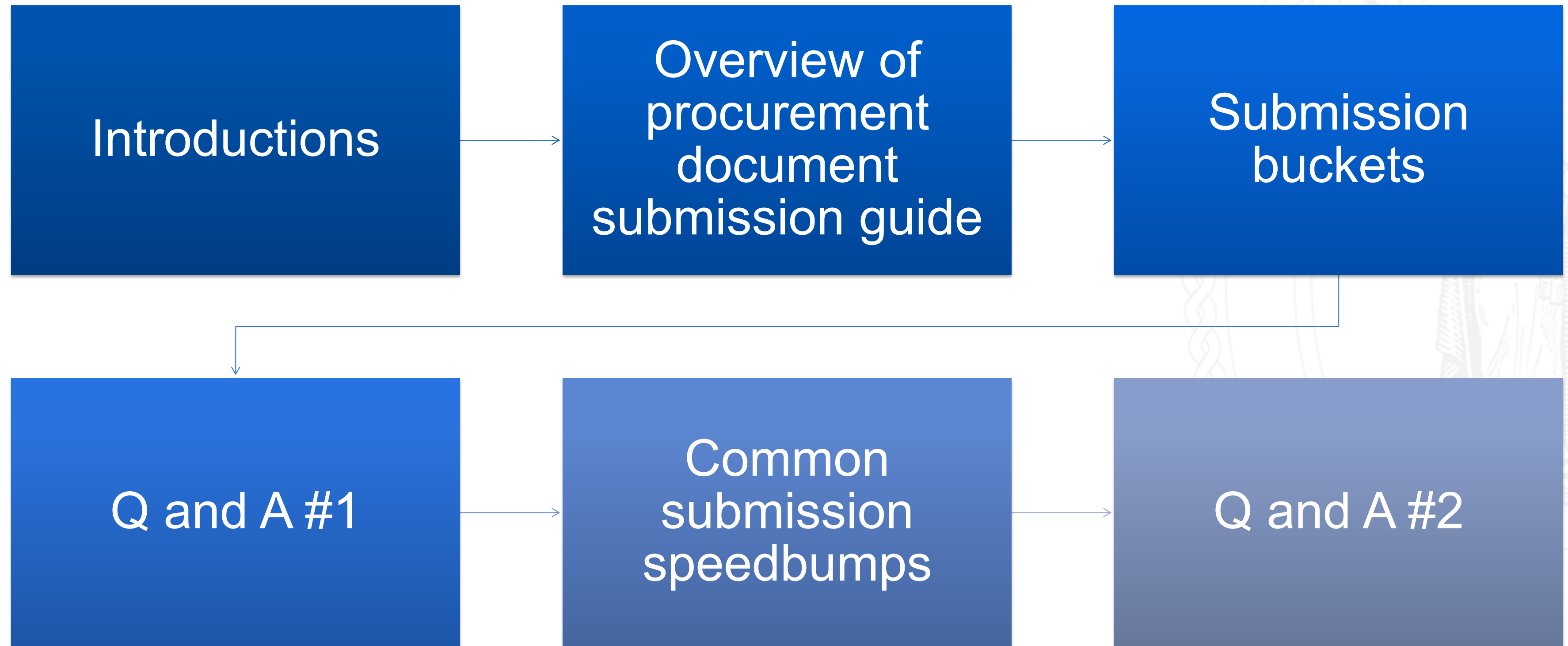


Procurement Record Document Submission Guide



Agenda



Introductions



163 Goods and Services Team members presenting:



John Fretto



Kylie Hotaling



Brianna McNall



Nicole Mele



Jami Olander

Overview of Procurement Record Document Submission Guide: Old vs. New



Previous Version

First version was created in 2014

Geared towards paper procurement record to OSC

Needed to be updated

OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE - NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - MAY 14, 2014							
NO.		Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
1	SFS - Single Transaction Summary (STS); AC340-S, with Intended Encumbrance, if applicable; or Purchase Order	x	x	x	x	x	x
2	Non-Approval Notice, if resubmission	x	x	x	x	x	x
3	Approved Contract Reporter Exemption Request, if applicable			x	x	x	
4	Signed Declaration of Emergency				x		
5	DOB 1184 Attachment A or B	x	x	x	x	x	x
6	Procurement Record Checklist	x	x	x	x		
7	Preferred Source Documentation or Waiver, if applicable	x	x	x	x	x	
8	ITS PTP Approval, if applicable	x	x	x	x	x	
9	Cover Letter / Recommendation of Award	x	x	x	x	x	x
10	Bid Protests and Agency Response, if applicable	x	x	x	x	x	x
11	Memo / Justification for Rejecting Bids or Proposals	x	x				
12	Assisted Buy Desk Approval, if applicable	x	x	x			
13	Vendor Responsibility Profile	x	x	x	x	x	x
14	Vendor Responsibility Questionnaire (VRQ) if over \$100,000. *Contractors submitting an online VRQ do not need a paper copy of the VRQ documentation.	x	x	x	x	x	x
For Items 15 - 17, for single or multiple awards, each awarded vendor would be required to submit 1 of item 15 and 1 of item 16, or item 17. The ACORD form is not acceptable proof of Workers Compensation. Proof is required for all new agreements, and anytime a term is being extended.							
15	Workers Compensation Coverage Form C-105.2; U-26.3; SI-12; or GSI-105.2	x	x	x	x		x
16	Disability Benefits Coverage Form DB-120.1 or DB-155, Certificate of Disability Benefits Insurance	x	x	x	x		x
17	WC/DB Exemption CE-200 - Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage	x	x	x	x		x
18	Contract Reporter Advertisement	x	x	x	x		
19	Blank Solicitation Document (including appendices); Questions & Answers; and Addendums, if applicable	x	x				
	A. Prevailing Rate Case number, if applicable	x	x	x	x	x	
	B. Iran Divestment Act Language	x	x	x	x	x	x
20	Evaluation Instrument, Completed Evaluation Score Sheets & Evaluation Summary	x	x				
21	Certified Bid Tabulation (or 3 quotes for Emergency)	x	x				
22	Solicitation List / Bidders List	x	x	x	x		
23	Mandatory Letters of Intent; Mandatory Pre-bid Conference Sign-In Sheet & Transcript, if applicable	x	x				
24	If less than 3 bids received: Canvass of No Replies	x	x				
25	If less than 3 bids received: Justification of Award with limited competition	x	x				
26	Price Justification	x	x	x	x		
27	Price Justification: Explanation of vendor selection and alternatives considered, for Single or Sole Source Awards			x			
28	Price Justification for amendments and renewals if not specified in original agreement					x	x
29	Original Signed Awarded Bid / Original Signed Technical Proposal	x	x				
30	All Original Cost Proposals, if applicable		x				
31	Signed Vendor's Quote or Awarded Emergency Quote			x	x		
32	Price Lists, if applicable	x	x	x	x	x	x
33	Any Proposer Correspondence (e.g. clarifications)	x	x	x	x	x	x
34	Any Rejected Original Bids/Proposal with Justification, if applicable	x	x		x		
35	Non-award Letters	x	x				
36	Contract Agreement or Amendment	x	x	x	x	x	x
	A. AG Approval, except P contracts and POs	x	x	x	x	x	
	B. Civil Service Approval for Service with Individuals	x	x	x	x		
	C. Most Current Appendix A	x	x	x	x	x	
	D. Consultant Disclosure Form A & Form B Reporting Requirements, if applicable	x	x	x	x		
37	Lobbying Law Vendor Affirmation	x	x	x	x	x	
38	Lobbying Law Vendor Disclosure	x	x	x	x	x	
39	Lobbying Law Vendor Certification	x	x	x	x	x	
40	OSC Governmental Entity Representation Form	x	x	x	x	x	
41	Lobby Law Termination Language	x	x	x	x	x	
42	Sales & Compensating Use Tax Documentation: ST-220-CA, if applicable	x	x	x	x	x	x

Updated Version

Reorganized into
“buckets”

Combined and
added items

Added web links

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE FOR GOODS AND SERVICES- NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - Fall 2025	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
Transaction Identifying Documents							
1	SFS - Single Transaction Summary (STS); AC340-S, with Intended Encumbrance, if applicable; or Purchase Order	x	x	x	x	x	x
2	Procurement Record Checklist	x	x	x	x		
3	Memo / Recommendation of Award / Justification for Rejecting Bids or Proposals	x	x	x	x	x	x
4	Approved Contract Reporter Exemption Request, if applicable			x	x	x	
	a. Post-advertisement in the Contract Reporter			x	x	x	
	b. Confirmation of no protests 10 business days after post-advertisement			x	x	x	
5	Transaction Non-Approval Notice, if resubmission	x	x	x	x	x	x
Contract Documents							
6	Contract Agreement or Amendment	x	x	x	x	x	x
	a. AG Approval, except PA contracts and POs	x	x	x	x	x	
	b. Civil Service Approval for Contracts with Individuals, if applicable	x	x	x	x		
	c. Most Current Appendix A	x	x	x	x	x	
	d. Consultant Disclosure Form A & Form B Reporting Requirements, if applicable	x	x	x	x		
Procurement Record Documents							
7	Contract Reporter Advertisement	x	x	x	x	x	
8	Signed Declaration of Emergency				x		
9	Blank Solicitation Document (including appendices); Questions & Answers; and Addendums, if applicable	x	x				
	a. Prevailing Rate Case number, if applicable	x	x	x	x	x	
10	Evaluation Instrument, Completed Evaluation Score Sheets & Evaluation Summary	x	x				
11	Certified Bid Tabulation (or 3 quotes for Emergency)	x	x		x		
12	Solicitation List / Bidders List	x	x	x	x		
13	Mandatory Letters of Intent, if applicable	x	x				
14	Mandatory Pre-bid Conference and/or Site Visit Sign-In Sheet, transcript and items presented or distributed, if applicable	x	x		x		
15	If less than 3 bids received: Canvass of No Replies and Vendors Responses	x	x				
16	If less than 3 bids received: Justification of Award with limited	x	x				
17	Price justification	x	x	x	x		
18	Price justification: Explanation of vendor selection and alternatives considered, for Single or Sole Source Awards			x			
19	Price Lists, if applicable	x	x	x	x	x	x
20	Original Signed Awarded Bid / Original Signed Technical Proposal	x	x				
21	Signed Vendor's Quote or Awarded Emergency Quote			x	x		
22	All Original Cost Proposals, if applicable		x				
23	Any Rejected Original Bids / Proposal with Justification, if applicable	x	x		x		
24	Any Proposer Correspondence (e.g. clarifications)	x	x	x	x	x	x
25	Non-award Letters	x	x				
26	Bid Protests and Agency Response, if applicable	x	x	x	x	x	
27	DOB 1184 Attachment A or B / ITS PTP Approval, if applicable	x	x	x	x	x	x
28	Preferred Source Documentation or Waiver, if applicable	x	x	x	x	x	
29	Lobbying Law Vendor Affirmation / Disclosure / Certification	x	x	x	x	x	
30	Lobby Law Termination Language	x	x	x	x	x	
31	Sales & Compensating Use Tax Documentation: ST-220-CA, if applicable	x	x	x	x	x	x
32	OSC Governmental Entity Representation Form	x	x	x	x	x	
Vendor Responsibility Documents							
33	Vendor Responsibility Profile	x	x	x	x	x	x
34	Vendor Responsibility Questionnaire (VRQ) if over \$100,000. *Contractors submitting an online VRQ do not need a paper copy of the VRQ documentation.	x	x	x	x	x	x
For Items 35 - 37, for single or multiple awards, each awarded vendor would be required to submit 1 of item 35 <i>and</i> 1 of item 36, <i>or</i> item 37, or a combination of all as applicable. The ACORD form is <i>not</i> acceptable proof of Workers Compensation. Proof is required for all new agreements, and anytime a term is being extended.							
35	Workers Compensation Coverage Form C-105.2; U-26.3; SI-12; or GSI-105.2	x	x	x	x	x	x
36	Disability Benefits Coverage Form DB-120.1 or DB-155, Certificate of Disability Benefits Insurance	x	x	x	x	x	x
37	WC/DB Exemption CE-200 – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage	x	x	x	x	x	x

Submission Buckets

<u>Bucket #1</u>	<u>Bucket #2</u>	<u>Bucket #3</u>	<u>Bucket #4</u>
Transaction Identifying Documents	Contract Documents	Procurement Record Documents	Vendor Responsibility Documents
<ul style="list-style-type: none"> • STS/AC340 • Procurement Record Checklist • Cover Letter/Memo of explanation • Approved CRER, if applicable • Companion CRER documents, if applicable 	<ul style="list-style-type: none"> • Contract • Signature Page • AG approval, if applicable • Civil Service Approval, if applicable • Most current Appendix A • Consultant Disclosure Form A, if applicable 	<ul style="list-style-type: none"> • Advertising Documents • Blank IFB or RFP • Solicitation List • Evaluation Documents • Award Documents • Post Award Documents • B-1184/PTP Approval • Lobbying Law Forms • ST-220-CA, if applicable • OSC Governmental Entity Representation Form 	<ul style="list-style-type: none"> • Vendor Responsibility Profile • Vendor Responsibility Questionnaire hard copy if not certified online • Workers' Comp & Disability Coverage Certifications or Proof of Exemption

Transaction Identifying Documents – Bucket #1

Bucket #1

Transaction Identifying Documents

- STS/AC340
- Procurement Record Checklist
- Cover Letter/Memo of explanation
- Approved CRER, if applicable
- Companion CRER documents, if applicable

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE FOR GOODS AND SERVICES- NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - Fall 2025	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
Transaction Identifying Documents							
1	SFS - Single Transaction Summary (STS); AC340-S, with Intended Encumbrance, if applicable; or Purchase Order	x	x	x	x	x	x
2	Procurement Record Checklist	x	x	x	x		
3	Memo / Recommendation of Award / Justification for Rejecting Bids or Proposals	x	x	x	x	x	x
4	Approved Contract Reporter Exemption Request, if applicable			x	x	x	
	a. Post-advertisement in the Contract Reporter			x	x	x	
	b. Confirmation of no protests 10 business days after post-advertisement			x	x	x	
5	Transaction Non-Approval Notice, if resubmission	x	x	x	x	x	x

Contract Documents – Bucket #2

Bucket #2

Contract Documents

- Contract
- Signature Page
- AG approval, if applicable
- Civil Service Approval, if applicable
- Most current Appendix A
- Consultant Disclosure Form A, if applicable

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE FOR GOODS AND SERVICES- NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - Fall 2025	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
Contract Documents							
6	Contract Agreement or Amendment	x	x	x	x	x	x
	a. AG Approval, except PA contracts and POs	x	x	x	x	x	
	b. Civil Service Approval for Contracts with Individuals, if applicable	x	x	x	x		
	c. Most Current Appendix A	x	x	x	x	x	
	d. Consultant Disclosure Form A & Form B Reporting Requirements, if applicable	x	x	x	x		

Procurement Record Documents – Bucket #3

Bucket #3

Procurement Record Documents

- Advertising Documents
- Blank IFB or RFP
- Solicitation List
- Evaluation Documents
- Award Documents
- Post Award Documents
- B-1184/PTP Approval
- Lobbying Law Forms
- ST-220-CA, if applicable
- OSC Governmental Entity Representation Form

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE FOR GOODS AND SERVICES- NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - Fall 2025	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
Procurement Record Documents							
7	Contract Reporter Advertisement	x	x	x	x	x	
8	Signed Declaration of Emergency				x		
9	Blank Solicitation Document (including appendices); Questions & Answers; and Addendums, if applicable	x	x				
	a. Prevailing Rate Case number, if applicable	x	x	x	x	x	
10	Evaluation Instrument, Completed Evaluation Score Sheets & Evaluation Summary	x	x				
11	Certified Bid Tabulation (or 3 quotes for Emergency)	x	x		x		
12	Solicitation List / Bidders List	x	x	x	x		
13	Mandatory Letters of Intent, if applicable	x	x				
14	Mandatory Pre-bid Conference and/or Site Visit Sign-In Sheet, transcript and items presented or distributed, if applicable	x	x		x		
15	If less than 3 bids received: Canvass of No Replies and Vendors Responses	x	x				
16	If less than 3 bids received: Justification of Award with limited	x	x				
17	Price justification	x	x	x	x		
18	Price justification: Explanation of vendor selection and alternatives considered, for Single or Sole Source Awards			x			
19	Price Lists, if applicable	x	x	x	x	x	x
20	Original Signed Awarded Bid / Original Signed Technical Proposal	x	x				
21	Signed Vendor's Quote or Awarded Emergency Quote			x	x		
22	All Original Cost Proposals, if applicable		x				
23	Any Rejected Original Bids / Proposal with Justification, if applicable	x	x		x		
24	Any Proposer Correspondence (e.g. clarifications)	x	x	x	x	x	x
25	Non-award Letters	x	x				
26	Bid Protests and Agency Response, if applicable	x	x	x	x	x	
27	DOB 1184 Attachment A or B / ITS PTP Approval, if applicable	x	x	x	x	x	x
28	Preferred Source Documentation or Waiver, if applicable	x	x	x	x	x	
29	Lobbying Law Vendor Affirmation / Disclosure / Certification	x	x	x	x	x	
30	Lobby Law Termination Language	x	x	x	x	x	
31	Sales & Compensating Use Tax Documentation: ST-220-CA, if applicable	x	x	x	x	x	x
32	OSC Governmental Entity Representation Form	x	x	x	x	x	

Vendor Responsibility Documents – Bucket #4

Bucket #4

Vendor Responsibility Documents

- Vendor Responsibility Profile
- Vendor Responsibility Questionnaire hard copy if not certified online
- Workers' Comp & Disability Coverage Certifications or Proof of Exemption

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - GENERAL CONTRACT DOCUMENT SUBMISSION GUIDE FOR GOODS AND SERVICES- NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - Fall 2025	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment / Any Change not Contemplated in the Original	Renewal
Vendor Responsibility Documents							
33	Vendor Responsibility Profile	x	x	x	x	x	x
34	Vendor Responsibility Questionnaire (VRQ) if over \$100,000. *Contractors submitting an online VRQ do not need a paper copy of the VRQ documentation.	x	x	x	x	x	x
For Items 35 - 37, for single or multiple awards, each awarded vendor would be required to submit 1 of item 35 <u>and</u> 1 of item 36, <u>or</u> item 37, or a combination of all as applicable. The ACORD form is <u>not</u> acceptable proof of Workers Compensation. Proof is required for all new agreements, and anytime a term is being extended.							
35	Workers Compensation Coverage Form C-105.2; U-26.3; SI-12; or GSI-105.2	x	x	x	x	x	x
36	Disability Benefits Coverage Form DB-120.1 or DB-155, Certificate of Disability Benefits Insurance	x	x	x	x	x	x
37	WC/DB Exemption CE-200 – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage	x	x	x	x	x	x

Question and Answer

Period #1

Common Submission Speedbumps



Approved CRER Follow-Up Steps



PTP Approval

NYS ITS Policy NYS-P08-001

Information management, digital or electronic equipment, software, cloud-based or other “as a service” products, operating systems, interface systems, interconnected systems, data management systems, telecommunications, networks, broadband network management, information and data storage (on-premises/off-premises), hardware, licensing, subscription, consulting, project and staff augmentation services, supplies, data center facilities, maintenance, training, and any other ancillary or related IT products and services.

Price Justification

Historical Cost

Market Rates

Discounts from Published Price Lists

Cost of Similar Projects

Purchase Made by Other State Agencies (SFS & Open Book)

Purchase Made by Governmental Entities / Other States

GSA Pricing

Contract Approval Thresholds

State Agency contracts over \$50,000

State Agency purchases from OGS Centralized Contracts over \$200,000

OGS contracts over \$85,000

OGS Business Service Center Customer Agency transactions over \$85,000

OGS Centralized Contracts over \$125,000

SUNY, CUNY contracts for goods, services, construction and printing over
\$75,000

SUNY, CUNY purchases from OGS Centralized Contracts over \$200,000

SUNY State University Health Care Facility contracts over \$150,000

SUCF, CUCF contracts and leases over \$75,000

Discretionary Buying Thresholds

\$200,000 purchases of food, including milk and milk products, animal or plant fiber products, textile products manufactured from animal or plant fiber

\$500,000 purchases of recycled or remanufactured commodities or technology

\$500,000 from NYS Small Businesses

\$1.5 million from MWBEs and SDVOBs

Discretionary Advertising and Submission

Discretionary Purchasing Guidelines

Advertise on Contract Reporter utilizing one of the recommended examples

Issue award/non-award letters and confirm no protests after 10 business days

Ensure that the State buys from responsible vendors

Document and justify the selection of the vendor

Document and justify the reasonableness of the price

File Format

OCR = Optical Character Recognition

All contracts must be in OCR searchable format to meet NYS archiving guidelines

EDSS does not support audio files

Excel documents should not be converted to pdf

Question and Answer

Period #2

Contact:

John Fretto- jfretto@osc.ny.gov

Kylie Hotaling- kmhotaling@osc.ny.gov

Brianna McNall- bmcnall@osc.ny.gov

Nicole Mele- nmele@osc.ny.gov

Jami Olander- jolander@osc.ny.gov

Thank you.

