

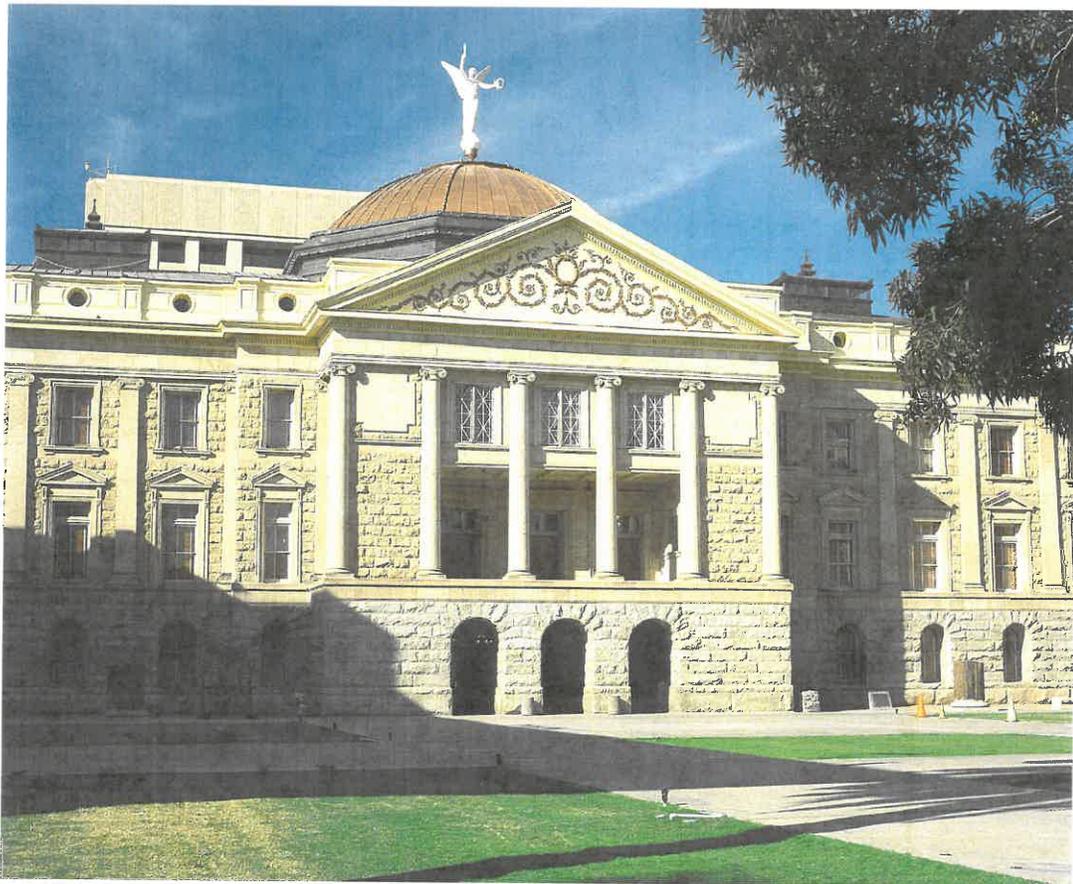
DOUGLAS A. DUCEY
GOVERNOR



CRAIG C. BROWN
DIRECTOR

Arizona Department of Administration State Procurement Office

"To serve state government by delivering the highest quality services to our partners in support of all Arizonans."



Arizona Department of Public Safety Procurement Performance Review

Prepared by: SPO Compliance
December 17th, 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 of the Arizona Department of Public Safety commencing on December 17th, 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.

15 solicitations and contracts, selected from the last 12 months, were chosen for review. The reviewed files included 6 requests for quotations (RFQ), 3 invitation for bids (IFB), and 4 requests for proposals (RFP). 2 competition impracticable 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. 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 document¹. 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 paper², SPO prescribes the electronic upload of documents into ProcureAZ³, and SPO has designated files on ProcureAZ as the State of Arizona's official procurement records⁴.

Findings

ADPS 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 12 of 15 files reviewed did not contain either a written requisition, "*submitted in a manner expressly approved by the agency CPO*"⁵ and "*uploaded into the system to complete the procurement file*"⁶ nor an electronic requisition linked to the solicitation⁷ (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.2A, 6.2B, 6.2C, 6.3A, 6.3B, 6.3C, 6.3D). Further, it appears the individuals who submitted all 12 of 14 applicable requisitions to the procurement office (i.e. end-users, program managers) did not sign a Procurement Disclosure Statement⁸ as none appear on the official contract file of record, on ProcureAZ (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.2A, 6.2B, 6.2C, 6.3B, 6.3C, 6.3D, 7.3A). Additionally, 10 of 10 open-market requisitions (>\$10k) reviewed also did not contain signed procurement disclosure statements (see Section 3.3.1). Significant procurement role extends to any state

¹ Standard Procedure #006 (2011). Document Standards

² Arizona Procurement Code (2015). R2-7-101 – Definitions.

³ Standard Procedure #006 (2011). Document Standards

⁴ Technical Bulletin #020 (2015). ProcureAZ – The Official State eProcurement System – II Definition E.

⁵ Arizona Procurement Code (2015). R2-7-205 – Procurement Requests by Purchasing Agencies

⁶ Technical Bulletin #020 (2015). ProcureAZ – The Official State eProcurement System – III Policy C.

⁷ Standard Procedure #024 (2015). ProcureAZ Request for Proposal (RFP), Invitation for Bid (IFB), Request for Quotation (RFQ) – Determine Need 1.1

⁸ Standard Procedure #003 (2014). Significant Procurement Role – Identify Personnel with a Significant Procurement Role – 2.1

employee participating in the development of a procurement, which includes “*all functions that pertain to obtaining any materials, services*”⁹. Additionally, regarding Significant Procurement Role, 10 of 14 applicable files reviewed were not communicated to SPO and appear on the SPO Website list of significant procurement activity (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.1F, 6.2C, 6.3D, 7.3A)¹⁰.

Several opportunities were also identified in which the procurement office’s standard templates should be updated. 15 of 15 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 ProcureAZ¹¹. Although Rule permits incorporating documents by reference, these files in fact included the documents (notice to offerors), but referenced specific information that should be contained in the notice itself (due date). 5 of 6 RFQs reviewed did not contain statement that “only a small business, as defined in R2-7-101, shall be awarded a contract”¹², but rather referenced the procurement will be conducted consistent with ARS §41-2535 (6.1B, 6.1C, 6.1D, 6.1E, 6.1F).

4 of 4 RFPs reviewed contained offeror Responsibility, Responsiveness, and Susceptibility criteria which was incomplete and inconsistent with the standard template provided by SPO¹³. Additionally, 2 of 2 Competition Impracticable files reviewed did not contain the most current SPO CI Authorization (SPO Form 101) as of the date of the procurement¹⁴. Finally, the SPO Compliance Unit also observed 4 of 5 RFQs which relied upon brand name or equivalent specifications in which the title of the solicitation may have misled or confused potential respondents. Although the Special Instructions indicated “brand name or equivalent,” the solicitation title only referred to the brand name, consequently potentially dissuading potential offerors unable to meet the specific brand name requirement (6.1A, 6.1D, 6.1E, 6.1F)¹⁵. While this method supports the letter of the law by disclosing “or equivalent” in the specifications, it might not be entirely in the best interest of the State to exclude “or equivalent” in the solicitation title.

⁹ Arizona Procurement Code (2015). ARS § 41-2503. Definitions

¹⁰ Standard Procedure #003 (2014). Significant Procurement Role – Notifications of Procurement Activity – 3.2

¹¹ Arizona Procurement Code (2015). R2-7-B301/C301/D301 - Solicitation

¹² Arizona Procurement Code (2015). R2-7-D302. Solicitation – Request for Quotation

¹³ Technical Bulletin #047 (2015). Conformance to Solicitation Terms and Conditions

¹⁴ State Procurement Office (2015). Resources – State Procurement Resource Library

¹⁵ Arizona Procurement Code (2015). R2-7-403. Determination for use of Brand Name Type Specifications

Lastly, four additional contract file trends were observed. First, 5 of 6 applicable files reviewed did not contain evidence that the competitive solicitation for a service was advertised in a newspaper of general circulation a reasonable time before the offer due date¹⁶ (6.2A, 6.2B, 6.3B, 6.3C, 6.3D). 5 of 7 applicable files reviewed did not contain non-expired evidence that the State was listed as an additional insured on a certificate of insurance (6.2B, 6.3A, 6.3B, 6.3C, 6.3D)¹⁷. 2 of 2 files, in which the offeror indicated their submittal contained proprietary or trade secret information on SPO Form 204, did not contain a CPO determination of the confidentiality¹⁸ (6.2B, 6.3D). Finally, 15 of 15 applicable files reviewed reflected documents were uploaded to ProcureAZ which did not match the naming conventions prescribed by SP#006.

Recommendations

1.a ADPS should draft a solicitation and contract file checklist. This checklist should address every issue identified in Finding #1. 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 APC¹⁹.

1.b The ADPS CPO should conduct bi-weekly (weekly if possible) staff training meetings to address the issues in Finding #1. Meetings should be specific to a limited number of topics to maximize retention of each meeting material²⁰.

1.c The ADPS CPO should implement review procedures to monitor pre-solicitation, post-solicitation, and post-award documents for their accuracy and completeness.

¹⁶ Arizona Procurement Code (2015). ARS § 41-2533. Competitive Sealed Bidding

¹⁷ Special Terms and Conditions (2015). Insurance Requirements – Minimum Scope and Limits of Insurance

¹⁸ Arizona Procurement Code (2015). R2-7-103. Confidential Information

¹⁹ Procurement checklists and best practice (2015). Retrieved August 13, 2015 from: <http://www.nextenders.com/procurement-checklists-best-practice/>

²⁰ 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

Management review should specifically monitor the accurate and complete execution of all requirements identified on the checklist recommended in 1.a. Until all training in 1.b is complete, CPO review of all documents is recommended. After training in 4.b is complete, it is recommended the CPO continue a spot-check review process (i.e. X% of personnel, or X% of solicitations, weekly/monthly).

1.d The ADPS CPO should update existing document templates in use to ensure each is reflective of the standards set by SPO. As a best practice, the CPO should set a standard schedule to review and update the office templates at a frequency that supports the agency's business processes and coincides with preparing the agency's purchasing authority renewal schedule²¹.

2. 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 ADPS. A relevant, and up-to-date, manual fosters consistent procurement practice within ADPS 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, ADPS-specific instructions that supplement the general instructions of the APC, SPO Technical Bulletins, and Standard Procedures. Moreover, the United States Sentencing Commission²² recognizes the existence, and use, of organizational policies and procedures is the single greatest mitigating factor in determining organizational culpability for criminal misconduct.

Findings

The ADPS procurement office has begun drafting an updated Procurement Policy and Procedures Manual and agency "General Order," or "GO". This manual is off to a good start with detail designed to assist both new and experienced procurement personnel. The manual was last edited in June 2015, and it was communicated that due to short-staffing the manual has not been a priority task. However, based on the amount of work already put into the ADPS Procurement Policy & Procedures Manual, it is evident the office intends to

²¹ 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>

²² United States Sentencing Commission (2013). Chapter Eight – Sentencing of Organizations. Retrieved August 13, 2015 from: <http://www.ussc.gov/guidelines-manual/2013/2013-8b21>

complete the manual. Sections identified in this PPR as still requiring completion include description of Set-Aside purchasing, contract administration, E-Verify procedures, cooperative procurement, and the use of Procure-AZ. With a projected three (3) additional staff members joining the ADPS procurement team in January/February 2016, the added resources may permit renewed focus on the procurement manual as well as a need of written procedures in place for the new staff members.

Recommendations

2.a ADPS should endeavor to complete the agency's Procurement Policy and Procedures Manual by the end of FY16.

2.b ADPS should establish procedures to routinely review its entire Desk Manual for accuracy on a formal schedule. As a best practice, the office should 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 schedule²³.

3. 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, experience, certifications held, and successful completion of ProcureAZ training modules²⁴. 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

At present the procurement office consists of a procurement supervisor and a procurement specialist. The office anticipates hiring 3 new procurement personnel in FY16Q3. Although the required training for a procurement specialist, per TB#002 has been completed,

²³ 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>

²⁴ Certificate of Delegated Procurement Authority for Unlimited Agencies (2015). III. Authority to Sub-Delegate.

presently the procurement specialist does not have sub-delegated procurement authority. The minimum procurement authority for this position title and grade is \$100,000 (and a maximum of \$500,000). This does not appear to be the most efficient use of the procurement specialist and, with the hiring of 3 additional procurement personnel, it might not be the most efficient use of the procurement manager's time and resources either.

Recommendations

3.a The CPO should sub-delegate procurement authority, upon successful completion of necessary training requirements, to procurement personnel commensurate to their respective position title and grade²⁵. To help guide procurement personnel through their delegated authority, the CPO may implement additional restrictions within the sub-delegation letter. Such appropriate restrictions might include the requirement that solicitations are reviewed by the CPO/manager prior to publication and award. A signed sub-delegation letter serves to clearly define a staff member's authority and limitations and thus reduces the risks upon the Agency CPO.

²⁵ Technical Bulletin #002 (2015). Delegation of Procurement Authority – Attachment 1.

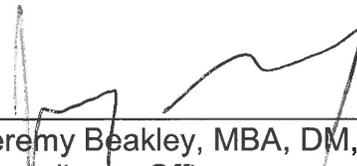
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PROCUREMENT PERFORMANCE REVIEW
CONCLUSION**

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

- 1.) 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.
- 2.) Complete the update of the ADPS Procurement Policies and Procedures Manual and implement recommended additions addressed within this review.
- 3.) Delegated Procurement Authority should be assigned and signed by all procurement personnel, upon completion of applicable training, as evidence of personnel acknowledgement of authority and limitations.

Finally, it is recommended ADPS management review all actionable recommendations contained within the worksheets herein. The State Procurement Office Compliance Unit requests the ADPS CPO provide a written response to this PPR no later than **January 15, 2016**.

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



Jeremy Beakley, MBA, DM, CCEP
Compliance Officer

12/18/15

Date



Barbara Corella
State Compliance Officer

12/18/15

Date

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

State Agency: Dept. of Public Safety 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Organizational structure reflects procurement's place in ADPS, however does not list personnel and their designations.
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"/>	
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input checked="" type="checkbox"/>	<input 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"/>	Agency procurement manual does not reference ProcureAZ.

Item No.	Recommendations	Assigned to	Estimated Completion
1.1	CPO should develop staff organizational chart clearly identifying each member's position title and areas of responsibility.	CPO	ASAP
1.5	See Section 2.0	CPO	ASAP

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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"/>	A new ADPS procurement manual, and GO, are currently in development. Note – the existing General Order (GO) on official record for ADPS procurement is significantly out of date (1998).
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 type="checkbox"/>	
2.3.2	Roles and delegation assignments of procurement personnel	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.3	Agency-specific instructions on how to process purchase requisitions and purchase orders	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.3.1	Instructions on how to process purchase orders and contract releases issued in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Extensive details on the preparation of a "purchase ready" contract authorization request (CAR), however instructions not yet provided regarding the processing of a requisition in ProcureAZ.
2.3.4	Instructions on how to use the agency's procurement system	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	ProcureAZ only minimally mentioned as an alternative method to CARs for submitting a

						requisition. Instructions on how to complete ProcureAZ requisitions are not provided (or referenced to SPO Technical Bulletins & Standard Procedures).
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 type="checkbox"/>	
2.3.8	Instructions on contract administration and procurement file management	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Manual does not include procedures for post-award contract management.
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Page 5 of procurement manual (in development) reflects AZ Statewide contract use. However, the manual does not discuss the purpose and mandate of AZ Set-Aside Contracts.
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Manual does not contain instructions to procurement personnel to submit quarterly/annual reports, as required, to the State Procurement Office.
2.3.11	Instructions on how to process cooperative purchasing agreements (TB# 005)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Manual does not address cooperative purchasing agreements.
2.3.12	Instructions on how to use P-Cards	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.13	Instructions on how to dispose of agency surplus property	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Published document is dated 1998 – not

	agency's established purchasing policies and procedures manual?					practicable to comply. New document in development not yet published.
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Item No.	Recommendations	Assigned to	Estimated Completion
2.0	Agency procurement manual in development should be calendared for completion prior to the end of the fiscal year. The updated manual should incorporate additional sections identified in this PPR as not yet completed.	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 type="checkbox"/>	
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	10 of 10 Open Market Requisitions (>\$10k) reviewed do not contain signed PDS: ADPS15-00271536 ADPS15-00239751 ADPS15-00236975 ADPS15-00267608 ADPS15-00253858 ADPS15-00286355 ADPS15-00224209 ADPS15-00254995 ADPS15-00286071 ADPS15-00249914
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.5	Are procurement protests, claims,	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)					
3.5.1	Does agency CPO make written 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)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	
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
3.3.1	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?)	Procurement Specialist & CPO	Ongoing

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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 type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.4	Is agency procurement staff certified by a public procurement organization (NIGP, ISM, etc) (TB# 001 & TB# 002)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.6	Did the agency CPO sub-delegate procurement authority to agency procurement personnel in writing? (R2-7-203)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 4.7.1
4.7	Do agency sub-delegations include specific activities, functions, and limitations? (TB #002; Delegated Procurement Authority)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 4.7.1
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"/>	Procurement Specialist minimum sub-delegated authority is \$100,000, however not sub-delegated authority at ADPS.
4.8	Were procurement personnel adequately trained prior to being granted procurement delegation by the agency CPO? (TB#	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

002; Delegated Procurement Authority)					
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Item No.	Recommendations	Assigned to	Estimated Completion
4.7.1	CPO should sub-delegate procurement authority commensurate to staff position title and grade as prescribed by SPO Technical Bulletin #002. CPO should provide staff training to ensure sufficient knowledge and practice of the assigned authority. As needed, the CPO may place limitations within the assigned delegated authority (i.e. \$100k delegated authority – still requires CPO final approval prior to publication & award).	CPO	Immediately

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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"/>	ADPS General Order
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"/>	Contract Action Request X2 approvals prior to procurement.
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 type="checkbox"/>	
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"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.14	Other than ADOA's state financial system, does the agency have any other system of collecting financial data?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.15	Does the agency's internal audit conduct regular audits on procurement transactions?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	
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

**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 (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:	ADPS15-093418
Contract Title or Description:	Olympus IV9420RT Videoscope System
Contract Estimated Amount:	\$30,428.64
Name of Procurement Officer:	Patricia Jonas

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-	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	7-D302)					
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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	Olympus (1/56)
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	Solicitation title was "Olympus IV9420RT Videoscope System." Although specifications explained Name Brand Type Specification, it is concerning that prospective offerors may exclude themselves based on title of solicitation without reading specifications for "equivalent." Note – no

						<u>small businesses responded.</u>
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant procurement activity not listed on SPO Website.
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"/>	See: 6.1.1 6.1.8
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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
6.1.7	When using approved “brand name equivalent” specifications, it is recommended the title of the solicitation include the words “ <u>or equivalent.</u> ”	Sr. Proc. Specialist & 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	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADPS15-097007
Contract Title or Description:	iClass Smart Cards and iClass Smart Key
Contract Estimated Amount:	<\$100,000
Name of Procurement Officer:	Patricia Jonas

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 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although the RFQ notice states the solicitation is conducted in accordance with ARS §41-2535 (small business & simplified construction), the solicitation does not include a statement that only a small business, as defined in R2-7-101, shall be awarded a contract.
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement Activity not listed on SPO Website

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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See: 6.1.1 6.1.8
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 checked="" type="checkbox"/>	<input type="checkbox"/>	Contract Special Instructions/Terms & Conditions do not contain Insurance Liability requirements for Standard Services Contract. However, contract file does contain vendor ACORD insurance, listing ADPS additional insured, for adequate coverage.
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"/>	
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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
6.1.5	The request for quotation should include a statement that <u>“only a small business, as defined in R2-7-101, shall be awarded a contract.”</u>	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	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADPS16-107153
Contract Title or Description:	ChemPro100i or equivalent handheld chemical detector
Contract Estimated Amount:	\$14,995.00
Name of Procurement Officer:	Deborah Paddock

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 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although the RFQ notice states the solicitation is conducted in accordance with ARS §41-2535 (small business & simplified construction), the solicitation does not include a statement that only a small business, as defined in R2-7-101, shall be awarded a contract.
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)					
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	Brand name type specification
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 checked="" type="checkbox"/>	<input 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement Activity not listed on SPO Website
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See: 6.1.1 6.1.8
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract documents not uploaded and available for public inspection until 5 days after contract award.
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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	Sr. Proc. Specialist &	ASAP / Ongoing

	solicitation file. If available – requisition in question should be uploaded to this file.	CPO	
6.1.5	The request for quotation should include a statement that <u>“only a small business, as defined in R2-7-101, shall be awarded a contract.”</u>	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	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.1.12.1	CPO should implement peer/management review of fully complete contract files within 3 days of contract signing to ensure documentation is made available to all interested parties in the prescribed timeframe.	CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADPS16-107780
Contract Title or Description:	UDC 360 Under Door Camera
Contract Estimated Amount:	\$33,802.60
Name of Procurement Officer:	Patricia Jonas

6.1D	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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although the RFQ notice states the solicitation is conducted in accordance with ARS §41-2535, the solicitation does not include a statement that only a small business, as defined in R2-7-101, shall be awarded a contract.
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	procurement to small business is not practical under the circumstances (R2-7-D302)					
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	Brand Name Equivalent UDC 360 – Tactical Electronics (1/3)
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant procurement activity not listed on SPO Website.
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See: 6.1.1 6.1.8
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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

6.1.5	The request for quotation should include a statement that <u>“only a small business, as defined in R2-7-101, shall be awarded a contract.”</u>	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
6.1.6.2	When using approved “brand name equivalent” specifications, it is recommended the title of the solicitation include the words <u>“or equivalent.”</u>	Sr. Proc. Specialist & 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	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADPS16-107781
Contract Title or Description:	FPX Nano Scanner
Contract Estimated Amount:	\$73,604.80
Name of Procurement Officer:	Patricia Jonas

6.1E	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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although the RFQ notice states the solicitation is conducted in accordance with ARS §41-2535, the solicitation does not include a statement that only a small business, as defined in R2-7-101, shall be awarded a contract.
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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	procurement to small business is not practical under the circumstances (R2-7-D302)					
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	Brand Name Equivalent
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement Activity not listed on SPO Website
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	See: 6.1.1 6.1.8
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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

6.1.5	The request for quotation should include a statement that <u>“only a small business, as defined in R2-7-101, shall be awarded a contract.”</u>	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
6.1.6.2	When using approved “brand name equivalent” specifications, it is recommended the title of the solicitation include the words <u>“or equivalent.”</u>	Sr. Proc. Specialist & 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	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADPS16-114366
Contract Title or Description:	RF EMI Shielding Portable Enclosure
Contract Estimated Amount:	\$16,362.00
Name of Procurement Officer:	Patricia Jonas

6.1F	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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Although the RFQ notice states the solicitation is conducted in accordance with ARS §41-2535, the solicitation does not include a statement that only a small business, as defined in R2-7-101, shall be awarded a contract.
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	Brand Name Equivalent Select Fabricators (1/3)
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	Significant Procurement Activity not listed on SPO Website.
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	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))					
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input 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
6.1.5	The request for quotation should include a statement that <u>“only a small business, as defined in R2-7-101, shall be awarded a contract.”</u>	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

6.1.6.2	When using approved “brand name equivalent” specifications, it is recommended the title of the solicitation include the words “ <u>or equivalent.</u> ”	Sr. Proc. Specialist & CPO	Ongoing
6.1.8.1	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / 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:	ADPS15-095827
Contract Title or Description:	Custodial Services Phoenix
Contract Estimated Aggregate Amount:	>\$100,000
Name of Procurement Officer:	Patricia Jonas

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"/>	Solicitation/Contract file lacks evidence a publication for the solicitation of the service was issued at least 14 days prior to 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(23 rd pre-offer / 30 th due date)
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See: 6.2.1

	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))					6.2.4 6.2.10
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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					Naming conventions

	ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	used do not match SP#006 (i.e. "Pre-solicitation documents")
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
6.2.10	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
6.2.18.4	Staff should receive training on SPO SP#006 for proper naming conventions of files uploaded to ProcureAZ.	CPO	Ongoing

Invitation for Bids (IFB)	
Contract Number:	ADPS16-107832
Contract Title or Description:	Aviation Jet "A" Turbine Engine Fuel Storage & Delivery
Contract Estimated Aggregate Amount:	>\$100,000
Name of Procurement Officer:	Patricia Jonas

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 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"/>	Solicitation/Contract file lacks evidence a publication for the solicitation of the service was issued at least 14 days prior to 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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the 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"/>	File <u>does</u> contain CPO determination to award single offer that is fair and reasonable, in best interest of the State.
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 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 type="checkbox"/>	<input checked="" 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,	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Vendor indicated offer contained a proprietary formula/trade-secret. File does not contain CPO determination of the confidentiality of the

	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))					vendor's information. See: 6.2.1 6.2.4 6.2.10
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"/>	File does not contain vendor ACORD insurance, listing ADPS additional insured, for adequate coverage.
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input checked="" type="checkbox"/>	<input 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"/>	Naming conventions used do not match SP#006 (i.e. “Pre-solicitation documents”)

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"/>	
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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
6.2.10	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
6.2.16	Staff should be trained to clarify offeror indications that confidential or proprietary information is contained in the offer. Such clarifications should be included in a CPO determination of whether the information is in fact confidential and uploaded to the contract file of record.	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

Invitation for Bids (IFB)	
Contract Number:	ADPS16-111304
Contract Title or Description:	Safariland Brand Law Enforcement Weapon Holster
Contract Estimated Aggregate Amount:	>\$100,000
Name of Procurement Officer:	Deborah Paddock

6.2C	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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in

						the solicitation itself.
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 checked="" type="checkbox"/>	<input 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 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant Procurement Activity not listed on SPO Website.
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"/>	FX Tactical 45,294
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ProForce
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 type="checkbox"/>	<input checked="" 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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See: 6.2.1 6.2.10

	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))					
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.18.3	Are the amounts on the Certificate of Insurance consistent with the contract requirements? (ARS §41-2573)	<input checked="" type="checkbox"/>	<input 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"/>	Naming conventions used do not match SP#006 (i.e. “Pre-solicitation documents”)

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"/>	
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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
6.2.6.	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
6.2.11	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer’s name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	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:	ADPS14-090893
Contract Title or Description:	Electronic Fingerprint Applicant Services
Contract Estimated Amount:	>\$100,000
Name of Procurement Officer:	Rex Martin

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"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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					Bid Opening Date in

	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"/>	solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of providing the date in the solicitation itself.
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"/>	
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Responsibility, Responsiveness, and Susceptibility criteria lacks two required clauses, including: 1.) Definition of "legally qualified," and 2.) Subjecting State to unreasonable conditions (per 01/13 TB#047).
6.3.8.2	Is conflict of interest disclosure in file for any/all non-employee evaluators	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(Pre-PDS: COI for state employees)
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.12	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Solicitation issued pre-PDS
6.3.13	Were the offers evaluated based on the evaluation criteria contained in the	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	RFP? (R2-7-C316)					
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 6.3.1
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 checked="" type="checkbox"/>	<input 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;	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	SP#006)					
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"/>	File does not contain a <u>non-expired</u> vendor ACORD insurance, listing ADPS additional insured, for adequate coverage.
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"/>	Naming conventions used do not match SP#006 (i.e. "Contract Document")
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
6.3.7.1	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
6.3.8.1	Agency should update template terms and conditions to reflect full list of Responsibility, Responsiveness, and Susceptibility criteria as prescribed by TB#047, last updated 08/2014.	CPO	ASAP
6.3.18.2	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
6.3.18.3	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:	ADPS15-086084
Contract Title or Description:	Towing Services DPS District 2, Coconino County
Contract Estimated Amount:	>\$100,000
Name of Procurement Officer:	Deborah Paddock

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"/>	
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"/>	Official file of record does not contain evidence solicitation was advertised in a newspaper of general circulation a minimum of 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"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of

						providing the date in the solicitation itself.
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"/>	
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Responsibility, Responsiveness, and Susceptibility criteria lacks two required clauses, including: 1.) Definition of "legally qualified," and 2.) Subjecting State to unreasonable conditions (per 01/13 TB#047).
6.3.8.2	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"/>	
6.3.8.3	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"/>	Procurement Disclosure Statements not in file (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"/>	Significant procurement activity not listed on SPO Website
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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Unable to determine

	plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)					
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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"/>	See: 6.3.1 6.3.4 6.3.11
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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a <u>non-expired</u> vendor

	consistent with contract requirements? (ARS §41-2573)					ACORD insurance, listing ADPS additional insured, for adequate coverage.
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"/>	Naming conventions used do not match SP#006 (i.e. "Pre-solicitation documents")
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 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
6.3.7.1	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
6.3.8.1	Agency should update template terms and conditions to reflect full list of Responsibility, Responsiveness, and Susceptibility criteria as prescribed by TB#047, last updated 08/2014.	CPO	ASAP
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
6.3.12	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer's name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery	Sr. Proc. Specialist & CPO	ASAP / Ongoing

	when it becomes available.		
6.3.18.2	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
6.3.18.3	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:	ADPS15-093966
Contract Title or Description:	Towing Services; DPS District 12, Yavapai County
Contract Estimated Amount:	>\$100,000
Name of Procurement Officer:	Deborah Paddock

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"/>	
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"/>	Official file of record does not contain evidence solicitation was advertised in a newspaper of general circulation a minimum of 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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Bid Opening Date in solicitation direct offerors to bid opening date and time in ProcureAZ, in lieu of

						providing the date in the solicitation itself.
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"/>	
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Responsibility, Responsiveness, and Susceptibility criteria lacks two required clauses, including: 1.) Definition of "legally qualified," and 2.) Subjecting State to unreasonable conditions (per 01/13 TB#047).
6.3.8.2	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"/>	
6.3.8.3	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"/>	Procurement Disclosure Statements not in file (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	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Unable to determine

	plan, discuss the solicitation, and agree on a schedule? (Request sign-in)(SPO SP# 043)					
6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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"/>	See: 6.3.1 6.3.4 6.3.11
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	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	File does not contain a <u>non-expired</u> vendor

	consistent with contract requirements? (ARS §41-2573)					ACORD insurance, listing ADPS additional insured, for adequate coverage.
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"/>	Naming conventions used do not match SP#006 (i.e. "Pre-solicitation documents")
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 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
6.3.7.1	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
6.3.8.1	Agency should update template terms and conditions to reflect full list of Responsibility, Responsiveness, and Susceptibility criteria as prescribed by TB#047, last updated 08/2014.	CPO	ASAP
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
6.3.18.2	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
6.3.18.3	Staff should receive training on SPO SP#006 for proper	CPO	Ongoing

	naming conventions of files uploaded to ProcureAZ.		
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Request for Proposals (RFP)	
Solicitation or Contract Number:	ADPS15-110307
Contract Title or Description:	Psychological Evaluation and Counseling Referral Services
Contract Estimated Amount:	>\$100,000
Name of Procurement Officer:	Deborah Paddock

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"/>	
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"/>	Official file of record does not contain evidence solicitation was advertised in a newspaper of general circulation a minimum of 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"/>	
6.3.8.1	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Responsibility, Responsiveness, and Susceptibility criteria lacks two required clauses, including: 1.) Definition of “legally qualified,” and 2.) Subjecting State to unreasonable conditions (per 01/13 TB#047).
6.3.8.2	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"/>	
6.3.8.3	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"/>	Procurement Disclosure Statements not in file (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"/>	Significant procurement activity not listed on SPO Website.
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 type="checkbox"/>	Unable to determine

6.3.13.2	Did each evaluation committee member review each offer independently? (SPO SP# 043).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	
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"/>	Vendor indicated offer contained a proprietary formula/trade-secret. File does not contain CPO determination of the confidentiality of the vendor's information. See: 6.3.1 6.3.4 6.3.11
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"/>	File does not contain a <u>non-expired</u> vendor ACORD insurance, listing ADPS additional insured, for adequate

						coverage.
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"/>	Naming conventions used do not match SP#006 (i.e. "Pre-solicitation documents")
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 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
6.3.7.1	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
6.3.8.1	Agency should update template terms and conditions to reflect full list of Responsibility, Responsiveness, and Susceptibility criteria as prescribed by TB#047, last updated 08/2014.	CPO	ASAP
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	Staff should be trained to clarify offeror indications that confidential or proprietary information is contained in the offer. Such clarifications should be included in a CPO determination of whether the information is in fact confidential and uploaded to the contract file of record.	Sr. Proc. Specialist & CPO	ASAP / Ongoing
6.3.18.2	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	Sr. Proc. Specialist & CPO	ASAP / Ongoing

	contract files.		
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.

Competition Impracticable Procurement

Contract Number:	ADPS15-097504
Contract Title or Description:	Annual Software Maintenance Northrop Grumman MDCS & CAD Systems
Contract Estimated Amount:	\$810,013.00
Name of Procurement Officer:	

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" 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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	SPO Standard Form 101 (dated 07/14) not used.
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 type="checkbox"/>	<input checked="" 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"/>	Significant procurement activity not listed on SPO website.
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
7.3.2.6.1	Agency should update template procurement documents to ensure the most current standard versions provided by SPO are in use.	CPO	ASAP

7.3.3	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
7.3.3.1	Solicitations and quotes, in excess of \$10,000, for goods and services, including sole source and competition impracticable, should be communicated to the State Procurement Administrator via the email address spo@azdoa.gov. Information should include the agency name, the chief procurement officer's name, solicitation title, date the first PDS was signed or the date of the first focus group meeting, as well as the date of first delivery when it becomes available.	Sr. Proc. Specialist & CPO	ASAP / Ongoing

Competition Impracticable Procurement	
Contract Number:	ADPS16-113649
Contract Title or Description:	Modification to DPS King Air B200GT to FAA Commuter Aircraft
Contract Estimated Amount:	\$271,055.00
Name of Procurement Officer:	Deborah Paddock

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" 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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3.2.6.1	Was the Competition Impracticable					SPO Standard Form 101

	request the State's most current version that was available at the time of the solicitation?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	(dated 07/14) not used.
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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	Note: Special Purchase Type "Competition Impracticable" not indicated in ProcureAZ Solicitation
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
7.3.2.6.1	Agency should update template procurement documents to ensure the most current standard versions provided by SPO are in use.	CPO	ASAP
7.3.4.1	CPO should provide staff training to ensure special purchase types are accurately identified during solicitation input.	CPO	ASAP

**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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See Section 2.0
8.1.1	Are contract administration functions assigned?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Contract administration procedures not defined in procurement manual. Contract administration procedures not assigned as evidenced by sub-delegation of authority.
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 checked="" type="checkbox"/>	Office relies on vendor performance reports submitted by end-users – though it was identified these are rarely completed.
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement manual does not outline procedures for vendor corrective actions.
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"/>	See 6.2B, 6.3A, 6.3B, 6.3C, 6.3D
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"/>	Procurement Manual does not outline routine methods. By selected files reviewed, it does

						not appear routine methods are informally established.
8.5	Are all applicable determinations in the contract file?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See 6.2B, 6.3D
8.6	Does the agency have procedures for rate increase requests?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Procurement manual does not contain procedures for handling rate increase requests.
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
8.1 8.3 8.3.2 8.4.1 8.6	Office should formalize routine procedures for contract administration functions. These procedures should be described in the office procurement manual – currently in development. The CPO should use these topics as training opportunities in weekly staff meetings.	CPO	ASAP



ARIZONA DEPARTMENT OF PUBLIC SAFETY

2102 WEST ENCANTO BLVD. P.O. BOX 6638 PHOENIX, ARIZONA 85005-6638 (602)223-2000

"Courteous Vigilance"

DOUGLAS A. DUCEY FRANK L. MILSTEAD
Governor Director

January 29, 2016

Mr. Jeremy Beakley, Compliance Officer
State Procurement Office
Arizona Department of Administration
100 N. 15th Avenue, Suite 201
Phoenix, AZ 85007

RE: State Procurement Office Procurement Performance Review of the Arizona Department of Public Safety dated December 18, 2015

Dear Mr. Beakley:

Thank you for the Procurement Performance Review ("PPR") and subsequent report with findings and recommendations dated 12/18/15. Please find this as our written response to the Findings and recommendations contained in the PPR.

PPR Finding No. 1:

12 of 15 files did not contain either a written requisition expressly approved by the agency CPO, nor an electronic requisition linked to the solicitation (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.2A, 6.2B, 6.2C, 6.3A, 6.3B, 6.3C, 6.3D).

Response:

As explained (and shown to you) during our meeting, DPS currently maintains electronic files in ProcureAZ and hard copy "working files" in the Procurement Office. These working files contain written requisitions, a.k.a. DPS customer initiated Contract Action Requests (CAR's), in lieu of hardcopy or electronic requisitions in ProcureAZ. These documents are expressly approved by the agency Acting CPO and provide the authority for the Procurement Unit to initiate procurements for those goods and services specified and anticipated to be in excess of \$10,000.00. DPS agrees that these documents should be made part of the procurement file in ProcureAZ or that DPS should implement a process for utilizing the electronic requisition feature in ProcureAZ.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 2:

12 of 14 applicable requisitions to the procurement office (i.e. end-users, program managers) did not contain signed Procurement Disclosure Statements, i.e. none appear on the official contract file of record, on ProcureAZ (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.2A, 6.2B, 6.2C, 6.3B, 6.3C, 6.3D, 7.3A).

Response:

As explained previously, DPS currently maintains electronic files in ProcureAZ and hard copy "working files" in the Procurement Office. These working files contain the requisite Procurement Disclosure Statements for procurements of goods and services anticipated to be in excess of \$10,000.00. DPS agrees that these documents should be made part of the procurement file in ProcureAZ.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 3:

10 of 10 open-market requisitions (>\$10k) reviewed also did not contain signed procurement disclosure statements (see Section 3.3.1). 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.*"

Response:

2 of the open market requisition cited, ADPS15-00224209 & ADPS15-00249914 were purchases made from state contracts, therefore did not require signed procurement disclosure statements be made part of the purchase order files. Notwithstanding this, DPS agrees with the report's finding. Note: The balance of open market requisition cited were for pre-approved waiver type purchases, i.e. competition impracticables.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 4:

10 of 14 files reviewed were not communicated to SPO and appear on the SPO Website list of significant procurement activity (6.1A, 6.1B, 6.1C, 6.1D, 6.1E, 6.1F, 6.2C, 6.3D, 7.3A).

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 5:

15 of 15 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. Although Rule permits incorporating documents by reference, these files in fact included the documents (notice to offerors), but referenced specific information that should be contained in the notice itself (due date).

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 6:

5 of 6 RFQs reviewed did not contain statement that "only a small business, as defined in R2-7-101, shall be awarded a contract", but rather referenced the procurement will be conducted consistent with ARS §41-2535 (6.1B, 6.1C, 6.1D, 6.1E, 6.1F).

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 7:

4 of 4 RFPs reviewed contained offeror Responsibility, Responsiveness, and Susceptibility criteria which was incomplete and inconsistent with the standard template provided by SPO. While the section in Special Instructions to Offerors in the 4 RFP's were substantially the same as those contained in technical bulletin 047 Conformance to solicitation terms and conditions dated February 2, 2015.

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 8:

2 of 2 Competition Impracticable files reviewed did not contain the most current SPO CI Authorization (SPO Form 101) as of the date of the procurement.

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 9:

4 of 5 RFQs which relied upon brand name or equivalent specifications in which the title of the solicitation may have misled or confused potential respondents. Although the Special Instructions indicated "brand name or equivalent," the solicitation title only referred to the brand name, consequently potentially dissuading potential offerors unable to meet the specific brand name requirement (6.1A, 6.1D, 6.1E, 6.1F).

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 10:

First, 5 of 6 applicable files reviewed did not contain evidence that the competitive solicitation for a service was advertised in a newspaper of general circulation a reasonable time before the offer due date (6.2A, 6.2B, 6.3B, 6.3C, 6.3D).

Response:

As explained previously, DPS currently maintains electronic files in ProcureAZ and hard copy "working files" in the Procurement Office. These working files contain the advertisement information required by the Procurement Code. DPS agrees that these documents should be made part of the procurement file in ProcureAZ.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 11:

5 of 7 applicable files reviewed did not contain non-expired evidence that the State was listed as an additional insured on a certificate of insurance (6.2B, 6.3A, 6.3B, 6.3C, 6.3D).

Response:

As explained previously, DPS currently maintains electronic files in ProcureAZ and hard copy "working files" in the Procurement Office. These working files contain the contractor's certificates of insurance inclusive of incorporating the state as an additional insured. DPS agrees that these documents should be made part of the procurement file in ProcureAZ.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 12:

2 of 2 files, in which the offeror indicated their submittal contained proprietary or trade secret information on SPO Form 204, did not contain a CPO determination of the confidentiality (6.2B, 6.3D).

Response:

As explained previously, DPS currently maintains electronic files in ProcureAZ and hard copy "working files" in the Procurement Office. These working files contain the CPO determinations relating to an offerors confidentiality requests. DPS agrees that these documents should be made part of the procurement file in ProcureAZ.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

PPR Finding No. 13:

15 of 15 applicable files reviewed reflected documents were uploaded to ProcureAZ which did not match the naming conventions prescribed by SP#006.

Response:

DPS agrees with the report's finding.

Corrective Action/Process Improvement/Implementation plan:

DPS will adopt the report's recommendations and will incorporate changes to its processes and implement training to Procurement staff to ensure compliance with this finding.

Compliance Recommendations:

Recommendations 1a, 1b, 1c, & 1d, set forth in the PPR will be implemented as part of the DPS Procurement Department's processes and procedures. DPS will also endeavor to implement these recommendations within the time frames cited in the report.

Procurement Policy & Procedures Manual:

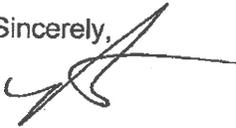
Recommendations 2a & 3a set forth in the PPR will be implemented as part of the DPS Procurement Department's processes and procedures. DPS will also endeavor to implement these recommendations within the time frames cited in the report.

Delegation of Procurement Authority:

Recommendation 3a as set forth in the PPR will be implemented as part of the DPS Procurement Department's processes and procedures. DPS will also endeavor to implement these recommendations within the time frames cited in the report.

DPS appreciated all of the efforts made on this Procurement Performance Review and will implement the recommendations cited in the report in order to improve its processes and procedures and record keeping to the standards set forth by the State Procurement Office. Thank you.

Sincerely,



Rex L. Martin
DPS Acting Chief Procurement Officer
rlmartin@azdps.gov
602-223-2405

Cc: Ana Velarde, Logistics Bureau, Bureau Manager
file
