

Request For Proposal - NB2287C

For

**Association of Universities for Research in Astronomy, Inc.
(AURA)**

AURA/NCOA Change Management Consulting Services

PROPOSALS MUST BE RECEIVED BY

January 4, 2019 at 3:00 p.m. MST

Prepared by:

AURA/CAS
Contracts Office
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P. O. Box 26732
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7 December, 2018

TABLE OF CONTENTS

BACKGROUND

- I. OVERVIEW**
- II. BACKGROUND**
- III. WORK SCOPE**
- IV. OUTPUT**
- V. REQUIRED PROPOSAL CONTENTS**
 - A. Engagement Approach**
 - B. Engagement Cost**
- VI. EVALUATION CRITERIA**
- VII. PROPOSAL SUBMISSION**
- VIII. CONDITIONS OF AGREEMENT**

I. OVERVIEW

AURA seeks the services of a consultant(s) (“Consultant”) to provide analysis, consultation, guidance and product development to leadership to determine the changes needed to facilitate a transition within the organization.

Objectives:

1. Determine current state of organizational readiness
2. Build a change management plan that addresses all areas identified in the readiness assessment.
3. Establish processes, tools and channels to assess effectiveness of the change management effort.

The initial term of the agreement is expected to begin as soon as possible after the award date of Jan. 31, 2019 and will be completed by May 15, 2020. The agreement will be renewable at AURA’s discretion, during which the Consultant would provide consulting services related to the project on an as-needed basis.

II. BACKGROUND

AURA’s mission is to promote excellence in astronomical research by providing access to information about the universe from state-of-the-art facilities, surveys, and archives. Operations are primarily funded by grants and contracts from the National Science Foundation (NSF) and the National Aeronautics and Space Administration (NASA).

AURA has launched an initiative to consolidate three of its five business units which have varying policies, processes and cultures into a unified operation with a matrix style management structure.

The three existing business units are geographically dispersed across the United States and in Chile and consist of ground-based observatory programs which are predominantly funded by the National Science Foundation (NSF): the Gemini Observatory, the National Optical Astronomy Observatory (NOAO), and the future Large Synoptic Survey Telescope (LSST).

III. WORK SCOPE

In partnership with the AURA team, the Consultant will provide Change Management Consulting Services (see Statement of Work for specifics).

Our team will be made available to the consultant for primary interviews in support of assessment and recommendations.

IV. OUTPUT

A successfully completed engagement will include the following:

- A qualitative assessment of current AURA organizational readiness.
- Build a change management plan.
- Assess effectiveness of the change management effort

The chosen Consultant will be required to meet with AURA at its offices in Tucson, AZ, Hilo, HI, and La Serena, Chile. Proposals should plan an estimated 1-2 visits per location over the term of the agreement.

V. REQUIRED PROPOSAL CONTENTS

Each response to the RFP should address both **Engagement Approach** and **Engagement Cost**.

A. Engagement Approach:

1. Cover Page: Include the project title (“AURA/NCOA Change Management”), primary contact name, mailing address, e-mail address, and telephone number.
2. Detailed Approach: A thorough description of the methodologies that will be utilized, and a project timeline major tasks and deliverables with required staffing/hours.
3. Background on the Consultant, including the following:
 - a. The individual or firm’s recent experience in change management strategies leading to detailed executive level recommendations;

- b. Experience and skills of designated staff with regard to the following qualifications:
 - i. Applicable professional background, including significant experience as a consultant to the non-profit and government-funded sectors;
 - ii. Experience in advising companies built on a very diverse staff with multiple locations;
 - iii. Understanding of and experience with organization change efforts in an “academic like” environment;

- c. Examples of no more than three projects similar to the one described in this RFP, which applicant has completed during the past five years; and

- d. References from the project examples provided, including telephone and e-mail contact information.

- e. Provide information on the diversity and inclusion programs within the organization.

B. Engagement Cost

Consultant must provide:

1. A breakdown of the hours for each staff member assigned to each task, with their hourly rates, and the hourly rates of staff during the renewal term;
2. Identification of any task to be subcontracted (if any), showing number of subcontractor hours and their hourly rates; and
3. Expenses including travel costs. All travel costs will be subject to AURA's approval and in accordance with AURA's Expense Guidelines found in the CAS Travel Manual.
http://auracas.aura-astronomy.org/sites/default/files/AURA%20CAS%20Travel%20Manual%20-%20Final%20Edited%20Version%20-%20March%202017_1.pdf.

VI. EVALUATION CRITERIA

Proposals will be evaluated based on the following dimensions.

1. Approach – The quality of the Consultant's proposed plan, including demonstrated understanding of the problem, methodologies to be utilized, likelihood of achieving project goals, division of the problem into appropriate tasks, and the identification of hours and staff allocated to each task.
2. Skills and Experience – Consultant's prior experience relevant to the proposed scope of work as evidenced by the examples of similar work; project staff experience and/or education with current systems and regulatory regimes relevant to the proposed scope of work, as evidenced by brief resumes of proposed staff members; and feedback from client references indicating Consultant is likely to achieve project goals.
3. Cost – Total project cost

VII. PROPOSAL SUBMISSION

Proposals are due January 4, 2019, at 3:00 p.m. MST. Please include the words “AURA/NCOA Change Management” in the subject line of the emails submitting both technical and cost proposals. AURA will acknowledge by e-mail the receipt of each on time proposal that it receives.

Proposal materials should be submitted as PDFs, either directly attached to the submission email or available through a link to Dropbox.

Submit proposals and any samples of prior work by e-mail (as attachments in PDF format) to:

Suzanne Baron Helming
Procurement Manager
sbaronhelming@aura-astronomy.org
Phone: 520-318-8165

All questions must be submitted in writing to Suzanne Baron Helming at the e-mail address above no later than December 14, 2018, 3:00 p.m. MST. **Clarification or direction by other persons at AURA is NOT permitted during the RFP process.** The questions and AURA’s responses will be posted on AURA’s Website without attribution.

AURA may request the top scoring applicants to present their proposals to AURA via videoconference. AURA will contact the selected applicants to schedule a time for the presentations.

Below is the anticipated timetable:

ACTIVITY	DATE
Release RFP	Dec. 7, 2018
Vendor questions submitted by	Dec. 14, 2018
Answers posted by	Dec. 19, 2018
Proposals due	Jan. 4, 2019
Vendor Presentations completed by	Jan. 15, 2019
Vendor Selection completed by	Jan. 18, 2019
Contract awarded	Jan. 31, 2019

AURA has established a Web page to display AURA bid opportunities. The link to the webpage is: <http://auracas.aura-astronomy.org/?q=node/103>

The AURA/CAS Bid Opportunities Web page will display all pending RFB, RFPs, etc., issued by AURA/CAS as well as any amendments issued to such RFB/RFP’s. It shall be

the Bidder's obligation to check the AURA/CAS Bid Opportunities Web page to view and obtain copies of amendments and announcements related to the RFP they seek to bid on.

A sample services contract is available on the website.

VIII. CONDITIONS OF AGREEMENT

A. Submissions

Proposals submitted in response to this RFP by a Consultant shall be valid for at least 90 days following the closing date of the RFP.

Proposals shall be prepared simply and economically, providing a straightforward, concise description of the Consultant's proposals to meet the requirements of this RFP.

Neither multiple nor alternate proposals will be accepted. A Consultant should give specific attention to the clear identification of those portions of its proposal that it considers confidential, proprietary commercial information, or trade secrets.

The selected Consultant shall be responsible for all products and services required by this RFP. Subcontractors must be identified and a complete description of their role relative to the proposals must be included in the Consultant's proposals.

By submitting an offer in response to this RFP, a Consultant, if selected for award, shall be deemed to have accepted the terms of this RFP. Any exceptions to this RFP must be clearly identified in the proposal. A proposal that takes exception to these terms may be rejected.

As part of the RFP review process, AURA may share materials, data, other information and analyses (collectively, "Information") with Consultants. As a condition of receiving such Information, Consultants responding to this RFP shall be deemed to agree to protect, preserve and maintain all such Information on a strictly confidential basis, and to promptly return to AURA upon its request all tangible copies of such Information in your possession.

AURA is not responsible for loss or damage to material submitted with or in support of this RFP. Any submission to AURA shall become the property of AURA (not including any intellectual property rights contained in such submission), and AURA is not required to return any submitted materials to any Consultant. AURA is not responsible for any violation of copyright, trademark, patent, trade secret, or other rights that may result from disclosure made by response to this RFP.

Solicitation by AURA of proposals does not constitute an agreement by AURA to extend funding to any party for the project under consideration. AURA may, in its sole discretion, elect not to pursue this project in any manner.

By submitting a proposal, each Consultant grants to AURA the right to duplicate, use, disclose, and distribute all materials submitted for purposes of evaluation, review, and research. In addition, each Consultant guarantees that the Consultant has final and complete rights to all information and materials included in the proposal. Each Consultant also guarantees that all such materials are not defamatory and do not infringe upon or violate the privacy rights, copyrights, or other proprietary rights of any third party.

AURA will not be responsible for any costs incurred by a Consultant in preparing and submitting a proposal, or in performing any other activities relative to this solicitation.

B. Terms of Agreement

If a proposal in response to this RFP is selected for funding, the successful Consultant(s) will be required to sign a binding agreement. Until both parties have signed an agreement, no express or implied commitment has been made to provide financial support.

Consultants are not authorized to commence work until the agreement is fully executed. If Consultants opt to commence work, they do so at their own risk. No oral or written statement other than the signed, written agreement will govern or modify the relationship.

As a condition of agreement, the successful Consultant(s) must guarantee that, among other things, any work they undertake on behalf of AURA is not defamatory and will not violate or infringe upon the privacy rights, copyrights, or other proprietary rights of any third party. Consultants must also agree to indemnify AURA against any loss resulting from breach of any of the guarantees contained in the agreement.

Those receiving funds from AURA must be able to comply with a number of requirements that will be included in the operative agreement. These requirements include, but are not limited to:

- (1) The Consultant will demonstrate adequate financial support to complete the work that has been contracted and to deliver reports and/or other intellectual property created pursuant to the Agreement;
- (2) The Consultant will maintain, for three years following receipt of relevant funds, all financial records to the project, which shall be accessible to AURA and to the National Science Foundation or other

representatives for examination and audit purposes. (Consultants will additionally ensure that any subcontractors or consultants under the agreement shall also maintain such records for the period specified and under the same terms);

- (3) The Consultant will maintain, for three years after approval of a final financial report, a complete file of all subcontracts and other agreements, licenses, clearances, and other documents related to the work undertaken, copies of which shall be made available to AURA on request;
- (4) The Consultant will comply with equal employment opportunity and nondiscrimination laws and policies;
- (5) The Consultant will be required to provide documentation as to actual costs, and provide supporting detail demonstrating that all costs are reasonable, necessary, and allocable to the requirements and objectives of the work undertaken;
- (6) All research and materials created, developed, compiled or produced pursuant to or as a result of this project (including but not limited to all reports) will be considered ordered and commissioned by AURA as works made for hire under the copyright laws, and made in the course of services rendered. If, for any reason, the proposed research and materials to be provided are not considered works made for hire under the copyright laws, then the Consultant will be required to assign all right, title and interest in and to such research and materials to AURA. Consultants further agree that neither they, nor any of their subcontractors, will have any copyrights or other intellectual property rights whatsoever in any research and/or materials created, developed, compiled or produced by them or by any subcontractor, or by any third party participating in the preparation of research or materials for this project;
- (7) The agreement will be governed as construed in accordance with the laws of the Arizona without regard to its conflict of law provisions;
- (8) No funds provided by AURA will be used (i) for any activity designed to influence legislation or appropriations pending before the United States Congress or any state legislature or (ii) to conduct any reception or provide any other entertainment for any officer or employee of the Federal Government or any state or local government; and
- (9) Consultants will be required to indemnify and hold AURA harmless from and against all claims, damages, liabilities, costs and expenses

(including legal fees) arising out of or related to (i) any alleged or actual breach of any representation or warranty in the operative agreement; (ii) any other default by such Consultant of any term or provision of the operative agreement; or (iii) Consultant's performance under the project.

- (10) The principal source of AURA funds is appropriations made by the U.S. Congress to NSF. In the event reductions occur in the amount of such appropriations that materially affect the ability of AURA to meet its obligations, then AURA and Consultant, at the option of AURA, agree to enter into good faith negotiations to modify the agreement.

Other material terms and provisions will be set forth in the documents provided to the Consultant that successfully completes the selection process.

STATEMENT OF WORK

PROJECT TITLE	AURA/NCOA Change Management		
COMPANY NAME	AURA	VENDOR	TBD
PROJECT MANAGER	Lynda Dec	DATE SUBMITTED	11/27/18
AUTHOR	Ellen Mongelli	VERSION	0.0.0
PROJECT BEGIN DATE	February 2019	END DATE	May 15, 2020

1.0 INTRODUCTION

The contractor shall provide analysis, consultation, guidance and product development to leadership to determine the changes needed to facilitate a transition within the organization (i.e. Change Management Consulting Services).

1.1 Background

The Association of Universities for Research in Astronomy (AURA) has launched an initiative to consolidate three business units with varying policies, processes and cultures into a unified operation with a matrix style management structure.

The existing three business units are geographically dispersed across the United States and Chile and consist of ground-based observatory programs which are predominantly funded by the National Science Foundation (NSF): the Gemini Observatory, the National Optical Astronomy Observatory (NOAO), and the future Large Synoptic Survey Telescope (LSST).

1.2 Scope of Work

Determine current state of organizational readiness (stakeholder management, executive sponsorship, communication, employee readiness, capacity for change); build change management plan for areas identified in readiness assessment to include (Communications, Training, Employee Engagement, Executive/leadership support, Change Management teams).

1.3 Objectives

OBJECTIVE	RATIONALE
Determine current state of organizational readiness	Understand current state of organizational readiness.
Build a change management plan that addresses all areas identified in the readiness assessment	Project planning for change management.
Establish processes, tools, and channels to assess effectiveness of the change management effort	Implementation of change management plan and ensure successful transaction.

2.0 TASKS / ACTIVITIES

TASK #	DESCRIPTION
2.1	Determine current state of organizational readiness
2.2	Build a change management plan that addresses all areas identified in the readiness assessment
2.3	Establish processes, tools, and channels to assess effectiveness of the change management effort

3.0 SCHEDULE

AURA has a basic understanding of current state as the initial transition work started in 2017. A greater emphasis should be placed on the workplan outlined in Sections 3.2 and 3.3.

State Period of Performance. List Milestones Below.

TASK #	DUE DATE	DELIVERABLE DESCRIPTION
3.1	Contract date + 1 month	<p>Determine current state of organizational readiness</p> <ul style="list-style-type: none"> • Stakeholder Management <ul style="list-style-type: none"> ○ Identify all stakeholders in the change ○ Identify educational needs of stakeholders around the change ○ Identify ways to build greater awareness and understanding of the change ○ Identify benefits of the change to each of the shareholder groups ○ Assist in the development of plans to engage key stakeholder in the change effort ○ Identify ways in which concerns of stakeholders can be identified and addressed ○ Propose way in which successes are celebrated both privately and publicly • Executive Sponsorship <ul style="list-style-type: none"> ○ Assess the level of executive support for the change and make recommendations to increase and or make more effective ○ Develop plan to ensure sponsors clearly understand change and are actively engaging in building awareness of the need for change ○ Recommendations on how sponsors can actively and visibly participate through the change • Communication <ul style="list-style-type: none"> ○ Assess current communications plan and make recommendations that would improve ability to

		<p>address communication requirements for both external and internal stakeholders</p> <ul style="list-style-type: none"> o Clearly defined vision and strategy is in place o Assess ability and effectiveness of communication to both internal and external stakeholders o Assess communication methods and platforms and make recommendations for more effective ways within our current resources o Assist in developing mechanisms are in place to assist in the identification of lapses in effective communication <ul style="list-style-type: none"> • Employee readiness <ul style="list-style-type: none"> o Change management team members are identified o Managers and staff are trained on change management o Feedback processes are in place and being used to determine whether or not the change is being adopted by the stakeholders o The project plan is designed to be integrated with the change management plan • Capacity for change <ul style="list-style-type: none"> o Assess the organizations capacity for change and make recommendations to increase the capacity. This should include systems, policies, processes, culture, value system, ability to engage people in the change effort, etc. o Does the organization have the ability and desire to engage people in the change effort
3.2	31 July 2019 (end date of phase 1)	<p>Build a change management plan that addresses all areas identified in the readiness assessment to include:</p> <ul style="list-style-type: none"> • Communications • Training • Employee engagement • Executive/leadership support • Change management teams
3.3	15 May 2020 (end date phase 2)	<p>Establish processes, tools, and channels to assess effectiveness of the change management effort.</p>

4.0 TERMS OF PAYMENT

4.1 Fee Summary

4.2 Storage, Personnel, Training, Implementation Costs

4.3 Fee Breakdown

5.0 PROJECT REQUIREMENTS

5.1 Agency Responsibilities

Consultant should have significant experience facilitating senior management level discussions to achieve consensus and buy-in. Knowledge of matrix style management and best practices is required. Experience in an academic environment and experience with Federally funded operations is preferred.

Conduct an assessment and provide a report outlining results and recommendations to be used in the development of a change management plan.

Provide guidance, support, expertise, and partnership on the development of a strategic change management plan.

Utilizing the strategic change management plan, provide recommendations and assistance in building out a project plan.

Identify and recommend mechanisms and opportunities to evaluate the progress of the change management initiative.

5.2 Client Responsibilities

Provide access and support in obtaining all necessary information to execute and deliver against responsibilities and requirements.

Review and approve all plans and actions.

Evaluate success of the change management plan and initiatives.

5.3 Mutual Responsibilities

Develop a change management plan which includes all items outlined in the objectives.

Review plans to ensure alignment with NCOA transition goals and objectives.

Work to develop mitigation and contingency strategies.

6.0 PROJECT RISKS

PROJECT RISKS	
ISSUE / RISK	MITIGATION / CONTINGENCY
Resistance – active and passive	To be developed with consultant
Resources not made available	AURA will monitor budgetary resources. Resources will be evaluated throughout the project. Mitigation and contingency plans will be developed with the consultant
Morale declines	To be developed with consultant

7.0 STANDARDS AND COMPLIANCE

7.1 Communications Plan

7.2 Quality Management Plan

7.3 Training Plan

7.4 Standard Compliance

7.5 Regulatory Compliance

7.6 Privacy Adherence

Standards and compliance documents are currently being built for the new organizational structure. Will require the consultant to work with AURA to ensure that all requirements and plans listed in Section 7.0 are in alignment with the change management plan.