I. Purpose

The purpose of this bulletin is to describe the requirements of the Procurement Record (Record), as mandated by Article XI of the State Finance Law.

The Record is the documentation of the decisions made and the approaches taken in the procurement process. In addition, the Record serves as the basis for the Office of the State Comptroller’s (OSC) review and approval of the contract. The documentation necessary to support the decisions made by the Agency during the procurement process will depend upon the type and complexity of the procurement.

A Record is required to be maintained for all procurements, and for procurements that require OSC approval, a Procurement Record Checklist (Checklist) must be completed and submitted to OSC with the contract package.

II. Applicability and Scope

This bulletin applies to all state agencies, boards, commissions, offices and institutions, including the State University of New York and the City University of New York. Contracts entered into pursuant to Article XI-B of the State Finance Law, construction contracts, architect and engineering services contracts, printing contracts and, real property transactions, including leases, are not governed by the requirements of this Bulletin.

The Record shall include, but is not limited to: a clear statement of need; a description of the required specifications governing performance and related factors; a reasonable process for ensuring a competitive field; documentation that demonstrates a fair and equal opportunity for offerers to submit responsive offers; a balanced and fair method of award; a determination of vendor responsibility and other decisions made by the Agency during the procurement process.

III. The Checklist

The purpose of the Checklist (copy attached) is to assist Agencies in documenting the rationale for the method of solicitation, preparing and submitting the procurement package and Record to OSC. It serves to ensure greater uniformity among agency submittals and assists OSC in streamlining the approval process. The Checklist outlines the procurement process, from documenting the need and describing the commodity or service being procured to the award of the contract.
OFFICE OF THE STATE COMPTROLLER
BUREAU OF CONTRACTS
THE PROCUREMENT RECORD CHECKLIST

Business Unit ID: ___________________________  Business Unit Name: ___________________________

Department ID: ____________________________  Department Name: ____________________________

Contact: ___________________  Telephone: ___________________  E-Mail: _________________________

Contract No. or Purchase Order No.: ____________________________

Contractor Name: ___________________________  Vendor ID No.: _____________________________

Contract Period: ___________________________  Renewal Period: ____________________________

1. Description of the Commodity/Service Being Procured:

_____________________________________________________________________________________

2. Need Statement:

_____________________________________________________________________________________

3. This item (product/service) is an approved Preferred Source Offering  ☐ Yes ☐ No

4. Procurement Method:

☐ IFB - Lowest Bid Meeting Specifications  ☐ Emergency
☐ RFP - Evaluation of Technical and Cost  ☐ Mini Bid
   (Best-Value Specified)  ☐ Discretionary
☐ Single Source  ☐ Piggyback
☐ Sole Source  ☐ Other ____________________________
☐ Preferred Source (If selected skip to #9)

5. Summary of Competitive Procurement:

a. Number of Bids Solicited: _____
b. Number of Bids Received: _____
c. Number of Rejections: _____
d. Number of Protests/Disputes*: _____

*Protest/Dispute Related Documents Must be Included in the Record Submitted to OSC.

6. Debriefings Requested?  ☐ Yes ☐ No

If yes, number of debriefings requested and status/dates of debriefings held:

_____________________________________________________________________________________

_____________________________________________________________________________________

7. Procurement Opportunities Newsletter (New York State Contract Reporter, also known as NYSCR)

☐ Advertisement Notice/Agency Certification Attached
☐ Copy of OSC Exemption Attached _______ (include Contract Reporter Exemption Request number)
☐ Exempted Per Statute _______ (if the exemption is not provided under Article 4-C of the Economic Development Law please provide citation)
8. **THE FOLLOWING INFORMATION (8 a-e) MUST ALSO BE PROVIDED ONLY WHEN AN RFP IS USED.**
   (A separate document may be used, or an agency may reference specific documents and/or sections of the RFP.)

   a. Explain the process used to ensure a competitive field:__________________________________________

   b. Explain the scope of work to be performed under the contract:____________________________________

   c. List the evaluation criteria and relative weights used to evaluate the proposals:
      Technical Weight: _____%  
      Cost Weight: _____%  
      Identify where in the RFP detailed evaluation criteria is set forth:________________________________

   d. Explain the methodology used for evaluating the proposals:______________________________________

   e. Provide a summary of the evaluation results, and the basis for the selection of the successful offeror:_____

9. Submit all documentation required by the OSC Bureau of Contracts. Specific requirements can be obtained by calling the OSC Bureau of Contracts at 518-474-6494.

10. Required Signatures (check those which apply):

    ☐ Agency
    ☐ Contractor
    ☐ Contractor’s Acknowledgment

11. Approvals (check those which apply):

    ☐ Division of the Budget
    ☐ Office of State Operations Approval of the B-1184
    ☐ Civil Service
    ☐ Attorney General
    ☐ Office for Technology PTP Approval
    ☐ OGS Approval of the Price for Preferred Source Service Acquisitions
    ☐ OGS Piggyback Approval

    Agency Signature:_________________________________________  Date:____________________________

    OSC Auditor:__________________________________________  Date:____________________________