

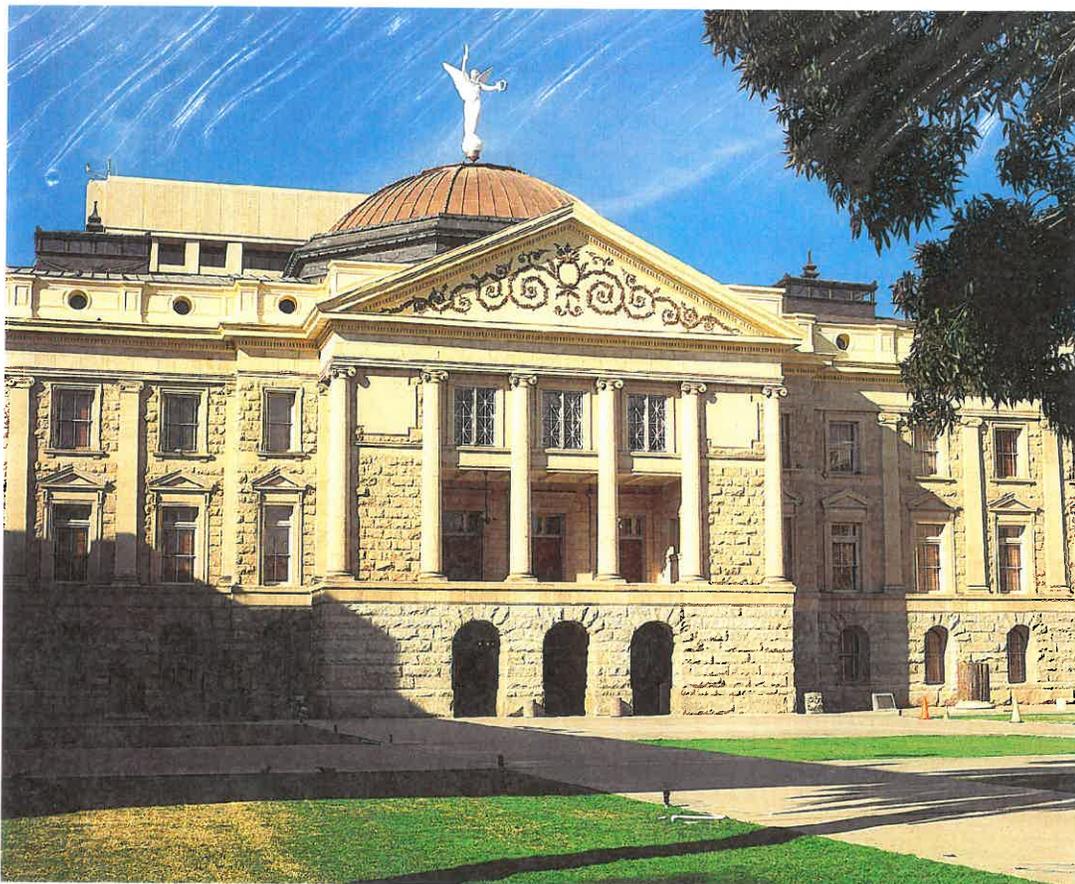
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"Providing procurement services through operational leadership, legal compliance, and enhanced value for our customers and the state's procurement community."



Arizona Department of Economic Security Procurement Performance Review

Prepared by: SPO Compliance
08/24/2015

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
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**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
SUMMARY**

The State Procurement Office (SPO) performed a Procurement Performance Review (PPR) of the Arizona Department of Economic Security (ADES) commencing on 08/24/2015, in accordance with Arizona Procurement Code R2-7-201, R2-7-202, Governor's Executive Order 2005-01, and SPO Technical Bulletin No. 003, Revision 5. The review focused on the agency's ability to properly exercise procurement authority in accordance with its procurement delegation, the Arizona Procurement Code (APC), SPO Technical Bulletins, and Standard Procedures.

The review included an examination of the agency's procurement policies and procedures manual; review of previous audit and personnel training records; observation of internal systems controls; interview with purchasing personnel; review of quarterly and annual agency procurement reports; examination of solicitations, contracts and purchase orders performed by the agency.

14 solicitations and contracts were selected from the past 12 months for review. The reviewed files included 3 requests for quotations (RFQ), 2 invitation for bid (IFB), and 6 requests for proposals (RFP). 1 Not Practicable to Quote, and 2 competition impracticable were also reviewed. As a supplement to this review 3 additional contracts, greater than 12 months since award, were also reviewed.

This review may not have detected, nor should it be relied upon to detect, all deficiencies that may have existed or improvements that should have been employed by the agency at the time of the review. Contained in this report are the findings and recommendations.

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
FINDINGS, RECOMMENDATIONS, NOTEWORTHY PRACTICES**

1. Evaluation Criteria

SPO Technical Bulletin #043 describes the establishment of evaluation criteria as a process with the customer through which the procurement office prioritizes objectives by their relative order of importance, with the most important objective listed first and the least important objective listed last. The procurement office uses these prioritized objectives in establishing the Solicitation's Evaluation Criteria.

APC Rule R2-7-C316 further defines evaluation criteria in stating an agency chief procurement officer shall evaluate offers and best and final offers based on the evaluation criteria contained in the request for proposals. The agency chief procurement officer shall not modify evaluation criteria or their relative order of importance after offer due date and time.

Finally, ARS § 41-2534 states the award shall be made to the responsible offeror whose proposal is determined in writing to be the most advantageous to this state taking into consideration the evaluation factors set forth in the request for proposals. No other factors or criteria may be used in the evaluation.

Findings

ADES file review contained two contracts with evaluation criteria which did not meet the requirements of SPO TB #043, Rule, and/or Statute. The first file, RFP 6.3D, for Real Estate Service, only listed one evaluation criteria, titled "Assurances and Submittals," in the solicitation Special Instructions. Within the "Consensus Evaluation" it is found that offerors could earn 1000 points for signing an Offer & Acceptance, be in good standing as real estate broker with the Dept. of Real Estate, and for submitting a Qualified Contractor Form. However, the relative importance of each of these sub-factors was not stated in the Special Instructions. No solicitation amendment was issued to recognize the relative order of importance of each sub-factor.

The second file, RFP 6.3A, for Vehicle Modification Services, only listed one evaluation criteria, titled "Assurances and Submittals," in the solicitation Special Instructions. Evaluation in fact, per the "Consensus Evaluation," consisted of only 400 points for "Assurances & Submittals," with the majority of 600 points for a category not disclosed in the Special Instructions titled "Additional Required Documents." Although three solicitation amendments were issued, none addressed the additional evaluation category. Again, the relative importance and itemization of each of these categories were not clearly stated in the Special Instructions.

These two files, constituting 33% of the RFP file review, is of yet further concern as the finding relates to the most recent ADES protest¹ (see Finding #4, para 4). This protest reflects concerns that the CPO "*did not apply objective assessment criteria in assessing the proposals*" and that the CPO "*evaluated ASCC's proposal against criteria not stated in the RFP or Scope of Work.*" Although the Director of ADOA upheld the CPO decision during appeal, the trend of non-descript evaluation criteria represents concerns for potential future exposure to additional protests. Additionally, the man-hours (both ADES and ADOA) necessary to respond to protests and appeals are a substantial cost which might be reduced or avoided².

This file review was limited to the last 12 months in an effort to establish current procurement office trends. A brief review of a secondary file sample, with contract begin dates between 2012 and 2013 (see ADES13-040238, ADES12-012228, ADES11-010708) revealed solicitation Special Instructions which contained evaluation criteria that was both descriptive (Methodology, Expertise, Cost) and ranked in relative order of importance. No secondary file samples reviewed contained minimal, or non-descript, evaluation criteria. Further, a review of all ADES protests prior to 2014 did not reflect vendor concerns regarding evaluation criteria. Consequently, the systemic issue to insufficient evaluation criteria appears to be contained to the last 12-24 months.

¹ Association for Supportive Child Care (ASCC) Protest (October, 2014). Child and Family Resource and Referral Services.

² The Procurement Classroom (2015). 8 Causes of Delays in the Public Procurement Process and How to Avoid Them. Retrieved August 13, 2015 from: <http://procurementclassroom.com/causes-of-delays-in-public-procurement/>

Recommendations

1.a All ADES procurement personnel, responsible for competitive sealed proposals, should obtain training specific to developing solicitations with evaluation criteria and prioritization of solicitation objectives. Completion of training should be a top priority for all ADES procurement managers responsible for competitive sealed proposals. Potential sources for such training may include the National Institute of Governmental Purchasers (NIGP), the Institute for Supply Management (ISM) or another procurement training provider approved by SPO. Best practices in public procurement evaluation criteria is also provided by Principles and Practices of Public Procurement³.

1.b As best practice, ADES procurement supervisors should review all RFP evaluation criteria as a condition of approval for publication of a solicitation⁴. ADES procurement managers should ensure evaluation criteria is descriptive and listed in the relative order of importance, and provide feedback to ADES procurement personnel when opportunities to improve are identified.

1.c ADES procurement managers should incorporate findings from their pre-published solicitation file review into routine ADES procurement manager meetings to ensure their findings are shared and discussed. These meetings should be used as an opportunity to share knowledge and identify systemic issues which may be occurring in more than any one procurement manager's department or area of supervision⁵.

2. Delegation of Procurement Authority

The Chief Procurement Officer (CPO) of a State Governmental Unit (Agency) is authorized to sub-delegate procurement authority based on personnel procurement training,

³ Principles and Practices of Public Procurement (2012). Public Procurement Practice – Developing Evaluation Criteria. Retrieved 08/13/2015 from: <http://principlesandpractices.org/wp-content/uploads/2013/04/DevelopingEvaluationCriteria.pdf>

⁴ Florida Department of Management Services State Purchasing (2013). Guidebook to Public Procurement – 3.4 Phase 3: Review the Solicitation, p. 58.

⁵ Gurteen, D. (1999). Creating a Knowledge Sharing Culture. Retrieved August 13, 2015 from: <http://www.gurteen.com/gurteen/gurteen.nsf/id/ksculture>

experience, certifications held, and successful completion of ProcureAZ training modules⁶. Sub-delegation of procurement authority is limited to the Agency CPO's delegation, or less, and is given in writing to qualified personnel who have met the criteria of Technical Bulletin #002. Sub-delegation of procurement authority must be communicated to SPO within five working days of any change to delegation as well as annually on or before July 15th.

Findings

The ADES Procurement Office does not have established procedures to ensure sub-delegation of procurement authority is routinely communicated to SPO as required by the agency delegated procurement authority. The annual list of personnel with sub-delegated procurement authority was not received by SPO until August 5th, 2015. Prior to that, the last sub-delegation list was dated February 25th, 2015. However, between February and August, six occurrences warranted submission of an updated sub-delegation list (i.e. personnel resignation, promotion). Additionally, during this review, a seventh occurrence should have been communicated to SPO upon the resignation of two ADES procurement personnel.

Signed sub-delegation letters for procurement personnel contain findings that should be addressed. All procurement sub-delegation letters were signed in July 2015, and include the statement that personnel are "*not required to process requisitions, purchase orders, and receipts in ProcureAZ.*" While the agency itself possessed such an exemption in prior years, this exemption expired July 1st, 2015 with the conversion to the new State financial system. While this exemption has been removed from the signed agency delegation letter, it still appears on the sub-delegation letters signed by procurement personnel in July 2015.

One Procurement Technician is sub-delegated authority greater than the maximum permitted for the Position Title and Grade. 14 individuals are sub-delegated procurement authority less than the minimum allowed for their respective Position Title and Grade⁷. Lastly, 2 of 20 procurement personnel appear to have not completed all mandatory training commensurate to their Position Title and Grade, and must complete ADSPO202: On/Off Contract Orders.

⁶ Certificate of Delegated Procurement Authority for Unlimited Agencies (2015). III. Authority to Sub-Delegate.

⁷ Technical Bulletin #002 (2015). Delegation of Procurement Authority – Guidelines for State Governmental Unit's Delegated Procurement Personnel.

Recommendations

2.a The CPO should draft new sub-delegation letters which exclude the exemption from processing requisitions, purchase orders, and receipts on ProcureAZ. The re-draft should also provide sub-delegated procurement authority commensurate to the individual's Position Title & Grade. Within 5 days of signing the redrafted sub-delegation letters and completion of required incomplete training, the CPO should forward a revised sub-delegation list to SPO.

2.b The CPO should implement procedures to ensure all future changes in the agency's sub-delegation list are monitored and forwarded within 5 days of the change (see Finding #3). If this procedure is delegated to a member of the procurement office, the procedures should outline ADES procurement management oversight procedures. These procedures should be outlined in the ADES Procurement Desk Manual.

3. Procurement Policy & Procedures Manual

A procurement policy and procedures manual is beneficial to establish guidelines and standards for the acquisition of products and services by ADES. A relevant, and up-to-date, manual fosters consistent procurement practice within ADES and serves as a basis for procurement control and oversight. As a best practice in public procurement, a purchasing policy and procedures manual should include, at a minimum, ADES-specific instructions that supplement the general instructions of the APC, SPO Technical Bulletins, and Standard Procedures. Moreover, the United States Sentencing Commission⁸ recognizes the existence, and use, of organizational policies and procedures is the single greatest mitigating factor in determining organizational culpability for criminal misconduct.

Findings

ADES has a remarkably detailed Desk Procedures Manual with excellent flow charts which depict various procurement processes (i.e. IFB, RFP, RFQ, Limited Competition,

⁸ United States Sentencing Commission (2013). Chapter Eight – Sentencing of Organizations. Retrieved August 13, 2015 from: <http://www.ussc.gov/guidelines-manual/2013/2013-8b21>

Requisitions). The benefits of this level of detail is designed to assist both new and experienced procurement personnel. However, the challenge to this level of detail is in maintaining the Desk Procedures Manual accurate to changing APC, TBs, SPs, and computing platforms, such as conversion to the new State financial system and ProcureAZ. Consequently, users of the Desk Procedures Manual might become reliant on outdated procedures. Staff interviews during this review indicate an already emphasized attention, and the Deputy's task, to update the Desk Manual.

The manual currently has several references to out-of-date computing platforms which are no longer in use, such as "Spirit." As a result, the manual is deficient in system-related processes and requirements specific to ProcureAZ. The manual is deficient in procedures to ensure electronic files, maintained in ProcureAZ as the official file of record, are complete and named as required by SP# 006.

The manual is currently absent of procedures for disposal of agency surplus property. The procedures for State Set-Aside inaccurately direct procurement personnel to consult statewide contracts and agency contracts prior to the use of Set-Aside contracts, whereas State Set-Aside contracts should in fact be considered before any other procurement method⁹. Although ADES does have detailed instructions regarding obtaining approval for a P-Card, the Desk Manual is deficient in the proper use of a P-Card in the context of procurement¹⁰. Finally, the Desk Manual lacks instructions for procurement personnel to monitor and communicate changes to procurement sub-delegation both within 5 days of a change, as well as annually by July 15th (see Finding #2).

Recommendations

3.a It is the recommendation of the SPO Compliance Unit that ADES endeavors to finish updating its procurement policies and procedures manual as soon as possible. Revisions to the ADES procurement policies and procedures manual should not only reflect current state procurement policies, but also the specific practices of the procurement office at ADES. Revision to the manual should focus on maximizing the procurement office's effectiveness and efficiency in the acquisition of goods and

⁹ Technical Bulletin #004 (2015). Arizona Set-Aside Program – III. Policy A. Purpose.

¹⁰ Technical Bulletin #040 (2015). Small Dollar Purchases.

services by providing a clear, workable, direction to both skilled and new procurement personnel¹¹. See recommendation 4.a.

3.b ADES should establish procedures to routinely review its entire Desk Manual for accuracy on a formal schedule. As a best practice, set a standard schedule to review and update the desk manual at a frequency that supports the agency's business processes and coincides with preparing the agency's purchasing authority renewal schedule¹².

4. Contract Files

SPO provides a list of required documents which shall be located, as applicable, in the solicitation and contract files on ProcureAZ, as well as the naming conventions associated with each document¹³. These standards assist both the procurement officer in document management and the public in viewing the solicitation and contract files. These standards also help reduce procurement officer reliance of memory regarding which documents must be made available to public view. While the APC defines the procurement file as the official records file is either electronic or paper¹⁴, SPO prescribes the electronic upload of documents into ProcureAZ¹⁵, and SPO has designated files on ProcureAZ as the State of Arizona's official procurement records¹⁶.

Findings

ADES has several opportunities to improve its monitoring of solicitation processes. Several general requirements of contract solicitations were found to be out of compliance to APC, TB, and SP. Among which, it was found 14 of 14 files reviewed did not contain either a written requisition, "*submitted in a manner expressly approved by the agency CPO*"¹⁷ and "*uploaded into the system to complete the procurement file*"¹⁸ nor an electronic requisition

¹¹ Office of the Auditor General (2015). Performance Audit – Arizona Department of Administration – p.22

¹² State of California Department of General Services (2005). Department Procurement Policies and Procedures, Retrieved August 17, 2015 from: <http://www.documents.dgs.ca.gov/pd/delegations/chapter14.pdf>

¹³ Standard Procedure #006 (2011). Document Standards

¹⁴ Arizona Procurement Code (2015). R2-7-101 – Definitions.

¹⁵ Standard Procedure #006 (2011). Document Standards

¹⁶ Technical Bulletin #020 (2015). ProcureAZ – The Official State eProcurement System – II Definition E.

¹⁷ Arizona Procurement Code (2015). R2-7-205 – Procurement Requests by Purchasing Agencies

¹⁸ Technical Bulletin #020 (2015). ProcureAZ – The Official State eProcurement System – III Policy C.

linked to the solicitation¹⁹. Further, it appears the individuals who submitted all 14 of 14 of these requisitions to the procurement office (i.e. end-users, program managers) did not sign a Procurement Disclosure Statement²⁰ as none appear on the official contract file of record, on ProcureAZ. Significant procurement role extends to any state employee participating in the development of a procurement, which includes “*all functions that pertain to obtaining any materials, services*”²¹. Additionally, regarding Significant Procurement Role, 5 of 14 files reviewed were not communicated to SPO and appear on the SPO Website list of significant procurement activity (6.1B, 6.3C, 7.3A, 7.3B, 7.3C)²².

11 of 11 applicable files reviewed did not list the offer due date and time in the solicitation, but rather directs respondents to the “Bid Opening Date” field in ProcureAZ (6.1A, 6.1B, 6.1C, 6.2A, 6.2B, 6.3A, 6.3B, 6.3C, 6.3D, 6.3E, 6.3F)²³. Although Rule permits incorporating documents by reference, these files in fact included the documents (instructions to offerors), but referenced specific information that should be contained in the instructions (due date). 8 of 8 applicable files lacked evidence that the competitive solicitation for a service was advertised in a newspaper of general circulation a reasonable time before the offer due date²⁴ (6.2A, 6.2B, 6.3A, 6.3B, 6.3C, 6.3D, 6.3E, 6.3F). Although each of these files contained a draft of an advertisement, these files did not contain evidence (i.e. copy of the advertisement, affidavit from the newspaper) that the solicitation was in fact advertised²⁵. 8 of 14 files reviewed did not contain non-expired evidence that the State was listed as an additional insured on a certificate of insurance (6.1B, 6.2A, 6.2B, 6.3B, 6.3C, 6.3D, 6.3E, 6.3F)²⁶. Finally, 10 of 10 applicable files reviewed reflected documents were uploaded to ProcureAZ which did not match the naming conventions prescribed by SP#006 (6.2A, 6.2B, 6.3A, 6.3B, 6.3C, 6.3D, 6.3E, 6.3F, 7.3B, 7.3C).

¹⁹ Standard Procedure #024 (2015). ProcureAZ Request for Proposal (RFP), Invitation for Bid (IFB), Request for Quotation (RFQ) – Determine Need 1.1

²⁰ Standard Procedure #003 (2014). Significant Procurement Role – Identify Personnel with a Significant Procurement Role – 2.1

²¹ Arizona Procurement Code (2015). ARS § 41-2503. Definitions

²² Standard Procedure #003 (2014). Significant Procurement Role – Notifications of Procurement Activity – 3.2

²³ Arizona Procurement Code (2015). R2-7-B301/C301/D301 - Solicitation

²⁴ Arizona Procurement Code (2015). ARS § 41-2533. Competitive Sealed Bidding

²⁵ Standard Procedure #024 (2015). ProcureAZ Request for Proposal (RFP), Invitation for Bid (IFB), Request for Quotation (RFQ) – Develop a Solicitation 3.3

²⁶ Special Terms and Conditions (2015). Insurance Requirements – Minimum Scope and Limits of Insurance

Solicitation evaluation is of particular concern. In addition to one recent protest which addressed evaluation standards (see Finding #1), a recent audit of ADES procurement also call into question indications of a lack of competitive solicitation processes²⁷ (see 5.17). In addition to the findings addressed in Finding #1, 6 of 6 applicable files reviewed lacked an evaluation committee's signed recommendation for award addressed to the CPO²⁸ (6.3A, 6.3B, 6.3C, 6.3D, 6.3E, 6.3F). It should be noted that 4 of 6 of these files did contain evaluation score sheets titled "BAFO Consensus Scoring," however there was no indication who comprised of the evaluation committee, nor if the committee was making a recommendation to the CPO. Additionally, in all six instances, the contract file lacked a written CPO determination for making an award. Lastly, 4 of 14 files reviewed either made, or intended to make, multiple awards (6.3A, 6.3B, 6.3D, 6.3E). However, these four files lacked written justification, or alternatively SPA approval, for making multiple awards²⁹.

Limited competition procurement lacked applicable written determinations and associated documentation. One file (7.3A), which was not practicable to quote, lacked a CPO written determination which explained and approved why competition was not practicable under the circumstances³⁰. Similarly, two files (7.3B and 7.3C) which were competition impracticable, lacked CPO written determination explaining and approving the unique situation making competition impracticable³¹. These files further lacked evidence that the procurement office attempted to negotiate terms most favorable to the State or of any competition that was attempted given an impracticable situation. Lastly, both of these files lack evidence they were even seen by the CPO as both were approved by a Senior Procurement Officer³².

Two determinations were not made by the CPO, and uploaded to the official contract file of record, in which only one offer was made, but determined by the CPO the price submitted was determined to be fair and reasonable, and the offeror is both responsive and responsible (6.2A, 6.3E)³³. One file was reviewed in which the wrong insurance module was

²⁷ General Accounting Office (2015). Procurement and Contract Administration Audit Executive Summary – Finding 1

²⁸ Arizona Procurement Code (2015) – R2-7-C316. Evaluation of Offers; Standard Procedure #043 (2013). Evaluation and Discussions – Evaluate Best and Final Offers 6.3

²⁹ Arizona Procurement Code (2015) – R2-7-608. Multiple Source Contracts.

³⁰ Arizona Procurement Code (2015) - R2-7-D301. Applicability

³¹ Arizona Procurement Code (2015) - R2-7-E303. Competition Impracticable Procurements

³² Certificate of Delegated Procurement Authority for Unlimited Agencies (2015). III. Authority to Sub-Delegate - F

³³ Arizona Procurement Code (2015). R2-7-D303. Contract Award.

used in the solicitation special terms and conditions (6.3D)³⁴. Lastly, although the contract was awarded to a small-business, one request for quotation was distributed to non-small businesses without a CPO written determination that limiting the competition to small business was not practicable given the circumstances, or evidence that the purchase was first unsuccessfully solicited to small-businesses³⁵.

It should be noted that staff interviews indicated many of the documents addressed above may be stored in paper files. A total of 12 determinations were missing from 14 official files reviewed.

Recommendations

Findings related to this section, Contract Files, includes a very large number of specific details and references to APC, TB, and SP. As such, the recommendations below are intended to provide implementations which are broad in scope.

4.a ADES should re-draft the solicitation and contract file checklists currently located in the Procurement Desk Procedures manual. These checklists should be modified to address every issue identified in Finding #4. Procurement personnel should complete this checklist on all future solicitations and acknowledge “Yes/No” answers to the applicability of each potential issue to all future solicitations. This checklist may be further enhanced by providing appropriate reference to APC, TB, and SP for additional information if a procurement professional are uncertain to the applicability of an item. Checklists help ensure repeatability and compliance to processes required of the APC³⁶.

4.b The ADES procurement office management should conduct bi-weekly (weekly if possible) staff training meetings to address the issues in Finding #4. Meetings should

³⁴ Risk Management Division (2015). Insurance Modules, Retrieved August 13, 2015 from: https://staterisk.az.gov/sites/default/files/documents/files/State%20Risk%20Management%20Insurance%20%26%20Indemnification%20Modules%20-%20Current_4.docx

³⁵ Arizona Procurement Code (2015). R2-7-D302. Solicitation – Request for Quotation

³⁶ Procurement checklists and best practice (2015). Retrieved August 13, 2015 from: <http://www.nextenders.com/procurement-checklists-best-practice/>

be specific to a limited number of topics to maximize retention of each meeting material³⁷.

4.c The procurement office management should implement review procedures to monitor pre-solicitation, post-solicitation, and post-award documents for their accuracy and completeness. Management review should specifically monitor the accurate and complete execution of all requirements identified on the checklist recommended in 4.a. Until all training in 4.b is complete, management review of all documents is recommended. After training in 4.b is complete, it is recommended management continue a spot-check review process (i.e. X% of personnel, or X% of solicitations, weekly/monthly).

Note: The new CPO as of 09/14/15, Patty Clark, indicated during staff interviews her intention to implement a new checklist, modeled after the SPO Control Self-Assessment, to improve file consistency.

5. APC Exempt and ProcureAZ

The APC addresses statutes which permit agencies, under specific circumstances, exemptions to the APC. ADES is statutorily granted four exemptions³⁸. As such, this PPR does not address ADES procurement which is not governed by the APC. However, this PPR does address ADES compliance to the agency's Desk Procedures Manual and the functionalities of ProcureAZ.

Findings

Three contracts, which are exempt to the APC were reviewed. It was identified that all three contracts did not use the ProcureAZ "Special Purchase Type: APC Exempt" in the open market requisition. Without the use of this special purchase type, public view of such contracts may lead to confusion and concern if documents, otherwise APC required, are not located in the contract file. The contracts reviewed, and their applicable exemptions, include:

³⁷ Adler, J., Petty, D., Randall, R. (n.d.). Public Procurement: Past, Present and Future. Retrieved August 14, 2015 from: http://knowledgecenter.csg.org/kc/system/files/Adler_Article.pdf

³⁸ Arizona Procurement Code (2015). ARS § 41-2501 – Applicability - Q
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- Agency certified provider of child care pursuant to Section 8-503 or 36-554
 - Contract ADES15-097810
- Long-term care services pursuant to Title 36, Chapter 29, Article 2
 - Contract ADES15-097786
- Area Agencies on Aging pursuant to older Americans Act of 1965
 - Contract ADES15-089126

Recommendations

5.a The requirements for when to use ProcureAZ “Special Purchase Type: APC Exempt” should be incorporated in the re-drafted solicitation checklist addressed in recommendation 4.a.

5.b ADES procurement office management should incorporate the use of ProcureAZ “Special Purchase Type: APC Exempt” as a training topic in the bi-weekly staff training addressed in recommendation 4.b.

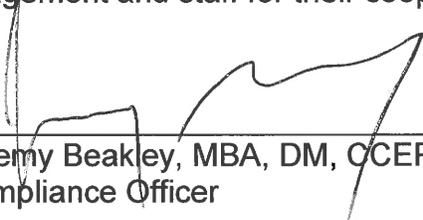
**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW
CONCLUSION**

Through addressing five recommended areas of improvement, ADES will enhance its professional image and reduce the risk of non-compliance. The five key recommendations include:

- 1.) Evaluation Criteria should be fully disclosed in the solicitation special instructions to offerors in relative order of importance.
- 2.) Delegated Procurement Authority should be resigned by all procurement staff to reflect delegation limits commensurate to their position title and grade, as well as revisions made to eliminate exemptions which ADES is no longer granted.
- 3.) Complete the update of the ADES Procurement Policies and Procedures Manual and implement recommended additions addressed within this review.
- 4.) Contract Files – Provide staff training in processes to ensure proper documentation is loaded into the contract file and documented as required by APC, Standard Procedures, and Technical Bulletins.
- 5.) Solicitations exempt to the APC should be reflected as such in ProcureAZ as “Special Purchase Type APC Exempt.”

Finally, it is recommended ADES management review all actionable recommendations contained within the worksheets herein. The State Procurement Office Compliance Unit requests the ADES CPO provide a written response to this PPR no later than **October 19th, 2015**.

The State Procurement Office Compliance Unit would like to express our appreciation to ADES management and staff for their cooperation during the course of our review.



Jeremy Beakley, MBA, DM, CCEP
Compliance Officer

9/23/15
Date



Barbara Corella
State Procurement Administrator

9/23/15
Date

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

State Agency: Arizona Dept. of Economic Security State Agency Delegated Authority: \$Unlimited

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 2 (Organizational Chart, Purchasing Policy and Procedures Manual, List of Delegated Employees, & other documents as requested).

Item No.	Compliance Criteria					
1.0	Purchasing Organization	N/A	Yes	No	Requires Action	Comments
1.1	Does the procurement office have an accurate organizational chart that shows current employee designation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Does the procurement office have a Chief Procurement Administrator (CPO) signed delegated procurement authority on file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Have procurement personnel completed necessary training applicable to delegated authority? (TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 4.8
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Agency has well documented process for adding/deleting/modifying delegated authority in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Desk Procedures does not contain policy for adding/deleting/modifying delegated authority in ProcureAZ.

Item No.	Recommendations	Assigned to	Estimated Completion
1.5	Incorporate agency technical lead procedures for adding/deleting/modifying delegated authority in ProcureAZ as a section to the agency Desk Procedures manual.	CPO	ASAP

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

Item No.	Compliance Criteria					
2.0	Purchasing Policies and Procedures Manual	N/A	Yes	No	Requires Action	Comments
2.1	Does the agency have a purchasing policies and procedures manual and/or solicitation checklist?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Is the agency's purchasing policies and procedures manual current and in compliance with the AZ Procurement Code (APC), applicable executive orders and SPO Technical Bulletins (TB)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See 2.3
2.3	Does the agency's manual provide comprehensive instructions on the following?					
2.3.1	Description of the purchasing cycle	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Flow chart should be updated to reflect submittal of electronic requisition via ProcureAZ prior to distribution of Bulk Email. Flow Chart should incorporate step to ensure proper documentation is in file to support decision to make multiple awards.
2.3.2	Roles and delegation assignments of procurement personnel	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Roles & assignments for program staff reflect "Spirit" system, need to update to ProcureAZ & new procedures of current system.
2.3.3	Agency-specific instructions on how to process purchase requisitions and purchase orders	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Requisition process needs to be updated to reflect ProcureAZ processes (currently reflects AS-800).
2.3.3.1	Instructions on how to process purchase orders and contract releases issued in ProcureAZ.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Need to update instructions to integrate language of AFIS, remove

						former FMCS financial system.
2.3.4	Instructions on how to use the agency's procurement system	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.5	Instructions on how to prepare specifications and scopes of work	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.6	Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.7	Instructions on how to conduct solicitations, as applicable to agency delegated authority (e.g. IFB, RFP, RFQ)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Instructions include procedures for maintaining hard-copy solicitation folder. Should be updated to reflect ProcureAZ document management procedures and fully electronic/e-procurement procedures.
2.3.8	Instructions on contract administration and procurement file management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 2.3.7
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Instructions / Flow-Chart reflect use of Set-Aside as 2 nd choice if not already available on Statewide contract or agency contract. However, TB#004 requires use of Set-Aside purchasing as primary option before any other procurement method.
2.3.10	Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act, etc.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Need to update DES Supplemental Bulletin to TB002 to reflect procedures to submit updated delegation list to SPO within 5 days of a change, as well as annual list.
2.3.11	Instructions on how to process cooperative purchasing agreements (TB# 005)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2.3.12	Instructions on how to use P-Cards	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although policy exists regarding application for a p-card, the policy is void of instructions on p-card usage; conditions as related to procurement.
2.3.13	Instructions on how to dispose of agency surplus property	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Need to develop procedure – Desk Procedures do not appear to have reference to disposal of surplus property.
2.3.14	Procurement ethics (TB# 001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.4	Are employees complying with the agency's established purchasing policies and procedures manual?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
2.2 2.3	Although the Desk Procedures manual does show evidence of updates within the past 12 months, additional areas addressed in 2.3 should be updated or incorporated. Instructions addressing the use of Set-Aside purchasing and disposal of surplus property each require development of new Desk Procedures.	CPO	ASAP

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Item No.	Compliance Criteria					
3.0	Agency Reporting Requirements	N/A	Yes	No	Requires Action	Comments
3.1	Is annual list of all agency delegated procurement personnel current and accurate? (SPO TB #002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Annual List not submitted to SPO until August.
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	As of 08/03/15, updated delegation list not received by SPO. However, per CPO and sub-delegation letters and employees no longer employed, six changes should have been reported to SPO since Feb 2015.
3.3	Are all agency requisitions, purchase orders, receipts, formal and informal solicitations and contract administration conducted on ProcureAZ? (See agency delegated authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	As of 07/01/15
3.3.1	Are state most current PDS signed for all \$10K+ open market requisitions? State's most current Purchase Order T&C's in file?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Began using ProcureAZ 07/01/15 for requisitions, none >\$10k as of 08/03/15.
3.4	Are quarterly sole source, emergency, and competition impracticable procurement reports to SPO timely and accurate [if applicable – see Delegated Procurement Authority]? (ARS §41-2536, §41-2537, SPO TB #041)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Are procurement protests, claims, decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See ASCC October 2014
3.5.1	Does agency CPO make written	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Protest in re: subjective and unclear evaluation

	determination to either proceed with award or stay all, or part, of the procurement – providing copies of determination to SPO & interested parties? (R2-7-A902)					criteria (see PPR Finding #1)
3.5.2	If a stay was issued, did Director dismiss the stay either to protect the substantial interest of the state, if the appeal did not state a valid basis for the protest, if the appeal was untimely, or if the appeal attempted to raise issues not raised in the protest?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.6	Is the agency endeavoring to set aside one percent of new purchases to set-aside contractors? (ARS §41-2636 and SPO TB #004)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Agency procedures, per Desk Manual, is to look to Statewide and Agency contracts before use of Set-Aside. Although agency has historically performed well in Set-Aside purchasing, formal direction should be modified to address TB#004
3.7	Is agency verifying employment records of contractors and subcontractors, as per randomly selected by SPO? (ARS §41-4401, Executive Order 2005-30, & SPO SP #001)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
3.1 3.2	Per agency delegated procurement authority, updates to the agency list of sub-delegated personnel should be communicated within 5 days, as well as an annual list at the beginning of each fiscal year, to SPO. Reference to this requirement should also be incorporated in the agency Desk Procedures manual for future assistance. Procedure should be delegated to specific office personnel to complete, and monitored for completion by the CPO.	CPO	Ongoing
3.5.1	CPO should establish agency “management council,” consisting of all procurement managers, to examine incoming protests for potential systemic issues <u>potentially</u> underlying a protest (see PPR Finding #1)	CPO / Procurement Managers	Ongoing
3.6	Procurement office should modify desk manual procedure	CPO	ASAP

	to ensure set-aside contracts are consulted as the primary source for procurement prior to statewide contracts or solicitations.		
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Item No.	Compliance Criteria					
4.0	Procurement Personnel Training and Delegation	N/A	Yes	No	Requires Action	Comments
4.1	Does the agency provide in-house procurement training and mentoring programs for newly-hired procurement personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Staff indicate new-hire training largely consists of job-shadowing, mentoring, and on-the-job training, in addition to CBTs.
4.2	Do procurement personnel undergo procurement training to enhance proficiency and professional status of procurement? (TB# 001 & TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Are agency procurement managers certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	CPO and one manager are certified.
4.4	Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	
4.5	Are the agency's delegated procurement personnel taking the required (20) hours of procurement training each year? (Unl Delegated Procurement Authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	List of delegated procurement personnel does not reflect hours of training for any personnel.
4.6	Did the agency CPO sub-delegate procurement authority to agency procurement personnel in writing? (R2-7-203)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Some sub-delegation letters reflect different procurement authorities for solicitation & purchase orders.
4.7	Do agency sub-delegations include specific activities, functions, and limitations? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sub-delegation letters provide exceptions to personnel not provided for under agency delegation: "Not required to process requisitions, purchase orders, and receipts in ProcureAZ."
						5 sub-delegations were

4.7.1	Are staff delegated amounts in line with duties and title? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	in line with position title and grade. However, one sub-delegation for a procurement associate was in excess of maximum allowed. 14 sub-delegations were lower than the minimum amount for assigned duties and title.
4.8	Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (TB# 002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	2 of 20 procurement personnel without complete training applicable to delegation, lacking PAZ000200C PAZ On & Off Contract Ordering.

Item No.	Recommendations	Assigned to	Estimated Completion
4.1	A formal "onboarding" training program for new-hire procurement personnel should be drafted by procurement office. Training should outline range of activities, both on the job, as well as structured learning to ease transition of employees into new role. This program might be best outlined within the agency Desk Procedures Manual.	CPO	ASAP
4.3 4.4	Agency staff indicate renewed encouragement by upper-management in FY16 for staff to participate in NIGP and obtain certification. CPO should calendar upcoming meetings, training, and conferences to maximize staff attendance.	CPO	ASAP
4.7	Procurement personnel signed sub-delegation letters should be re-drafted to eliminate language which authorizes requisitions, purchase orders, and receipts to be conducted outside of ProcureAZ.	CPO	ASAP
4.7.1	Procurement personnel signed sub-delegation letters should be re-drafted to assign, at least the minimum, and no more than the maximum, delegated procurement authority required per Technical Bulletin #002, per each individual's position title and grade.	CPO	ASAP
4.8	Remaining employees not yet compliant with Technical Bulletin #002 training requirements should complete the CBT's as required of their particular position title and grade.	CPO & two other procurement personnel.	ASAP

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Item No.	Compliance Criteria					
5.0	Procurement Internal Controls	N/A	Yes	No	Requires Action	Comments
5.1	Does the agency provide procurement staff ethics training as outlined by SPO TB #001?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Does the agency have a procedure or policy for dealing with unethical behavior?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	Are any of the agency's procurement personnel or staff employed in secondary work that potentially conflicts with their ability to perform their procurement function, as must be disclosed per HR Conditions of Employment R2-5A-503? (SPO TB #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.4	Does the agency have internal systems of control to guard against employee or public officer purchase of materials or services for their own personal, or business, use from contracts entered into by the state? (R2-7-204)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Does agency have on file Annual Procurement Disclosure Statements for all employees, whose regular responsibilities include: Soliciting quotes greater than \$10,000 for the provision of materials, services, or construction; Issuing open market purchase orders with department buyer or basic purchasing roles in ProcureAZ; and, making decisions on protests or appeals by a party regarding an agency procurement selection or decision? (SPO SP #003).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5.1	Has agency director waived Annual Procurement Disclosure Statements for any employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.6	Are responsibilities divided between different employees so one individual does not control all aspects of procurement?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.7	Upon receipt of a submission, and CPO written determination, is the procurement office adequately safeguarding confidential information? (R2-7-103)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Are contract files kept safe from tampering by unauthorized personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.9	Are there procedures in place to safeguard contract files during file reviews or when the public accesses the agency's procurement records?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Does the agency routinely check statewide contracts and state set-asides prior to issuing an open-market requisition (Delegated Procurement Authority & SPO TB# 004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 2.3.9
5.10.1	Does the agency use the State's most current Off-Contract Determination request form if not using Statewide contract?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11/06/14 - telecommunications
5.11	Does the office regularly monitor agency P-card purchases? (SPO TB #040)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.12	Does the agency maintain adequate contract records to facilitate auditing by the State? (ARS §41-2548)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See Section 6
5.13	Does the agency make available the SPO Compliance Hotline-anonymous/confidential reporting compliance and ethics email address promoting a workplace environment free from retaliation (ARS §38-532)?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Staff largely did not indicate their awareness of SPO Compliance & Ethics communication outlet.
5.14	Other than ADOA's state financial system, does the agency have any other system of collecting financial data?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.15	Does the agency's internal audit conduct regular audits on procurement transactions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.16	Were any finance or purchasing-related audits or reviews conducted on the agency within the past two years?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.17	Did agency management comply with the recommendations and corrective actions in the audit report listed in 5.16?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Audit findings overlap with PPR timeframe. Audit identified "contract was procured outside a competitive bidding process despite the

						availability of qualified competitors," which mirrors same concerns identified in Section 7.0.
5.18	Cooperative Contracts (Effective 05/22/2015)					
5.18.1	Purchase from cooperative contract (Piggyback) approved by agency CPO, with written determination the use of the contract is in best interest of the State per TB# 005	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.2	Piggyback Cooperative was originally awarded via full and open competition per TB#005	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.3	Uploaded to ProcureAZ: a. Bidder's list, b. Solicitation included evaluation factors, c. Multiple offers received, d. Bid tabulation and evaluation offers, and e. Basis for cooperative contract award with established evaluation factors.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.4	Uploaded to ProcureAZ: a. Cost analysis to determine price is fair and reasonable b. Cooperative contract terms and conditions c. Vendor's willingness to extend cooperative contract to the state.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.5	Purchases from cooperative contracts are lesser of 25% of original contract or \$500k? (R2-7-1003D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.6	Office verifies if State Contract already exists? (R2-7-1003A)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.7	Purchases orders use special purchase type "Piggyback" on General Tab (TB#005)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
5.12	Agency should implement contract administration file review procedures prior to solicitation, prior to award, and following award to ensure all documents are properly named and uploaded to the official file of record. Procedures should be collaborative with either management or additional personnel reviewing one another's documentation for accuracy.	CPO	ASAP
5.13	CPO should conduct staff training on importance of open communication in office, free of retaliation. In doing so, should also communicate SPO Compliance Hotline as a	CPO	ASAP

	resource. This resource may further enhance the agency's Desk Procedures Manual on procurement ethics.		
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STATE PROCUREMENT OFFICE
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The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Representative Samples of IFB’s, RFP’s and RFQ’s, Sole Source, Competition Impracticable, Emergency). “Stop & Go” review used – reviewing greater of 10, or 10% of prior year contract files.

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADES15-097227
Contract Title or Description:	PEST CONTROL – LOCATION 275
Contract Estimated Amount:	<\$100K

6.1A	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ)/Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however does not list due date & time in solicitation itself.
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.5	Whether negotiations may be held	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection w/in 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	When solicitation is not linked to a requisition in	Sr. Proc.	ASAP /

	ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Specialist & CPO	Ongoing
6.1.6.1	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing
6.1.8	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?)	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADES14-074195
Contract Title or Description:	JANITORIAL SERVICES – LOCATION 324
Contract Estimated Amount:	<\$100K

6.1B	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation references

	be received, and offer acceptance period						"Bid Opening Date" field in ProcureAZ, however does not list due date & time in solicitation itself.
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.5	Whether negotiations may be held	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Although award was made to a small business, the solicitation was distributed to both small & non-small businesses.
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		Solicitation not listed on SPO significant procurement activity spreadsheet.
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

	disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection w/in 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Certificate of Insurance in file is expired
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.1.6.1	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing

6.1.8	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?)	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.1.8.1	Provide staff with training and outline SPO reporting requirements for significant procurement activities.	CPO	Ongoing
6.1.12.2	Obtain and upload current certificate of insurance to contract file. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADES15-094214
Contract Title or Description:	FIRE ALARM AND FIRE PROTECTION SYSTEMS
Contract Estimated Amount:	<\$100K

6.1C	Request for Quotations (RFQ)	N/A	Yes	No	Requires Action	Comments
6.1.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including offer due date and time, where offers will	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation references

	be received, and offer acceptance period						"Bid Opening Date" field in ProcureAZ, however does not list due date & time in solicitation itself.
6.1.6.2	Any purchase description, specifications, delivery or performance schedule, and inspection and acceptance requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.3	The minimum information that the offer shall contain	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.4	Any evaluation factors	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.4.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.5	Whether negotiations may be held	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.6	The uniform terms and conditions by text or reference	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.6.7	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.7	Was the RFQ distributed to a minimum of three small businesses? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.8	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.1.10	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		Executed Offer & Acceptance lacks offeror's self-certification of small-business status.

	evaluation report, award determinations, and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.1.10.1	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.11	ProcureAZ					
6.1.11.1	Is total spend limit locked in Control Tab?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.11.2	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12	Contract Administration					
6.1.12.1	Are contract files and records complete and available for public inspection w/in 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.12.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (> 5 years)? (R2-7-605.A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.1.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.1.6.1	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing
6.1.8	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning	Sr. Proc. Specialist & CPO	ASAP / Ongoing

	employee?)		
6.1.10	Quality review of contract file by procurement officers and CPO upon award. Review file for completeness and accuracy.	CPO	Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADES15-080829
Contract Title or Description:	REPAIR & MAINTENANCE MONEY MANAGEMENT EQUIPMENT
Contract Estimated Aggregate Amount:	>\$100K

6.2A	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neither the solicitation file nor contract file contain evidence the solicitation for service was advertised by legal publication of general circulation a minimum of 14 days before bid opening.
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website:	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however does not list due date &

	http://spo.az.gov? (R2-7-B301 and R2-7-C301)					time in solicitation itself.
6.2.7	Does the solicitation include the State's Uniform instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7	Does the solicitation include the State's most current Uniform Instructions to offerors, including: (R2-7-B301.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neither solicitation nor contract file contains CPO written determination where only one offer was received, establishing offeror's price was fair & reasonable, responsive, and responsible.
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 6.2.9
6.2.13	If applicable, is there a non-responsibility determination on file?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	(R2-7-B313)					
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.2.9
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.3	Were all uniform documents identified in 6.2.16 the most current State versions available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection w/in 3 days of award? –note “persons with	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	disabilities" (ARS §41-2533; SP#006)					
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Certificate of Insurance in file is expired.
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document" or "Contractor's Proposal/Bid Response"
6.2.18.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.4	Procurement officer should obtain affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.6	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to "Bid Opening Date" field in ProcureAZ.	CPO	Ongoing
6.2.9	When only one offer is received to a solicitation (RFQ/IFB/RFP), a CPO determination must be obtained and included in the contract file to award.	CPO	Ongoing
6.2.10	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?)	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.18.2	An updated certificate of insurance should be obtained	Sr. Proc.	ASAP /

	and uploaded to the contract file. Processes should be implemented in the procurement office to monitor expiring certificates of insurance, to obtain current certificates, and to upload current certificates to all contract files.	Specialist & CPO	Ongoing
6.2.18.4	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADES15-087866
Contract Title or Description:	TRASH REMOVAL
Contract Estimated Aggregate Amount:	>\$100K

6.2B	Invitation for Bids (IFB)	N/A	Yes	No	Requires Action	Comments
6.2.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other)? (Req copy) (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.2.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.2.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svcs shall, commodities may - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neither the solicitation file nor contract file contain evidence the solicitation for service was advertised by legal publication of general circulation a minimum of 14 days before bid opening.
6.2.5	If a Pre-Offer Conference was conducted, was it held a reasonably sufficient time before the offer due date? (R2-7-B302; TB# 043)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.6	Does the solicitation include the most recent edition of Uniform Instructions and Uniform Terms and Conditions issued by SPO – SPO Website: http://spo.az.gov ? (R2-7-B301 and R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however does not list due date & time in solicitation itself.

6.2.7	Does the solicitation include the State's Uniform instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7	Does the solicitation include the State's most current Uniform Instructions to offerors, including: (R2-7-B301.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.1	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.8	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §23-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.9	Did the bid generate a sufficient number of qualified bidders? (ARS §41-2533, §41-2534)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.10	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16.3	Were all uniform documents identified in 6.2.16 the most current State versions available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17	If Reverse Auction (SPO SP#025)					
6.2.17.1	Was the commodity appropriate for a reverse auction?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.2	Were vendors notified via Bulk Email, including Offer & Acceptance, Specifications, Uniform T&C's, Special T&C's, Uniform Instructions, Special Instructions, and Quick Reference Guide – Responding to R.A.'s?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.3	Were Bid Increments set in ProcureAZ, and of appropriate intervals, for the R.A.?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.17.4	Was Soft Close Enabled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18	Contract Administration					
6.2.18.1	Are contract files and records complete and available for public inspection w/in 3 days of award? –note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.2	Is there a valid and current Certificate of Insurance on file? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Certificate of Insurance in file is expired
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	requirements? (ARS §41-2573)					
6.2.18.4	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document" or "Contractor's Proposal/Bid Response"
6.2.18.5	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605. A to C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.2.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.4	Procurement officer should obtain from the newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.6	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to "Bid Opening Date" field in ProcureAZ.	CPO	Ongoing
6.2.10	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?)	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.18.2	An updated certificate of insurance should be obtained and uploaded to the contract file. Processes should be implemented in the procurement office to monitor expiring certificates of insurance, to obtain current certificates, and to upload current certificates to all contract files.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.2.18.4	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES15-089351
Contract Title or Description:	VEHICLE MODIFICATION SERVICES
Contract Estimated Amount:	>\$100K

6.3A	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Acting CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Neither the solicitation file nor contract file contain evidence the solicitation for service was advertised by legal publication of general circulation a minimum of 14 days before bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Only one criteria was listed: " Assurances & Submittals. " Evaluation in fact consisted of 400 points for "Assurances & Submittals," and then 600 points for "Additional Required Documents." Relative

						order of importance is not clear in evaluation either as 400 point section consisted of 6 questions, and 600 point section consisted of 10 questions – unclear how weighted?
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.3.5. While criteria was appropriate (request for specific certifications that the offeror may perform the job), “fairness” is in question as relative importance of criteria was not clearly specified in the solicitation.
6.3.7	Does the solicitation include Scope of Work/Specifications and the State’s Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State’s most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State’s most current version of Uniform instructions to offerors, including: (R2-7-C301.E.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references “Bid Opening Date” field in ProcureAZ, however does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 6.3.15 – Unclear if evaluation committee was used, and if so, who served.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	is there a written determination in file?					
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.3.5 & 6.3.6
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee served
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee served
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the contract was awarded as determined to be most advantageous to the state (meeting ex post facto criteria), the evaluation factors set forth in the RFP were not clearly established.
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a written determination for basis of award – no executive summary of evaluation process.
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination.

	revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain justification for multiple awards, nor SPA authorization. SOW reflects multiple awards are projected, but not the reasoning for doing so.
6.3.17.3	Are the documents identified in 6.3.17 the State’s most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled “Contract Document” or “Contractor’s Proposal/Bid Response”
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.						Estimated
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	Recommendations	Assigned to	Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from the newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.5 6.3.6 6.3.13 6.3.14	RFP should clearly delineate all evaluation criteria that mirrors the criteria used in scoring, and their order of importance, as reflected on the evaluation report. Criteria, particularly with greater weight (i.e. 600 points), cannot be excluded from the Instructions to Offerors, and should be reflected as a higher importance than remaining criteria with only 400 points. CPO should provide procurement staff training to ensure evaluation criteria is sufficiently detailed to match precisely to the criteria used in evaluation of offers.	CPO	Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing
6.3.8.2 6.3.13.1 6.3.13.2 6.3.15 6.3.17	Contract files should contain a CPO written determination for basis of award. Within this determination, an executive summary should reflect how the award was determined, including the use of an evaluation committee and how/if the committee reviewed all offers independently. This written determination is in addition to an evaluation report reflecting vendor scores, as the CPO is responsible for declaring the awarded offeror is responsible and whose offer is most advantageous to the state. The CPO should provide procurement staff training necessary to ensure all determinations for award are signed by the CPO and in the contract file.	CPO	Ongoing
6.3.11	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?)	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.17.2	When a solicitation is projected to award multiple contracts, the solicitation must both declare the projected award of multiple contracts as well as the justification for using more than one contract. In the	CPO	Ongoing

	absence of such justification, the State Procurement Administrator may approve the award of multiple contracts. The CPO should provide procurement staff training for multiple award contracts.		
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES15-097793
Contract Title or Description:	AUGMENTATIVE COMMUNICATION DEVICES
Contract Estimated Amount:	>\$100K

6.3B	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by DCPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the file contains a Notice of Publication, there is no evidence in the file that the publication was issued at least 14 days prior to bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and the State's Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-C301.E.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however

						does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	See 6.3.15 – Unclear if evaluation committee was used, and if so, who served.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee served
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee served
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	the state based on the evaluation factors set forth in the RFP? (R2-7-C317)					
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a written determination for basis of award – no executive summary of evaluation process.
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination.
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	File does not contain justification for multiple awards, nor SPA authorization. SOW reflects multiple awards are projected, but not the reasoning for doing so.
6.3.17.3	Are the documents identified in 6.3.17 the State’s most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a certificate of insurance reflecting State of Arizona as additional insured.

6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document" or "Contractor's Proposal/Bid Response"
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from the newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to "Bid Opening Date" field in ProcureAZ.	CPO	Ongoing
6.3.8.2 6.3.13.1 6.3.13.2 6.3.15 6.3.17	Contract files should contain a CPO written determination for basis of award. Within this determination, an executive summary should reflect how the award was determined, including the use of an evaluation committee and how/if the committee reviewed all offers independently. This written determination is in addition to an evaluation report reflecting vendor scores, as the CPO is responsible for declaring the awarded offeror is responsible and whose offer is most advantageous to the state. The CPO should provide procurement staff training necessary to ensure all determinations for award are signed by the CPO and in the contract file.	CPO	Ongoing
6.3.11	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on	Sr. Proc. Specialist &	ASAP / Ongoing

	file should be uploaded to the contract file (requisitioning employee?)	CPO	
6.3.17.2	When a solicitation is projected to award multiple contracts, the solicitation must both declare the projected award of multiple contracts as well as the justification for using more than one contract. In the absence of such justification, the State Procurement Administrator may approve the award of multiple contracts. The CPO should provide procurement staff training for multiple award contracts.	CPO	Ongoing
6.3.18.2	Obtain and upload current certificate of insurance to contract file. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES14-080206
Contract Title or Description:	TRAINING SELF-DETERMINATION AND SELF-ADVOCACY
Contract Estimated Amount:	>\$100K

6.3C	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by Acting CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the file contains a Notice of Publication, there is no evidence in the file that the publication was issued at least 14 days prior to bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and the State's Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field

	C301.E.1)					in ProcureAZ, however does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	BAFO reflects “consensus scoring.” However no indication who evaluators were (state/non-state?). See 6.3.11, 6.3.13.1, 6.3.15, 6.13.17.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee? Evaluators?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation not listed on SPO Website of significant procurement activities.
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain evidence of an evaluation committee kickoff meeting – no award determination in file to provide indication.
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain an evaluation committee

	SP# 043).					award recommendation or CPO signed award determination indicating how/when offers were reviewed.
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	File does not contain a written determination for basis of award – no executive summary of evaluation process.
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination, conflict of interest disclosures, procurement disclosure statements, award determination.
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.3	Are the documents identified in 6.3.17 the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Insurance in file is expired.

	Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)					
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document" or "Contractor's Proposal/Bid Response"
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to "Bid Opening Date" field in ProcureAZ.	CPO	Ongoing
6.3.8.2 6.3.13.1 6.3.13.2 6.3.15 6.3.17	Contract files should contain a CPO written determination for basis of award. Within this determination, an executive summary should reflect how the award was determined, including the use of an evaluation committee and how/if the committee reviewed all offers independently. This written determination is in addition to an evaluator signed evaluation report reflecting vendor scores, as the CPO is responsible for declaring the awarded offeror is responsible and whose offer is most advantageous to the state. The CPO should provide procurement staff training necessary to ensure all determinations for award are signed by the	CPO	Ongoing

	CPO and in the contract file.		
6.3.8.2 6.3.11 6.3.12	<p>Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee? Evaluators?).</p> <p>Non-state employee evaluators should have signed conflict of interest disclosures on file. Third party (i.e. co-worker, supervisor) solicitation/contract file review procedures would help mitigate errors and omissions prior to publishing documents to public.</p> <p>Staff should receive Significant Procurement Role training to ensure all competitive solicitations are communicated to SPO.</p>	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.2	Obtain and upload current certificate of insurance to contract file. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES15-096647
Contract Title or Description:	REAL ESTATE SERVICE
Contract Estimated Amount:	>\$100K

6.3D	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by procurement manager.
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the file contains a Notice of Publication, there is no evidence in the file that the publication was issued at least 14 days prior to bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Only one evaluation factor listed. Within which, offerors could earn 1000 points for signing an Offer & Acceptance, be in good standing as real estate broker with the Dept. of Real Estate, and for submitting a Qualified Contractor Form. Unclear which, if any, sub-factor is most important.
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.3.5. Evaluation sub-factors leave very little room to delineate

						scores between offerors. Although awards were given to all three offerors, it is not clear how an "award" would have been made if there were a greater number of offers. See 6.3.17.2.
6.3.7	Does the solicitation include Scope of Work/Specifications and the State's Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-C301.E.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	BAFO reflects "consensus scoring." However only procurement officer's name appears on score sheet? See 6.3.11, 6.3.13.1, 6.3.15, 6.13.17.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract used professional service module for <\$50,000 contract, however this is RFP and was not limited to small businesses.
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 6.3.5 & 6.3.6
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee used
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Unclear if committee used
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a written determination for basis of award – no executive summary of evaluation process.
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination, conflict of interest disclosures, procurement disclosure statements, award determination.

	requested by agency CPO as approved by SPA? (R2-7-101(37))					
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The file does not contain CPO written justification for multiple awards – does not contain SPA approval for multiple awards in lieu of written justification.
6.3.17.3	Are the documents identified in 6.3.17 the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a valid certificate of insurance.
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled “Contract Document” or “Contractor’s Proposal/Bid Response”
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from newspaper	Sr. Proc.	ASAP /

	publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Specialist & CPO	Ongoing
6.3.5 6.3.6	RFP should clearly delineate all evaluation criteria that mirrors the criteria used in scoring, and their order of importance, as reflected on the evaluation report. CPO should provide procurement staff training to ensure evaluation criteria is sufficiently detailed to match precisely to the criteria used in evaluation of offers. Criteria should provide specific metrics more than “yes/no” criteria.	CPO	ASAP / Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing
6.3.9	Procurement office should implement third party (i.e. co-worker, supervisor) contract file review procedures to ensure all proper documentation is in the solicitation file prior to release to the public, including the correct insurance risk module.	CPO	Ongoing
6.3.8.2 6.3.13.1 6.3.13.2 6.3.15 6.3.17	Contract files should contain a CPO written determination for basis of award. Within this determination, an executive summary should reflect how the award was determined, including the use of an evaluation committee and how/if the committee reviewed all offers independently. This written determination is in addition to an evaluator signed evaluation report reflecting vendor scores, as the CPO is responsible for declaring the awarded offeror is responsible and whose offer is most advantageous to the state. The CPO should provide procurement staff training necessary to ensure all determinations for award are signed by the CPO and in the contract file.	CPO	Ongoing
6.3.8.2 6.3.11	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee? Evaluators?). Non-state employee evaluators should have signed conflict of interest disclosures on file – unclear if additional evaluators served in review of offers. Third party (i.e. co-worker, supervisor) solicitation/contract file review procedures would help mitigate errors and omissions prior to publishing documents to public.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.2	Obtain and upload current certificate of insurance to	Sr. Proc.	ASAP /

	contract tile. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Specialist & CPO	Ongoing
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES15-082130
Contract Title or Description:	FOOD SERVICE PRODUCTS
Contract Estimated Amount:	>\$100K

6.3E	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ) /Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the file contains a Notice of Publication, there is no evidence in the file that the publication was issued at least 14 days prior to bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and the State's Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-C301.E.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however

						does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	BAFO reflects “consensus scoring.” However no indication who evaluators were (state/non-state?). See 6.3.11, 6.3.13.1, 6.3.15, 6.13.17.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Only one offer received. Contract file does not contain CPO written determination to award the contract pursuant to R2-7-C309.
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee? Evaluators?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain evidence of an evaluation committee kickoff meeting – no award determination in file to provide indication.

6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain an evaluation committee award recommendation or CPO signed award determination indicating how/when offers were reviewed.
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See 6.3.11 – no determination in file to award where only one offer received.
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a written determination for basis of award – no executive summary of evaluation process.
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination, conflict of interest disclosures, procurement disclosure statements, award determination.
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although this solicitation resulted in only one bidder, and one award, the Scope of Work indicated the intention to make multiple awards. However, the contract/solicitation files do not contain adequate written justification to make multiple awards, nor obtained SPA approval to make

						multiple awards.
6.3.17.3	Are the documents identified in 6.3.17 the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note “persons with disabilities” (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a valid certificate of insurance.
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled “Contract Document” or “Contractor’s Proposal/Bid Response”
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to “Bid Opening Date” field in ProcureAZ.	CPO	Ongoing

6.3.8.2 6.3.13.1 6.3.13.2 6.3.15 6.3.17	Contract files should contain a CPO written determination for basis of award. Within this determination, an executive summary should reflect how the award was determined, including the use of an evaluation committee and how/if the committee reviewed all offers independently. This written determination is in addition to an evaluator signed evaluation report reflecting vendor scores, as the CPO is responsible for declaring the awarded offeror is responsible and whose offer is most advantageous to the state. The CPO should provide procurement staff training necessary to ensure all determinations for award are signed by the CPO and in the contract file.	CPO	Ongoing
6.3.8.2 6.3.11	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee? Evaluators?). Non-state employee evaluators should have signed conflict of interest disclosures on file – unclear if additional evaluators served in review of offers. Third party (i.e. co-worker, supervisor) solicitation/contract file review procedures would help mitigate errors and omissions prior to publishing documents to public.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.10 6.3.14	When insufficient bids are obtained for a competitive solicitation (two or more), then the CPO must make a written determination for the contract file which establishes the price is fair and reasonable, the offeror is responsive, and the offeror is responsible.	CPO	Ongoing
6.3.17.2	When a solicitation is projected to award multiple contracts, the solicitation must both declare the projected award of multiple contracts as well as the justification for using more than one contract. In the absence of such justification, the State Procurement Administrator may approve the award of multiple contracts. The CPO should provide procurement staff training for multiple award contracts.	CPO	Ongoing
6.3.18.2	Obtain and upload current certificate of insurance to contract file. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Request for Proposals (RFP)	
Solicitation or Contract Number:	ADES15-080953
Contract Title or Description:	COMMERCIAL FOOD SERVICE EQUIPMENT
Contract Estimated Amount:	>\$100K

6.3F	Request for Proposals (RFP)	N/A	Yes	No	Requires Action	Comments
6.3.1	Is there a Procurement Request, in writing, on file (Requisition(ProcAZ)/Email/Other) (Req copy)? (R2-7-205)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Although the file contains a Notice of Publication, there is no evidence in the file that the publication was issued at least 14 days prior to bid opening.
6.3.5	Are the evaluation factors set forth in the solicitation and listed in relative order of importance? (ARS §41-2534.E)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.6	Were the evaluation criteria fair and appropriate to the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7	Does the solicitation include Scope of Work/Specifications and the State's Uniform Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.7.1	Are the Uniform Terms and Conditions the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include the State's most current version of Uniform instructions to offerors, including: (R2-7-C301.E.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation references "Bid Opening Date" field in ProcureAZ, however

						does not list due date & time in solicitation itself.
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	BAFO reflects “consensus scoring.” However no indication who evaluators were (state/non-state?). See 6.3.11, 6.3.13.1, 6.3.15, 6.13.17.
6.3.8.3	Certification by the offeror that submission of the offer did not include collusion or other anticompetitive practices.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.9	Was the appropriate insurance module used in the solicitation? (ARS §41-621, ARS §41-901)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.10	Did the RFP generate a sufficient number of qualified offerors, and if not is there a written determination in file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Written Determination in file
6.3.11	Are Procurement Disclosure Statements in file for all employees who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee? Evaluators?)
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the RFP? (R2-7-C316)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.1	Was a kick-off meeting with the evaluation committee held to review the plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain evidence of an evaluation committee kickoff meeting – no award determination in file to provide indication.
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain an evaluation committee award recommendation

						or CPO signed award determination indicating how/when offers were reviewed.
6.3.14	Was the contract awarded to the responsible offeror whose offer is determined to be most advantageous to the state based on the evaluation factors set forth in the RFP? (R2-7-C317)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.15	Is there a written determination explaining the basis for the award on file? (R2-7B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 6.3.10
6.3.16	Were all offerors notified of the award? (R2-7-C317.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, signed Offer & Acceptance and additional information requested by agency CPO as approved by SPA? (R2-7-101(37))	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	The procurement file does not contain a final evaluation report or award determination.
6.3.17.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.2	Does the file contain adequate justification for multiple awards, or otherwise obtained SPA authorization? (R2-7-608).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.17.3	Are the documents identified in 6.3.17 the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 3 days of award? –note "persons with disabilities" (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Certificate of Insurance in file is expired.

6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document" or "Contractor's Proposal/Bid Response"
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5 years)? (R2-7-605 paragraphs A-C)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the solicitation file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.4	Procurement officer should obtain from newspaper publisher an affidavit of legal publication, or copy of actual publication, and upload to the contract file. CPO should provide office procurement staff training to ensure formal solicitations for services are published in newspapers of general circulation and evidence is loaded to the solicitation file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.8	Include the offer due date and time on the in the Special Instructions to Offerors in lieu of referring to "Bid Opening Date" field in ProcureAZ.	CPO	Ongoing
6.3.8.2 6.3.13.1 6.3.13.2 6.3.17	Contract files should contain the evaluation committee's report to the CPO, with recommendations for award. The CPO should provide procurement staff training to ensure proper documentation of consensus evaluation scoring.	CPO	Ongoing
6.3.8.2 6.3.11	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee? Evaluators?). Non-state employee evaluators should have signed conflict of interest disclosures on file – unclear if additional evaluators served in review of offers. Third party (i.e. co-worker, supervisor) solicitation/contract file review procedures would help mitigate errors and omissions prior to publishing documents to public.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

6.3.18.2	Obtain and upload current certificate of insurance to contract tile. Ensure mechanisms are in place to monitor and replace expiring insurance going forward.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.3	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria is used for each representative solicitation or contract.

Item No.	Compliance Criteria			
7.0	Sole Source, Emergency, Competition Impracticable			

Competition Impracticable Procurement	
Contract Number:	ADES15-081956
Contract Title or Description:	ProShip, Inc. – Professional Engineering Services
Contract Estimated Amount:	\$62,400 (Not Practicable to Quote)

7.3A	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination explaining why the solicitation was not practical to quote per R2-7-D301.4.
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination explaining why the solicitation was not practical to quote per R2-7-D301.4.
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Approved by Sr. Procurement Specialist
7.3.2.6.1	Was the Competition Impracticable request the State's most current version that was available at the time of the solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Solicitation not listed on SPO Website of significant procurement activities.
7.3.4	Contract Administration					
7.3.4.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.4.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Corrective Action	Assigned to	Estimated Completion
7.3.1	When solicitation is not linked to a requisition in ProcureAZ, a written request should be uploaded to the contract file. If available – requisition in question should be uploaded to this file.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
7.3.2.1 7.3.2.2	CPO should establish procedures to review all “Not practicable to quote” (as well as all other limited competition procurements) to ensure a written request is well documented, signs approval via a determination, and ensures the approval/determination is uploaded to the file.	CPO	Ongoing
7.3.3 7.3.3.1	<p>Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?).</p> <p>Staff should receive Significant Procurement Role training to ensure all solicitations are communicated to SPO, including limited competition procurements (with the exception of emergency procurements).</p>	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Competition Impracticable Procurement	
Contract Number:	ADES15-082777
Contract Title or Description:	Consultation Services – Datacenter Relocation
Contract Estimated Amount:	>\$100k

7.3B	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain evidence of any competition considered or attempted.
7.3.2.6	Was there a written approval by the					Contract file does not

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	contain agency CPO approval
7.3.2.6.1	Was the Competition Impracticable request the State's most current version that was available at the time of the solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain signed approval
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Approved by Sr. Procurement Specialist
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The contract file does not contain any evidence of attempts made to negotiate the contract.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract not listed on SPO Website of significant procurement activities.
7.3.4	Contract Administration					
7.3.4.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.4.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document"

Item No.	Corrective Action	Assigned to	Estimated Completion
7.3.1	When solicitation is not linked to a requisition in	Sr. Proc.	ASAP /

	ProcureAZ, a written request should be uploaded to the contract file. If available – requisition in question should be uploaded to this file.	Specialist & CPO	Ongoing
7.3.2.1 7.3.2.2 7.3.2.3 7.3.2.5 7.3.2.6 7.3.2.6.1 7.3.2.8	CPO should establish procedures to review all “Competition Impracticable” procurements (as well as all other limited competition procurements) to ensure a written request is well documented, signs approval via a determination, and ensures the approval/determination is uploaded to the file.	CPO	Ongoing
7.3.3 7.3.3.1	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?). Staff should receive Significant Procurement Role training to ensure all solicitations are communicated to SPO, including limited competition procurements (with the exception of emergency procurements).	Sr. Proc. Specialist & CPO	ASAP / Ongoing
7.3.4.2	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	ASAP / Ongoing

Competition Impracticable Procurement	
Contract Number:	ADES15-078759
Contract Title or Description:	Calibration, Maintenance, and Repair Service
Contract Estimated Amount:	>\$100k

7.3C	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Scope of work reflects need for service. However solicitation neither linked to requisition in ProcureAZ nor written requisition uploaded to file.
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.3	An explanation of why the proposed procurement process is advantageous to the state. (R2-7-E303.C.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain a CPO signed determination/approval explaining unique situation making competition impracticable
7.3.2.4	The scope, duration, and estimated total dollar value of the procurement need (R2-7-E303.C.4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.5	Did the agency include as much competition as was feasible and negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain evidence of any competition considered or attempted.
7.3.2.6	Was there a written approval by the					Contract file does not

	delegated agency CPO or by the State Procurement Administrator for this procurement? (R2-7-E303.B and D)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	contain agency CPO approval
7.3.2.6.1	Was the Competition Impracticable request the State's most current version that was available at the time of the solicitation?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Contract file does not contain signed approval
7.3.2.7	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Approved by Sr. Procurement Specialist
7.3.2.8	When this procurement was approved, did the agency negotiate a contract that was advantageous to the State? (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The contract file does not contain any evidence of attempts made to negotiate the contract.
7.3.2.9	Did the agency include the State's uniform terms and conditions in this contract? (ARS §41-2585; R2-7-606.A)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.3	Are Procurement Disclosure Statements in file for all who participated in the development of the procurement, evaluation tool, served as technical advisors or evaluators, recommended or selected a vendor, or who approved sole source or competition impracticable? (SPO SP# 003)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No PDS in file for state employees involved with development of solicitation (requisitioning employee?)
7.3.3.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract not listed on SPO Website of significant procurement activities.
7.3.4	Contract Administration					
7.3.4.1	Are contract files and records complete and available for public inspection w/in 3 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.4.2	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract files do not match naming conventions of SPO SP#006. Individual content items uploaded in lieu of single document titled "Contract Document"

Item No.	Corrective Action	Assigned to	Estimated Completion
7.3.1	When solicitation is not linked to a requisition in	Sr. Proc.	ASAP /

	ProcureAZ, a written request should be uploaded to the contract file. If available – requisition in question should be uploaded to this file.	Specialist & CPO	Ongoing
7.3.2.1 7.3.2.2 7.3.2.3 7.3.2.5 7.3.2.6 7.3.2.6.1 7.3.2.8	CPO should establish procedures to review all “Competition Impracticable” procurements (as well as all other limited competition procurements) to ensure a written request is well documented, signs approval via a determination, and ensures the approval/determination is uploaded to the file.	CPO	Ongoing
7.3.3 7.3.3.1	Procurement Disclosure Statement (PDS) for state employees without whom an Annual PDS is already on file should be uploaded to the contract file (requisitioning employee?). Staff should receive Significant Procurement Role training to ensure all solicitations are communicated to SPO, including limited competition procurements (with the exception of emergency procurements).	Sr. Proc. Specialist & CPO	ASAP / Ongoing
7.3.4.2	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	ASAP / Ongoing

**STATE OF ARIZONA
STATE PROCUREMENT OFFICE
PROCUREMENT PERFORMANCE REVIEW**

The following criteria were considered in the procurement performance review process in compliance with AZSPO Technical Bulletin No. 3, Procurement Compliance Reviews – Phase 3 (Agency Procedures, Kickoff/Post-Award Meeting, and Contract Administration).

Item No.	Compliance Criteria					
8.0	Contract Administration	N/A	Yes	No	Requires Action	Comments
8.1	Does the agency have procedures for contract administration?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.1.1	Are contract administration functions assigned?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Are post-award (kickoff) meetings held for complex contracts, in which contractors and contracting officer representatives meet for clear & mutual understanding of terms and conditions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Are contracts monitored for compliance with work progress to ensure services are performed according to quality, quantity, objectives, timeframes, and manner specified within the contract, based on inspection if necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contractor performance largely reactionary – responding to vendor performance reports to remedy non-performance. Staff do not report standardized contract monitoring for both good/bad performance.
8.3.1	Does agency respond to indications of material breach of contract?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.2	Does agency have procedures for determining needs for corrective action?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.4	Are contractor's insurance in file and up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	7 of 11 applicable files reviewed did not contain up to date certificate of insurance.
8.4.1	Does agency have mechanisms in place to ensure insurance is up to date?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See 8.4. Desk Manual does not contain instructions for this task.
8.5	Are all applicable determinations in the contract file?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	12 applicable determinations not

						found in review of 14 files (i.e. award, only 1 offer, CI).
8.6	Does the agency have procedures for rate increase requests?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Does agency verify with end users that contract is needed and should be extended?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.8	Are amendments/addendums/contract-renewals in compliance with contract terms?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9	Vendor Compliance					
8.9.1	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9.2	(TBD) Does agency complete Vendor Performance Assessments annually and use in the evaluation of past suppliers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
8.4.1	See Recommendation 3.a	CPO	ASAP
8.5	See Recommendation 4.a, 4.b, 4.c	CPO	ASAP



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey
Governor

Timothy Jeffries
Director

October 28, 2015

Mr. Jeremy Beakley
Compliance Officer, State Procurement Office
Arizona Department of Administration
100 North 15th Ave, Suite 200
Phoenix, AZ 85007

RE: Compliance Review - Corrective Action Plan

Dear Mr. Jeremy Beakley:

Please accept this letter as the Arizona Department of Economic Security, Corrective Action Plan to the State Procurement Office. The State Procurement Office identified the following areas for improvement and our corrective action plan is directly following each item.

1. Evaluation Criteria

Finding

ADES file reviewed contained two contracts with evaluation criteria which did not meet the requirements of SPO - Technical Bulletin 43, Rule and/ or Statute.

SPO Recommendation

1. a. All ADES procurement personnel responsible for competitive sealed proposals should obtain training specific to developing solicitations with evaluation criteria and prioritization of solicitation objectives. Completion of training should be top priority for all ADES procurement managers responsible for competitive sealed proposals.
1. b. As best practices, ADES procurement supervisor should review all RFP evaluation criteria as a condition of approval for publication of a solicitation. ADES procurement managers should ensure evaluation criteria is descriptive and listed in the relative order of importance and provide feedback to ADES procurement personnel when opportunities are identified.
1. c. ADES procurement managers should incorporate findings from their pre-published solicitation file review into routine ADES procurement manager meetings to ensure their findings are shared and discussed.

ADES Response

The recommendation is agreed upon and the following corrective action plan will be implemented.

A procurement manager will review the pre-published solicitation and review the evaluation criteria and ensure the evaluation criteria is descriptive and listed in order of importance. ADES shall adhere to R2-7-C316 Evaluation of Offerors and SPO Technical Bulletin 43. Committee shall evaluate offers and best and final offers based on the evaluation criteria contained in the request for proposal and not modify evaluation criteria or their relative order of importance after offer due date and time.

ADES will implement a training and mentoring program for all procurement staff. Procurement managers will conduct monthly meetings to discuss best practices and lessons learned.

2. Delegation of Procurement Authority

Finding

ADES Procurement Office does not have established procedures to ensure proper sub-delegation of procurement authority to staff and no routine procedure to communicate to SPO as required by the agency delegated procurement authority.

SPO Recommendation

- 2.a. CPO should draft new sub-delegation letters which exclude the exemption from processing requisitions, purchase orders, and receipts on ProcureAZ. The redraft should also provide sub-delegated procurement authority commensurate to the individual's position titles and grade. Within five days of signing the redrafted sub-delegated letters and completion of required incomplete training, the CPO should forward a revised sub-delegation list to SPO.
- 2.b CPO should implement procedures to ensure all future changes in the agency's sub-delegation list are monitored and forwarded within 5 day of the change.

ADES Response

The recommendation is agreed upon and the following corrective action plan will be implemented.

ADES will comply with Technical Bulletin 002 - Delegation of Procurement Authority, Attachment 1. Guideline for State Governmental Unit's Delegated Procurement personnel.

ADES will develop a tracking tool to log completion of courses aligned to TB 002 delegated authority and review at a minimum quarterly for compliance.

3. Procurement Policy & Procedures Manual

Finding

The manual currently has several references to out of date computing platforms which are no longer in use. As a result, the manual is deficient in system-related processes and requirements specific to ProcureAZ. The manual is also deficient in procedures to ensure electronic files, maintained in ProcureAZ as the official file of record are complete and named as required by Standard Procedure 006.

The manual is also missing procedures for disposal of agency surplus property, P-card as it pertains to GAO Technical Bulletin 2008-1, instructions for procurement personnel to monitor and communicate changes to procurement sub-delegation both within five days as well and annually, and inaccurately has procedures for State Set-Aside contracts.

SPO Recommendations

- 3. a.** It is the recommendation of SPO Compliance Unit to finish updating its procurement policies and procedures manual as soon as possible.
- 3. b.** ADES should establish procedures to routinely review the entire Desk Manual for accuracy on a formal schedule.

ADES Response

The recommendation is agreed upon and the following corrective action plan will be implemented.

ADES will finish updating its procurement policies and procedures manual. ADES will establish a set schedule to review and update manual that supports the agency's business processes.

4. Contract Files

Finding

SPO provides a list of required documents which shall be located, as applicable, in the solicitation and contract files on ProcureAZ, as well as the naming conventions associated with each document. These standards assist both the procurement officer in document management and the public in viewing the solicitation and contract files. These standards also help reduce procurement officer reliance of memory regarding which documents must be made available to public view. While the APC defines the procurement file as the official records file is either electronic or paper, SPO prescribes the electronic upload of documents into ProcureAZ, and SPO has designated files on ProcureAZ as the State of Arizona's official procurement records. ADES has several opportunities to improve its monitoring of solicitation processes. Several general requirements of contract solicitations were found to be out of compliance to APC, TB, and SP.

SPO Recommendations

4. a. ADES should re-draft the solicitation and contract file checklists currently located in the Procurement Desk Procedures manual.
4. b. The ADES procurement office management should conduct bi-weekly or weekly if possible to train staff to address the issues in Finding # 4.
4. c. The procurement office management should implement review procedures to monitor pre-solicitation, post-solicitation, and post-award documents for their accuracy and completeness. Management review should specifically monitor the accurate and complete execution of all requirements identified on the recommended checklist.

ADES Response

The recommendation is agreed upon and the following corrective action plan will be implemented.

ADES will implement a new checklist modeled after the SPO Control Self-Assessment, to improve file consistency. Procurement manager will develop procedures to monitor pre-solicitation, post-solicitation, and post-award documents for their accuracy and completeness. Also, the procurement manager will conduct at least bi-weekly meetings to train staff on the APC, TB, and SP.

5. APC Exempt and ProcureAZ

Finding

The APC addresses statutes which permit agencies, under specific circumstances, exemptions to the APC. ADES is statutorily granted four exemptions.

Three contracts, which are exempt to the APC were reviewed. It was identified that all three contracts did not use the ProcureAZ “Special Purchase Type: *APC Exempt*” in the open market requisition.

SPO Recommendations

5. a. The requirements for when to use ProcureAZ “Special Purchase Type: *APC Exempt*” should be incorporated in the re-drafted solicitation checklist.
5. b. ADES procurement office management should incorporate the use of ProcureAZ “Special Purchase Type: *APC Exempt*” as a training topic in the bi-weekly staff training.

ADES Response

The recommendation is agreed upon and the following corrective action plan will be implemented.

ADES will incorporate the use of ProcureAZ "Special Purchase Type: APC Exempt" as a training topic and will re-draft a checklist to include APC Exempt.

Summary

The Department of Economic Security appreciates the opportunity to review the compliance of its Procurement Department and will ensure to take the steps as described in our response to enhance our current practices. Please do not hesitate to contact me at PClark@azdes.gov or 602-364-0205 if you have any additional questions.

Sincerely,

A handwritten signature in cursive script that reads "Patty Clark". The signature is written in black ink and is positioned above the printed name and title.

Patty Clark
Chief Procurement Officer