

State Procurement Office
Hawaii eProcurement System
HePS
Understanding Approvals
in HePS

Workshop HePS 204

An overview of How Approvals Work in
HePS

1

Understanding Approvals in HePS (HePS 204)

Who this Workshop is For
And What it is Intended to Do

- This workshop is designed for state personnel who:
 - Supervise HePS buyers/approvers, have oversight responsibility for procurements occurring on HePS; or
 - Are HePS buyers or approvers and want an understanding of approvals work; or
 - Are HePS Administrators; or
 - Assist in procuring (purchasing) goods, services, construction; or
 - Are interested in learning more about HePS and how it works.
- This workshop will:
 - Help supervisory staff better plan to use HePS approval routing to the best advantage for their department or division, branch, office, etc.; and
 - Help both approvers and buyers better understand how approvals work so they can be more effective, efficient and expeditious in the procurement and approval process.
- This workshop is not intended to:
 - Teach you everything you need to know about procurement/award procedure. (There isn't enough time.) You must take the appropriate workshops for the method of procurement you are conducting.
 - Serve in place of the handbooks/references SPO has produced and placed on the SPO website. Should you need more detailed instruction on mechanics of how to approve on HePS, take HePS 205 -For Approvers: Basics, Refresher and Beyond.

2

Understanding Approvals in HePS (HePS 204) What Will be Covered

- Housekeeping, delegation, about webinars
- How approvals work
 - How approval routing is created.
 - Criteria for approval routing (types).
 - Assigning approval routing.
- How Buyers and Approvers may check approval routes/responsibilities.
- Tracking documents in approval.
- Approval/Rejection
- Alternates
- Q & A

3

The GoToWebinar Attendee View

The screenshot shows the GoToWebinar Attendee View interface. The main content area displays the webinar title "Driving Up Sales" by NS Sales Solutions, organized and presented by Nathaniel Scheidemen. It includes contact information for the United States (1.323.417.4600) and a "MUTED" status indicator. A sidebar on the right shows audio controls and a "Questions" section. The background features a forest scene.

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Webinar Viewer Window

- Having trouble seeing?
 - Maximize your viewer window; and/or
 - Increase the magnification in your viewer window (in lower right corner.)
- To exit full screen - GTW (GoToWebinar) control panel menu
 - click the button with the square on the tab or
 - View > window
- Note: Attendee Quick Reference is available
 - <http://hawaii.gov/spo>
 - Click **Training And Informational Sessions**
 - **Training for State and County Personnel**
 - **About SPO Webinars** or wherever 'webinar' is a link
 - **FAQs and Quick Reference**



5

How to Participate Today Webinar Control Panel

- Open and close your Panel
- View, Select, and Test your audio
- Submit text questions
- Raise your hand
- Q&A addressed at the end of today's session

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About SPO Webinars

- Participation encouraged.
- If we cannot get to all your questions we will provide answers at a later date (FAQ, etc.)
- If there is more than one person participating at a single computer.
 - Everyone registers for this webinar on WEBINAR site on the SPO training Schedule and registration page.
 - All attendees in the group, including the person who logs in to the webinar site, complete the SPO Webinar Group Attendance form, scan it in and send it to: state.procurement.office@hawaii.gov
 - **Send it in within 1 working day of the webinar**
- The SPO Webinar Group Attendance form is on the SPO training schedule along with the handouts.
<http://hawaii.gov/spo> click **Training for State and County Procurement Personnel**
- **DO NOT send in the signed form prior to the workshop.**

7

Before You Procure/Administer Contract: Written Delegated Authority and Training

- Before** you develop/draft/participate in a solicitation, review, approve, conduct, manage, or administer a procurement/contract, you must:
- **Have written delegated authority per signed and submitted (to SPO) Form SPO-036.**
Note: There is a not-so-new Procurement Delegation Memorandum 2010-01. Informational sessions including a webinar were held for ASOs/BMOs and their staff. New forms were due 4/30/11. Previous delegation remained in place until 4/30/11. If a SPO Form SPO-036 has not been submitted to SPO you are not delegated authority. Check with your ASO/BMO if you are unsure.
 - See : <http://hawaii.gov/spo>
 - > [For State & County Procurement Personnel](#)
 - > [Procurement Delegation](#) (there is also a link to the required (mandatory) training requirements site)
 - **Have taken all required training.**
Reference: Procurement Circular 2010-05
Note: Some requirements have changed. Check the website periodically.
 - See: <http://hawaii.gov/spo>
 - > [Training for State and County Procurement Personnel](#)
 - > [Which Workshops Do I need to Take?](#)

8

Before You Procure/Administer a Contract: Written Delegated Authority and Training

Before you develop/draft/participate in a solicitation, review, approve, conduct, manage, or administer a procurement/contract, you must:

- **Have written delegated authority per signed and submitted (to SPO) Form SPO-036.**

Note: See Procurement Delegation Memorandum 2010-01, as amended.

- <http://hawaii.gov/spo>
- For State & County Personnel
- Required Procurement Delegation Authority (there is also a link to the required (mandatory) training requirements site)

- **Have taken all required training.**

Reference: Procurement Circular 2010-05 as amended

Note: Some requirements have changed. Check the website periodically.

- <http://hawaii.gov/spo>
- Training and Informational Sessions > Training for State and County Personnel
- Training Requirements: Which Workshops Do I Need to Take?

9

Required (Mandatory) Training

- You must also have taken all required training.
 - See <http://hawaii.gov/spo>
 - Training and Informational Sessions
 - Training for State and County Personnel
 - Training Requirements: Which Workshops Do I Need to Take?
- On the **Procurement Training Requirements Table**, look for Method of Procurement you are going to conduct or in which you participate. Also look at the General section.
- Ensure you take all workshops with an **M** (Mandatory) before you procure/participate in a procurement.

10

HePS User Responsibilities

- **Security-**
 - Change your password when you first get it.
 - Logins/passwords are not for sharing.
 - Keep your login/password secure.
- **Comply with statutes/admin rules, etc.**
 - Ensure you are in the Loop. Keep up to date. Check procurement circulars regularly. Check manuals, references, program guides, etc.
 - Ensure you have written delegated authority.
 - Ensure you have taken all required training. (Requirements change, check the website.)
 - Know your internal policies and procedures (Jurisdiction, department, division, office, etc.)
- **Adhere to code of ethics-**
 - Effective 7/6/10 - HRS 103D-101 Requirements of ethical public procurement
 - Redundant of HAR Procurement Code of Ethics in HAR Chapter 3-131.
 - No conflict of interest or appearance of conflict of interest.
 - Buyers have access to vendor information. Buyers cannot also be vendors to the State because of this access.
- *See also: User Responsibilities and General Information*
- *Reference:
Act 207 SLH 2010; codified as HRS 103D-101 Requirements of Ethical Public Procurement
HAR Chapter 3-131 Compliance;
HAR Section 3-131-1.02 Procurement Code of Ethic*

11

Questions?

12

How Approval Routing Works

- 3 step process
 1. Create account (login/password) for the approver in HePS.
 - Buyers can also be approvers for other buyers with less experience.
 2. Create the route
 - Can have 1 to 5 levels (approvers in succession).
 3. Assign the route to a buyer
- Think of approval routing like an irrigation system-
 - Has to be built before you turn on the water
 - Cannot be changed for water already in the system (with a few exceptions)
- Approval Routing is **Not** Required in HePS
 - Do not have someone approve him/herself – that’s silly.

13

Criteria for Creating Approval Routing

- Type of document
 - At what point in the solicitation
 - Types of solicitations/awards
- Dollar Amount
- Commodity Code
- Approver Type

14

Criteria for Approval Routing Document Type

- **Solicitation**
 - Small Purchase RFQ
 - IFB
 - RFP
- **Award**
 - Definite quantity
 - Indefinite quantity
- **Required- have to select a document type**

15

Criteria for Approval Routing Dollar Amount

Any amount can be entered. These are examples.

- **Equal to and Greater Than**
 - All solicitations where estimated amount is equal to or greater than \$500,000
- **Less than**
 - All solicitations where estimated amount is less than \$25,000
- **Between**
 - All solicitations where estimated amount is between \$25,000 and \$500,000
- Most often used: equal to or greater than \$0.
- Other types are used some of the time.
- If using a combination of the types be careful not to create conflicting routes for a document. Example:
 - eRFQ equal to greater than \$0 approver John–approval rte #179
 - eRFQ between \$25,000 and \$500,000 approver Joe –approval rte #256
 - Okay to have these 2 approval routes, cannot apply them to the same person.

16

Criteria for Approval Routing Commodity Code

- Examples
 - Commodity codes for IT could go to 1 approver
 - Commodity codes for office furniture could go to another approver
- Not used in Hawaii
 - HePS was initially used for small purchase only
 - As use increases for larger procurements (IFBs) this may be used.

17

Criteria for Approval Routing Type of Approver

- **Standard Approval**
 - Must approve/disapprove. Cannot change anything.
- **Fund accounting**
 - Must approve/disapprove. Able to change the fund accounting codes. Not used in Hawaii. Will come into play once HePS is interfaced with our accounting system.
- **CC**
 - Approver is sent a copy, does not approve
- Standard Approval is the one most used in Hawaii. If using CC, must be at the end of the approval chain.

18

Any Questions?

We're about half way there...

19

Approval Routing

Assignment of Routes to Buyers

- Must be assigned to buyers individually.
 - Done by the Department HePS Administer
 - HePS Administrators are not psychic.
 - (Neither is HePS.)
 - They have to be told by the division/branch/att. office administrator or per your department procedure.
 - Suggest it be done when the buyer account is created.
 - Check with your **Department HePS Administrator** as to the procedure for your department.
 - Not sure who your **HePS Administrator** is? Check online:
 - <http://hawaii.gov/spo>
 - > For State & County Personnel
 - > Department & CPO Jurisdiction Administrators, Managers or Contacts for SPO Programs

20

Checking Approval Routes

- **Prior to conducting procurement, issuing award**
 - Do I have any approval routes (routes my solicitations/awards will go through)? - **Assigned Workflow Routes**
 - Am I an approver in any routes? - **Approval Responsibilities**
- **While solicitations/awards are in approval**
 - Where is the solicitation/award in the route?
 - <http://hawaii.gov/spo>
 - Hawaii eProcurement System HePS
 - Buyer/Approver login

21

Checking Approval Routes Prior to Issuing a Solicitation/Award Buyers

- Log in
- Select **Miscellaneous** tab
- Select **Session Info** subtab
- Scroll down
- **Assigned Workflow Routes** for...

22

Checking Approval Routes Prior to Issuing a Solicitation/Award Approvers

- Log in
- Select **Miscellaneous** tab
- Select **Session Info** subtab
- Scroll down
- **Approval Responsibilities for...**
 - Will show the route and the position in the route.
 - Each route is identified by an ID number.
 - Will not show to whom routes are assigned.
 - Ask your HePS Administrator for **Report of Individuals Subject to the Route by Route ID.**

23

Tracking Approvals in Approval Routing

- **Buyers**
 - Log in
 - **Approvals Manager**
 - **My RFXs in Approval**
 - **View Approvals**
- **Approvers**
 - Log in
 - **Approvals Manager**
 - **Awaiting My Approval**

24

Rejection by the Approver

- When an approver rejects a solicitation/award the approver must enter a reason.
- When entering the reason, approvers should:
 - briefly explain the basis of the rejection, and
 - indicate what needs to be done by the buyer.
- Examples or reasons to reject:
 - Funding not available - hold until next quarter.
 - Specifications are not detailed enough; add the...
 - Solicitation response period is too short. Leave open for at least 5 working days; next Friday is a holiday.
 - Specs have no minimum qualifications for the contractor. Add minimum qualifications for contractor.

25

Alternates for Approvers

- If an approver does not approve or reject the solicitation/award stays with the approver and the process is halted.
- Alternate approvers may be created.
 - May only be created by the Department HePS Administrator upon notification by the division, etc. (Remember, they are not psychic- they have to be informed an alternate is needed)
 - There must be a procedure for requesting establishment of an alternate. Check with your HePS administrator.
 - Once an alternate is created, the **approver** may activate the alternate prior to going on a trip or vacation. (Do not have to ask the Departmental HePS administrator to do it.)

26

By the way... Alternates for Buyers

- Alternates can be created for Buyers, too.
- Same procedures as for Approver.
- Must be created by the HePS Administrator.
- Once created, activated/deactivated by the buyer.

27

Any Questions?

We're getting there....

28

When an Approver Leaves*

- When an approver leaves, a substitute may be entered in the approval route by the HePS Administrator. This will only affect approvals for solicitations that have not been submitted by the buyer. It will not affect solicitations awaiting approval.
- Therefore, HePS administrators should do the following when an approver who may have :
 - Replace the approver who left with the new approver.
 - Do not de-activate the previous approver. Instead, create and activate an approval alternate (the new approver) and leave it that way for a few days until all solicitations that may already be in the approval route have made their way through the approval route.
 - If there are security concerns HePS Administrators may change the previous approvers email address.

29

Approvals and HePS Administrators*

- HePS Administrators can also be approvers, though the view is a little more cumbersome than the view in an approver or buyer account.
- However, the HePS administrator does not have the capacity for having an alternate for approvals.
- Therefore, if a HePS administrator needs to be an approver, create an approver (or buyer) account (it can have the same name and email) and use that for approvals.

30

What the Vendors See

- For Buyers
 - On internet
 - Vendor View
- Vendor test Account
- For Approvers, Supervisory staff and other State employees with reason to know.
 - One account for entire state-Don't change settings.
 - Log in at the Vendor Log in

31

Vendor Test Account

- For Approvers, Supervisory staff and other State employees with reason to know.
 - This account is not intended for vendor use. Do not give access to this account to vendors
 - <http://hawaii.gov/spo>
 - Hawaii eProcurement System (HePS)
 - Click Vendor Log in
 - Enter Vendor ID/password click **Marketplace login**
 - **Agency Opportunities** Tab
 - **Quotations** subtab
 - Select round radio button to see details.
 - Vendor Quick Reference- Shows how vendor can view abstracts and awards for past 2 years.
 - <http://hawaii.gov/spo>
 - HePS
 - For Vendors, Contractors and Service Providers

32

Retrieving Your Password

- **If you forget your password:**
- Go to the HePS Login:
<http://hawaii.gov/spo>
 - Hawaii eProcurement System
 - Buyer/Approver Login
 - Under “**Forgot your Password?**”
enter your user ID or email (as it appears in HePS)
 - Your password will be emailed to you in about a minute.
- **Forgot your user ID?**
Contact your Department/Jurisdiction HePS Administrator
- **If your email is incorrect in HePS:**
- Contact your Department/Jurisdiction HePS Administrator

33

HePS is a Tool*

- HePS is **not** a method of Procurement
 - It is a tool to make your procurement more efficient and transparent)
- It does not know all the statutes and rules.
 - You have to know them.
- It does not know specifications.
 - That is also your job.
- It is not artificial intelligence. To HePS, text is text.
 - Your intelligence is what counts.
- It is not psychic.
 - It doesn’t know if you should have an approver or who your approver is supposed to be.

34

Summary: How Do I... Find Approval Routes for my Solicitations or Awards and My Approval Responsibilities

- Select the **Miscellaneous** tab and **Session Info** Subtab.
- Scroll down
- **Approval Responsibilities:** tells you which approval routes you are in. (It will not tell you who you approve.)
- **Assigned Workflow Routes:** tells you who would approve any solicitations you issue as a buyer on HePS.

See: *How Do I's* in the *HePS for State and County Procurement Personnel* section of the SPO website

35

Who Should Procure: Responsibilities

- Delegated procurement authority
- Taken all mandatory training before issuing a solicitation
- Responsible for being 'in the loop' for procurement rules and changes, and any other rules/procedures relevant to the procurement, good/service/construction being procured.
- HAR, Chapter 3-131, Compliance
 - Procurement Code of Ethics
 - Procurement Violations
 - Administrative Fines

36

Before You Procure Make Sure You:

- Have written delegated authority per form SPO-036 signed and submitted with transmittal to SPO.
- Have taken all required training.
- Check procurement circulars for updates to statutes, administrative rules, policies and procedures.
- Check related statutes (recycled paper, energy efficient vehicles .)
- Check with your department, division, etc. for internal policies/procedures.
- Do your homework. Check for appropriate commodity codes. Are appropriate vendors in HePS?

37

Buyers: Do Your Homework First

- Use Search functions
 - Check for commodity codes
 - Check for vendors
- Have your docs –
 - Specifications (including minimum qualifications). HePS doesn't do it for you.
 - General provisions?
 - Know the general instructions in HePS.
- Plan your timeline –
 - Allow time for Q & A, pre-bid conference, addenda, etc.
- Know the general instructions (in case you didn't see it above)

38

Resources for HePS Users

- <http://hawaii.gov/spo>
- > HePS
- > HePS for State Procurement Personnel
- > HePS Toolbox: references/manuals/handbooks, etc.
 - How Do I's
 - Buyer FAQ
- Check also More Info:
 - Small Purchase Method of Procurement
 - Competitive Sealed Bidding Method of Procurement
 - Procurement Code of Ethics
 - Procurement Delegation
 - For State and County Personnel

39

Other Useful Info on the SPO Website

<http://hawaii.gov/spo>

- For State and County Personnel (*bookmark this site*)
 - Posting Procurement Awards, Notices and Solicitations (PANS)
- Forms
- Information on Methods of Procurement and Online Procurement Manuals
- Awards Public Site
- Price and Vendor Lists
- Travel Services
- Inventory Management and Excess Property
- pCard Information
- Training for State and County Procurement Personnel
- Procurement References
 - Hawaii Revised Statutes & Hawaii Administrative Rules
 - Procurement Circulars

40

Questions???

41

Registration for HePS 100 and HePS 301

- If you are not already a HePS buyer, you must obtain permission from your Department HePS Administrator to attend.
- You must have written delegated authority to procure and to procure on HePS.
- You may obtain an account (Login/Password) only from your Department HePS Administrator. SPO does not provide HePS accounts.

42

State Procurement Office

The end. Thanks for attending!

*Remember to complete and email group attendance forms to
state.procurement.office@hawaii.gov
within 1 working day.*

Questions?

<http://hawaii.gov/spo>

Click Hawaii eProcurement System

HePS

- Mara Smith 587-4704
mara.smith@hawaii.gov
- Bonnie Kahakui 587-4702
bonnie.a.kahakui@hawaii.gov
- Wendy Orita 586-0563
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43

State Procurement Office Contacts for General and Specific Info

- **Donn Tsuruda-Kashiwabara** 586-0565
donna.tsuruda-kashiwabara@hawaii.gov
RFPs, specifications, emergency, sole source, professional svcs., exemptions
- **Mara Smith** 587-4704
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HePS, PANS (Reporting/Posting Awards, Notices & Solicitations), SPO website (overall)
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Training, Delegated Procurement Authority

44