



**Department of Procurement and Contracts  
Procedures Manual**

*UPDATED: APRIL 2023*

## Table of Contents

|            |   |           |
|------------|---|-----------|
| <b>1.</b>  | <b>INTRODUCTION .....</b>   | <b>1</b>  |
| 1.1        | <i>APPROVAL OF PROCEDURES .....</i>                                       | <i>1</i>  |
| <b>2.</b>  | <b>PROCUREMENT METHODS .....</b>  | <b>1</b>  |
| <b>2.1</b> | <b>SMALL PURCHASES (UNDER \$250,000).....</b>                             | <b>2</b>  |
| 2.1.1      | <i>MICRO-PURCHASES - SMALL PURCHASES OF \$10,000 OR LESS.....</i>         | <i>2</i>  |
| 2.1.2      | <i>SMALL PURCHASES OF MORE THAN \$10,000 AND LESS THAN \$250,000.....</i> | <i>2</i>  |
| <b>2.2</b> | <b>COMPETITIVE BIDS.....</b>  | <b>4</b>  |
| 2.2.1      | <i>PREPARATION OF BIDS.....</i>   | <i>4</i>  |
| 2.2.2      | <i>AMENDMENTS TO IFBS.....</i>  | <i>5</i>  |
| 2.2.3      | <i>BID OPENING AND AWARD .....</i>  | <i>6</i>  |
| 2.2.4      | <i>MISTAKES IN BIDS.....</i>  | <i>7</i>  |
| <b>2.3</b> | <b>REQUESTS FOR PROPOSALS.....</b>  | <b>8</b>  |
| 2.3.1      | <i>RECEIPT AND HANDLING OF PROPOSALS.....</i>                             | <i>9</i>  |
| 2.3.2      | <i>PROPOSAL EVALUATION.....</i>   | <i>9</i>  |
| 2.3.3      | <i>FINAL DETERMINATION .....</i>  | <i>10</i> |
| 2.3.4      | <i>AWARD.....</i>   | <i>10</i> |
| <b>2.4</b> | <b>COOPERATIVE PURCHASING.....</b>  | <b>11</b> |
| <b>2.5</b> | <b>EMERGENCY PROCUREMENTS.....</b>  | <b>12</b> |
| <b>3.</b>  | <b>VENDOR MANAGEMENT.....</b>   | <b>14</b> |
| <b>3.1</b> | <b>VENDOR DATA MAINTENANCE .....</b>                                      | <b>14</b> |
| 3.1.1      | <i>Vendor Set-Up (Procurement Vendor) .....</i>                           | <i>14</i> |
| 3.1.2      | <i>Vendor Set-Up(Non-Procurement Vendor) .....</i>                        | <i>15</i> |
| <b>4.</b>  | <b>PURCHASE REQUESTS.....</b>   | <b>15</b> |
| <b>4.1</b> | <b>Manual Requests.....</b>   | <b>16</b> |
| <b>5.</b>  | <b>PURCHASE ORDERS AND CONTRACT DEVELOPMENT.....</b>                      | <b>16</b> |
| <b>5.1</b> | <b>PURCHASE ORDERS.....</b>   | <b>16</b> |
| <b>5.2</b> | <b>CONTRACT DEVELOPMENT.....</b>  | <b>17</b> |
| <b>5.3</b> | <b>DISPUTES, PROTESTS, AND APPEALS.....</b>                               | <b>18</b> |
| 5.3.1      | <i>Protest and Appeals Review.....</i>                                    | <i>18</i> |
| <b>6.</b>  | <b>CONTRACT ADMINISTRATION.....</b>                                       | <b>19</b> |
| <b>6.1</b> | <b>CONTRACT ADMINISTRATOR.....</b>  | <b>19</b> |
| <b>6.2</b> | <b>CONTRACT MONITOR .....</b>   | <b>20</b> |
| <b>6.3</b> | <b>CONTRACT ADMINISTRATION.....</b>                                       | <b>20</b> |
| 6.3.1      | <i>Prior to Procurement.....</i>  | <i>20</i> |
| 6.3.2      | <i>Post Award Activities .....</i>  | <i>21</i> |
| 6.3.3      | <i>Contract Monitoring .....</i>  | <i>21</i> |
| 6.3.4      | <i>Contract Closeout .....</i>  | <i>21</i> |
| <b>7.</b>  | <b>DISPOSITION OF SURPLUS MOVEABLE PROPERTY.....</b>                      | <b>21</b> |
| <b>8.</b>  | <b>AGENCY FUEL CARD REPORTING.....</b>                                    | <b>22</b> |

## **APPENDIX**

- A. Vendor Setup Form (Procurement)**
- B. Vendor Setup Form (Non-Procurement)**
- C. Requisition Checklist**
- D. Solicitation Cover Sheet**
- E. Emergency Requisition Form**
- F. Emergency Purchase Order**
- G. Manual Requisition Form**
- H. Manual Purchase Order**
- I. Vendor/Contractor Complaint Form**
- J. Vendor/Contractor Performance Evaluation Form**
- K. Construction Contractor Performance Evaluation Form**
- L. Architect/Engineer (A/E) Performance Evaluation Form**

## 1. Introduction

The Procurement and Contracts Procedures Manual (“Procurement Procedures”) is intended as a reference guide to provide Managing and User Departments and HANO staff with operational procedures to implement the policies described in the Procurement Policy. Procurement procedures adopted administratively by the Contracting Officer or his/her designee shall be based on and must also comply with all applicable laws and regulations.

### 1.1 Approval of Procedures

Delegation of Approval Authority: In adopting the Procurement Policies, the Board of Commissioners authorizes the Executive Director or his/her designee to approve and implement appropriate Procurement Procedures that are consistent with Procurement Policies. The Board shall hold the Executive Director responsible for ensuring the appropriateness of any Procurement Procedures adopted. The Procurement Procedures may be amended at any time at the discretion of the Executive Director, and do not require the approval of the Board of Commissioners.

Procedural Modifications: At a minimum, HANO’s Procurement Policies and Procedures should be reviewed with necessary updates made on an annual basis. This review should be concurrent with HANO’s annual review of its expenditure authority. Procedural changes that are made periodically throughout the year should be added as approved amendments to the Procurement Procedures and incorporated into the appropriate section(s) of the Procedure document during the year-end review.

Procedural changes should be made by the Procurement Manager and tracked in the Change Log attached to the Procedures Manual.

Transition to New Procedures: The procurement procedures included within the Procurement Policies, adopted by the Board of Commissioners in **October 2021**, shall remain in effect unless in conflict with, or superseded by, either Procurement Policies or new procurement procedures as may be administratively approved by the Executive Director or his/her designee from time to time.

## 2. Procurement Methods

This section describes the criteria for selection of the appropriate procurement method to be employed for each procurement action. The procurement method selected shall be based on the scope and anticipated dollar value of the total requirement. Regardless of the procurement method used, all procurement requests should be initiated by the Requesting Department by entering a purchase requisition into the procurement system and attaching appropriate backup documentation. The purchase request shall, at a minimum include a Requisition Checklist, description of the items requested, and an estimated cost within the approved budget. Once the purchase requisition is approved the appropriate procurement method is selected.

**2.1 Small Purchases (under \$250,000)**

**2.1.1 Micro-Purchases - Small Purchases of \$10,000 or Less (\$2000 or less for Construction)**

The following process is used to select a vendor and evaluate a quote for micro-purchases:

| Responsible Party  | Process Step  |
|--|---|
| Requesting Dept.   | 1. Prepares and enters a purchase requisition for \$2,000 or less into procurement system. Attaches supporting documentation.   |
| Dept. of Procurement and Contracts                       | 2. Receives an approved purchase requisition for goods or services.   |
| Dept. of Procurement and Contracts (or Requesting Dept.) | 3. The Requesting Department or the Department of Procurement and Contracts shall identify a vendor and request a written quote for all micro-purchases.<br>a. If the requesting department has not suggested a vendor and obtained a vendor quote for the request, the Department of Procurement and Contracts will contact a vendor for a quote.<br>b. If the Requesting Department has contacted a vendor and obtained a quote, the Department of Procurement and Contracts will review the provided vendor information and quote to ensure the following: (1) the vendor is a HANO registered vendor and (2) the quote appears to be fair and reasonable. If the above two criteria are met, the Department of Procurement and Contracts will proceed by authoring a purchase order. If the vendor is not registered, Procurement and Contracts will register and enter the vendor. |
| Dept. of Procurement and Contracts                       | 4. Creates a purchase order.  |
| Dept. of Procurement and Contracts                       | 5. Obtains approval from the Procurement Manager for the purchase order.  |
| Dept. of Procurement and Contracts                       | 6. Issues the purchase order to the vendor.   |

**2.1.2 Small Purchases of more than \$10,000 and less than \$250,000 (construction more than \$2000)**

The following process is used to review bids and evaluate price reasonableness for small purchases over \$10,000 (or construction more than \$2000) and less than \$250,000:

| Responsible Party | Process Step   |
|-------------------|--|
| Requesting Dept.  | 1. Identifies the need, develops a statement of work and/or specifications, cost estimate and potential vendor list (if applicable). |

|                                    |   |
|------------------------------------|---|
| Requesting Dept.                   | 2. Prepares and enters a purchase requisition for more than \$10,000 (or more than \$2000 for construction) and less than \$250,000 into procurement system. Attaches all supporting documentation. |
| Dept. of Procurement and Contracts | 3. Receives an approved electronic purchase requisition for goods or services.  |
| Dept. of Procurement and Contracts | 4. Identifies a source list of at least three potential vendors and will submit the solicitation to each vendor for price quotes via fax or email and by posting it on HANO's website.              |
| Dept. of Procurement and Contracts | 5. Written price quotes are received and reviewed to determine price reasonableness.  |
| Dept. of Procurement and Contracts | 6. Once price reasonableness is determined, the lowest, responsive, responsible bidder is selected.   |
| Dept. of Procurement and Contracts | 7. The electronic purchase file is created by attaching all quotation documents to the purchase request in the procurement system.  |
| Dept. of Procurement and Contracts | 8. If the winning bid is not selected based on price or other specified factors, the rationale will be documented in the file.  |
| Dept. of Procurement and Contracts | 9. Creates a purchase order.  |
| Dept. of Procurement and Contracts | 10. Obtains approval from the Procurement Manager and Executive for the purchase order.   |
| Dept. of Procurement and Contracts | 11. Issues the purchase order to the vendor.  |

**2.1.3 Small Purchases (IFB's) of more than \$60,000 and less than \$250,000 (Purchases of materials, equipment, and supplies that meet the definition of "Public Works")**

The following process is used for small purchases greater than \$30,000 and less than \$100,000:

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Requesting Dept.                   | 1. Identifies the need and develops a statement of work and/or specifications, cost estimate and potential vendor list.   |
| Requesting Dept.                   | 2. Prepares and enters a purchase requisition for over \$30,000 and less than \$250,000 into procurement system. Attaches all supporting documentation.         |
| Dept. of Procurement and Contracts | 3. Receives an approved electronic purchase requisition.  |
| Dept. of Procurement and Contracts | 4. Assigns a solicitation number.   |
| Dept. of Procurement and Contracts | 5. Prepares an advertisement and solicitation based on the requesting department's needs.   |
| Dept. of Procurement and Contracts | 6. Submits the advertisement to select publications at least 15 days before the opening of the bids.<br>a. The first publication of the advertisement shall not |

|                                    |  |
|------------------------------------|--|
| Dept. of Procurement and Contracts | <p>occur on a Saturday, Sunday, or legal holiday.</p> <p>b. Plans and specifications shall be available to bidders on the day of the first advertisement and shall be available for twenty-four hours before the bid opening date.</p> <p>7. As bid responses are received from interested vendors, vendors are provided a receipt from HANO's Department of Procurement and Contracts denoting the time and date the response(s) were received. The bids are also time and date stamped. Received bids are stored in a secure location until the time of bid opening.</p> |
|                                    | 8. Reviews the bids submitted by the Vendor and determines lowest, responsive, responsible bidder.   |
|                                    | 9. The lowest, responsible, and responsive bid is forwarded to the requesting department to review.  |
| Requesting Dept.                   | 10. Requesting department reviews the lowest bid and determines price reasonableness.  |
|                                    | 11. The requesting department drafts an award recommendation letter and verifies the recommended vendor's bid is reasonable.   |
| Dept. of Procurement and Contracts | <p>12. Obtains approval from the Executive Director or his/her designee.</p> <p>a. Drafts an award recommendation letter to Executive Director and attaches recommendation from Requesting Department and evidence of vendor responsibility.</p>   |
| Dept. of Procurement and Contracts | 13. Drafts and routes contract for execution.  |
| Dept. of Procurement and Contracts | 14. Creates and issues purchase order and contract.  |
| Dept. of Procurement and Contracts | <p>15. Creates a procurement file for the purchase(s) including the following documentation:</p> <p>a. Purchase Requisition &amp; Purchase Order</p> <p>b. Vendor selection documentation (e.g. vendor quotes, bids, vendor contact information, justification for vendor selection)</p> <p>c. Executed contract.</p>  |

## 2.2 Competitive Bids (IFBs)

### 2.2.1 Preparation of IFBs

The following process is used for purchases greater than \$250,000:

| Responsible Party | Process Step  |
|-------------------|---|
| Requesting Dept.  | 1. Identifies the need and develops a statement of work/specifications, cost estimate, and list of potential vendors. |

|                                    |  |
|------------------------------------|--|
| Requesting Dept.                   | 1. Prepares and enters a purchase requisition for the estimated cost of services into procurement system. Attaches supporting documentation.   |
| Dept. of Procurement and Contracts | 2. Receives an approved electronic purchase requisition.   |
| Dept. of Procurement and Contracts | 3. Assigns a solicitation number.  |
| Dept. of Procurement and Contracts | 4. Compiles and reviews the solicitation including the statement of work, specifications, and directions on how to respond to the solicitation.<br>a. The solicitation must specify the date, time, and location for both the place for receipt of bids and the place for the public bid opening.<br>b. The solicitation must also state where complete specifications can be inspected or obtained by interested parties (if applicable). |
| Dept. of Procurement and Contracts | 5. Prepares an advertisement.  |
| Dept. of Procurement and Contracts | 6. Submits the advertisement (or "Invitation for Bids") to select print and online publications at least 25 days in advance of the bid opening date (Saturday, Sunday, and legal holidays are excluded).   |
| Dept. of Procurement and Contracts | 7. Re-submits the Invitation for Bids to select print and online publications weekly for the three weeks preceding the published bid opening date.   |
| Dept. of Procurement and Contracts | 8. Specifications (if applicable) are made available for up to 24 hours prior to bid opening.  |
| Dept. of Procurement and Contracts | 9. As bid responses are received, bidders are provided a receipt from HANO's Department of Procurement and Contracts denoting the time and date the response(s) were received. The bids are also time and date stamped. Received bids are stored in a secure location until the time of bid opening.   |

### 2.2.2 Amendments to IFBs

The following process is used for amendments to all issued IFBs:

| Responsible Party                                    | Process Step   |
|--|--|
| Dept. of Procurement and Contracts/Project Architect | 1. Prepares and issues a written addendum to an existing and open IFB.   |
| Dept. of Procurement and Contracts/Project Architect | 2. Send copies of the addenda via mail and/or email to each prospective bidder who received the initial IFB package and/or post on HANO's website and Bid Express website. |
| Vendor   | 3. Acknowledges receipt of the addendum to the IFB.  |

### 2.2.3 Bid Opening and Award

The following process is used for the review and award of competitive bids:

| Responsible Party                  | Process Step   |
|------------------------------------|--|
| Dept. of Procurement and Contracts | 1. On the published bid opening date, each received bid is opened by the Department of Procurement and Contracts and read aloud in the presence of at least one witness at the time and place prescribed in the Invitation for Bids.   |
| Dept. of Procurement and Contracts | 2. Each bid is recorded in the abstract for the procurement, including the name and bid price for each bidder.   |
| Dept. of Procurement and Contracts | 3. All submitted bids are reviewed by the Procurement Manager to ensure the responses meet the requirements described in the Invitation for Bids, as well as any noted specifications (if applicable).   |
| Dept. of Procurement and Contracts | 4. Once reviewed, the lowest, responsive, and responsible bidder is selected by the Procurement Manager for bid recommendation. To be considered responsive, the Bidder must meet all requirements of the specification documents (if applicable).   |
| Requesting Dept.                   | 5. The recommended bid is reviewed and approved by the Requesting Department Director.<br>a. If the bid is not approved by the Requesting Department, the bid is determined non-responsive, and the next lowest bid is reviewed.<br>b. The Requesting Department must formally document in writing its rationale for determining the recommended bid non-responsive. This documentation should be provided to the Department of Procurement and Contracts for inclusion in the procurement file. |
| Requesting Dept.                   | 6. Drafts an award recommendation letter, verifying that the recommended vendor's bid is reasonable and sends it to the Department of Procurement and Contracts.   |
| Dept. of Procurement and Contracts | 7. If the procurement is over \$250,000, obtains Board of Commissioner's approval for the procurement.<br>a. In conjunction with the user department, drafts a board resolution for approval and attaches recommendation from Requesting Department and evidence of vendor responsibility.   |
| Dept. of Procurement and Contracts | 8. Creates purchase order and contract.  |
| Dept. of Procurement and Contracts | 9. Routes contract for execution.  |
| Dept. of Procurement               | 10. Distributes purchase order and contract.   |

|                                    |  |
|------------------------------------|--|
| and Contracts                      |  |
| Dept. of Procurement and Contracts | 11. Sends denial letter to Vendor(s) not selected for contract award.  |
| Dept. of Procurement and Contracts | 12. Creates a procurement file for the purchase(s) including the following documentation:<br>a. Purchase Requisition & Purchase Order<br>b. Vendor selection documentation (e.g. vendor quote(s), bids, bid abstract, vendor contact info., justification for selection).<br>c. Award notification letter<br>d. Denial letters<br>e. Approved board resolution<br>f. Executed contract |

### 2.2.2 Mistakes in Bids

The following process is used for the withdrawal or correction of submitted bids prior to the bid opening date:

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Bidder                             | 1. Wishes to withdraw or make corrections to a bid prior to bid opening.  |
| Bidder                             | 2. Contacts the Department of Procurement and Contracts via letter, email, or fax expressing desire to correct or withdraw a previously submitted bid. The written communication should include the solicitation number and rationale for withdrawal (or correction).                           |
| Dept. of Procurement and Contracts | 3. Reviews the rationale for withdrawal (or correction) and if approved, returns the previously submitted, sealed bid to the Bidder.<br>a. If the Bidder corrects a previously submitted bid, the original bid will be discarded by the Procurement Manager once the corrected bid is received. |
| Dept. of Procurement and Contracts | 4. The Procurement Manager must provide written and signed determination of all decisions to allow correction or withdrawal of bid mistakes within the procurement file.  |

The following process is used for the withdrawal of submitted bids after the bid opening date:

| Responsible Party | Process Step   |
|-------------------|--|
| Bidder            | 1. Wishes to withdraw a bid within 48 hours of bid opening (excluding Saturday, Sunday, and legal holidays). |

|                                    |   |
|------------------------------------|---|
| Bidder                             | 2. Contacts the Department of Procurement and Contracts via letter, email, or fax expressing desire withdraw a previously submitted bid. The written communication should include the solicitation number, as well as clear and convincing sworn, written evidence of bidding error (e.g., blatantly obvious, unintentional, and substantial mechanical, clerical, or mathematical errors or errors of unintentional omission of a substantial quantity of work, labor, material, or services made directly in compilation of the bid). |
| Dept. of Procurement and Contracts | 3. Reviews the documentation requesting bid withdrawal. HANO must accept the withdrawal if it is determined that the bid error meets one or more of the standards explained in step 2, as opposed to an error in judgment, and that the bid was submitted in good faith.  |
| Dept. of Procurement and Contracts | 4. If withdrawal is accepted, the bid is securely returned to the bidder.   |
| Dept. of Procurement and Contracts | 5. The Procurement Manager must provide written and signed determination of all decisions to allow withdrawal of bid mistakes within the procurement file.  |

### 2.3 Requests for Proposals

The following process is used for the development of solicitation materials for Requests for Proposals (RFPs):

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Requesting Dept.                   | 1. Identifies the need and develops a statement of work and/or specifications, cost estimate and potential vendor list. |
| Requesting Dept.                   | 2. Prepares and enters a purchase requisition into procurement system. Attaches supporting documentation.               |
| Dept. of Procurement and Contracts | 3. Receives an approved electronic purchase requisition.  |
| Dept. of Procurement and Contracts | 4. Determines the appropriate method of procurement, e.g., RFP or Request for Qualifications (RFQ).                     |
| Dept. of Procurement and Contracts | 5. Assigns a solicitation number.   |
| Dept. of Procurement and Contracts | 6. Prepares the solicitation.   |
| Dept. of Procurement and Contracts | 7. Prepares an advertisement, if applicable.  |

|                                    |  |
|------------------------------------|--|
| Dept. of Procurement and Contracts | 8. When feasible, submit the advertisement to select print and online publications at least 25 days in advance of the bid opening date (Saturday, Sunday, and legal holidays are excluded).<br>a. The Procurement Manager may determine that a lesser period of advertisement is acceptable, but under no circumstance can the first advertisement be fewer than 15 days prior to the proposal submission due date and time. |
| Dept. of Procurement and Contracts | 9. Copies of the RFP are made available via HANO's website on the first day of the advertisement.  |
| Dept. of Procurement and Contracts | 10. Re-submits the advertisement to select print and online publications weekly for the three weeks preceding the published proposal due date.   |

### 2.3.1 Receipt and Handling of Proposals

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Dept. of Procurement and Contracts | 1. As proposals are received from interested Respondents, they are provided a receipt from HANO's Department of Procurement and Contracts denoting the time and date the response(s) were received.   |
| Dept. of Procurement and Contracts | 2. The proposals must also be time and date stamped and stored in a secure location until the published proposal submission due date and time.<br>a. Proposals shall be handled to prevent disclosure of the number of offerors, identity of offerors, and the contents of their proposals. |

### 2.3.2 Proposal Evaluation

The following process is used for the evaluation of proposal responses:

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Contracting Officer                | 1. Selects Proposal Evaluation Committee and provides to Department of Procurement and Contracts.   |
| Dept. of Procurement and Contracts | 2. After the published proposal submission due date and time, all received proposals are opened by the Department of Procurement and Contracts for distribution to the Proposal Evaluation Committee. |
| Dept. of Procurement and Contracts | 3. The Department of Procurement and Contracts provides all proposal evaluation materials to each Committee member, e.g., technical proposals, evaluation criteria, disclosures.                      |
| Proposal Review Committee          | 4. The Committee meets to discuss and score proposals. A consensus score is established for each criterion of the proposal.   |

|                                    |   |
|------------------------------------|---|
| Proposal Review Committee          | 5. See section 2.3.3, Final Determination, for detailed procedures taken by the Proposal Review Committee if it is determined that additional information or best and final offers are necessary. |
| Proposal Review Committee Chairman | 6. The Committee Chairperson drafts an Evaluation Report detailing the evaluation process, the Evaluation Committee's consensus scores, and the Committee's award recommendation.                 |
| Dept. of Procurement and Contracts | 7. The Evaluation Report is documented in the procurement file.   |

### 2.3.3 Final Determination

The following process is used for the negotiation of contracts through the RFP process:

| Responsible Party                  | Process Step   |
|------------------------------------|--|
| Proposal Review Committee          | 1. Determines that additional (or revised) information should be requested from all or shortlisted Respondents.  |
| Dept. of Procurement and Contracts | 2. Contacts shortlisted Respondents via phone, email, or letter requesting additional information, oral presentations, and/or Best and Final Offers.<br>a. The communication must include detailed response requirements, as well as date, time, and location of receipt of responses. |
| Dept. of Procurement and Contracts | 3. If applicable, schedules oral presentations for select Vendors and the Proposal Evaluation Committee. Schedules are provided to each member of the Committee.   |
| Dept. of Procurement and Contracts | 4. Provides additional documentation/Best and Final Offers to the Proposal Review Committee as it is received.   |
| Proposal Review Committee          | 5. May repeat 2.3.2, steps 3-7 or enter negotiations until final selection is made.  |

### 2.3.4 Award

The following process is used for the award of contracts by RFP:

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Proposal Review Committee Chairman | 1. Based on the Proposal Review Committee's Evaluation Report, an award recommendation letter is drafted and sent to the Department of Procurement and Contracts. |

|                                    |   |
|------------------------------------|---|
| Dept. of Procurement and Contracts | <ol style="list-style-type: none"> <li>2. Obtains award approval. <ol style="list-style-type: none"> <li>a. If the procurement is under \$250,000, obtains approval from the Executive Director or his/her designee.</li> <li>b. If the procurement is over \$250,000, obtains Board of Commissioner's approval for the procurement.</li> </ol> </li> <li>b. Drafts an award recommendation letter or board resolution and attaches recommendation from Proposal Evaluation Committee and evidence of vendor responsibility.</li> </ol>         |
| Dept. of Procurement and Contracts | 3. Creates purchase order and contract.   |
| Dept. of Procurement and Contracts | 4. Routes contract for execution.   |
| Dept. of Procurement and Contracts | 5. Issues purchase order and contract to Contractor.  |
| Dept. of Procurement and Contracts | 6. Distributes purchase order and contract internally.  |
| Dept. of Procurement and Contracts | 7. Sends contract award notification to unsuccessful bidders (for purchases over \$250,000).  |
| Dept. of Procurement and Contracts | <ol style="list-style-type: none"> <li>8. Creates a procurement file for the purchase(s) including the following documentation: <ol style="list-style-type: none"> <li>a. Purchase Requisition &amp; Purchase Order</li> <li>b. Vendor selection documentation (e.g. vendor proposals, vendor contact info, evaluation report justification for selection, negotiation documents).</li> <li>c. Award notification letter</li> <li>d. Denial letters</li> <li>e. Approved board resolution</li> <li>f. Executed contract.</li> </ol> </li> </ol> |

## 2.4 Cooperative Purchasing

The following process is used for the State (materials, supplies, and services), Inter-governmental, Inter-agency and/or other cooperative purchase agreements (for services only):

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Requesting Dept.                   | 1. Identifies the need and develops a statement of work and/or specifications, cost estimate and potential vendor list or state/cooperative contract info.                                    |
| Requesting Dept.                   | 2. Prepares and enters a purchase requisition into procurement system. Attaches supporting documentation.   |
| Dept. of Procurement and Contracts | 3. Receives an approved electronic purchase requisition for goods or services that may be acquired through an existing State, Intergovernmental, and/or other cooperative purchase agreement. |

|                                    |  |
|------------------------------------|--|
| Dept. of Procurement and Contracts | 4. Once the cooperative contract price(s) have been verified, purchase orders can be created to procure the goods/services through the contracted vendors.   |
| Dept. of Procurement and Contracts | 5. Obtains proper approval of the purchase order based on dollar amount.   |
| Dept. of Procurement and Contracts | 6. If the contract is over \$250,000, obtains Board of Commissioner's approval for the procurement.  |
| Dept. of Procurement and Contracts | 7. Creates a procurement file for the purchase(s) including the following documentation:<br>a. Purchase Requisition<br>b. Vendor selection documentation (e.g. cooperative contract information, vendor quote(s), bids, and/or proposals, vendor contact information). |

## 2.5 Emergency Procurements

Emergency procurement is defined as any purchase that is necessary when there exists a situation that seriously threatens the public health, welfare, or safety, or endangers property, or would otherwise cause serious injury to HANO, as may arise by reason of a hurricane, flood, earthquake, epidemic, riot, equipment failure, or similar event. To qualify as an emergency, there must be an **immediate and serious need** for supplies, services, or construction and **the emergency procurement is only limited to those supplies, services, or construction necessary simply to mitigate the emergency. Failure to plan for foreseeable expenses is not justification for an emergency.**

If an emergency procurement is necessary, the non-competitive procurement method may be utilized if it is determined that contract award is not feasible using small purchase procedures, sealed bids or competitive proposals. Even in an emergency, try to solicit multiple quotes, if time permits.

The following process is used for emergency procurements:

### During Business Hours:

| Responsible Party | Process Step  |
|-------------------|---|
| Requesting Dept.  | 1. Identifies the Department's needs as an emergency per the definition of an emergency.  |
| Requesting Dept.  | 2. Drafts an "Emergency Procurement Memo" authorizing the purchase(s), signed by the Department Director as well as the well as the Contracting Officer. The Contracting Officer will be the Executive Director or his/her designee.<br>a. The memo must include a description of goods/services needed, an explanation of situation that presents the emergency, and justification for cost reasonability.<br>b. The memo may be forwarded and approved via email. |

|                                    |   |
|------------------------------------|---|
| Requesting Dept.                   | 3. Requester creates and enters a purchase requisition in the procurement system, if time permits, or manually routes an Emergency Requisition Form for approval by the Department Head and Executive Director.   |
| Dept. of Procurement and Contracts | 4. Selects a vendor or obtains quotes for goods and/or services, if the user department has not provided multiple quotes upfront.   |
| Dept. of Procurement and Contracts | 5. Creates and issues a purchase order and contract, if applicable.   |
| Requesting Dept.                   | 6. If an Emergency PO was issued manually, a standard requisition is entered in the procurement system, referencing the Emergency PO #, the first business day after the PO was issued.   |
| Dept. of Procurement and Contracts | 7. If the contract is over \$250,000, obtains Board of Commissioner's approval for the procurement.   |
| Dept. of Procurement and Contracts | 8. Creates a procurement file for the purchase(s) including the following documentation:<br>a. "Emergency Procurement Memo"<br>b. Vendor selection documentation (e.g. vendor quote(s), bids, and/or proposals, vendor contact information, justification for cost and vendor selection)<br>c. Purchase Order<br>d. Contract (if applicable). |

**After Business Hours (Extreme Emergencies that cannot wait until the next business day for processing):**

| Responsible Party     | Process Step  |
|-----------------------|---|
| Requesting Dept.      | 1. Identifies the Department's needs as an emergency per the definition of an emergency.  |
| Requesting Dept.      | 2. Drafts an "Emergency Procurement Memo" authorizing the purchase(s), signed by the Department Director as well as the Contracting Officer. The Contracting Officer will be the Executive Director or his/her designee.<br>a. The memo must include a description of goods/services needed, an explanation of the situation that presents the emergency, and justification for cost reasonability.<br>b. The memo may be forwarded and approved via email. |
| Requesting Dept.      | 3. Selects a vendor or obtains quotes for goods and/or services.  |
| Requesting Dept. Head | 4. Creates and issues a purchase order to vendor and <b>sends a copy to Procurement.</b>  |
| Requesting Dept.      | 5. Requester creates and enters a requisition in the procurement system the first business day after the emergency and references the Emergency PO number.  |

|                                    |   |
|------------------------------------|---|
| Dept. of Procurement and Contracts | 6. If the contract is over \$250,000, obtains Board of Commissioner's approval for the procurement.   |
| Dept. of Procurement and Contracts | 8. Creates a procurement file for the purchase(s) including the following documentation:<br>a. "Emergency Procurement Memo"<br>b. Vendor selection documentation (e.g. vendor quote(s), bids, and/or proposals, vendor contact information, justification for cost and vendor selection)<br>c. Purchase Order<br>d. Contract (if applicable). |

### 3. Vendor Management

#### 3.1 Vendor Data Maintenance

##### 3.1.1 Vendor Setup (Procurement Vendor)

The following process is used to validate and setup a new Procurement Vendor in HANO's Vendor Database:

| Responsible Party                          | Process Step  |
|--|---|
| Vendor                                     | 1. A Vendor is awarded a procurement.   |
| Dept. of Procurement and Contracts         | 2. Performs a search within the Vendor Database to ensure a vendor record does not already exist.   |
| Dept. of Procurement and Contracts         | 3. A Vendor Setup Form is provided to the Vendor to complete.<br>a. Vendor Setup Forms can also be included in Invitation for Bids, Request for Proposals, Request for Qualifications, and Request for Quotes packets.          |
| Vendor                                     | 4. Vendor completes the Vendor Setup Form and returns the form with submitted documentation to the Department of Procurement and Contracts.   |
| Dept. of Procurement and Contracts/Finance | 5. Completed Vendor Setup Form is reviewed for completeness.<br>a. If the Vendor Registration Form is determined to be incomplete, the Vendor will be notified and the Vendor will be required to revise and resubmit the Form. |
| Dept. of Procurement and Contracts         | 6. Once it has been confirmed that the Vendor is a legitimate vendor, the Vendor is approved as a new vendor.   |
| Dept. of Procurement and Contracts         | 7. Creates a new Vendor record.   |

### 3.1.2 Vendor Setup (Non-Procurement Vendor)

The following process is used to validate and set-up a new Non-Procurement Vendor in HANO's Vendor Database:

| Responsible Party                  | Process Step   |
|------------------------------------|--|
| User Department/Finance            | 1. Determines that a Non-Procurement Vendor is due payment from HANO. Non-Procurement Vendors include residents to whom relocation checks are due, employees to whom reimbursements are due, parties to legal settlements, governmental, city or other regulatory entities, etc. |
| User Department/Finance            | 2. Completes and submits a Non-Procurement Vendor Setup Form.  |
| Dept. of Procurement and Contracts | 3. Completed Vendor Setup Form is reviewed for completeness.<br>a. If the Vendor Setup Form is determined to be incomplete, the User Department or Finance will be notified and will be required to complete and resubmit the Form.  |
| Dept. of Procurement and Contracts | 4. Performs a search within the Vendor Database to ensure a vendor record does not already exist.  |
| Dept. of Procurement and Contracts | 5. Creates a new Vendor record.  |

#### 4. Purchase Requests

The following reflect the procedures to be used by the User Department for the development and approval of a purchase requisition.

| Responsible Party    | Process Step   |
|----------------------|--|
| Requesting Dept.     | 1. Determine the Department's needs.   |
| Requesting Dept.     | 2. Authorized user creates a purchase requisition within the procurement system and attaches any supporting documentation, as appropriate.       |
| Department Director  | 3. Routed to Department Director (if not originator) for approval within the system. Department Director approves the requisition in the system. |
| Finance Dept.        | 4. Routed to Finance Department for approval within the system. Finance Department approves the requisition in the system.                       |
| Executive Department | 5. The requisition is routed to Executive for approval. Executive approves the requisition in the system.  |

#### 4.1 Manual Requests

The following reflect the procedures to be used by the User Department for the development and approval of a purchase requisition, in the event that there is no access to the procurement system.

| Responsible Party                       | Process Step   |
|---|--|
| Requesting Dept.                        | 1. Determine the Department's needs.   |
| Requesting Dept.                        | 2. Authorized user completes a Manual Requisition Form within the procurement system and attaches any supporting documentation, as appropriate.  |
| Department Director                     | 3. Requester physically routes the form to the Department Director (if not originator) for signed approval. Department Director signs the requisition.   |
| Finance Dept.                           | 4. Requester physically routes the form to Finance Department for signed approval. Finance Department signs the requisition.   |
| Executive Department                    | 5. Requester physically routes the form to Executive for approval. Executive signs the requisition.  |
| Department of Procurement and Contracts | 6. Requester physically routes the form to Procurement for approval. Procurement issues a Manual Purchase Order to the Department & Vendor.  |
| Requesting Dept.                        | 7. When access to the system is restored, the requester enters a requisition in the system, referencing the Manual Purchase Order number, and approvals are assigned electronically until a PO is generated from the system. |

#### 5. Purchase Orders and Contract Development

##### 5.1 Purchase Orders

The following reflect the procedures to be used by the Department of Procurement and Contracts for the development of a purchase order:

| Responsible Party                  | Process Step   |
|------------------------------------|--|
| Dept. of Procurement and Contracts | 1. Reviews approved procurement requisition queue and identifies approved purchase requisitions that require purchase order(s).  |
| Dept. of Procurement and Contracts | 2. Reviews all approved purchase requisitions to identify opportunities to combine two or more purchase requests into one purchase order.  |
| Dept. of Procurement and Contracts | 3. Reviews all approved purchase requisition to identify opportunities to use cooperative agreements.  |
| Dept. of Procurement and Contracts | 4. The Department of Procurement and Contracts will review each purchase request for complete and accurate information. Any purchase requisition prepared incorrectly will be returned |

|                                    |  |
|------------------------------------|--|
|                                    | to the Managing Department, requesting that corrections be made. No action will be taken on the purchase requisition until all errors and/or omissions are corrected, and the Department of Procurement and Contracts is in receipt of the corrected and fully approved purchase requisition in electronic format.   |
| Dept. of Procurement and Contracts | 5. Conducts appropriate procurement in accordance with procedures in Section 2, Procurement Methods.   |
| Dept. of Procurement and Contracts | 6. Create purchase order within the system.  |
| Dept. of Procurement and Contracts | 8. Attaches documentation of procurement to electronic purchase requisition and/or creates procurement file including, at a minimum, the following documentation:<br>a. Purchase Requisition & Purchase Order<br>b. Vendor selection documentation (e.g. vendor quote(s), bids, and/or proposals, vendor contact information, justification for vendor selection). |

## 5.2 Contract Development

The following processes reflect the procedures to be used by the Department of Procurement and Contracts and HANO's General Counsel for entering a contract on behalf of HANO:

| Responsible Party                  | Process Step   |
|------------------------------------|--|
| Dept. of Procurement and Contracts | 1. Drafts contract based on type, e.g., construction, non-construction, maintenance, etc.  |
| General Counsel                    | 2. Reviews draft contract and provides any feedback or edits to the Procurement Manager.   |
| Dept. of Procurement and Contracts | 3. Updates the draft contract as necessary and forwards the contract and/or Tax Exemption Certificate (construction) to the Vendor for review and approval.            |
| Vendor                             | 4. Reviews the contract and provides feedback to begin contract negotiations or agrees to the terms and conditions by signing the contract.                            |
| Dept. of Procurement and Contracts | 5. If the Vendor has provided feedback or questions on the draft contract, the Procurement Manager will communicate the information to the General Counsel for review. |
| General Counsel                    | 6. Reviews the Vendor's feedback and determines if modifications to the draft contract should be permitted and are agreeable to HANO.                                  |
| General Counsel                    | 7. Communicates any approved changes to the Procurement Manager to update the draft contract.  |

|                                    |  |
|------------------------------------|--|
|                                    | <u>Note:</u> The General Counsel reserves the right to refuse all contract negotiations with potential vendors. In addition, per the HUD Procurement Handbook and depending on dollar amount, HANO may not adjust or modify contract language for specific mandatory clauses in construction, non-construction, and maintenance contracts. |
| Dept. of Procurement and Contracts | 8. Updates the contract draft as necessary and communicates all changes to the Vendor.   |
| Vendor                             | 9. Reviews the updated draft (if applicable) and determines if further negotiations are necessary and/or if the Vendor wants to continue the contract execution process with HANO, depending on their satisfaction with the contract negotiation process.  |
| Dept. of Procurement and Contracts | 10. Finalizes the contract based on all negotiation conversations and contract updates between HANO's General Counsel and the Vendor.  |
| General Counsel                    | 11. Reviews the final contract.  |
| Dept. of Procurement and Contracts | 12. Drafts Contracting Officer's Designee Letter to assign a Contract Monitor (CM).  |
| Executive Director                 | 13. Signs and executes the contract and the Contracting Officer's Designee Letter on behalf of HANO.   |

### 5.3 Disputes, Protests, and Appeals

#### 5.3.1 Protest and Appeals Review

The following procedures should be used to review a submitted protest:

| Responsible Party                  | Process Step  |
|------------------------------------|---|
| Dept. of Procurement and Contracts | 1. Receive a properly filed protest.  |
| Dept. of Procurement and Contracts | 2. Review, investigate, and consult with HANO's General Counsel, as appropriate.                  |
| Dept. of Procurement and Contracts | 3. Within 15 business days of receipt of protest, issue, in writing, a decision to the Protestor. |

The following procedures should be used to appeal a protest decision:

| Responsible Party | Process Step   |
|-------------------|--|
| Protestor         | 1. Within 3 business days of receipt of notification of the Procurement Manager' decision on the original protest, the Protestor must notify HANO's Contracting Officer, in writing, of an appeal to the |

|                                    |   |
|------------------------------------|---|
|                                    | protest decision.   |
| Contracting Officer                | 2. Review, investigate, and consult with HANO's General Counsel, as appropriate on the appeal.                          |
| Dept. of Procurement and Contracts | 3. Within 15 business days of receipt of protest decision appeal, issue, in writing, a final decision to the Protestor. |

## 6. Contract Administration

Contract administration begins immediately following an award of a contract/purchase order to determine how well HANO and the Vendor/Contractor have performed to meet the requirements of the contract. It encompasses all dealings from the onset of the contract until the goods/services have been received and accepted.

### 6.1 Contract Administrator

The Contract Administrator is responsible for:

- Developing and implementing procedures
- Providing technical assistance to Procurement and Contracts staff in preparation of solicitations and contract agreements
- Providing technical assistance and oversight to the Contract Monitor to ensure that contracts are being properly administered, monitored and Vendors/Contractors and Subcontractors are following the scope of work and contract terms and conditions.
- Coordinating with the Contract Monitors, Vendor/Contractor and HANO staff to facilitate the resolution of contract disputes or claims.
- Preparing all termination and performance evaluation notifications to Vendor/Contractor.

### 6.2 Contract Monitor

The Contract Monitor is responsible for:

- Monitoring the Vendor/Contractor performance, verifying they perform the technical requirements of the contract in accordance with the contract terms and conditions.
- Reviewing, verifying and recommending approval of any invoice submitted for payment by the Vendor/Contractor in accordance with the contract terms and conditions.
- Reporting any Vendor/Contractor deficiencies resulting in nonconforming work, delays or problems with the contract/purchase order on the Vendor/Contractor Complaint Form, recommending appropriate corrective action needed to correct the issue(s)
- Preparing all requests for contract modifications (change orders or amendments) and contract terminations.

### 6.3 Contract Administration

#### 6.3.1 Prior to Procurement

The following procedures should be used prior to procurement:

| Responsible Party                           | Process Step  |
|---|---|
| User Department                             | 1. Develop and submit to the Procurement and Contracts Department a detailed technical specification/scope of services identifying needs. |
| Contract Administrator and Contract Monitor | 2. Identify contract risk and establish goals to manage risk.   |
| Procurement and Contracts Department        | 3. Determine the appropriate procurement method.  |
| Procurement and Contracts Department        | 4. Determine the appropriate contract type.   |

### 6.3.2 Post Award Activities

The following procedures should be used during post award activities.

| Responsible Party                           | Process Step  |
|---|---|
| Contracting Officer                         | 1. Executes Designation of Contract Monitor Letter, identifying the Contract Monitor for each contract.   |
| Contract Administrator                      | 2. Conduct Contract Post Award Meeting with Contract Monitor and distribute Designation of Contract Monitor Letter, Performance Monitoring Tools, and Contract Administration File. |
| Contract Monitor                            | 3. Request Vendor/Contractor to prepare questions prior to Contract Kick-off/Preconstruction meeting to address any concerns.   |
| Contract Administrator and Contract Monitor | 4. Conduct Contract Kick-off/Preconstruction Meeting to clarify goals, objectives and performance schedule.   |
| Procurement and Contracts Department        | 5. Issue Notice to Proceed (NTP), if applicable.  |

### 6.3.3 Contract Monitoring

The following procedures should be used for handling contract problems or disputes in connection with the Vendor/Contractor performance:

| Responsible Party      | Process Step   |
|------------------------|--|
| Contract Monitor       | 1. Formally notifies Contract Administrator of problem or dispute on Vendor/Contractor Complaint Form. |
| Contract Administrator | 2. Schedules Contractor Performance Evaluation meeting.  |

|                        |   |
|------------------------|---|
| Contract Administrator | 3. Issues a "Cure" Notice to the Vendor/Contractor, outlining performance issues and a timeline for corrective action.    |
| Contract Administrator | 4. Issues a Show Cause Notice prior to issuing a termination for default unless problems or disputes have been corrected. |
| Contract Administrator | 5. After the Cure Period, HANO may issue a notice of termination for default unless failure to perform has been cured.    |

#### 6.3.4 Contract Closeout

The following procedures should be used for contract closeout activities:

| Responsible Party      | Process Step  |
|------------------------|---|
| Contract Monitor       | 1. Completes Contract Closeout Checklist, documenting completion of work, final acceptance of work and final payment has been made.   |
| Contract Monitor       | 2. Completes Vendor/Contractor, Construction Contractor or Architectural/Engineering Performance Evaluation Form, depending on the type of Contract. (See Appendix D, E & F). |
| Contract Administrator | 3. Perform Contract Administration Analysis to analyze and report on Contract Development and Contract Administration results.  |

#### 7. Disposition of Surplus Moveable Property

The following procedures should be used for disposition of surplus moveable property:

| Responsible Party                             | Process Step  |
|---|---|
| Fleet Manager or Director of Asset Management | 1. Per HANO's Fixed Assets Policy and Procedures for Disposition of Surplus Moveable Property, an approved (Executive Director if under \$250k or Board of Commissioners if \$250k+) Asset Transfer and/or Disposal Form for disposition and/or transfer of fleet vehicles is submitted to the Department of Procurement and Contracts. |
| Department of Procurement and Contracts       | 2. Disposal is conducted by donation, sale (live, bid, or online auction), transfer for performance of services, lease replacement, or trash, as prescribed in the disposition policy.  |

## 8. Agency Fuel Card Reporting

The following procedures should be used for monthly reporting of Agency-wide fuel charges:

| Responsible Party                       | Process Step   |
|---|--|
| Department of Procurement and Contracts | 1. An auto-generated report from the Voyager fuel application is downloaded, divided, and totaled by department.   |
| Department of Procurement and Contracts | 2. A report is submitted individually to each user department to reconcile against their physical receipts. Additionally, the full report is submitted to Accounts Payables. |
| User Departments                        | 3. User Departments submit their reports to Accounts Payable, signed by the Department Head, with copies of the referenced receipts.   |
| Finance                                 | 4. Accounts Payables reviews and matches receipts and verifies totals. Payment is submitted to the vendor.   |

# APPENDIX



\* Attach Documentation (If Provided)

## Select All Applicable Products/Service in Each Category:

### Voice Services & Products:

- Call Accounting
- Calling Cards
- Local Services
- Voice Bridging
- VoIP Solutions
- Call Center
- Telephone Equipment
- Long Distance Services
- Voice Systems
- Wireless/Cellular
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

### Network/Internet Services & Products:

- Converged Network Provider
- Internet Access
- Virtual Learning
- Custom Network/Internet Solutions
- Network Equipment
- Wireless LAN/MAN/WAN
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

### Video Services & Products:

- Audio/Visual Equipment
- Interactive Video & Multimedia Equipment
- Video Bridging
- Integration Services
- Network Access
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

### e-Learning Solutions:

- Course/Learning Management Application
- Training/Certification
- Course Content Provider
- Hosting – ASP Services
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

### Computer Services & Products:

- Application Software (Microsoft, Adobe, Lotus, etc.)
- E-mail Applications
- Network Devices
- SAN, Enterprise, Etc.
- Web & Application Hosting/IT Services
- Computers, Servers & Add-On Components
- Internet Content Filtering Applications & Devices
- Peripheral Equipment
- Storage Systems
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

### Additional Services & Products:

- Auditors
- Electrical Generators & Power Suppression Equip
- Office Furniture
- Consulting
- Library Supplies, Equipment & Furniture
- Office Supplies & Equipment
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_
- Other: \_\_\_\_\_

Circle all that Apply: (DBE) (WBE) (MBE) (Section 3) (Small Business)

Required: (Attach a copy of your certification for all items circled above)

Check one: \_\_\_ African American \_\_\_ Hispanic \_\_\_ Native American \_\_\_ Asian \_\_\_ Caucasian \_\_\_ Other

## **Definitions:**

**Disadvantage Business Enterprise (DBE)** – A business enterprise that is 51% or more owned, controlled, and actively operated by one or more persons who are classified as members of a racial minority group, such as African American, Hispanic American, Asian Pacific American, Asian Indian American, Native American, Aleuts or Hasidic Jewish Americans.

**Woman Business Enterprise (WBE)** - A business enterprise that is 51% or more owned, controlled, and actively operated by one or more women.

**Section 3 Business** - A business that meets one of the following:

1. 51% or more owned and controlled by a resident of any HANO Housing site or whose full-time permanent workforce includes 30% of HANO residents of any housing site;
2. Hud Youthbuild Program in Orleans Parish;
3. Business concerns that are 51% or more owned and controlled by HANO residents or are low or very low-income Orleans Parish Residents or whose full-time permanent workforce includes 30% of HANO residents or low/very low-income Orleans Parish residents;
4. Business that subcontracts in excess of 25% of the total amount of subcontracts to business concerns identified in the preferences above.

**Small Business Enterprise (SBE)** — A business concern, including its affiliates, that is independently owned and operated and is not dominant in the field of operation for which it is bidding and qualifies as a small business under the criteria and size standards in 13 CFR Part 121 (see FAR 19.102).

## DECLARATION BY VENDOR

**I confirm that:**

- i) Neither I nor any employee of \_\_\_\_\_ is in any way connected to the Housing Authority of New Orleans or its employees or an immediate family member of any Housing Authority of New Orleans employee.
- ii) For each relationship, I will include a brief statement describing the relationship.
- iii) The information furnished is correct to the best of my knowledge and belief.

---

Printed Name of Authorized Signatory

---

Signature



By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting*, later, for further information.

**Note:** If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**Definition of a U.S. person.** For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

**Special rules for partnerships.** Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the entity;
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the trust; and
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust (other than a grantor trust) and not the beneficiaries of the trust.

**Foreign person.** If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*).

**Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

**Example.** Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

## Backup Withholding

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

**Payments you receive will be subject to backup withholding if:**

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the instructions for Part II for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

Also see *Special rules for partnerships*, earlier.

## What is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the instructions for the Requester of Form W-9 for more information.

## Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account; for example, if the grantor of a grantor trust dies.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

### Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

**a. Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

**Note: ITIN applicant:** Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040/1040A/1040EZ you filed with your application.

**b. Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

**c. Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

**d. Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on line 2.

**e. Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

### Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, you may enter it on line 2.

### Line 3

Check the appropriate box on line 3 for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3.

| IF the entity/person on line 1 is a(n) . . .   | THEN check the box for . . .  |
|--|---|
| • Corporation  | Corporation   |
| • Individual<br>• Sole proprietorship, or<br>• Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.   | Individual/sole proprietor or single-member LLC   |
| • LLC treated as a partnership for U.S. federal tax purposes,<br>• LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or<br>• LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes. | Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation) |
| • Partnership  | Partnership   |
| • Trust/estate   | Trust/estate  |

### Line 4, Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

#### Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space in line 4.

- 1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2)
- 2—The United States or any of its agencies or instrumentalities
- 3—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities
- 5—A corporation
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission
- 8—A real estate investment trust
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940
- 10—A common trust fund operated by a bank under section 584(a)
- 11—A financial institution
- 12—A middleman known in the investment community as a nominee or custodian
- 13—A trust exempt from tax under section 664 or described in section 4947

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

| IF the payment is for . . .  | THEN the payment is exempt for . . .  |
|--|---|
| Interest and dividend payments   | All exempt payees except for 7  |
| Broker transactions  | Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012. |
| Barter exchange transactions and patronage dividends                                   | Exempt payees 1 through 4   |
| Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup> | Generally, exempt payees 1 through 5 <sup>2</sup>   |
| Payments made in settlement of payment card or third party network transactions        | Exempt payees 1 through 4   |

<sup>1</sup> See Form 1099-MISC, Miscellaneous Income, and its instructions.

<sup>2</sup> However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

**Exemption from FATCA reporting code.** The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) written or printed on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)

B—The United States or any of its agencies or instrumentalities

C—A state, the District of Columbia, a U.S. commonwealth or possession, or any of their political subdivisions or instrumentalities

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i)

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(ii)

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state

G—A real estate investment trust

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940

I—A common trust fund as defined in section 584(a)

J—A bank as defined in section 581

K—A broker

L—A trust exempt from tax under section 664 or described in section 4947(a)(1)

M—A tax exempt trust under a section 403(b) plan or section 457(g) plan

**Note:** You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

### Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, write NEW at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

### Line 6

Enter your city, state, and ZIP code.

## Part I. Taxpayer Identification Number (TIN)

**Enter your TIN in the appropriate box.** If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

**Note:** See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at [www.SSA.gov](http://www.SSA.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/Businesses](http://www.irs.gov/Businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. Go to [www.irs.gov/Forms](http://www.irs.gov/Forms) to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to [www.irs.gov/OrderForms](http://www.irs.gov/OrderForms) to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

**Note:** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

**Caution:** A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

**Signature requirements.** Complete the certification as indicated in items 1 through 5 below.

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABL E accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### What Name and Number to Give the Requester

| For this type of account:  | Give name and SSN of:   |
|--|---|
| 1. Individual  | The individual  |
| 2. Two or more individuals (joint account) other than an account maintained by an FFI  | The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup> |
| 3. Two or more U.S. persons (joint account maintained by an FFI)   | Each holder of the account  |
| 4. Custodial account of a minor (Uniform Gift to Minors Act)   | The minor <sup>2</sup>  |
| 5. a. The usual revocable savings trust (grantor is also trustee)<br>b. So-called trust account that is not a legal or valid trust under state law | The grantor-trustee <sup>1</sup><br>The actual owner <sup>1</sup>                                       |
| 6. Sole proprietorship or disregarded entity owned by an individual  | The owner <sup>3</sup>  |
| 7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))                                     | The grantor <sup>4</sup>  |

| For this type of account:   | Give name and EIN of:     |
|---|---------------------------|
| 8. Disregarded entity not owned by an individual  | The owner                 |
| 9. A valid trust, estate, or pension trust  | Legal entity <sup>4</sup> |
| 10. Corporation or LLC electing corporate status on Form 8832 or Form 2553                  | The corporation           |
| 11. Association, club, religious, charitable, educational, or other tax-exempt organization | The organization          |
| 12. Partnership or multi-member LLC   | The partnership           |
| 13. A broker or registered nominee  | The broker or nominee     |

| For this type of account:   | Give name and EIN of: |
|---|-----------------------|
| 14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments | The public entity     |
| 15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))  | The trust             |

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

<sup>4</sup> List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships*, earlier.

**\*Note:** The grantor also must provide a Form W-9 to trustee of trust.

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

### Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information such as your name, SSN, or other identifying information, without your permission, to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
  - Ensure your employer is protecting your SSN, and
  - Be careful when choosing a tax preparer.
- If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

**Protect yourself from suspicious emails or phishing schemes.** Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to [phishing@irs.gov](mailto:phishing@irs.gov). You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at [spam@uce.gov](mailto:spam@uce.gov) or report them at [www.ftc.gov/complaint](http://www.ftc.gov/complaint). You can contact the FTC at [www.ftc.gov/idtheft](http://www.ftc.gov/idtheft) or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see [www.IdentityTheft.gov](http://www.IdentityTheft.gov) and Pub. 5027.

Visit [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their laws. The information also may be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.



# VENDOR SETUP FORM (NON-PROCUREMENT)

Name: \_\_\_\_\_ Authorized Signature: \_\_\_\_\_

Physical Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Owner/President: \_\_\_\_\_

Remit To Address: \_\_\_\_\_

(For mailed check)

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Type of Operation (Check all that apply):

- Individual  Corporation  Manufacturer  Partnership  Distributor
- Sole Proprietorship  Retail Dealer  Agent/Broker  Limited Liability

### REQUIRED

Taxpayer Identification Number/Social Security Number: \_\_\_\_\_

Vendor Type (check one):

- Resident (Relocation)
- Legal Settlement
- Employee
- Other - \_\_\_\_\_

For EFT (Electronic Funds Transfer) Only:

Bank Name \_\_\_\_\_

Routing No. \_\_\_\_\_

Account No. \_\_\_\_\_

Account Type:

(CIRCLE)      Checking      Savings

.....

Department Head: \_\_\_\_\_ Date: \_\_\_\_\_

Finance Approval: \_\_\_\_\_ Date: \_\_\_\_\_ 1099?   Y   N

Procurement Approval: \_\_\_\_\_ Date: \_\_\_\_\_

Date Entered: \_\_\_\_\_ Entered By: \_\_\_\_\_

## VENDOR/CONTRACTOR COMPLAINT FORM

|  |   |
|--|---|
| Date: _____                              | Vendor/Contractor Name: _____             |
| Department Name: _____                   | Vendor/Contractor Contact: _____          |
| Location of Work: _____                  | Phone Number: _____                       |
| Evaluator<br>Name/Position: _____        | Contract Number: _____<br>(If Applicable) |
| Purchase Order<br>Number: _____          | Contract Name: _____<br>(If Applicable)   |
| Contract/Purchase Order Amount: \$ _____ |   |

**Please complete the form, providing as many details as possible regarding the complaint. This form requires the signature of the Department Head of the initiating Department. Upon completion of this form, please forward to :**

**Thelma Bowers  
Contract Administrator  
Procurement and Contracts Department  
Phone: 504670-3448  
Fax: 504-286-8224  
Email: [tbowers@hano.org](mailto:tbowers@hano.org)**

\_\_\_\_\_

Date problem was identified on: \_\_\_\_\_

Description of Goods/Services: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Description of Problem: \_\_\_\_\_

\_\_\_\_\_

How can the problem be resolved?

\_\_\_\_\_

\_\_\_\_\_

Contract Monitor Signature: \_\_\_\_\_ Phone: \_\_\_\_\_ Date: \_\_\_\_\_

Department Head Signature: \_\_\_\_\_ Phone: \_\_\_\_\_ Date: \_\_\_\_\_





Housing Authority of New Orleans

Request for Quotes Cover Sheet (Small Purchases)

This form MUST be attached to ALL requisitions for Requests for Quotes.

Requisition Number

Notes

1 What is the Product/Service Requested?

Recommended Advertisement Period (How long do you want to give bidders to respond?) \*Note:

2 construction, materials, and supplies over \$30k must be advertised a minimum of 25 days and as an IFB (use IFB form).

3 Recommended Release Date:

(OPTIONAL BUT RECOMMENDED FOR COMPLEX PROJECTS)

4 Recommended Pre-Proposal Conference Date:

(OPTIONAL FOR SMALL PURCHASES)

Would you like to advertise in The Advocate (costs billed to the department) and do you

5 require an affidavit? \*User Department must write, submit, and approve their own advertisement for The Advocate (Attach advertisement to requisition)

Contract Performance Period/Term Plus Option

6 Years: (Maximum 5 Year Contract Before New Solicitation is Needed)

Estimated Cost:

(If it is an on-call solicitation and the quantity is unknown, please provide a cost estimate of the

7 hourly rates/unit prices along with your NOT-TO-EXCEED amount. If the quantity is known, please include a detailed cost estimate breakdown with total price.

HANO Board Date:

8 For contracts that will exceed \$250k inclusive of all years (including options), Board approval is required.

Verified By

Date



Housing Authority of New Orleans

Invitation for Bids Cover Sheet (Sealed Bids for Construction or Materials/Supplies over \$30k)

This form MUST be attached to ALL requisitions for an Invitation for Bid.

Requisition Number

Notes

1 What is the Product/Service Requested?

Recommended Advertisement Period (How long do you want to give bidders to respond?) \*Note:

2 Materials and supplies over \$30k must be advertised a minimum of 15 days; Construction-25 days.

3 Recommended Release Date:

(OPTIONAL; BUT RECOMMENDED FOR COMPLEX PROJECTS)

4 Recommended Pre-Proposal Conference Date:

Have you prepared the required advertisement for our official news publication? \*User

5 Department must write, submit, and approve their own advertisement for The Advocate (Attach advertisement to requisition)

Contract Performance Period/Term Plus Option

6 Years: (Maximum 5 Year Contract Before New Solicitation is Needed)

Estimated Cost:

(If it is an on-call solicitation and the quantity is unknown, you must also include a cost estimate

7 of the hourly rates/unit prices along with your NOT-TO-EXCEED amount. If the quantity is known, you must include a detailed cost estimate breakdown with total price.

HANO Board Date:

8 For contracts that will exceed \$250k inclusive of all years (including options), Board approval is required.

|  |
|--|
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |
|  |

Verified By

Date



Housing Authority of New Orleans

Request for Proposals/Request for Qualifications Cover Sheet
(Competitive Proposals for Professional Services & Some I.T. Purchases)

This form MUST be attached to ALL requisitions for Requests for Proposals/Requests for Qualifications.

Requisition Number

Empty box for Requisition Number

Notes

1 What is the Service Requested?

Notes box for item 1

Recommended Advertisement Period (How long do you want to give bidders to respond?)

2 \*Advertise at least 2 Weeks for General Professional Services and 30 days for I.T.

Notes box for item 2

3 Recommended Release Date:

Notes box for item 3

(OPTIONAL; BUT RECOMMENDED FOR COMPLEX SERVICES)

4 Recommended Pre-Proposal Conference Date:

Notes box for item 4

(Required for Purchases over \$100k) Have you prepared the required advertisement for our official news publication? \*User

5 Department must write, submit, and approve their own advertisement for The Advocate (Attach advertisement to requisition)

Notes box for item 5

Contract Performance Period/Term Plus Option Years: (Maximum 5 Year Contract Before New Solicitation is Needed)

6

Notes box for item 6

Estimated Cost: (If it is an on-call solicitation and the quantity is unknown, please provide a cost estimate of the hourly rates/unit prices along with your NOT-TO-EXCEED amount. If the quantity is known, please include a detailed cost estimate breakdown with total price.)

7

Notes box for item 7

HANO Board Date: For contracts that will exceed \$250k inclusive of all years (including options), Board approval is required.

8

Notes box for item 8

Verified By

Date



## EMERGENCY REQUISITION

This requisition is routed when the Agency's urgency will not permit a delay from the standard, automated routing process.

|  |                                    |  |
|--|------------------------------------|--|
| Supplier Name:<br>Address Line 1:<br>Address Line 2:<br>Address Line 3:<br>City:<br>Zip Code, Country:<br>Supplier Tel No:<br>Supplier Email:  | <b>Department:</b>                 |  |
|  | <b>Request Date:</b>               |  |
|  | <b>Required Attachments:</b>       | <input type="checkbox"/> Quote(s)<br><input type="checkbox"/> Decision Memo<br><input type="checkbox"/> Cost Analysis (if unable to get multiple quotes) |
| <b>Brief Description:</b>  | Requester:<br>Telephone:<br>Email: |  |
| <b>Invoice Address</b><br>Housing Authority of New Orleans<br>Department of Finance<br>4100 Touro St.<br>New Orleans, LA 70122<br><a href="mailto:apayable@hano.org">apayable@hano.org</a> | <b>Delivery Address</b>            |  |

| Line | Item Name/<br>Number | Description | Account<br>String | Qty | Unit of<br>Measure | Unit Price<br>(USD) | Total<br>(USD) |
|------|----------------------|-------------|-------------------|-----|--------------------|---------------------|----------------|
| 1    |                      |             |                   |     |                    |                     |                |
| 2    |                      |             |                   |     |                    |                     |                |
| 3    |                      |             |                   |     |                    |                     |                |
| 4    |                      |             |                   |     |                    |                     |                |
| 5    |                      |             |                   |     |                    |                     |                |

|                    |  |
|--------------------|--|
| <b>Grand Total</b> |  |
|--------------------|--|

**Approval Path:**

\_\_\_\_\_  
Department Head

\_\_\_\_\_  
Date

\* (For extreme emergencies outside of business hours, the Department Head should bypass this form and issue an Emergency PO)

\_\_\_\_\_  
Executive Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Procurement

\_\_\_\_\_  
Date



## EMERGENCY PURCHASE ORDER

This purchase order is issued in lieu of the standard system-generated purchase order when the Agency's urgency will not permit a delay from the standard, automated routing process.

|  |  |  |
|--|--|--|
| Supplier Name:<br>Address Line 1:<br>Address Line 2:<br>Address Line 3:<br>City:<br>Zip, Country:<br>Supplier Tel no:<br>Supplier Email:   | <b>Purchase Order No.</b><br>Dept. Codes: AM (Asset Mgmt.); EX (Executive); PR (Procurement); CS (Client Svcs.); HC (HCVP); FI (Finance); HR (Human Resources); DM (Dev); IT (Info. Tech); CM (Comms); HP (Police); GC (General Counsel) | <b>EM- 23</b> - ____ - ____<br>(YEAR) (DEPT (NUMBER) CODE) SEQUENCE)   |
|  | <b>Order Date:</b>   |  |
|  | <b>Payment Terms:</b>  | <b>Net 30 Days</b>   |
| <b>Invoice Address</b><br>Housing Authority of New Orleans<br>Department of Finance<br>4100 Touro St.<br>New Orleans, LA 70122<br><a href="mailto:apayable@hano.org">apayable@hano.org</a> | <b>Delivery Address</b>  | Name: Bejide Legania,<br>Procurement Manager<br>Telephone: 504-670-3445<br>Email: <a href="mailto:blegania@hano.org">blegania@hano.org</a> |

SAMPLE

| Line | Supplier Item | Description | Qty | Unit of Measure | Unit Price (USD) | Total (USD) |
|------|---------------|-------------|-----|-----------------|------------------|-------------|
| 1    |               |             |     |                 |                  |             |
| 2    |               |             |     |                 |                  |             |
| 3    |               |             |     |                 |                  |             |
| 4    |               |             |     |                 |                  |             |
| 5    |               |             |     |                 |                  |             |

|                    |  |
|--------------------|--|
| <b>Grand Total</b> |  |
|--------------------|--|

Authorized by: *Evette Hester*, Executive Director

**Special Instructions**

Goods/services can be rendered immediately upon receipt of this purchase order. A standard, system-generated purchase order will be issued after this Emergency Purchase Order and will not require delay in your invoicing process. An invoice can be submitted to HANO upon completion of the delivery/service, referencing the Emergency Purchase Order number.

**Terms**

As a public housing authority of the State of Louisiana, HANO is exempt from Federal Excise Tax and Louisiana Sales Tax (Louisiana Dept. of Revenue No. 1551891-001). Except in the case of purchase orders for construction or maintenance work in excess of \$2000, all small purchase orders (not in excess of \$250,000) are subject to HUD Handbook 7460.8 REV, Table 5.1 Mandatory Contract Clauses for Small Purchases Other Than Construction published at the following web address:

<http://portal.hud.gov/hudportal/documents/huddoc?id=74608c05PIHH.pdf>.



## EMERGENCY PURCHASE ORDER

This purchase order is issued in lieu of the standard system-generated purchase order when the Agency's urgency will not permit a delay from the standard, automated routing process.

|  |  |  |
|--|--|--|
| Supplier Name:<br>Address Line 1:<br>Address Line 2:<br>Address Line 3:<br>City:<br>Zip, Country:<br>Supplier Tel no:<br>Supplier Email:   | <b>Purchase Order No.</b><br>Dept. Codes: AM (Asset Mgmt.); EX (Executive); PR (Procurement); CS (Client Svcs.); HC (HCVP); FI (Finance); HR (Human Resources); DM (Dev); IT (Info. Tech); CM (Comms); HP (Police); GC (General Counsel) | <b>EM- 23</b> - ____ - ____<br>(YEAR) (DEPT (NUMBER)<br>CODE) SEQUENCE)  |
|  | <b>Order Date:</b>   |  |
|  | <b>Payment Terms:</b>  | <b>Net 30 Days</b>   |
| <b>Invoice Address</b><br>Housing Authority of New Orleans<br>Department of Finance<br>4100 Touro St.<br>New Orleans, LA 70122<br><a href="mailto:apayable@hano.org">apayable@hano.org</a> | <b>Delivery Address</b>  | Name: Bejide Legania,<br>Procurement Manager<br>Telephone: 504-670-3445<br>Email: <a href="mailto:blegania@hano.org">blegania@hano.org</a> |

Authorized by: *Evette Hester*, Executive Director

### Special Instructions

Goods/services can be rendered immediately upon receipt of this purchase order. A standard, system-generated purchase order will be issued after this Emergency Purchase Order and will not require delay in your invoicing process. An invoice can be submitted to HANO upon completion of the delivery/service, referencing the Emergency Purchase Order number.

### Terms

As a public housing authority of the State of Louisiana, HANO is exempt from Federal Excise Tax and Louisiana Sales Tax (Louisiana Dept. of Revenue No. 1551891-001). Except in the case of purchase orders for construction or maintenance work in excess of \$2000, all small purchase orders (not in excess of \$250,000) are subject to HUD Handbook 7460.8 REV, Table 5.1 Mandatory Contract Clauses for Small Purchases Other Than Construction published at the following web address:

<http://portal.hud.gov/hudportal/documents/huddoc?id=74608c05PIHH.pdf>.





## MANUAL PURCHASE ORDER

This purchase order is issued in lieu of the standard system-generated purchase order in instances when the Agency is unable to auto-generate a purchase order.

|  |   |             |
|--|---|-------------|
| Supplier Name:<br>Address Line 1:<br>Address Line 2:<br>Address Line 3:<br>City, State:<br>Zip Code, Country:<br>Supplier Tel No:<br>Supplier Email:                                       | <b>Purchase Order No:</b>   | MP-23-__-__ |
|  | <b>Order Date:</b>  |             |
|  | <b>Payment Terms: Net 30 Days</b>   |             |
|  | <b>Page: 1 of 1</b>   |             |
|  | Name: Bejide Legania, Procurement Manager<br>Telephone: 504-670-3445<br>Email: <a href="mailto:blegania@hano.org">blegania@hano.org</a> |             |
| <b>Invoice Address</b><br>Housing Authority of New Orleans<br>Department of Finance<br>4100 Touro St.<br>New Orleans, LA 70122<br><a href="mailto:apayable@hano.org">apayable@hano.org</a> | <b>Delivery Address</b>   |             |

| Line | Supplier Item | Description | Delivery | Qty | Unit of Measure | Unit Price (USD) | Total (USD) |
|------|---------------|-------------|----------|-----|-----------------|------------------|-------------|
| 1    |               |             |          |     |                 |                  |             |
| 2    |               |             |          |     |                 |                  |             |
| 3    |               |             |          |     |                 |                  |             |
| 4    |               |             |          |     |                 |                  |             |
| 5    |               |             |          |     |                 |                  |             |

SAMPLE

|                    |  |
|--------------------|--|
| <b>Grand Total</b> |  |
|--------------------|--|

Authorized by: *Erette Hester*, Executive Director

**Special Instructions**

Goods/services can be rendered immediately upon receipt of this purchase order. A standard, system-generated purchase order will be issued after this Manual Purchase Order and will not require delay in your invoicing process. An invoice can be submitted to HANO upon completion of the delivery/service, referencing the Manual Purchase Order number.

**Terms**

Unless otherwise specified in the instructions or agreed in writing this order is placed in accordance with HANO's Standard Terms & Conditions, copies of which are available on request.

# CONSTRUCTION SERVICES PERFORMANCE EVALUATION FORM

|                                   |                           |
|-----------------------------------|---------------------------|
| Date: _____                       | Contractor Name: _____    |
| Department Name: _____            | Contractor Contact: _____ |
| Location of Work: _____           | Phone Number: _____       |
| Evaluator Name/Position:<br>_____ | Contract Number: _____    |
| Purchase Order#: _____            | Contract Name: _____      |
| Contract Amount: \$ _____         |                           |

**CONTRACT DESCRIPTION: (Project Description):**

**CONTRACT PERIOD: FROM:** \_\_\_\_\_ **TO:** \_\_\_\_\_

## SECTION 1 - GENERAL SATISFACTION RATINGS

**5- Excellent    4 - Good    3 - Satisfactory    2 - Poor    1 - Very Poor    0 - Unacceptable**

| PERFORMANCE   | RATING                            | USER COMMENTS |
|---|-----------------------------------|---------------|
| <b>Quality of Services -</b><br>Construction completed per contract specifications. Work Site was left clean and ready for use or next phase of work. | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |
| <b>Performance/Delivery -</b><br>Timeliness of installation and adherence to the project schedule.  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |
| <b>Customer Relations -</b><br>Cooperative and responsive to HANO requests. Prompt and accurate payment applications were submitted.                  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |
| <b>Personnel -</b> Contractor and employees were knowledgeable and thorough with the work to be done and alerted HANO to problems in a timely manner. | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |

|   |                                   |  |
|---|-----------------------------------|--|
|   |                                   |  |
| <b>Problem Solving Ability -</b><br>Contractor promptly notified PM of problems; Contractor sought creative and thorough resolution of problems. Responsive to all RFIs and HANO requests.  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Progress Meetings &amp; Reports -</b><br>Contractor attended and participated in progress meetings as required. Submitted detailed and accurate reports in a timely manner. Provided realistic scheduling information as needed.   | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Budget -</b> Contractor requested reasonable change order modification(s). Acted in the Owner's best interests to minimize change orders.  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Closeout -</b> Contractor Provided proper closeout documents within 60 calendar days of construction completion.   | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>DBW/WBE/Section 3 Participation -</b> Contractor implemented and participated in HANO's DBE/WBE/Section 3 Program as outlined in their plan.   | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Change Orders -</b> List all changes & modifications to the contract that affected the scope of work and/or altered the contract amount or duration. (provide a brief explanation)   |                                   |  |
| <b>SECTION 2 - INCIDENT/NON-PERFORMANCE NARRATIVE</b>   |                                   |  |
| <p>1. Has the Contractor completed the contract, change orders and warranty work in the contract time? Please explain (provide dates and other particular information):</p> <p>2. Has the contractor delivered design, consulting or construction services that comply with the specifications of the contract?</p> |                                   |  |

3. Have there been problems associated with the installation of work under this contract?

4. Have you contacted the vendor to resolve the problem? If so, what actions have been taken?

5. Other comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Would you recommend contracting for this firm's services again? YES \_\_\_\_\_ NO \_\_\_\_\_  
(Please explain)

\_\_\_\_\_  
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**Contract Monitor Signature:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Department Head Signature:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## VENDOR/CONTRACTOR PERFORMANCE EVALUATION FORM

|                                   |   |
|-----------------------------------|---|
| Date: _____                       | Vendor/Contractor Name: _____           |
| Department Name: _____            | Vendor/Contractor Contact: _____        |
| Location of Work: _____           | Phone Number: _____                     |
| Evaluator Name/Position:<br>_____ | Contract Number: _____                  |
| Purchase Order#: _____            | Contract Name: _____                    |
|                                   | Contract/Purchase Order Amount:\$ _____ |

DESCRIPTION OF GOODS/SERIVCES:

\_\_\_\_\_

CONTRACT PERIOD: FROM: \_\_\_\_\_ TO: \_\_\_\_\_  
(If applicable)

### SECTION 1 - GENERAL SATISFACTION RATINGS

**5- Excellent    4 - Good    3 - Satisfactory    2 - Poor    1 - Very Poor    0 - Unacceptable**

| PERFORMANCE   | RATING                            | USER COMMENTS |
|---|-----------------------------------|---------------|
| <b>Quality of Services -</b><br>Vendor/Contractor complied with Purchase Order/Contract. Goods/Services were supplied in accordance with the scope of services. | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |
| <b>Performance/Delivery -</b><br>Vendor/Contractor supplied goods/services in a timely manner and adhered to required schedule(s).                              | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |               |
| <b>Personnel -</b> Vendor/Contractor was knowledgeable and understood all aspects of the  | N/A<br>5<br>4                     |               |

|   |                                   |  |
|---|-----------------------------------|--|
| scope of services or goods delivered. Vendor/Contractor alerted HANO staff of potential issues and were easy to communicate with.                               | 3<br>2<br>1<br>0                  |  |
| <b>Problem Solving Ability</b> - Vendor/Contractor was creative and thorough when resolving issues/problems and was responsive to HANO requests.                | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Communication</b> - Vendor/Contractor communicated effectively.  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Management</b> - Vendor Contractor efficiently administered the requirements of the Purchase Order/Contract.   | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>DBW/WBE/Section 3 Participation</b> - Contractor Implemented and Participated in HANO's DBE/WBE Section 3 Program as outlined in their plan. (If applicable) | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>Closeout</b> - Vendor/Contractor provided the goods/services required without delay or additional contract costs.  | N/A<br>5<br>4<br>3<br>2<br>1<br>0 |  |
| <b>SECTION 2 - INCIDENT/NON-PERFORMANCE NARRATIVE</b>   |                                   |  |

1. Was the health or safety of residents/staff in jeopardy at any time during the contract? \_\_\_ Yes \_\_\_ No \_\_\_N/A

(If yes, please explain): \_\_\_\_\_

\_\_\_\_\_

2. Did the Vendor/Contractor fail to perform all or part of the purchase order/contract? \_\_\_ Yes \_\_\_ No \_\_\_N/A

(If yes, please explain): \_\_\_\_\_

\_\_\_\_\_

3. Was the Vendor/Contractor terminated for default or convenience under the contract? \_\_\_ Yes \_\_\_ No \_\_\_N/A

(If yes, please explain): \_\_\_\_\_

\_\_\_\_\_

4. Would you recommend contracting for this firm's services again? \_\_\_ Yes \_\_\_ No

(Please explain): \_\_\_\_\_

\_\_\_\_\_

**Contract Monitor Signature:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Department Head Signature:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Date:** \_\_\_\_\_







|                  |  |  |  |  |  |
|------------------|--|--|--|--|--|
| or Study Results |  |  |  |  |  |
|------------------|--|--|--|--|--|

**DESIGN PHASE OR ENGINEERING SERVICES**

*(Quality of A/E Services Evaluation)*

| <i>Attributes<br/>(if applicable)</i>             | <b>DESIGN/SERVICES</b> |           |              |          |                |
|---|------------------------|-----------|--------------|----------|----------------|
|   | Exceptional            | Very Good | Satisfactory | Marginal | Unsatisfactory |
| Solution Environmentally Suitable                 |                        |           |              |          |                |
| Cooperativeness and Responsiveness                |                        |           |              |          |                |
| Quality of Briefing and Presentations             |                        |           |              |          |                |
| Innovative Approaches/Technologies                |                        |           |              |          |                |
| Implementation/Participation in DBE/WBE Section 3 |                        |           |              |          |                |

**CONSTRUCTION PHASE**

*(Quality of A/E Services Evaluation)*

| <i>Attributes<br/>(if applicable)</i>             | <b>MANAGEMENT SERVICES</b> |  |  |  |  |
|---|----------------------------|--|--|--|--|
| Plans Clear and Detailed Sufficiently             |                            |  |  |  |  |
| Drawings Reflect True Conditions                  |                            |  |  |  |  |
| Plans/Specs Accurate and Coordinated              |                            |  |  |  |  |
| Design Constructability                           |                            |  |  |  |  |
| Cooperativeness and Responsiveness                |                            |  |  |  |  |
| Timeliness and Quality of Processing Submittals   |                            |  |  |  |  |
| Products & Equipment Selections Readily Available |                            |  |  |  |  |
| Timeliness of Answers to Design Questions         |                            |  |  |  |  |



|  |  |  |  |  |  |
|--|--|--|--|--|--|
| Filed Consultation and Investigations    |  |  |  |  |  |
| Quality of Construction Support Services |  |  |  |  |  |

**INCIDENT/NON-PERFORMANCE NARRATIVE**

**Circle the appropriate response:**

1. How many Addenda were issued during the pre-construction phase of the project? \_\_\_\_ How many were issued due to the A/E omission of data? \_\_\_\_
2. Did the A/E attend all job Meetings? YES NO NA (If no, please explain)  
\_\_\_\_\_
3. Did the A/E answer questions adequately and in a timely manner? YES NO NA (If no, please explain)  
\_\_\_\_\_
4. Did the A/E prepare and submit requests for payment in accordance with HUD Guidelines? YES NO NA (If no, please explain)  
\_\_\_\_\_
5. Did the A/E provide solutions that were cost effective to problems in a timely manner? YES NO NA (If no, please explain)  
\_\_\_\_\_
6. Did the A/E assess the cost reasonableness and provide an analysis, backup and reason for change? YES NO NA (If no, please explain)  
\_\_\_\_\_
7. Did the A/E prepare proposal requests which clearly define the scope changes (Change Orders)? YES NO NA (If no, please explain)  
\_\_\_\_\_
8. How many change orders were issued for the project? \_\_\_\_\_ (If applicable)



9. Please provide a brief description of the changes (If applicable):

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10. Did the A/E submit reports when required under the contract? Yes \_\_\_ No \_\_\_ N/A \_\_\_  
(If no, please explain):

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11. Was A/E Firm terminated for default or convenience under the contract? Yes \_\_\_ No \_\_\_ N/A \_\_\_  
(If yes, please explain):

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12. Would you recommend the HANO use the services of this Architectural/Engineering Firm again? Please explain:

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**\*IF SERVICES ARE NOT RECOMMENED FOR FUTURE CONTRACT, DEBRIEFING WITH A/E FIRM MUST BE SCHEULED. SCHEDULED DATE:\_\_\_\_\_**

**Contract Monitor Signature:\_\_\_\_\_ Phone:\_\_\_\_\_ Date:\_\_\_\_\_**



**Department Head Signature:** \_\_\_\_\_

**Phone:** \_\_\_\_\_

**Date:** \_\_\_\_\_

A large, empty rectangular box with a thin black border, intended for a signature or other markings.