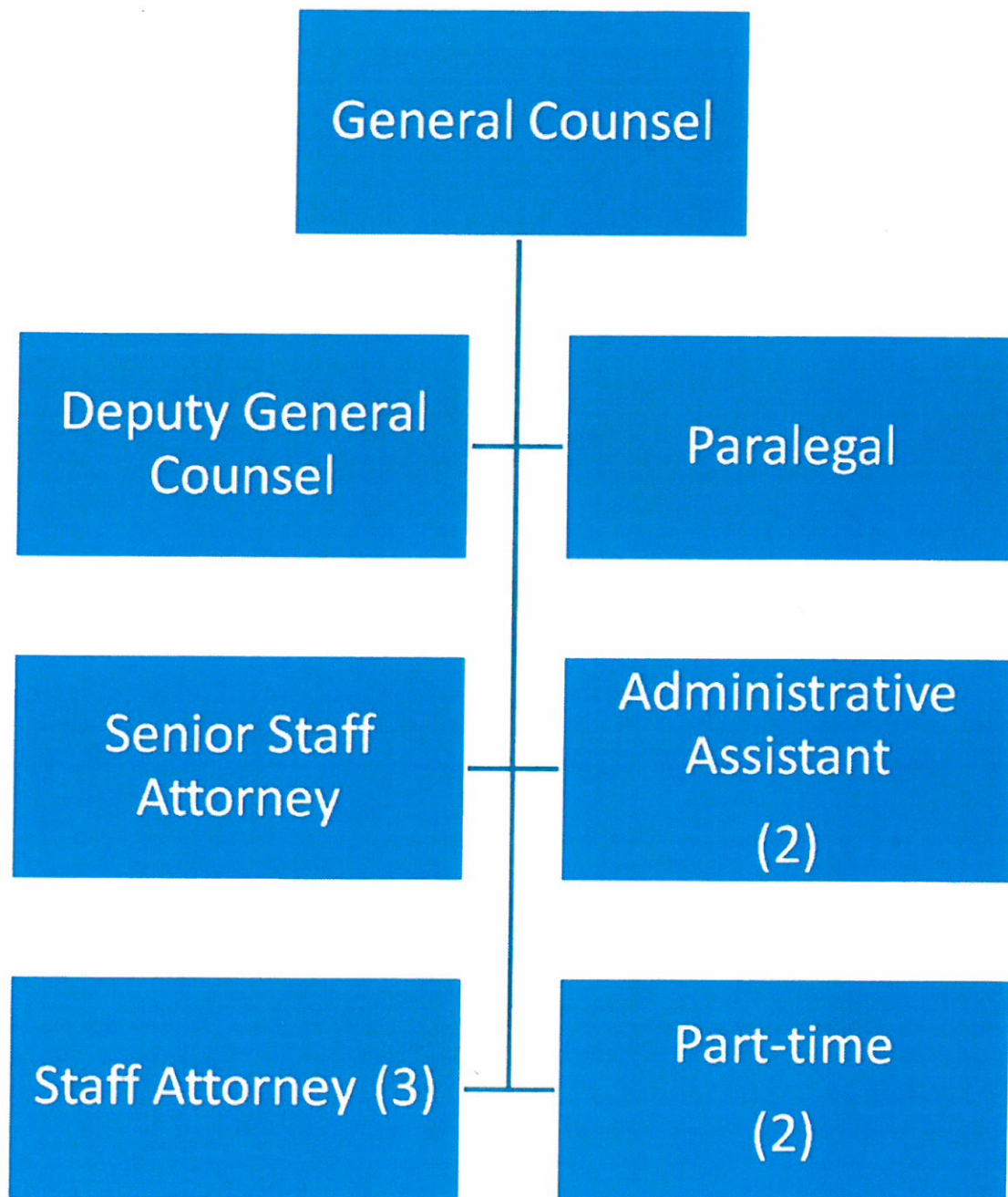
Cover Memo

Item # 5

Cover Memo

Item # 5

LAW DEPARTMENT PROPOSED ORGANIZATIONAL CHART



Proposed

Augusta-Richmond County Job Description

Approved Title: Deputy General Counsel I

Job Code:

FLSA Classification: Exempt

Working Job Title: Deputy General Counsel

Pay Grade: SES III

Date Revised: October 15, 2012

Department: Law

Original Date Prepared: October 15, 2012

Reports to: General Counsel

Does the Position Have Direct Reports? Yes ☒ No ☐

If Yes, What is the Title of the Position that Reports to this Position: Staff Attorneys (as directed by General Counsel), Law Clerks, Paralegals and Administrative Staff

Is this Position Safety Sensitive? Yes ☐ No ☒

GENERAL SUMMARY: This position serves as the assistant director of the Law Department and operates as chief legal advisor to Augusta, Georgia in the General Counsel's absence or at his or her request. The Deputy General Counsel is responsible for handling complex legal matters to include litigation in state and federal courts, real estate/real property and economic development, contract review, and drafting of resolutions, ordinances and motions. Provides legal counsel and representation to the Augusta, Georgia Commission, Administrator, government officers, department directors, boards, authorities and employees and renders complex written and verbal legal opinions. Reports to the General Counsel and, as directed by General Counsel, may: preside at public meetings of the Augusta, Georgia Commission and other boards and authorities; supervise, train and mentor staff attorneys and other personnel of the Law Department; consult with the media regarding legal matters. Assists General Counsel with: the selection, management and review of outside counsel; administration of Law Department's budget, expenditures and departmental policies; ensuring that exemplary legal services are provided to the Commission and all departments of the Augusta, Georgia government.

KEY RESPONSIBILITIES AND PERFORMANCE STANDARDS

Percentages	Describe the duties and responsibilities of the position in the spaces provided below and assign percentage of time spent on each area on the left column space.
35%	Serves as legal counsel and provides representation, legal advice, and legal support to Augusta, Georgia Commission, Augusta, Georgia's elected officials, Administrator, various departments, boards and authorities.
20%	Attends meetings of the Augusta, Georgia Commission/Committee, authorities, boards, commission, zoning hearings, and staff meetings and serves as legal counsel to Augusta, Georgia Commission during its Committee, Full Session, Closed Legal Session and Special Call meetings at the direction of the General Counsel.
15%	Represents government in complex federal, state and administrative litigation proceedings using knowledge of and experience practicing under the Federal Rules of Civil Procedure, the Georgia Civil Practice Act and the Georgia Uniform Rules of Superior Court.
12%	Manages, supervises, trains and mentors staff attorneys, legal interns, paralegals and administrative personnel as directed by General Counsel. Participates in the recruitment and selection of staff attorneys, outside counsels, interns and other personnel.
10%	Renders written and verbal legal opinions to Augusta, Georgia Commission, Mayor, Administrator and Department Directors as directed by the General Counsel. May write legal articles pertaining to local government and areas of practice.
5%	Assists General Counsel with the development, administration and supervision of the Law Department's policies, budget, personnel, and relations with the Commission, local legislative delegation, legal profession, and media and public, as well as the on-going development and communication of legal policies for Augusta, Georgia.
2%	Conducts legal training and provides legal supervision of Augusta, Georgia's elected officials, Administrator, various departments, boards and authorities at the direction of General Counsel.
1%	Maintains high level of professional skills through attending conferences and seminars in relevant areas of law. Performs other related duties and all Law Department directives as assigned. Maintains professional demeanor and dress at all times.

Percentages Describe the duties and responsibilities of the position in the spaces provided below and assign percentage of time spent on each area on the left column space.

100% Total: 100

This section's percentage must total 100%.

REQUIRED MINIMUM QUALIFICATIONS:

Education: Juris Doctorate Degree.

Experience: Six (6) or more years of experience in local government law, litigation, and real estate, or similar and sufficient experience to perform principal duties and responsibilities of the position.

Knowledge/Skills/Abilities:

- Expertise in local government law, civil litigation and/or related areas of law.
- Knowledge of court local rules and procedures.
- Skill in conducting legal research (online legal research and knowledge of traditional research practices).
- Strong organizational and proofreading skills.
- Ability to draft and prepare legal documents.
- Considerable knowledge of operations of governmental departments and procedures, governmental and departmental policies and applicable state and local rules and regulations.
- Skilled in oral communication, interpersonal relations, and legal and business writing.

Certification: Must be an active member of the Georgia Bar Association and in good standing.

OTHER:

Does this position require staff call up in an emergency situation? Yes ☐ No ☒

Is travel from office to other locations required of this position? Yes ☒ No ☐

If yes, what is the percentage of travel involved? Less than 50%? Yes ☒ No ☐ More than 50%? Yes ☐ No ☒

PHYSICAL REQUIREMENTS:

Please indicate a yes or no as applicable below		
Occasional lifting of light objects less than 75 lbs.	Yes ☒	No ☐
Intermittent sitting	Yes ☒	No ☐
Standing	Yes ☒	No ☐
Stooping	Yes ☐	No ☒
Crouching	Yes ☐	No ☒
Walking	Yes ☒	No ☐
Reaching	Yes ☐	No ☒
Pulling	Yes ☒	No ☐
Fingering	Yes ☒	No ☐
Grasping	Yes ☐	No ☒
Feeling	Yes ☒	No ☐
Talking	Yes ☒	No ☐
Hearing	Yes ☒	No ☐
Seeing	Yes ☒	No ☐
Repetitive Motions	Yes ☒	No ☐
Is work performed in an office setting?	Yes ☒	No ☐

FINANCIAL RESPONSIBILITY:

Is this position involved in a budgetary or financial approval responsibility? Yes ☐ No ☒

If yes, please indicate size of budget or financial approval responsibility in annual dollar amount: \$0 _____

TRAINING & SUPERVISORY RESPONSIBILITY:

How many people are being supervised or trained? None ☐

One staff Yes ☐ No ☐ Two to five staff Yes ☒ No ☐ Six to ten staff Yes ☐ No ☐ More than ten staff Yes ☐ No ☐

The preceding job description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities, and qualifications required of employees to this job.

REVIEW/APPROVALS

Employee

Date

Department Director

Date

Compensation Administration Staff

Date

HR Director

Date

Proposed

Augusta, Georgia Job Description

Approved Title: Senior Staff Attorney I
Working Job Title: Senior Staff Attorney
Department: Law

Job Code:
Pay Grade: SES II

FLSA Classification: Exempt
Date Revised: October 18, 2012
Original Date Prepared: April 23, 2010

Reports to: General Counsel

Does the Position Have Direct Reports? Yes ☒ No ☐

If Yes, What is the Title of the Position that Reports to this Position: Staff Attorneys (as directed by General Counsel), Law Clerks, Paralegals and Administrative Staff

Is this Position Safety Sensitive? Yes ☐ No ☒

GENERAL SUMMARY: This position is responsible for: handling complex legal matters to include litigation in state and federal courts; reviewing and editing contracts; drafting resolutions, ordinances and policies; providing legal counsel and representation to the Augusta, Georgia Commission, Administrator, government officers, department directors, boards, authorities and employees in their official capacities and renders complex written and verbal legal opinions. At the direction of General Counsel, may: manage legal services provided by outside counsel; supervise staff attorneys, law clerks, legal interns, paralegals, and administrative staff; preside at public meetings of the Augusta, Georgia Commission and other boards and authorities. Reports to General Counsel.

KEY RESPONSIBILITIES AND PERFORMANCE STANDARDS

Percentages Describe the duties and responsibilities of the position in the spaces provided below and assign percentage of time spent on each area on the left column space.

- | | |
|-----|---|
| 40% | Serves as legal counsel and provides representation, legal advice, and legal support to Augusta, Georgia Commission, Augusta, Georgia's elected officials, Administrator, various departments, board and authorities. |
| 30% | Manages litigation and provides legal representation in complex federal, state and administrative litigation proceedings using knowledge of and experience practicing under the Federal Rules of Civil Procedure, the Georgia Civil Practice Act and the Georgia Uniform Rules of Superior Court. |
| 12% | Manages, supervises, mentors, and trains staff attorneys, legal interns, paralegals and administrative personnel as directed by General Counsel. May participate in the recruitment and selection of staff attorneys, interns and staff personnel. |
| 6% | Attends meetings of the Augusta, Georgia Commission/Committee, authorities, boards, commission, zoning hearings, and staff meetings as assigned and directed by General Counsel and at the direction of the General Counsel, serves as legal counsel to Augusta, Georgia Commission during its Committee, Full Session, Closed Legal Session and Special Call meetings. |
| 5% | Renders written and verbal legal opinions to Augusta, Georgia Commission, Mayor, Administrator and Department Directors as directed by General Counsel. May write legal articles pertaining to local government or areas of practice. |
| 5% | Conducts legal training and provide legal supervision of various departments and other personnel as to current law and consultation, pursuant to the direction of General Counsel. |
| 1% | Maintains high level of professional skills through attending conferences and seminars in relevant areas of law. |
| 1% | Performs other related duties and all Law Department directives as assigned. Maintains professional demeanor and dress at all times. |

100% Total: 100

This section's percentage must total 100%.

REQUIRED MINIMUM QUALIFICATIONS:**Education:** Juris Doctorate Degree.**Experience:** Four (4) or more years of experience in local government law, litigation, and real estate, or similar and sufficient experience to perform principal duties and responsibilities of the position.**Knowledge/Skills/Abilities:**

- Expertise in local government law, civil litigation and/or related areas of law.
- Knowledge of court local rules and procedures.
- Skilled in conducting legal research (online legal research and knowledge of traditional research practices).
- Strong organizational and proofreading skills.
- Ability to draft and prepare legal documents.
- Considerable knowledge of operations of governmental departments and procedures, governmental and departmental policies and applicable state and local rules and regulations.
- Skilled in oral communication, interpersonal relations, and legal and business writing.

Certification: Must be an active member of the Georgia Bar Association and in good standing.**OTHER:**Does this position require staff call up in an emergency situation? Yes ☐ No ☒Is travel from office to other locations required of this position? Yes ☒ No ☐If yes, what is the percentage of travel involved? Less than 50%? Yes ☒ No ☐ More than 50%? Yes ☐ No ☒**PHYSICAL REQUIREMENTS:**

Please indicate a yes or no as applicable below		
Occasional lifting of light objects less than 75lbs.	Yes ☒	No ☐
Intermittent sitting	Yes ☒	No ☐
Standing	Yes ☒	No ☐
Stooping	Yes ☐	No ☒
Crouching	Yes ☐	No ☒
Walking	Yes ☒	No ☐
Reaching	Yes ☒	No ☐
Pulling	Yes ☒	No ☐
Fingering	Yes ☒	No ☐
Grasping	Yes ☐	No ☒
Feeling	Yes ☒	No ☐
Talking	Yes ☒	No ☐
Hearing	Yes ☒	No ☐
Seeing	Yes ☒	No ☐
Repetitive Motions	Yes ☒	No ☐
Is work performed in an office setting?	Yes ☒	No ☐

FINANCIAL RESPONSIBILITY:Is this position involved in a budgetary or financial approval responsibility? Yes ☐ No ☒

If yes, please indicate size of budget or financial approval responsibility in annual dollar amount: \$0 _____

TRAINING & SUPERVISORY RESPONSIBILITY:How many people are being supervised or trained? None ☐One staff Yes ☐ No ☒ Two to five staff Yes ☒ No ☐ Six to ten staff Yes ☐ No ☒ More than ten staff Yes ☐ No ☒

The preceding job description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities, and qualifications required of employees to this job.

REVIEW/APPROVALS_____
Employee_____
Date_____
Department Director_____
Date_____
Compensation Administration Staff_____
Date_____
HR Director_____
Date

Augusta, Georgia

Job Description

Proposed

Approved Title: Paralegal
Working Job Title: Paralegal
Department: Law
Reports to: General Counsel

Job Code:
Pay Grade: 48

FLSA Classification: Non-Exempt
Date Revised:
Original Date Prepared: July 2, 2013

Does the Position Have Direct Reports? Yes ☐ No ☒

If Yes, What is the Title of the Position that Reports to this Position: N/A

Is this Position Safety Sensitive? Yes ☐ No ☒

GENERAL SUMMARY:

Provides paralegal, including administrative, support to the Law Department within the guidelines of relevant federal, state, and local governmental codes and ordinances, governmental policies and procedures, and department rules. Reports to the General Counsel, or other designated person, and works with attorneys, department heads, employees in other departments, elected officials, media officials and the general public to provide paralegal support. May require a high degree of confidentiality.

KEY RESPONSIBILITIES AND PERFORMANCE STANDARDS

Percentages	TYPICAL CLASS ESSENTIAL DUTIES:
35%	Performs legal research and drafts legal documents with direction from attorneys within the department. Serves as a liaison to other departments, prepares special reports, researches information, and maintains databases as needed. Engages in investigating and fact-finding for cases.
25 %	Provides administrative and executive secretarial support, such as coordinating meetings and agendas, making travel arrangements, drafting and editing documents, correspondence, brochures, reports, and financial information, and providing related support.
25%	Organizes, indexes, and tracks files. Assists in court preparation, including hearings and trials.
10%	Assists with coordinating department activities, such as tracking work and change orders, relaying communications, and providing related support.
5%	Assists with developing and tracking budget and department information, such as recommending budget figures, maintaining balances, researching discrepancies, and preparing related financial reports.
As Required	Performs other related duties and all Law Department directives as assigned. Maintains professional demeanor and dress at all times.

100% Total: 100

(This section's percentage must total 100%).

POSITION SPECIFIC RESPONSIBILITIES MIGHT INCLUDE:

- Drafting, editing, organizing, and typing complex legal agreements, correspondence, memos, resolutions, ordinances and other legal documents;
- Taking and transcribing documents;
- Preparing mail, composing responses to mail, answering the telephone, receiving and relaying messages, and responding to inquiries related to the services provided by the Law Department;
- Conducting legal research (online legal research and knowledge of traditional research practices).

REQUIRED MINIMUM QUALIFICATIONS:

Education: Minimum: Associates degree in paralegal studies, business or a closely related field. Preferred: BS/BA degree in paralegal studies, business administration or a closely related field of study and CLA or CP certification.

Experience: 3+ years in similar position or sufficient experience to perform principal duties and responsibilities

Knowledge/Skills/Abilities:

Knowledge (position requirements at entry):

- Office principles and practices;
- Principles of paralegal research and communications

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- Considerable knowledge of legal practices and procedures.
- Basic budgetary principles
- Customer service principles;
- Ability to learn applicable laws, rules, and regulation;
- Augusta policies, guidelines and procedures.

Skills (position requirements at entry):

- Strong organizational and proof-reading skills;
- Ability to meet strict work deadline;
- Ability to draft and prepare legal documents, basic reports, and correspondence;
- Ability to work independently;
- Handling sensitive and confidential issues;
- Solving problems and making decisions;
- Skilled in conducting legal research (online legal research and knowledge of traditional research practices);
- Preparing, analyzing and interpreting various reports;
- Utilizing and operating computers and applicable software;
- Prioritizing work;
- Providing customer service;
- Tracking expenditures;
- Communication, interpersonal skills as applied to interaction with coworkers, supervisor, the general public, etc. sufficient to exchange or convey information and to receive work direction.

OTHER:

Does this position require staff call up in an emergency situation? Yes ☐ No ☒

Is travel from office to other locations required of this position? Yes ☒ No ☐

If yes, what is the percentage of travel involved? Less than 50%? Yes ☒ No ☐ More than 50%? Yes ☐ No ☒

PHYSICAL REQUIREMENTS:

Intermittent sitting, standing, walking, bending, stooping, crouching, and the occasional lifting of light to moderately heavy objects.

Light Work: Exerting up to 20 pounds of force occasionally, and/or up to 10 pounds of force frequently, and/or negligible amount of force constantly to move objects. If the use of arm and/or leg controls requires exertion of forces greater than that for Sedentary Work and the worker sits most of the time, the job is rated for Light Work. Work is performed in an office setting.

FINANCIAL RESPONSIBILITY:

Is this position involved in a budgetary or financial approval responsibility? Yes ☐ No ☒

If yes, please indicate size of budget or financial approval responsibility in annual dollar amount: \$0

TRAINING & SUPERVISORY RESPONSIBILITY:

How many people are being supervised or trained? None ☒

One staff Yes ☐ No ☒ Two to five staff Yes ☐ No ☒ Six to ten staff Yes ☐ No ☒ More than ten staff Yes ☐ No ☒

The preceding job description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities, and qualifications required of employees to this job.

REVIEW/APPROVALS

Employee (Print Name)

Date

Department Director

Date

Compensation Administration Staff

Date

HR Director

Date

Item # 5



Administrative Services Committee Meeting
7/7/2014 12:50 PM
Update on Software for DBE

Department: Procurement

Caption: Motion to approve the contract management module software package from Sungard for DBE tracking purposes. (Referred from June 26 Commission meeting)

Background:

At the April 18, 2014 Commission Meeting, a discussion took place concerning SOFTWARE TO COLLECT DBE DATA which the Procurement Director suggested that Augusta, Georgia currently has such software in place. The Procurement Director requested 45-days to respond to Commissions request, which was granted. On Monday, May 5, 2014, 10:00 a.m., a meeting with the DBE/Local Small Business Opportunity and Procurement Staff took place to better understand the precise needs of the DBE Office. In attendance: Geri Sams, Yvonne Gentry, Connie Kelly-Crisler, Sheila Paulk and Nancy Williams. The purpose of the Meeting was not limited to the discussion and feedback of the following items: 1. To discuss what the DBE Office is seeking in a Software package; 2. To discuss and share the different Modules currently available through our current software (IFAS) System; 3. The Procurement Department noted that a similar module has been available, for most of the required data collection, since 1999. However, an upgrade will be implemented in January 2015 that would address ALL of the identified needs of the DBE/Local Small Business Opportunity Department as described by the Department. 4. To discuss the Contract Management Module which Augusta has license and the possibility of visiting other cities using this module; 5. To discuss the upcoming SunGard Conference in California and to invite the DBE/Local Small Business Opportunity Staff to attend for the purpose of the DBE Staff's ability to review the available software, to establish if the software will meet the DBE Office requirements, to observe up close and personal exactly what the possibilities of the Contract Management Module will provide; and to meet and discuss the DBE program requirements with the Software Experts as well as the possibility of meeting with other municipalities currently using the Contract Management Module; 6. To discuss the Agenda Item which the Procurement Director will present to the Commission. On Wednesday, May 14, 2014,

Director Memo
Item # 6

the Procurement and Information Technology Departments invited the DBE/Local Small Business Opportunity Staff to participate in a previously scheduled webinar training session. In attendance: Yvonne Gentry, Connie Kelly-Crisler DBE/Local Small Business Opportunity Department); Sheila Paulk and Nancy Williams (Procurement Department); Timothy Schroer and Lisa Sherrouse (Finance Department); Lisa Blackwelder, Mike Blanchard, Mark Smith, and Annette Coker (Information Technology) and SunGard Webinar Trainer. Both at the meeting and after the meeting, the Procurement Department Staff gave an update concerning the Contract Management Module. The DBE/Local Small Business Opportunity Department expressed that the module addressed the needs as required (See Attachment "A" original request from the DBE Office – identifying the Department's needs). The Contract Management Module identifies additional tracking information needed to support the DBE Department as required by FTA, Disparity Study and the Court Order (See Attachment "B").

Analysis:

This Module (Contract Management) when implemented will address DATA COLLECTION as required by the DBE/Local Small Business Opportunity Program, FTA, the Court Order and the Disparity Study. Moving Forward: 1. The DBE/Local Small Business Opportunity Office MUST IMMEDIATELY: a. Develop both a letter and a data form to be used by vendors to update their information for the NEW System Upgrade. b. Develop a Standard Operation Manual for Augusta, Georgia address its operation (Attachment "C" with a possible outline). c. Develop an electronic vendor system where vendor's can enter/correct their information (electronically sending it directly to the department for updating). 2. The DBE/Local Small Business Opportunity Office to immediately begin to access its vendor's files for system input. 3. The DBE/Local Small Business Opportunity Office to begin launching a program and or a marketing system to enhance and update registered vendors to be entered into the Contract Management Module. 4. The DBE/Local Small Business Opportunity Office to look at the current Modules used by the Augusta License and Inspection and Procurement Departments to determine if information already in the system can be captured to enhance the manual process (spreadsheets). 5. Augusta's DBE/Local Small Business Opportunity Office MUST begin correcting data by October 2014 to be updated into the system. NOW is the best time to begin the process for the 2015 implementation. 6. If Commission approves the process - The DBE/Local Small Business Opportunity Office implementation will take place in June 2015. 7. The Contract Management Module will address but will not be limited to the transactions as listed in Attachment "B". 8. There are many vendors who can address the needs of the DBE Office; but is it cost effective to purchase a boxed software package which will require Augusta's I.T. Department or the Software vendor to customize to address

the concerns of the DBE Office or to simply install SunGard's System (IFAS) that Augusta has purchased a license for and direct the DBE staff to begin the process NOW for a possible installation date of June 2015. Note: New Data will be REQUIRED to address vendor's certification (Attachment "D").

Financial Impact: Since Augusta already own the License, I.T. will work with the Department through additional webinar trainings and a system upgrade with an estimated cost of \$8,600. The estimate will vary pending the amount of training sessions required and/or requested.

Alternatives: 1. Purchase a new system at a cost of \$50,000 or more that will duplicate the system already accessible. 2. Remain where we are, which has not addressed Augusta's Taxpayer's needs.

Recommendation: Move forward with the implementation of the SunGard System which is currently in-place. Start the training process immediately to take advantage of sessions already scheduled, begin immediately notifying vendors of system update, changes to vendor's information and preparing for system upgrade. Have data available for the upgrade to an electronically driven system in June 2015 (using only new data).

**Funds are Available
in the Following
Accounts:** Capital Outlay (\$8,600)

REVIEWED AND APPROVED BY:

ATTACHMENT "A"**DBE Data Collection**

Bid Number or PO#

Project Name

Estimated Start/End Date

Commission or Administrator Approval/Date

Agenda Item #

Vendor Name

Vendor Location (City/State/Zip)

LSB/DBE/VOSB (Yes/No)

Owner Ethnicity/Gender

Description of project

Commission/Administrator Approved Amount

Contract/Award Amount

Invoice Paid to Date (Amount)

Invoice Balance (Amount)

Subcontractor/Supplier Utilization

- % Project Utilization
- Subcontractor/Supplier Name (Vendor)
- Owner Ethnicity/Gender
- Location (City/State/Zip)
- LSBOP/DBE/VOSB
- Contract/Award Amount
- Paid to Date (Amount)

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ATTACHMENT B**CONTRACT MANAGEMENT (Excerpts from IFAS – SunGard)**

The use of the Contract Management subsystem is for internal tracking or the details related to a particular contract. Maintained within this subsystem are the tasks and cycle of the scope of work. When a specific type of work is to be completed by an outside contractor there is a need for review of anticipated expense versus actual expense, and the documentation related to the contractor's credentials. Typically, each type of contract is detailed on the screens as the contractor is considered for the project. The Actual expense and encumbered detail is maintained in General Ledger/Job Ledger and Encumbrance databases.

The purpose of this module is to track contract award from its inception through the completion of the project.

Representatives from Finance, Accounting, Procurement, DBE and Information Technology agreed that this is a module that will address their needs while addressing DBE concerns relating to DATA CONTROL.

Attached are some of the excerpts reviewed from the SunGard Module.

Please note: That vendor tracking information has been available since 1999. This is a system UPGRADE.

Calculate DBE Actual based upon the percentage of the total subcontractor amount

Rules that are triggered prior to updating a record

Inserting a new track record if no track records exist on a contract that has a specified Cycle ID

Rules that are triggered after updating a record

Calculate DBE Actual based upon the percentage of the total subcontractor amount

CMUPTC Screen

Calculate the sum of the business days of all tasks within a cycle

Calculate the sum of the calendar days of all tasks within a cycle

CMUPCD Screen

1.2 Key Features

The Contract Management System provides the ability to record multiple contracts within a master contract. You may specify multiple year contracts, one-time or recurring contracts, multiple levels of required approvals, and multiple vendor contracts within a master contract. The system also supports the creation of purchasing/encumbrance entries and the automatic transfer of information into the Accounts Payable module.

- Create multiple vendor contracts within a master contract. Each contract may be for a single year or multiple years.
- Automatically transfer information from the Contract Management System into the Accounts Payable module via the approval process.
- Create encumbrances via the purchasing interface. Create and print purchase orders to update the Encumbrance System.
- Setup multiple task definitions for the creation of cycles. Each contract is associated with a predefined cycle.
- Each task is defined with a default number of days required.
- Define retainage method to be used for all payments against contract.
- Manage contract amendments and change orders.

1.2.1 IFAS: Contract Management

The Contract Management System provides the ability to record multiple contracts within a master contract. You may specify multiple year contracts, one-time or recurring contracts, multiple levels of required approvals, and multiple vendor contracts within a master contract. The system also supports the creation of purchasing/encumbrance entries and the automatic transfer of information into the Accounts Payable module.

Major Features

- Create multiple vendor contracts within a master contract. Each contract may be for a single year or multiple years.
- Automatically transfer information from the Contract Management System into the Accounts Payable module via the approval process.
- Create encumbrances via the purchasing interface. Create and print purchase orders to update the Encumbrance System.
- Setup multiple task definitions for the creation of cycles. Each contract is associated with a predefined cycle.
- Each task is defined with a default number of days required.
- Define retainage method to be used for all payments against contract.
- Manage contract amendments and change orders.

Reporting

Access to information is straightforward and easy. The Contract Management System includes standard reports and immediate online inquiry to any data in the system. Security- protected reports can be run at the user's networked computer or via the Internet from any Web browser. Standard reports available include:

- Master Contracts/Amendment Information
- Contract/Amendment Information
- Master Contracts
- Contracts
- Encumbrance Detail Report
- Retain Calculation Information
- Payment/Retain Information
- Manager Code Report
- Funding Sources Report
- Compliance Setup Report
- Task Definition Report
- Cycle Definition Report

- Accounts Payable History Report
- Accounts Payable Entries Sent to Open Hold
- Accounts Payable Entries That Need Approval
- Accounts Payable Entries Waiting to be Sent to Open Hold
- Payment Retainage Report
- Aging Report for Delinquent Accounts
- Contracts Due and Payable
- Master Contracts Expiring
- Contracts Expiring
- Vendor Statements

1.3 Getting Started

1.3.1 Steps in the Contract Process

Cycle/Task Creation and Tracking

1. Identify tasks needed to complete the contract.
2. Estimate number of days required to complete each task.
3. Organize tasks in sequential order.
4. Assign tasks to users/personnel.
5. Record task completion information.

Create Contract

1. General "user" creates a purchase request.
2. Retrieve PR approval and flag as "Contract."
3. Select "Contracts" for creation.
4. Record master contract information.
5. Identify internal cycle definition for each vendor contract.
6. Record vendor contract information.
7. Record contract compliance information.
8. Record funding sources.

Amend the Contract

1. Create an amendment request.

EXHIBIT B

Contract Management

2. Approve the amendment.
3. Post and log the amendment.

Encumbrance Maintenance

1. Estimate encumbrance levels and amounts.
2. Create an encumbrance request.
3. Approve the request.
4. Post and log the encumbrance.

Create Retainage

1. Create a retainage request.
2. Approve the request.
3. Post the retainage.

Process Payments

1. Create a payment request.
2. Approve the request.
3. Post and log the payment.
4. Print the checks.

1.4 Flow Diagram

Under Construction

EXHIBIT B

Contract Management

Enter the ID of the MAIN Contractor associated with this Contract. This field validates to the Person Entity (PE) subsystem. This field is required.

Desc:

Enter a short description of this Contract in this field. This field is required.

PR No:

The first time that the EN to PO tool is run to create a Purchase Request in the Purchasing subsystem (and create the pre-encumbrances in the Encumbrance subsystem), the PR Number of that Purchase Request is written here. This field is maintained by the EN to PO tool and represents the original Purchase Request Number.

Type:

This field is used to hold the Contract Type. The Contract Type codes are client-specific and are defined in the CMUPCD screen with Code ID 'TYPE'. This field is required.

Acceptance Dt:

This optional field is typically used to hold the day a governing body/board approved the funding of this Contract or the date the Contractor agreed to do accept this Contract.

Original Amt:

Enter the original amount of the Contract in this field. The original encumbrances that get entered into the Encumbrance Tab will have to add up exactly to this amount. The status of the Contract will not be advanced to A W via Workflow until and unless the Original Contract Amount equals the total of the original encumbrances.

Manager:

This field is used to hold the name of the Manager responsible for the management of this Contract. Manager codes are client-specific and are defined in the CMUPCD screen with Code ID 'AREA'. This field is required.

Begin Dt:

This field is used to hold the Begin Date of this Contract. This field is required.

EXHIBIT B

Contract Management

Amendment Total:

This field is filled by the EN to PO tool with the sum of all of the approved and encumbered Amendments associated with this Contract. This field is read-only.

Assoc Cont:

This optional field is used to hold an Associated Contract. Typically, this field is used on secondary contracts to identify the MASTER contract associated with it.

Current End Dt:

When a Contract is first entered, this field holds the original End Date of the Contract. After its original entry, the Contract's end date can be updated by Amendments via the New End Dt field on the Amendments Tab. The EN to PO tool updates this date with the New End Dt field (if filled) on the most recently-entered amendments for this Contract.

Current Maximum Total:

This field is updated by the EN to PO tool and represents the sum of Original Amt and Amendment Total fields.

Amendments:

This field is filled interactively by the system with the count of all of the approved and encumbered amendments that exist for this Contract. See the Amendments and Encumbrance Tabs for more detail.

Last Amended Dt:

This is the date of the last time this Contract was amended. Only those amendments that have been approved and processed via the EN to PO tool are considered.

Contingency Amt:

This optional field can be used to enter any contingency amounts. The amount entered in this field IS NOT encumbered. If the client needs this amount to be encumbered, they need to include it in the Original Amount of this Contract.

RFP/BID No:

This is an optional field that can be used to hold the identifier of any RFP and/or BID that was used in the creation of this Contract.

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Contract Management

Relief of Maintenance:

If there is a warranty on the products or services associated with this Contract, then this field typically holds the date that this warranty expires.

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Encumbrance Total:

This field is maintained by the system and holds the total of all of the encumbrances held in the Encumbrance Tab that have been processed by the EN to PO tool.

Contract Details Tab:**Cycle ID:**

This field holds the ID, if any, of the Cycle used to track the progress of the Contract in the Track Tab of the CMUPTK screen.

DBE Actual / DBE Goal:

DBE stands for Disadvantaged Business Enterprise. In some cases, Contracts must follow a DBE Program and provide assistance to minorities, women, and other socially and economically disadvantaged individuals to enter certain industries. In this situation, typically a certain percentage of the funds associated with the Contract must be paid to a Sub Contractor that falls into one of the DBE categories. Enter the percent of funds that need to be paid to Sub Contractors falling into one of the DBE categories. DBE Actual is calculated by the system based on information entered in the Sub Contractor Tab of the CMUPTK screen and represents the actual percent being paid to Sub Contractors falling into one of the DBE categories.

Percent Complete / Percent Method To Use fields:

Method	Meaning
<none>	None – no percent method is specified.
M	Manual – the user enters the percent complete.
V	Value – system calculated as dollars paid / total contract value.
D	Task Days – system calculated as days completed (according to cm_track) / total days in cm_track.

EXHIBIT B

Contract Management

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T	Tasks – system calculated as number of completed tasks in cm_track / total number of tasks in cm_track.
C	Calendar – system calculated as number of days since start of contract / total days in contract (start date to end date). This may need a tool or something to trigger recalculation.

Security Cd:

This optional field provides the security code that is used by the Send to PO Utility.

Comments:

This is an optional, free-form text field used to hold any comments about this Contract.

4.3 Utilities

Under Construction

4.4 Reports

4.4.1 Contract Management Standard Reports

CM - Open Contracts

CM - Contract Compliance

CM - Cont Status

CM - Cont Amend

4.4.2 General Reporting

Access to information is straightforward and easy. The Contract Management System includes standard reports and immediate online inquiry to any data in the system. Security- protected reports can be run at the user's networked computer or via the Internet from any Web browser. Standard reports available include:

- Master Contracts/Amendment Information
- Contract/Amendment Information
- Master Contracts
- Contracts
- Encumbrance Detail Report
- Retain Calculation Information
- Payment/Retain Information

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Contract Management

- Manager Code Report
- Funding Sources Report
- Compliance Setup Report
- Task Definition Report
- Cycle Definition Report
- Accounts Payable History Report
- Accounts Payable Entries Sent to Open Hold
- Accounts Payable Entries That Need Approval
- Accounts Payable Entries Waiting to be Sent to Open Hold
- Payment Retainage Report
- Aging Report for Delinquent Accounts
- Contracts Due and Payable
- Master Contracts Expiring
- Contracts Expiring
- Vendor Statements

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Contract Management

Retain Type A:	The amount retained is calculated as a fixed percentage of each payment. Enter this % in the Fixed Percentage field designated below for Retain Type A.
Retain Type B:	This flag allows for variable retainage amounts to be entered at the time of payment. No additional information must be entered for this type of retainage. A warning will be given to the user on the AP side when they enter a payment for this contract telling the user to retain a variable amount.
Retain Type C:	This option allows will be detailed more in CM Sprint 3
Retain Type D:	This option allows..... will be detailed more in CM Sprint 3

Account:

This is the account number or numbers (splits) where the retainage amounts will post.

Division:

This is the division code associated with this retainage posting.

Retain Type A Section:	Fixed Percentage: (see above)
Retain Type C Section:	Fixed Percent with Ceiling: (see above)
	Up to Amt:
	Thereafter Amt:
Retain Type D Section:	After Percent Paid: (see above)
	Retain Percent:

EXHIBIT B

This is the unique identifier for this Task. This field is required.

Task Title:

This field is used to enter a short description of what this Task is. This is the description that the user will see when entering Tasks on the Cycles Tab and on the Track Tab on CMUPTK so it is important that it be fairly descriptive. This field is required.

Task Description:

This field can be used to give a more detailed description of this Task.

Number of Days:

This field is used to hold the estimate of how many days this Task will take to complete. The type of days is determined by the Type of Days field below.

Type of Days:

There are two (2) different types of days represented in the Number of Days field above, as follows:

a. BUS	Business Days - Business Days are the days of the work week, Monday through Friday and do not include weekends.
b. CAL	Calendar Days - Calendar Days include all seven (7) days of the week, Monday through Sunday.

This field is not required and an option of <none> is also available.

Pre-Task:

If there is a Task that must be completed before this Task can be started, enter its Task ID here.

Post-Task:

If there is a Task that must be completed after this Task is complete, enter its Task ID here.

Comments:

EXHIBIT B

Contract Management

This optional field can be used to enter any additional description or information about this Task that is not already included in the Task Title or Task Description.

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EXHIBIT B

Cycle Master Section

Cycle ID:

This is the unique identifier for this Cycle. This Cycle ID is associated with a Contract on the CMUPCM screen, Contract Details Tab. This field is required.

Cycle Title:

This is the short description of this Cycle. The Cycle title echo's on the Contract Details Tab of the CMUPCM screen and should be fairly descriptive. This field is required.

Cycle Description:

Enter a more detailed description of the purpose/goal/end result of this Cycle.

Total Business Days:

This is the sum of the business days it will take to complete this Cycle. Only those tasks that have day estimates in business days (as opposed to calendar days) will be included in this sum. This field is automatically filled by the system.

Total Calendar Days:

This is the sum of the calendar days it will take to complete this Cycle. Only those tasks that have day estimates in calendar days (as opposed to business days) will be included in this sum. This field is automatically filled by the system.

Comments:

This optional field can be used to enter any additional description or information about this Cycle.

Cycle Detail Section

Step:

Typically Tasks must be completed in a particular order. This field is used to identify which order the Tasks should be completed in. This is a required field.

EXHIBIT B

Contract Management

Task ID:

This is the unique identifier for a Task that was created on the Tasks Tab. This is a required field.

Number of Days:

The value in this field echos from the Tasks Tab for the Task identified in the Task ID field. This is the number of days that this particular Task is estimated to take to complete. This is a read-only field.

Type of Days:

The value in this field echos from the Tasks Tab for the Task identified in the Task ID field. This type field describes what type of days are represented in the Number of Days field above.

Other Requirement Code:

The Other Requirement Code indicates the type of approval required to indicate a task has been completed. There are two (2) different types of codes represented:

- a. APRV Get Verbal Approval.
- b. APRW/Get Written Approval.

This field is not required and an option of <none> is also available.

EXHIBIT B**Contract Management**

The Contract Number is the key to the entire Contract Management subsystem. It uniquely identifies a Contract. Contract Number is a read-only field on CMUPTK. If you wish to create a brand new Contract, you need to do so using the CMUPCM Screen. For information on how to create a new Contract Number, see the CMUPCM Screen section of this documentation. Field is required.

Status:

This read-only field holds the current Status of this Contract. There are four (4) statuses that a Contract can have, as follows:

NW	This is a brand new Contract - the original encumbrances for this Contract have not been approved and the Contract has not yet been sent to Purchasing or pre-encumbered.
AW	The original encumbrances for this Contract have been approved but have not been sent to Purchasing or pre-encumbered.
AS	The original encumbrances for this Contract have been approved, sent to Purchasing and pre-encumbered. The original encumbrances for this Contract can no longer be modified. The Amendments tab must be used to add additional funding to this Contract. This contract may also have Amendments.
CL	This Contract is complete and closed. When the PO related to this Contract is closed or the final payment is made on this contract in AP, the status will be changed by the system to CL.

This field is maintained by the EN to PO tool and Workflow and is required.

Contractor ID:

Enter the ID of the MAIN Contractor associated with this Contract. This field validates to the Person Entity (PE) subsystem and is required.

Desc:

Enter a short description of this Contract in this field. This field is required.

Original Amt:

EXHIBIT B**Contract Management**

Enter the original amount of the Contract in this field. The original encumbrances that get entered into the Encumbrance Tab will have to add up exactly to this amount. The status of the Contract will not be advanced to AW via Workflow until and unless the Original Contract Amount equals the total of the original encumbrances. This field is required.

Cycle ID:

This field holds the ID, if any, of the Cycle used to track the progress of the Contract in the Track Tab. This field is optional.

Amendment Total:

This read-only field is filled by the EN to PO tool with the sum of all of the approved and encumbered Amendments associated with this Contract.

DBE Actual / DBE Goal:

DBE stands for Disadvantaged Business Enterprise. In some cases, Contracts must follow a DBE Program and provide assistance to minorities, women, and other socially and economically disadvantaged individuals to enter certain industries. In this situation, typically a certain percentage of the funds associated with the Contract must be paid to a Sub Contractor that falls into one of the DBE categories. Enter the percent of funds that need to be paid to Sub Contractors falling into one of the DBE categories. DBE Actual is calculated by the system based on information entered in the Sub Contractor Tab of the CMUPTK screen and represents the actual percent being paid to Sub Contractors falling into one of the DBE categories. These fields are optional.

Percent Complete / Percent Method To Use fields:

The 'Percent Complete' field is only enterable if the 'Percent Method To Use' field is set to M for Manual. Otherwise it is read-only. These fields are optional.

Method	Meaning
M	Manual – the user enters the percent complete.
V	Value – system calculated as dollars paid / total contract value.
D	Task Days – system calculated as days completed (according to cm_track) / total days in cm_track.

EXHIBIT B

Contract Management

T	Tasks – system calculated as number of completed tasks in cm_track / total number of tasks in cm_track.
C	Calendar – system calculated as number of days since start of contract / total days in contract (start date to end date). This may need a tool or something to trigger recalculation.

Excluding option 'M', the system will perform the specified calculation after tabbing away from the 'Percent Method To Use' field and before submitting changes to the database.

Current Maximum Total:

This read-only field is updated by the EN to PO tool and represents the sum of Original Amt and Amendment Total fields.

Contingency Amt:

This field can be used to enter any contingency amounts. The amount entered in this field IS NOT encumbered. If the client needs this amount to be encumbered, they need to include it in the Original Amount of the Contract. This field is optional.

Encumbrance Total:

This read-only field is maintained by the system and holds the total of all of the encumbrances held in the Encumbrance Tab that have been processed by the EN to PO tool (post flag is checked).

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Contract Management

Compliance Vendor Section:**Contractor ID:**

This is the PEID of the Contractor associated with these compliance items. This field is required.

Approval Date:

This read-only field is maintained by Workflow. The Workflow model used to maintain this field can be set up any way the client site would like to set it up. An example of how this field could be used is to fill it with a date stamp after someone verifies the Contractor's documentation or certification requirements. This field is optional.

Compliance Detail Section:**Comp Type:**

This field is used to categorize different types of compliance items that need to be met for this Contract. The different Compliance Type codes are user-defined in the CMUPCD screen with Code ID set to COMPTYPE. This field is required.

Payment Amt: This field holds the amount received from the Contractor. This field is optional.

Amt Required: This field holds the amount that is required from the Contractor. This field is optional.

Expiration Date: This field holds the amount that is required from the Contractor. This field is optional.

Named As Insured: This is the date that the Contractor's documentation or certification expires. This field is optional.

Required: This check box indicates whether this institution is labeled as the insured on the policy. This field is optional.

EXHIBIT B

Contract Management

This check box indicates whether this compliance item is required for this Contract. This field is optional.
Approved:

This check box indicates whether the requirements of this compliance item have been met. This field is optional.
Comments:

This field can be used for any comments relating to this compliance item.

EXHIBIT B

Contract Management

This tab is used to maintain information about Sub Contractors and also to indicate which Sub Contractors qualify as Disadvantaged Business Enterprises. This information is used by the system to calculate the DBE Actual value on the top of the CMUPCM and CMUPTK screens.

Item # 6

Contractor ID:

This field holds the PEID of the Sub Contractor. This field is required.

Amt:

This field holds the amount of funding for this contract that will be paid to this Sub Contractor. Changing this amount will cause a recalculation of the DBE Actual field in the master contract. This field is optional.

Desc:

This is an optional field that can be used in any way deemed appropriate such as entering a short description of the kind of services this Sub Contractor will be providing. This field is optional.

Ethnic:

If this Contractor qualifies as a DBE Contractor due to their ethnic background, then click this check box. This field is optional.

Gender:

If this Contractor qualifies as a DBE Contractor due to their gender, then click this check box. This field is optional.

EXHIBIT B**Contract Management****Step:**

Typically, tasks must be accomplished in a certain order. The Step field in an optional field, but can be used to control the order in which the tasks are completed (and at the same time, what order they display on the screen).

Task ID:

This is the unique identifier for this particular task. This field validates to the CMUPTC screen, Task tab which is where Tasks are defined. This is a required field.

Begin:

This is the estimated begin date of the task identified in the Task ID field. This is an optional field.

End:

This is the estimated end date of the task identified in the Task ID field. This is an optional field.

Apprv Signoff:

This is the User ID of the CM User that signed off on this task. In other words, this is the User ID of the user who confirmed that this task has been completed. This field is automatically filled with the current User's ID by the system when the user clicks on the Complete check box. This is an optional field.

Pct Completed:

This field can be used to enter the percent of this task that has been completed. This is an optional field.

Complete:

This check box is used to indicate that this task has been fully completed. When the user checks this box, their User ID will be defaulted by the system into the Apprv Signoff field. This is an optional field.

Track Day Type:

This field is used to tell the user whether the Track Days field is referring to Business Days or Calendar Days. This is an optional field.

Track Days:

EXHIBIT B

Contract Management

This field is used to hold the estimated number of days that this task will take to complete. This field should be used in conjunction with the Track Day Type field, which indicates if these are Business or Calendar Days, to get a more accurate estimation of how long this task will take to complete. This is an optional field.

Item # 6

Code Description:

This field is used to describe the Code Value for a specified Code ID.

Screen Business Rules

Inherent to every Contract Management screen are a couple base functionality features. These features are as follows:

Upon deletion of a parent table record all child records associated with the specified parent will also be deleted. (Ex. Deleting a compliance vendor from a contract on the CMUPTK screen will result in all compliance detail records sharing the same Contractor ID being deleted as well).

When creating a new record in a table, the system will automatically check to make sure that a record with the same name (primary key) does not already exist. (Ex. Attempting to create a new contract with the same contract number as another contract will result in an error message being displayed).

All other, more specific, rules are detailed on a screen by screen basis below:

CMUPCM Screen

Rules that are triggered when initializing a new record

Initialize the next item number in the encumbrance tab

Initialize the next change order number in the amendments tab

Rules that are triggered prior to inserting a new record

Setting the Current Maximum Total to the Original Amount

Check to make sure that no PO exists with the same contract number

Inserting a new track record if no track records exist on a contract that has a specified Cycle ID

Check the status of the parent contract prior to allowing encumbrance records to change

EXHIBIT B

Contract Management

Check the status of the parent contract prior to allowing amendment records to change

Disallow additions or modifications to amendment items within a change order that have already been encumbered

Check to make sure that all fields are filled out appropriately based upon the Retainage Type

Rules that are triggered after inserting a new record

Update the encumbrance account table with changes made to the account

Update the amendment account table with changes made to the account

Rules that are triggered prior to updating a record

Inserting a new track record if no track records exist on a contract that has a specified Cycle ID

Update the encumbrance account table with changes made to the account

Check the status of the parent contract prior to allowing encumbrance records to change

Check the Encumbrance Total and issues a warning if the total exceeds the Original Amount

Check the status of the parent contract prior to allowing amendment records to change

Update the amendment account table with changes made to the account

Disallow additions or modifications to amendment items within a change order that have already been encumbered

Check to make sure that all fields are filled out appropriately based upon the Retainage Type

CMUPTK Screen

Rules that are triggered prior to inserting a new record

Inserting a new track record if no track records exist on a contract that has a specified Cycle ID

Rules that are triggered after inserting a new record

EXHIBIT B

Contract Management

3.1.2 Step 2: Create Encumbrances for the Contract

Contract No: 2004006		Status: NT	New Contract	Contractor ID: 0692	RIVARD, JEROME GEORGE
Desc: Contract Management Tutorial Description					
Type: EG	Engineering	Acceptance Dt: 09/15/2006	PR No:	Original Amt: 1,000,000.00	
Manager: SWINDLE	Terry Swindle	Begin Dt: 10/01/2006	Amendment Total: 0.00	Current Maximum Total: 1,000,000.00	
Assoc Cont: 0		Current End Dt: 06/30/2007	Contingency Amt: 0.00	Encumbrance Total: 0.0000000	
Amendments: 0		Last Amended Dt: 06/30/2007			
RFP/BID No: 0		Relief Of Maintenance: 0			

Contract Details		Encumbrances		Amendments		Retainage	
Item No	Fiscal Y	Request Dt	Division	Account			
1	2006	10/30/2006	GEN	GL 102210-1700			
2	2006	10/30/2006	GEN	GL 102210-2007			
3	2006	10/30/2006	GEN	GL 102210-4423			
4	2007	10/30/2006	GEN	GL 102210-5440			
5	2006	10/30/2006	GEN	GL 102210-2210			
6	2006	10/30/2006	GEN	GL -			

Encumbrance (CMUPCM)

EXHIBIT B

Contract Management

Compliance Tab:

This tab is used to track the compliance requirements for a Contract.

Contract No: K204005		Status: AS Approved and Sent		Contractor ID: DOTEST4		4 DO Test	
Desc: Final Test Contract							
Cycle ID: C0010	Percent Complete: 0.00	Original Amt: 1,250,000.00		Amendment Total: 245,550.00			
DBE Actual: 0.00	Percent Method To Use: V	Current Maximum Total: 1,495,550.00		Contingency Amt: 75,000.00			
DBE Goal: 75.00	Dollars Paid / Total Contract Value	Encumbrance Total: 0.00					
Compliance							
Sub Contractor							
Task Tracking							
Comments							
Contractor ID: PROB187721 K MART STORES				Approval Date:			
Comp Type: GL General Liability							
Payment Amt: 0.00	Amt Required: 0.00						
Expiration Dt: 10/20/2006	☒ Named As Insured			☐ Required		☒ Approved	
Comments: This is a comment.							
Add Mode							

Sub Contractor Tab:

Contract Management

Record 2 of 148
148

Contract No: K204004
Desc: NEW CONTRACT SETUP ROUND 1
Cycle ID: C0010
DBE Actual: 14.67
DBE Goal: 0.00

Status: 13 Approved and Sent
Contractor ID: TDD0646
Contractor Name: VALERIE J POINDEXTER

Percent Complete: 0.00
Percent Method To Use: M Manually Entered

Original Amt: 750,000.00
Amendment Total: 12.50
Current Maximum Total: 750,012.50
Contingency Amt: 0.00
Encumbrance Total: 0.00

Compliance		Sub Contractor		Task Tracking		Comments	
Contractor ID	Amt	Desc	Ethnic	Gender			
RSO	10,000.00	Description	☒	☐			
V008403	100,000.00	Description of this sub kjcont	☒	☒			

Record 1 of 2
148

EXHIBIT B

Grid Mode version of Sub Contractor Tab

Record 2 of 148

Contract Management

Contract Hlo: K204004 **Status:** AS Approved and Sent **Contractor ID:** T000646 **VALERIE J POINDEXTER**

Desc: NEW CONTRACT SETUP ROUND 1

Cycle ID: C0010 **Percent Complete:** 0.00

DBE Actual: 14.67 **DBE Goal:** 0.00 **Percent Method To Use:** M Manually Entered

Original Amt: 750,000.00
Amendment Total: 12.50
Current Maximum Total: 750,012.50
Contingency Amt: 0.00
Encumbrance Total: 0.00

Compliance **Sub Contractor** **Task Tracking** **Comments**

Contractor ID: RSO **Sean "Mr. 300" O**

Desc: Description

☒ Ethnic ☐ Gender

Amt: 10,000.00

Record 1 of 2

Non-Grid Mode version of Sub Contractor Tab

ATTACHMENT “C”

STANDARD OPERATION PROCEDURE (SOP) MANUAL

Standard operating procedures (SOP) are a detailed explanation of *how* a policy is to be implemented. The SOP may appear on the same form as a policy or it may appear in a separate document. The main difference between a SOP and a policy are *details*. An effective SOP communicates *who* will perform the task, *what* materials are necessary, *where* the task will take place, *when* the task shall be performed, and *how* the person will execute the task.

Is a SOP necessary? What benefit do they have to my operation?

The details in an SOP *standardize* the process and provide step-by-step how-to instructions that enable *anyone* within your operation to perform the task in a consistent manner. The SOP document serves as an instructional resource that allows employees to act without asking for directions, reassurance, or guidance. The step-by-step written procedure can also help hold employees accountable because employee expectations are documented and their actions can be measured against the SOP. Communicating procedures that anyone in the operation can follow with consistent results will ensure your operation continually provides high quality products and services.

Why is it necessary?

- Serve as framework for organizational policy – provide **direction** and **structure**
- Written documentation of best practice
- It sets performance standards
- A measuring tool to assist in holding the correct person/department accountable
- It removes the “BLAME GAME”
- Tells what, how, when, why, and who
- It will identify forms (both manual and those that can be converted to an electronic/computerized/digital system)
- It will also assist in determining security for an electronic system

ATTACHMENT D**List of Software Vendor**

This list of vendors who will be added to lists from both Demand Star and Procurement Data Base who will receive a copy of a Request for Proposal in the event the Commission decides to use another vendor for this service.

Note: There will be a timeline change and an increase in cost.

Timeline change: From: June 2015

To: January 2016

Cost change: From: \$8,600

To: \$50,000 or more



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Number of Users

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Deployment

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☐ Installed

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☐ Approval Workflow

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- ☐ Lifecycle Management
- ☐ Milestone Tracking
- ☐ Version Control



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