

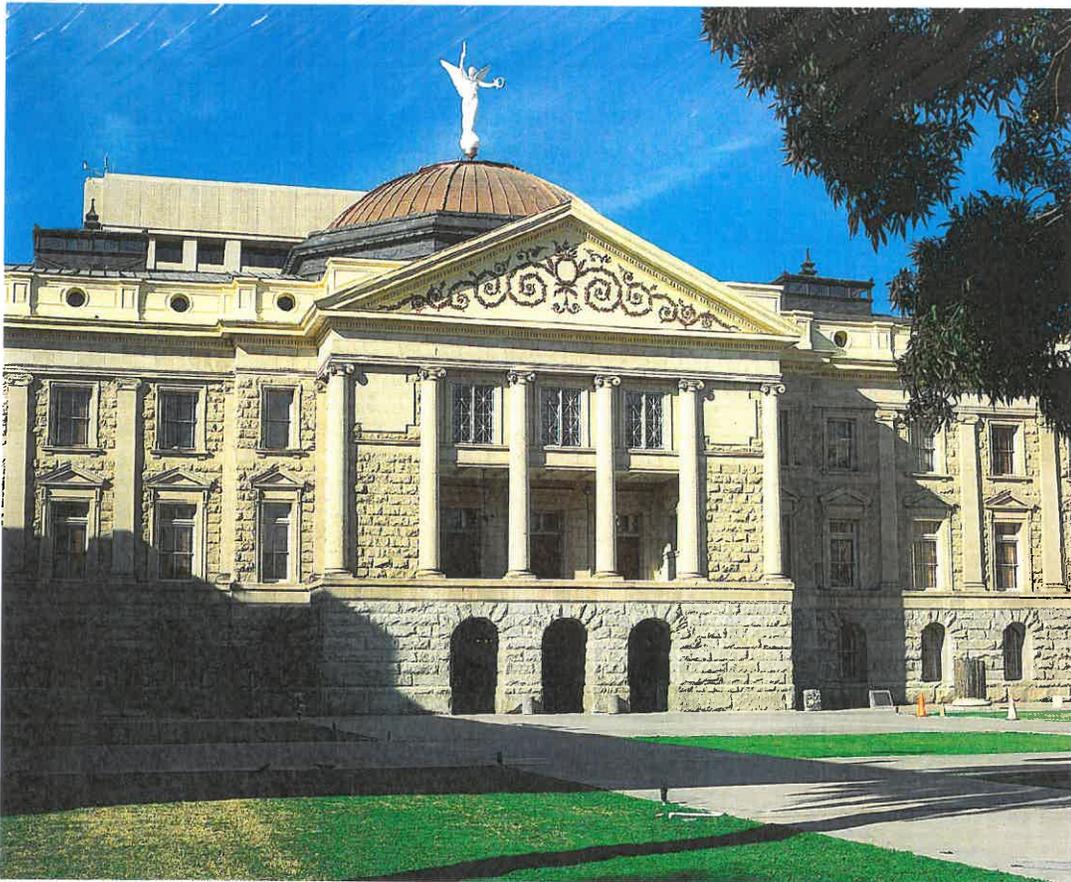
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Arizona Department of Administration State Procurement Office

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



Arizona Department of Veterans' Services Procurement Performance Review

Prepared by: SPO Compliance
02/17/2015

**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 Veterans' Services (ADVS) commencing on February 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.

10 contracts, 10% of contracts written in the last 12 months (Jan '14 to Jan '15), were randomly selected as a representative sample for review. The reviewed files included 1 requests for quotations (RFQ), 3 invitation for bids (IFB), 1 requests for proposals (RFP), and 1 request for qualifications. 3 competition impracticable and 1 emergency procurements were also reviewed. 10 purchase orders 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. Procurement Policies and Procedures Manual

A procurement policy and procedures manual is beneficial to establish guidelines and standards for the acquisition of products and services by ADVS. A relevant, and up-to-date, manual fosters consistent procurement practice within ADVS 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, ADVS-specific instructions that supplement the general instructions of the APC, SPO Technical Bulletins, and Standard Procedures. Moreover, the United States Sentencing Commission recognizes the existence, and use, of organizational policies and procedures is the single greatest mitigating factor in determining organizational culpability for criminal misconduct.

Findings

ADVS has exhibited excellent effort in updating an agency Procurement Policies and Procedures Manual. In agency-specific terminology, the policies and procedures manual addresses nearly all procurement activities in compliance with the most current version of the APC, SPO Technical Bulletins, and Standard Procedures.

There are opportunities to further improve the ADVS Procurement Policies and Procedures Manual further to improve accuracy and enhance effectiveness. Specifically, the manual's section addressing Limited Competition Procurements (Emergency/Sole-Source/Competition-Impracticable) requires additional detail to prevent violations of the APC (See: **2. Contract Files - Findings**) and the section addressing State Set-Aside purchasing requires additional detail to prevent potential violations.

Recommendations

1.a. Update Procurement Policies and Procedures Manual's section on Limited Competition Procurements to include instructions, as prescribed by the APC, for Sole Source and Emergency procurements to include ensuring written request contains the name of the

proposed supplier, duration and projected dollar amount of the procurement, documentation that the price is fair and reasonable, and efforts made to seek alternative sources.

1.b. Update Procurement Policies and Procedures Manual's section on State Set-Aside purchasing to include SPO TB#004 language specifying, "*as a routine practice, procurement officers should first consider the use of set aside agency products or services before utilize other procurement methods.*"

1.c. Update Procurement Policies and Procedures Manual's section on Contract Administration to provide additional direction and measures for assurance that all contract files contain current and up-to-date certificates of insurance, and prescribe specific office procedures for addressing adverse vendor performance.

1.d. Update Procurement Policies and Procedure Manual to include agency specific instructions for adding, deleting, and modifying authorized procurement authority in ProcureAZ.

2. Contract Files

Document Standards prescribed by SPO Standard Procedure No. 006 provides a list of required documents which shall be located, as applicable, in the solicitation and contract files on ProcureAZ, as well as the naming conventions associated with each document. These standards assist both the procurement officer in document management and the public in viewing the solicitation and contract files. These standards also help reduce procurement officer reliance of memory regarding which documents must be made available to public view. While the APC defines the procurement file as the official records file is either electronic or paper, Standard Procedure #006 addresses the electronic upload of documents into ProcureAZ, and Technical Bulletin #020 has designated files on ProcureAZ as the State of Arizona's official procurement records.

Findings

Ten contract files were reviewed on the state's eProcurement system, ProcureAZ, as part of this assessment. Of all applicable files reviewed, 6 of 9 solicitations issued since the implementation of Significant Procurement Role were not posted to the SPO Website listing

of significant procurement activity (6.2A, 6.3A, 6.3B, 7.3A, 7.3B, 7.3C). 5 of 10 procurement files reviewed lacked copies of fully executed Procurement Disclosure Statements for all state employees fulfilling a significant procurement role as required by SPO Standard Procedure No. 003 (6.1, 6.2A, 6.2B, 6.2C, 6.3A). 3 of 10 contract files reviewed did not have all documentation uploaded to ProcureAZ within 10 days of contract award as required to SPO Standard Procedure No. 006 (6.1, 6.3B, 7.3B - Note: Effective 02/01/2015, Standard Procedure No. 006 will require documents be uploaded to ProcureAZ within 3 days of award). 3 of 10 files reviewed neither contained a written requisition uploaded to ProcureAZ nor an electronic requisition linked to the solicitation (6.1, 6.3A, 6.3B).

Of the ten files reviewed, four limited competition procurements were reviewed as part of this assessment. This included one Emergency and three Competition Impracticable (CI) procurements. One CI did not provide clear explanation as to why the situation was impracticable to competitively solicit nor provide a proposed process to foster as much competition as was practicable, as requirement under R2-7-E303 (7.3A). One Emergency procurement reviewed did not contain the name of the proposed supplier, documentation that the price was fair and reasonable, or evidence that maximum competition was employed to protect the interests of the state, requirements under R2-7-E302 (7.2).

Recommendations

2.a. The SPO Compliance Unit strongly recommends identifying the missing items addressed above, scanning, and uploading them, where possible, to the respective contract files on ProcureAZ.

2.b. The SPO Compliance Unit recommends the ADVS procurement office address the requirements of SPO SP #024 and APC R2-7-205 by ensuring requisitions are submitted, and linked to the contract file, via ProcureAZ. Where this is not possible, ADVS should implement processes which ensure written requests, by methods approved by the CPO, are obtained from the program manager initiating the procurement process and retained in the procurement file of record.

2.c. The SPO Compliance Unit recommends the CPO provide the ADVS procurement staff training addressing SPO SP#003 and SPO TB#010 to enhance the office personnel

understanding and practice in compliance of the Significant Procurement Role. Training should specifically address retaining Procurement Disclosure Statements in the contract file of record and to notify SPO of all significant procurement activity.

2.d. The SPO Compliance Unit recommends the CPO provide the ADVS procurement staff training in completion of limited competition procurement requests which adhere to addressing all of the requirements of the Arizona Procurement Code (§41-2536 & §41-2537). Additionally, the office should avoid statements within the determination requests which may leave question to third party reviewers, such as “Why couldn’t we solicit this specific scope of work competitively?”

2.e. The SPO Compliance Unit recommends the ADVS procurement office update its Procurement File Checklist to include specific instructions, under “Contract Folder,” and the agency’s Procurement Policies and Procedures Manual, under “Contract Administration and Procurement File Management” to direct procurement officers to ensure all documents are uploaded to ProcureAZ within 3 days of contract award.

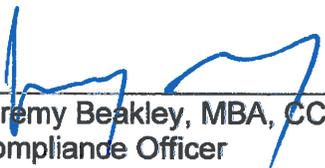
**STATE OF ARIZONA
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CONCLUSION**

The ADVS procurement personnel have a strong working knowledge of the Arizona Procurement Code as well as a wealth of industry experience. Through our discussions together it was clear that procurement personnel knew where to find the answers to questions they may have through the course of their daily responsibilities: APC, Technical Bulletins, Standard Procedures, and management. Moreover, the CPO has demonstrated asserted efforts to ensure uniformity of office procurement

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

- 1.) Revisions to the ADVS Procurement Policies and Procedures Manual as recommended.
- 2.) Contract Files – Provide staff training in processes to ensure proper documentation is loaded into the contract file, within 3 days of contract award, and documented as required by APC, Standard Procedures, and Technical Bulletins.

Finally, it is recommended ADVS management review all actionable recommendations contained within the worksheets herein. The SPO Compliance Unit requests a written agency response to this PPR with a corrective action plan by March 16th, 2015. The State Procurement Office Compliance Unit would like to express our appreciation to ADVS management and staff for their cooperation during the course of our review.



Jeremy Beakley, MBA, CCEP
Compliance Officer

3/3/15

Date



Barbara Corella
State Procurement Administrator

3/3/15

Date

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

State Agency: AZ Dept. of Veterans' Services State Agency Delegated Authority: \$ Unlimited

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

Item No.	Compliance Criteria					
1.0	Purchasing Organization	N/A	Yes	No	Requires Action	Comments
1.1	Does the procurement office have an accurate organizational chart that shows current employee designation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Does the procurement office have a Chief Procurement Administrator (CPO) signed delegated procurement authority on file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Have procurement personnel completed necessary training applicable to delegated authority? (TB# 002)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.4	Are the employees listed on the organizational chart assigned full-time procurement and contracting duties?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.5	Agency has well documented process for adding/deleting/modifying delegated authority in ProcureAZ.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	No written standard agency procedures for adding/deleting/modifying delegated authority in ProcureAZ.

Item No.	Recommendations	Assigned to	Estimated Completion
1.5	Include agency procedures for adding/deleting/modifying delegated authority in ProcureAZ in the agency Procurement Policies and Procedures Manual.	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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.4	Instructions on how to use the agency's procurement system	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.5	Instructions on how to prepare specifications and scopes of work	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.6	Instructions on how to process sole source, limited competition, and emergency procurements (Unlimited w/in authority; Limited to SPO)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Instructions for Sole Source (section 19.2) does not include: Name of proposed supplier, duration and projected dollar amount, documentation that the price is fair and

						<p>reasonable, and efforts made to seek other sources.</p> <p>Instructions for Emergency (section 19.2) does not include listing: Name of proposed supplier, duration and estimated total dollar value, and documentation that price is fair and reasonable.</p>
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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>Contract Administration activities (i.e. ensuring Certificates of Insurance are up to date) are listed, however procedures are not listed to guide personnel to ensure activities are completed (i.e. Outlook Calendar follow-up dates).</p>
2.3.9	Instructions on set-aside purchasing	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>Instructions reference SPO TB#004 Section III Sub-Section B, stating "State Governmental Units electing to utilize..." however does not include SPO TB#004 Section III Sub-Section A, which includes important language that "as a routine practice, procurement officers <u>should first consider the use of set aside agency products or services before utilize other procurement methods.</u>"</p>
2.3.10	Instructions on submitting agency procurement reports (e.g. changes in delegated personnel, set-aside program, Compliance with AZ Legal Workers Act, etc.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

2.3.11	Instructions on how to process cooperative purchasing agreements (TB# 005)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3.12	Instructions on how to use P-Cards	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Need to update manual to reflect small dollar purchases < \$10,000.
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 agency's established purchasing policies and procedures manual?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
2.3.6 2.3.8 2.3.9 2.3.12	Although the agency procurement procedure manual includes the sections referenced herein, it would enhance the manual's accuracy and usefulness to personnel if the missing references, addressed above, from APC, Technical Bulletins, and Standard Procedures are included.	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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	See 3.2
3.2	Were agency procurement personnel delegation changes reported within five working days to SPO? (See agency delegation agreement)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	State Governmental Unit's Delegated Procurement Personnel dated 07/18/13 most recent on file – reflect personnel no longer with agency, and does not include current personnel or current delegations.
3.3	Are all agency requisitions, purchase orders, receipts, formal and informal solicitations and contract administration conducted on ProcureAZ? (PDS signed for all \$10K+ open market requisitions?) (See agency delegated authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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, decisions and agency reports submitted to SPO within five days of receipt or completion? (See agency delegation on administrative actions)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No protests in last 3 years.
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 checked="" type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.6	Is the agency endeavoring to set aside one percent of new purchases to set-aside contractors? (ARS §41-2636 and SPO TB #004)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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"/>	None randomly selected since FY12Q2 -- of which were verified compliant.

Item No.	Recommendations	Assigned to	Estimated Completion
3.2	Submit current and up-to-date State Governmental Unit's Delegated Procurement Personnel list to State Procurement Office.	CPO	ASAP

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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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Note – testing in Spring 2015 – completed work experience requirement.
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.7	Do agency sub-delegations include specific activities, functions, and limitations? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Sub-Delegation Letter for Senior Procurement Specialist numerically lists dollar amount of one <u>b</u> illion in authority, followed in parenthesis with "one <u>m</u> illion dollars."
4.7.1	Are staff delegated amounts in line with duties and title? (TB #002; Delegated Procurement Authority)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.8	Were procurement personnel adequately	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Training Transcripts do not reflect completion of

	trained prior to being granted procurement delegation by the agency CPO? (TB# 002; Delegated Procurement Authority)					the following required training: Senior Procurement Specialist ADSPO202: On/Off Contract Orders.
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Item No.	Recommendations	Assigned to	Estimated Completion
4.7	Revise sub-delegation letter for Senior Procurement Specialist to correct for typo/discrepancy.	CPO	ASAP
4.8	Complete ADSPO202 – On/Off Contract Orders CBT training in YES.	Senior Procurement Specialist	ASAP

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Item No.	Compliance Criteria					
5.0	Procurement Internal Controls	N/A	Yes	No	Requires Action	Comments
5.1	Does the agency provide procurement staff ethics training as outlined by SPO TB #001?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Does the agency have a procedure or policy for dealing with unethical behavior?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Staff uniformly suspected agency had policy, but none were certain or could cite it.
5.3	Are any of the agency's procurement personnel or staff employed in secondary work that potentially conflicts with their ability to perform their procurement function, as must be disclosed per HR Conditions of Employment R2-5A-503? (SPO TB #001)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.4	Does the agency have internal systems of control to guard against employee or public officer purchase of materials or services for their own personal, or business, use from contracts entered into by the state? (R2-7-204)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5	Does agency have on file Annual Procurement Disclosure Statements for all employees, whose regular responsibilities include: Soliciting quotes greater than \$10,000 for the provision of materials, services, or construction; Issuing open market purchase orders with department buyer or basic purchasing roles in ProcureAZ; and, making decisions on protests or appeals by a party regarding an agency procurement selection or decision? (SPO SP #003).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.5.1	Has agency director waived Annual Procurement Disclosure Statements for any employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
5.6	Are responsibilities divided between different employees so one individual does not control all aspects of procurement?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

5.7	Upon receipt of a submission, and CPO written determination, is the procurement office adequately safeguarding confidential information? (R2-7-103)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.8	Are contract files kept safe from tampering by unauthorized personnel?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.9	Are there procedures in place to safeguard contract files during file reviews or when the public accesses the agency's procurement records?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.10	Does the agency routinely check statewide contracts and state set-asides prior to issuing an open-market requisition (Delegated Procurement Authority & SPO TB# 004)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	No off-contract purchases reviewed.
5.11	Does the office regularly monitor agency P-card purchases? (SPO TB #040)	<input type="checkbox"/>	<input checked="" 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 "E-Comply" anonymous/confidential reporting compliance and ethics email address?	<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 02/2015)					
5.18.1	Does the office practice due diligence in selection of cooperative contracts – cooperative contract complies with	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	requirements of 41-2533, 41-2534, 41-2535, TB# 005?					
5.18.2	CPO performs cost analysis to determine best value? (R2-7-1003B)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.3	CPO reviews contract terms and conditions (R2-7-1003B)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.4	Office verifies vendor has capacity and willingness to extend contract to the state? (R2-7-1003B)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.18.5	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"/>	

Item No.	Recommendations	Assigned to	Estimated Completion
5.2	Should identify and cite ADVS policy for addressing unethical behavior in Procurement Policy and Procedures manual.	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 (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.

Request for Quotation (RFQ)	
Solicitation or Contract Number:	ADVS14-073357
Contract Title or Description:	Life Safety
Contract Estimated Amount:	<\$100,000

6.1	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"/>	Requisition not linked to solicitation file in ProcureAZ, no written request uploaded.
6.1.2	Should a set-aside or statewide contract been considered/used?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.3	Was this procurement performed by an authorized procurement officer within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.4	Is there any evidence that this was artificially divided or fragmented so as to circumvent this section? (ARS §41-2535.C)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6.1.5	Does the RFQ include a statement that only a small business as defined in R2-7-101, shall be awarded a contract? (R2-7-D302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.5.1	If RFQ was not awarded to a small business, is there a determination in file that less than three small businesses are registered, or that restricting procurement to small business is not practical under the circumstances (R2-7-D302)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.6	Does the RFQ include the following (R2-7-D302.A):					
6.1.6.1	Offer submission requirements, including					

	offer due date and time, where offers will be received, and offer acceptance period	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Solicitation/Contract file does not indicate number of committee members – unclear if file contains sufficient number of PDS/COI disclosures (only 1 PDS in file), although award determination indicates >1 committee members.
6.1.6.5	Whether negotiations may be held	<input type="checkbox"/>	<input checked="" 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"/>	See 6.1.6.4.1 (only 1 in file). File neither contains PDS for state employees nor conflict of interest disclosures for non-state employees. Requisitioning employee?
6.1.8.1	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator? (SPO SP# 003)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.9	Is there a written basis for the award on file? (R2-7-D304)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.1.10	At the time of award, does a procurement file (either paper or	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	See 6.1.8

	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))					
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"/>	Dollar Limit set to 0, indicating no limit.
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 10 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"/>	Procurement File documentation uploaded to ProcureAZ on 06/18/14 (14 days after award).
6.1.12.2	Is there a valid and current Certificate of Insurance on file (if applicable)? (ARS §41-2573)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	General Liability Insurance expired 06/2014.
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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Documents titles do not match SPO SP#006 naming conventions.
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	Procurement officer should obtain copy of original requisition from end-user and upload to ProcureAZ.	Procurement Officer	ASAP
6.1.12.2	Procurement officer should obtain up-to-date certificate of insurance and upload to ProcureAZ.	Procurement Officer and CPO.	ASAP

	Chief Procurement Officer should implement office procedures to ensure up to date certificates of insurance are monitored and maintained for the life of the contract.		
6.1.6.4.1 6.1.8	Award determination indicates committee evaluated offers. However file does not contain evaluation committee recommendation. File only contains one PDS, and no Conflicts of Interest Disclosures. If additional documentation for committee members and decision exists, these should be loaded to the Procurement File on ProcureAZ.	Procurement Officer	ASAP
6.1.12.1	CPO should conduct staff training to ensure all documents are uploaded to contract file in a timely manner. Note: Effective 02/01/15 documents must be uploaded within 3 days of award.	CPO	ASAP

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

The following criteria is used for each representative contract.

Invitation for Bids (IFB)	
Contract Number:	ADVS14-073958
Contract Title or Description:	Northern Arizona Veterans Memorial Cemetery
Contract Estimated Aggregate Amount:	>\$100,000

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	05/07/14 Project Manual
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"/>	Approved by CPO
6.2.4	Was there adequate notice, a minimum of 14 days before bid opening, of the IFB in a newspaper? (Svc's 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 type="checkbox"/>	<input checked="" 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 instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	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"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	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"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<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,	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	ARS §23-901)					
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"/>	File neither contains PDS for state employees nor conflict of interest disclosures for non-state employees. 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 (Initiated April 2014).
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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, 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"/>	6.2.1 & 6.2.10
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	(Plan holder – construction)
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"/>	

6.2.17	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 10 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 ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Documents titles do not match SPO SP#006 naming conventions.
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
6.2.10	Procurement officer should obtain and upload copies of the Procurement Disclosure Statement (PDS) for each state employee involved the procurement process and upload to the contract file on ProcureAZ.	Procurement Officer	ASAP
6.2.11	CPO should provide procurement staff training to ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP

Invitation for Bids (IFB)	
Contract Number:	ADVS14-074241
Contract Title or Description:	Deep Water Well
Contract Estimated Aggregate Amount:	>\$100,000

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	05/06/14 Technical Specifications
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"/>	Approved by CPO
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 type="checkbox"/>	<input checked="" 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 instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	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"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	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"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<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"/>	
						File does not contain PDS

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"/>	for state employees (requisitioning employee?).
6.2.11	Did the agency director, or designee, inform employees when the first PDS was signed, and notify the State Procurement Administrator?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.12	Was the contract awarded to the lowest responsible and responsive offeror whose offer conforms in all material respects to the requirements and criteria in the solicitation? (R2-7-B314.A; SP# 043)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.13	If applicable, is there a non-responsibility determination on file? (R2-7-B313)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.14	Is there a record showing the basis for determining the successful offeror on file? (R2-7-B314.B)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.15	Were all offerors notified of the award, if ProcureAZ wasn't used? (R2-7-314.D)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.16	At the time of award, does a procurement file (either paper or electronic) exist, containing a list of notified vendors, final solicitation, non-disclosure statements, solicitation amendments, bids and offers, offer revisions, Best and Final Offer, negotiations, clarifications, final evaluation report, award determinations, 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"/>	6.2.1 & 6.2.10
6.2.16.1	Bidders – General Tab: Is Bid Holder List hidden from Vendors? (preventing collusion)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	(plan holder – construction)
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"/>	
6.2.17	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 10 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 ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Documents titles do not match SPO SP#006 naming conventions.
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
6.2.10	Procurement officer should obtain and upload copies of the Procurement Disclosure Statement (PDS) for each state employee involved the procurement process and upload to the contract file on ProcureAZ.	Procurement Officer	ASAP

Invitation for Bids (IFB)	
Contract Number:	ADVS14-078265
Contract Title or Description:	Arizona Veterans' Memorial Cemetery at Marana, Phase One Construction Services
Contract Estimated Aggregate Amount:	>\$100,000

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	06/24/14 Project Manual
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"/>	Approved by CPO
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 type="checkbox"/>	<input checked="" 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 instructions to offerors, including: (R2-7-B301.C.1)					
6.2.7.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.2.7.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.6	Any specific responsibility criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8	Any evaluation criteria.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.8.1	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"/>	
6.2.7.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.11	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"/>	
6.2.7.12	Certification by the offeror of compliance with A.R.S. § 41-3532 when offering electronics or information technology products, services, or maintenance (Section 508).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2.7.13	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-B301.C.3)	<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"/>	
						File does not contain PDS

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"/>	for state employees (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 checked="" type="checkbox"/>	<input 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, 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"/>	Fully executed Offer & Acceptance Form not in file (offeror signed, procurement counter-signed).
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"/>	
6.2.17	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 10 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 ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Documents titles do not match SPO SP#006 naming conventions.
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
6.2.10	Procurement officer should obtain and upload copies of the Procurement Disclosure Statement (PDS) for each state employee involved the procurement process and upload to the contract file on ProcureAZ.	Procurement Officer	ASAP
6.2.16	Procurement officer should obtain and upload fully executed offer and acceptance to the contract file on ProcureAZ.	Procurement Officer	ASAP

**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:	ADVS14-066356
Contract Title or Description:	Laundry and Linen Services
Contract Estimated Amount:	>\$100,000

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"/>	Procurement file not linked to requisition in ProcureAZ. No written requisition uploaded to ProcureAZ.
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"/>	Scope necessitated health-care facility specific standards -- not available under ACI Set-Aside for linens, or statewide for laundry.
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 Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					

6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or other means are, acceptable methods of submission.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	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"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	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"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-2532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.					

		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<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"/>	Note -- in some instances the PDS contained Yes/No questions not answered by signor.
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. (12/20/13).
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 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, 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 checked="" type="checkbox"/>	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"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 10 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"/>	Insurance in file expired 01/01/15.
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.4	For multi-term contracts, are there written determinations from the SPA of extension in the contract files (>5	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

years)? (R2-7-605 paragraphs A-C)					
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Item No.	Recommendations	Assigned to	Estimated Completion
6.3.1	Procurement officer should obtain and upload to ProcureAZ the original requisition.	Procurement Officer	ASAP
6.3.11 6.3.12	CPO should provide procurement staff training to review Procurement Disclosure Statements for completeness and to ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP
6.3.18.2	Procurement officer should obtain and upload to ProcureAZ current, non-expired, certificate of insurance.	Procurement Officer	ASAP

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

Item No.	Compliance Criteria			
6.0	Contracts			

Request for Qualifications						
Solicitation or Contract Number:		ADVS14-065801				
Contract Title or Description:		Professional Design Services – Arizona State Veterans' Memorial Cemetery @ Marana				
Contract Estimated Amount:		<\$100,000				
6.3B	Request for Qualifications (RFQ)	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"/>	Requisition not linked to solicitation file in ProcureAZ – no written requisition uploaded.
6.3.2	Should a set-aside or statewide contract been considered/used?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.3	Was this procurement performed by authorized procurement personnel within his/her delegated authority? (R2-7-206)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Approved by CPO
6.3.4	Was there adequate notice, a minimum of 14 days before bid opening, of the RFP in a newspaper? (Svcs only - excluding professional / construction) (ARS §41-2533.C, R2-7-B301)	<input checked="" type="checkbox"/>	<input 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 Terms and Conditions? (R2-7-C301)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8	Does the solicitation include instructions to offerors, including: (R2-7-C301.E.1)					
6.3.8.1	Offer Due Date/Time, Location where offers will be received, offer acceptance period. Specify whether hand delivery, U.S. Mail, electronic mail, facsimile, or	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	other means are acceptable methods of submission.					
6.3.8.2	The deadline date for requesting a substitution or exception to the solicitation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.3	Manner by which to acknowledge amendments – for material changes (TB# 043) (Proc AZ Quote/Summary)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.4	Minimum information required in the offer.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.5	The specific requirements for designating trade secrets and other proprietary information as confidential. (SPO Form 204: Designation of Confidential, Trade Secret & Proprietary Information. Effective 10/01/2014 – Prior to, only Uniform T&C's)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.6	Specific responsibility or susceptibility criteria. (RFP – TB47 – Attachment 1)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.7	Whether the offeror is required to submit samples, descriptive literature, and technical data with the offer.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.8	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"/>	
6.3.8.9	A statement of where documents incorporated by reference are available for inspection and copying.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.10	A statement that the agency may cancel the solicitation or reject an offer in whole or in part.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.11	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"/>	
6.3.8.12	Certification by the offeror of compliance with A.R.S. § 41-2532 when offering electronics or information technology products, services, or maintenance (508 Compliance).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.13	Any cost or pricing data required.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.14	The type of contract to be used.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6.3.8.15	That the offeror is required to declare whether the offeror has been debarred, suspended, or otherwise lawfully prohibited from participating in any public procurement activity, including, but not limited to, being disapproved as a subcontractor of any public procurement unit or other governmental body.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.16	Any offer security required.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.17	A statement that negotiations may be conducted with offerors reasonably susceptible of being selected for award.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.8.18	The term of the contract, including language for any applicable option for contract extension (ProcAZ Max/Control). (R2-7-C301.E.2)	<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 RFQ 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Significant procurement activity not listed on SPO website. (12/05/13).
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 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, 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"/>	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"/>	
6.3.18	Contract Administration					
6.3.18.1	Are contract files and records complete and available for public inspection within 10 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"/>	Procurement Disclosure Statements not uploaded until approximately 11 months after award.
6.3.18.2	Is there a valid and current Certificate of Insurance on file, with amounts consistent with contract requirements? (ARS §41-2573)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3.18.3	Are documents named and uploaded to ProcureAZ following the naming conventions outlined in SPO SP# 006?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Documents titles do not match SPO SP#006 naming conventions.
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	Procurement officer should obtain and upload to ProcureAZ the original requisition.	Procurement Officer	ASAP
6.3.12 6.3.18.1	CPO should provide procurement staff training to review Procurement Disclosure Statements for completeness and to ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP
6.3.18.1	CPO should conduct staff training to ensure all documents are uploaded to contract file in a timely manner. Note: Effective 02/01/15 documents must be uploaded within 3 days of award.	CPO	ASAP

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

Item No.	Compliance Criteria			
7.0	Emergency and Competition Impracticable			

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

Emergency Procurement	
Contract Number:	ADVS15-083094
Contract Title or Description:	Temporary Nurse Registry
Contract Estimated Amount:	\$20k

7.2	Emergency Procurement	N/A	Yes	No	Requires Action	Comments
7.2.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E302)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	VPR & Emergency Req in file.
7.2.2	Does the procurement request include the following? (R2-7-E302.C)					
7.2.2.1	Description of need and reason for the emergency (R2-7-E302.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2.2.2	Name of the supplier (R2-7-E302.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No proposed supplier listed.
7.2.2.3	Duration and estimated total dollar value of the procurement (R2-7-E302.C.3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Term of the contract in ProcureAZ Control is 1 day in excess of approved 5 month term.
7.2.2.4	Documentation that the price is fair and reasonable (R2-7-702; R2-7-E302.C.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Price as fair and reasonable not specifically addressed in <u>Emergency Procurement Request</u> (although might

						be <u>assumed</u> comparable to current contract price not being fulfilled by awarded vendor).
7.2.2.5	Was there a written approval by the delegated agency CPO or by the State Procurement Administrator for this emergency procurement? (R2-7-E302.D)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2.2.6	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"/>	
7.2.2.7	Was the emergency procurement limited only to the actions necessary to address the emergency? (R2-7-E302.F)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2.2.8	Given the circumstances, was maximum competition employed to protect the interest of the State? (R2-7-E302.G)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Neither proposed supplier, nor methods to ensure maximum possible competition, are evident on the Emergency Procurement Request.
7.2.4	Contract Administration					
7.2.4.1	Are contract files and records complete and available for public inspection w/in 10 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2.4.2	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.	Recommendations	Assigned to	Estimated Completion
7.2.2.2 7.2.2.4 7.2.2.8	CPO should provide training to staff and requisitioning employees on proper completion of Emergency Procurement Request, in accordance with APC, to include name of proposed supplier, that the price is determined to be fair and reasonable, and that documented efforts are retained to ensure maximum possible competition.	CPO	ASAP
7.2.2.3	Master Blanket/Contract End Date should be adjusted to reflect 03/30/15.	Procurement Officer	ASAP

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

Competition Impracticable Procurement

Contract Number:	ADVS14-060131
Contract Title or Description:	Physician Services Dr. Saka and Dr. Nguyen
Contract Estimated Amount:	\$122k

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"/>	CI Request in file
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Explanation states on-call physicians decrease VA costs, increase revenue, and provide timely-care. However, this explanation precludes the possibility that, through competitive bidding, another vendor could provide the same or better service and price.
7.3.2.2	A definition of the proposed procurement process to be utilized and an explanation of how this process will foster as much competition as practicable. (R2-7-E303.C.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	No proposed method of obtaining as much competition as is practicable proposed.
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"/>	See 7.3.2.1
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	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

	negotiated a suitable agreement while pursuing an impracticable situation? (R2-7-E303.A)					
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"/>	
7.3.2.7	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 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 10 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
7.3.2.1	CPO should provide training to staff and requisitioning employees in proper completion of CI requests, including detailed explanations as to why competition is not practicable (not simply the benefit of the current vendor)	CPO	ASAP

7.3.3.1	CPO should provide procurement staff training to ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP
7.3.5.1	CPO should conduct staff training to ensure all documents are uploaded to contract file in a timely manner. Note: Effective 02/01/15 documents must be uploaded within 3 days of award.	CPO	ASAP

Competition Impracticable Procurement	
Contract Number:	ADVS14-063272
Contract Title or Description:	Fourth Annual AZ. Vietnam Veterans Commemoration
Contract Estimated Amount:	\$50,000

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"/>	CI Request in file
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input 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"/>	
7.3.2.7	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 checked="" type="checkbox"/>	<input 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 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 10 days of award? (ARS §41-2533; SP#006)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Contract loaded to ProcureAZ 19 days after award.
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
7.3.3	Procurement Officer should obtain and upload to ProcureAZ Procurement Disclosure Statements for all personnel with a significant procurement role involved with this solicitation.	Procurement Officer	ASAP
7.3.3.1	CPO should provide procurement staff training ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP
7.3.5.1	CPO should conduct staff training to ensure all documents are uploaded to contract file in a timely manner. Note: Effective 02/01/15 documents must be uploaded within 3 days of award.	CPO	ASAP

Competition Impracticable Procurement	
Contract Number:	ADVS14-071027
Contract Title or Description:	Arizona Coalition for Military Families Services
Contract Estimated Amount:	<\$500,000

7.3C	Competition Impracticable Procurement	N/A	Yes	No	Requires Action	Comments
7.3.1	Is there a Procurement Request, in writing, on file (Requisition/Email/Other)? (Req copy) (ARS §41-2537 and R2-7-E303)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CI Request in file
7.3.2	Does the procurement request include the following? (R2-7-E303.C)					
7.3.2.1	An explanation of the competition impracticable need and the unusual or unique situation that makes competitive bidding impracticable, unnecessary, or contrary to public interest. (R2-7-E303.C.1)	<input type="checkbox"/>	<input 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"/>	
7.3.2.7	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 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 10 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
7.3.3.1	CPO should provide procurement staff training ensure significant procurement activities are loaded on the SPO Website as per SPO SP#003.	CPO	ASAP
7.3.5.1	CPO should conduct staff training to ensure all documents are uploaded to contract file in a timely manner. Note: Effective 02/01/15 documents must be uploaded within 3 days of award.	CPO	ASAP

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

Item No.	Compliance Criteria					
8.0	Contract Administration	N/A	Yes	No	Requires Action	Comments
8.1	Does the agency have procedures for contract administration?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.1.1	Are contract administration functions assigned?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.2	Are post-award (kickoff) meetings held for complex contracts, in which contractors and contracting officer representatives meet for clear & mutual understanding of terms and conditions?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3	Are contracts monitored for compliance with work progress to ensure services are performed according to quality, quantity, objectives, timeframes, and manner specified within the contract, based on inspection if necessary?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.1	Does agency respond to indications of material breach of contract?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.3.2	Does agency have procedures for determining needs for corrective action?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Office personnel all indicate knowledge of remedying poor vendor performance through sit-down meetings with contractor and developing action plan. However office does not contain written procedures.
8.4	Are contractor's insurance in file and up to date?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
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"/>	Office policy and procedure manual does not address methods to ensure insurance is up

						to date.
8.5	Are all applicable determinations in the contract file?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.6	Does the agency have procedures for rate increase requests?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.7	Does agency verify with end users that contract is needed and should be extended?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.8	Are amendments/addendums/contract renewals in compliance with contract terms?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9	Vendor Compliance					
8.9.1	Does agency appropriately respond to Vendor Performance Reports? (documenting both satisfactory & unsatisfactory performance)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8.9.2	(TBD) Does agency complete Vendor Performance Assessments annually and use in the evaluation of past suppliers?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Item No.	Recommendations	Assigned to	Estimated Completion



DOUGLAS A. DUCEY

GOVERNOR

ROBERT M. BARNES

INTERIM DIRECTOR

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ARIZONA DEPARTMENT OF VETERANS' SERVICES
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March 11th, 2015

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

RE: Compliance Audit Corrective Action Plan

Dear Mr. Beakley;

This letter is the Arizona Department of Veterans' Services, Corrective Action Plan to the State Procurement Office (SPO), Compliance Organization's recent Procurement Performance Review.

SPO Compliance identified the following areas for improvement and our corrective action plan is directly following for each item:

1) The ADVS Procurement Manual

SPO Compliance Findings are that the section addressing Limited Competition Procurements requires additional detail to prevent violations of the APC and the section addressing State Set-Aside purchasing requires additional detail to prevent potential violations.

ADVS will update our Procurement Policies and Procedure Manual's to include instructions the following:

- a. The section on Limited Competition Procurements will include instructions as prescribed by the APC, for Sole Source and Emergency procurements to include the name of the proposed supplier, duration, and projected dollar amount of the procurement, documentation that the price is fair and reasonable, and what efforts were made to seek additional sources.
- b. The section on State Set-Aside purchasing will be updated to include SPO Technical Bulletin #4 language, "as a routine practice, procurement officers should first consider the use of set aside agency products or services before they utilize other procurement methods".
- c. The section on Contract Administration will be updated to provide additional direction and measures for assurance that all contract files contain current and up-to date certificates of insurance, and office procedures for addressing adverse vendor performance.
- d. ADVS will add instructions for adding, deleting and modifying authorized procurement authority in ProcureAZ.

This above changes to be completed no later than April 11th, 2015.

2) ADVS Contract Files

SPO Compliance Findings:

- Some solicitations impacted by Significant Procurement Role procedures have not been posted to the SPO website.
- Some relevant contract files lacked copies of fully executed Procurement Disclosure Statements as required by SPO Standard Procedure #3.
- Some contract files did not have all required documentation uploaded in ProcureAZ within the appropriate time as required by SPO Standard Procedure #006.
- Some procurement files did not contain either an electronic requisition or a request in writing.
- Some agency Limited Competition procurements did not contain the required information such as name of the proposed supplier, documentation that the price was fair and reasonable, or evidence that the maximum competition was employed to protect the interest of the state as per R2-7-E302 (7.2).

ADVS will make the following changes:

- ADVS will scan and upload missing documents to their respective contract files in ProcureAZ. Will complete efforts by June 11th, 2015.
- ADVS will address the requirements of SPO SP #4 and APC R2-7-295 by ensuring requisitions are submitted and linked to the contract file through ProcureAZ. When a requisition is not available, ADVS will implement processes which ensure written requests, by methods approved by the CPO, are obtained from the program manager initiating the procurement, and then retain the written record in the procurement file of record. ADVS will implement by May 11th, 2015.
- ADVS CPO will provide the ADVS procurement staff training addressing SPO Standard Procedure #003 and Technical Bulletin #010 to enhance personnel understanding and compliance of the Significant Procurement Role. Training will specifically address retaining Procurement Disclosure Statements in the contract file of record and to notify SPO of all significant procurement activity. ADVS will provide training by May 11th, 2015.
- ADVS CPO will provide ADVS procurement staff training in the completion of limited competition procurement requests that address all of the requirements in the Arizona Procurement Code. The training will also address avoiding statements within the determination requests that leave questions of third party reviewers. ADVS will provide training by May 11th, 2015.
- ADVS procurement will update its procurement File Checklist to include specific instructions for the Contract Folder, and the ADVS Policies and Procedures Manual, under "Contract Administration and Procurement File Management" to direct procurement officers to ensure all documents are uploaded into ProcureAZ within 3 days of award. ADVS will complete this by May 11th, 2015.

Please contact myself at (602) 234-8404 or dwisniewski@azdvs.gov with any concerns or questions regarding this response.

Respectfully,

David Wisniewski

David Wisniewski
 Chief Procurement Officer
 Arizona Department of Veterans' Services
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