

Office of Operations  
2013 Fall Conference  
November 6-7  
*Back to Basics*

# Getting to Yes on Contract Approval - Procurement Mirror Check -

Joanne Hughes, Randy McConnach, Paula Shappy,  
Krista Gardner, Michelle Y. Ko and Page Morrison



New York State Office of the State Comptroller  
Thomas P. DiNapoli, Comptroller

## Office of Operations

John Traylor, Executive Deputy Comptroller

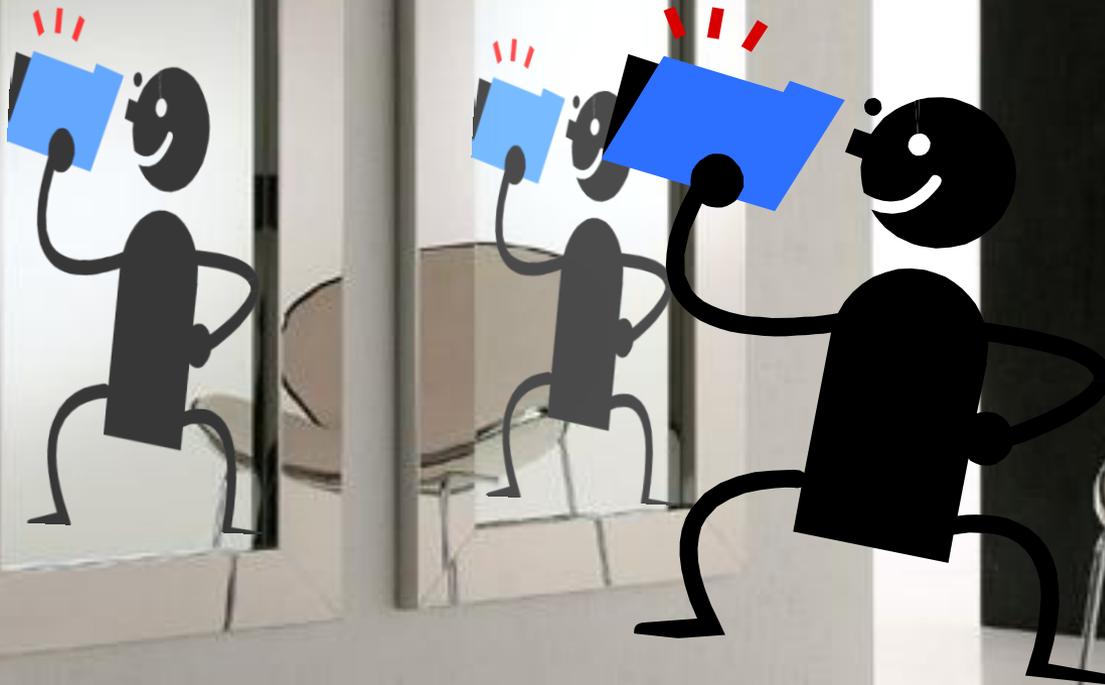
## Division of Contracts and Expenditures

Margaret Becker, Deputy Comptroller

Charlotte Breeyear, Director, Bureau of Contracts

# Procurement Mirror Check

Getting to  
**YES** –  
Contract  
Approval



# Overall Agenda

- ➔ **Self Assessment Tools in Procurement**
- ➔ **Amendment Requirements**
- ➔ **SFS Considerations**
- ➔ **Miscellaneous**



# Procurement Mirror Check

## Self Assessment Tools in Procurements



# Get to **Yes** with OSC



## Online Tools



The Office of the State Comptroller:

<http://www.osc.state.ny.us/>



Open Book New York:

<http://www.openbooknewyork.com/>



Guide to Financial Operations (GFO)

<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>



The screenshot displays the official website of the New York State Comptroller, Thomas P. DiNapoli. The top navigation bar includes links for 'Our Office', 'Newsroom', 'Resources For...', and 'Find Info About...'. A search bar is located in the top right corner. The main content area features a large 'Open Book' banner with the text 'See where your tax dollars go with Open Book's state and local government spending and contract information.' Below this, there is a section titled 'OPEN BOOK NEW YORK' with four interactive cards: 'Search Local Gov. Spending', 'Search State Contracts', 'Search State Spending', and 'Search State Payments'. At the bottom, there is a section for the 'Guide to Financial Operations' with a 'What's New' link.

# Guide to Financial Operations (GFO) for Yes!



http://www.osc.state.ny.us/index.htm

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- State Comptroller DiNapoli Statement on Anniversary of Superstorm Sandy
- DiNapoli: Quarter of Property Value in New York Considered Tax Exempt

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Current & Former State Employees  
NYS Agency Payroll Officers  
NYS & Local Retirement System Members, Employers and Retirees  
NYS Public Authorities Representatives  
State Agency Representatives  
Vendors Doing Business With NYS

**Book**  
Years go with Open government spending

**Latest News**  
DiNapoli: State Fiscal Picture Stable  
State Comptroller DiNapoli Statement on Anniversary of Superstorm Sandy  
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STATE OF NEW YORK COMPTROLLER



# Guide to Financial Operations (GFO) for Yes!

http://www.osc.state.ny.us/agencies/index.htm

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## Office of the State Comptroller

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OSC Home > State Agencies

### State Agencies

State Employees & Retirees | New Yorkers | State Vendors | Local Government & School Districts

Resources for Payroll Officers

Get Form

Employee Travel Guidelines

**Find Accounting Policies and Operational Guidance**

Access the single source for agency information concerning state financial transactions. It includes accounting policies, procedures and mandates.

FINANCIAL REPORT

FINANCIAL REP



# Guide to Financial Operations (GFO) for Yes!



The screenshot shows a web browser window with the URL <http://www.osc.state.ny.us/agencies/guidelines.htm>. The page header identifies the New York State Comptroller Thomas P. DiNapoli and the Office of the State Comptroller. A navigation menu includes 'Our Office', 'Newsroom', 'Resources For...', and 'Find Info About...'. The main content area is titled 'Find Accounting Policies and Operational Guidance' and features a large blue 3D arrow pointing right. Below the title is a list of links:

- [The Guide to Financial Operations](#)
- Bulletins
  - [A Bulletins](#)
  - [G Bulletins](#)
  - [P Bulletins](#)
- Advisories
  - [Accounts Payable Advisories](#)
  - [Contract Advisories](#)
  - [Operational Advisories](#)
  - [Vendor File Advisories](#)
- [Lapsing Resources](#)
- [Fiscal Year End Resources](#)

The footer contains four columns of links:

Our Office	Hot Topics	Resources For...	Find Info About...
<a href="#">About the Comptroller's Office</a>	<a href="#">Comptroller's Legislative Program</a>	<a href="#">Current &amp; Former State Employees</a>	<a href="#">College Savings Program</a>
<a href="#">About Comptroller DiNapoli</a>	<a href="#">Comptroller's Green Initiative</a>	<a href="#">Local Government Officials</a>	<a href="#">Employment Opportunities at the Comptroller's Office</a>
<a href="#">Fighting Government Fraud</a>	<a href="#">Reporting Government Fraud</a>	<a href="#">NYS Agency Payroll Officers</a>	<a href="#">Freedom of Information Law (FOIL)</a>
<a href="#">Intergovernmental &amp; Community</a>	<a href="#">Government Transparency</a>	<a href="#">NYS &amp; Local Retirement System</a>	



# Guide to Financial Operations (GFO) for Yes!

Search this Guide - Windows Internet Explorer provided by OSC

http://osc.state.ny.us/agencies/guide/MyWebHelp/

File Edit View Favorites Tools Help

Search this Guide

TOC

- Welcome
- Chapter I OSC Guide to Financial Operations Overview
- Chapter II New York State (NYS) Financial Accounting
- Chapter III Statewide Financial System (SFS) Overview
- Chapter IV Accounting Codes – Uses and Descriptions
- Chapter V Chart of Accounts (COA) Governance
- Chapter VI Budgets
- Chapter VII State Revenues and Appropriated Loans
- Chapter VIII Journal Entries and Journal Vouchers
- Chapter IX Federal Grants
- Chapter X Guide to Vendor/Customer Management
- Chapter XI Procurement and Contract Management
- Chapter XII Expenditures
- Chapter XIII Procurement and Contract Management
- Chapter XIV Special Procedures
- Chapter XV End of Year
- Chapter XVI Financial Reporting
- Chapter XVII Lapsing Appropriations

State of New York  
Office of the State Comptroller  
Thomas P. DiNapoli, State Comptroller

## Guide to Financial Operations

Welcome

[New »](#)

content

Internet 105%



# Budget Approval Gets to **Yes!**



## Division of Budget (DOB) 1184 Approval



A Division of Budget approved 1184 Attachment A is required for state Agencies, excluding Public Benefit Corporations, State Universities of New York and non-Executive Agencies.



An agency approved 1184 Attachment B is required for health and safety purchases or purchases with 75% federal reimbursement.



All Budget Bulletins currently in effect are located on the DOB website:

<http://www.budget.ny.gov/guide/bprm/bulletins/bulletinindex.html>



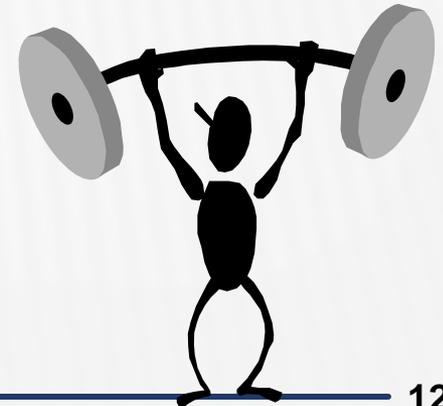
# Budget Approval Gets to **Yes!**



## **Contract Breakout on Blanket 1184**



**Occasionally, an approved 1184 will reference more than one obligation: the document needs to clearly indicate the transaction submitted and its value associated with the “blanket” approval. The sum of all obligated agreements must not exceed the overall value of the Attachment.**



# Facilitating Yes!



## Preferred Source Waiver



If a New York State Preferred Source offers the commodity or service your agency is procuring, the preferred source supplier must be used, unless the preferred source provides a waiver releasing your agency to use a statewide agreement or conduct a competitive award.



**Guidelines:**

<http://www.ogs.state.ny.us/procurecounc/pdfdoc/psguide.pdf>



**Offerings:**

<http://www.ogs.state.ny.us/procurecounc/pdfdoc/pslist.pdf>



# Facilitating **Yes!**



## Statewide Contracts



**For transactions submitted to OSC where an Office of General Services (OGS) statewide agreement exists for the same commodity or service, the agency must include in the procurement record documentation detailing why the OGS contract does not meet the agency's form, function and utility.**



# Yes to Plan to Procure Letters for Technology Purchases



## Information Technology Services (ITS) Plan to Procure (PTP) Letter



Transactions for technology related materials and services require an ITS PTP letter.



Link to Technology Policy and Agency Submission Requirements:

<http://www.its.ny.gov/ptp>



# Prevailing Rate Case Numbers Get to **Yes!**



## Prevailing Rate Case (PRC) Number



Transactions for public works, including construction (Article 8 of the New York State Labor Law) and building services (Article 9 of the New York State Labor Law), require a PRC Number to establish the prevailing wage rate paid to employees for the work performed.



Link to request a PRC Number from the Department of Labor:

<http://www.labor.state.ny.us/workerprotection/publicwork/PWReqforOWS.shtm>



The PRC number must be included in the solicitation document to ensure all contractors bid while knowing their minimum labor cost. Bids at cost lower than the prevailing wage will require an explanation that the contractor can perform the service at the PRC rate.



# Bidders' List Gets to Yes!



## Bidders' List



**All competitive procurements must include a list of potential contractors invited to participate in order to enhance competition.**



# Get to **Yes** with the Contract Reporter



## New York State Contract Reporter



<http://www.nyscr.org/Public/Index.aspx>



Advertisements must be designed to promote competition



Refrain from making brand specific references

- If a particular item must be specified, include an “or equal” to avoid limiting competition



Indicate the full period of time, and include renewal



Consider announcing mandatory site visits in the advertisement



# Get to **Yes** on Discretionary Advertisements



## Discretionary Purchases



### BEST PRACTICE LANGUAGE #1

**(Agency X) intends to purchase (1,000 widgets) pursuant to its discretionary authority under State Finance Law Section 163 (6). Interested parties should contact (agency contact person) to discuss this opportunity.**



# Get to **Yes** on Discretionary Advertisements

## BEST PRACTICE LANGUAGE #2

**Agency x intends to purchase (1,000 widgets) pursuant to its discretionary authority under State Finance Law Section 163 (6), which authorizes purchases without a formal competitive process in certain circumstances, including purchases from New York State small businesses, from businesses certified pursuant to Article 15-A of the New York State Executive Law and, if applicable, from businesses selling commodities or technology that are recycled or remanufactured. Interested parties should contact [agency contact] to discuss this opportunity.**

## BEST PRACTICE LANGUAGE #3

**Agency x intends to purchase (1,000 widgets) pursuant to its discretionary purchasing authority under State Finance Law Section 163. This procurement opportunity is limited to NYS Small Businesses, businesses certified pursuant to Article 15-A of the NYS Executive Law and, if applicable, businesses selling commodities or technology that are recycled or remanufactured.**



# Get to **Yes** with Documents for New Contracts



- ➔ **Procurement Record Checklist**
- ➔ **Awarded Contractor's Original Bid**
- ➔ **Vendor Questions & Agency Answers, if applicable  
(Be sure to demonstrate that all potential contractors received the Q&A)**
- ➔ **Blank Solicitation with All Appendices**
- ➔ **Intended Encumbrance**
- ➔ **Up to Date Appraisal Reviews**



# Vendor Responsibility Gets to **Yes!**

- ➔ **Vendor Responsibility Profiles are required for all new contracts and amendments.**
- ➔ **Vendor Responsibility Questionnaires (VRQ) are required for all transactions valued at \$100,000 and all contracts exceeding \$100,000 for the first time.**
  - **If the Contractor has filed an online VRQ in the VendRep System, no paper is necessary.**
  - **Detailed Vendor Responsibility information, including specific exemptions, can be found here:**

**<http://www.osc.state.ny.us/vendrep/>**



# Vendor Responsibility Gets to **Yes!**



## **Workers Compensation and Disability Benefit Insurance Certifications**

- **New contracts and amendments that extend the contract term require WC and DB certifications.**
- **More information regarding a contractor's Workers Compensation and Disability Benefits coverage can be found here:**

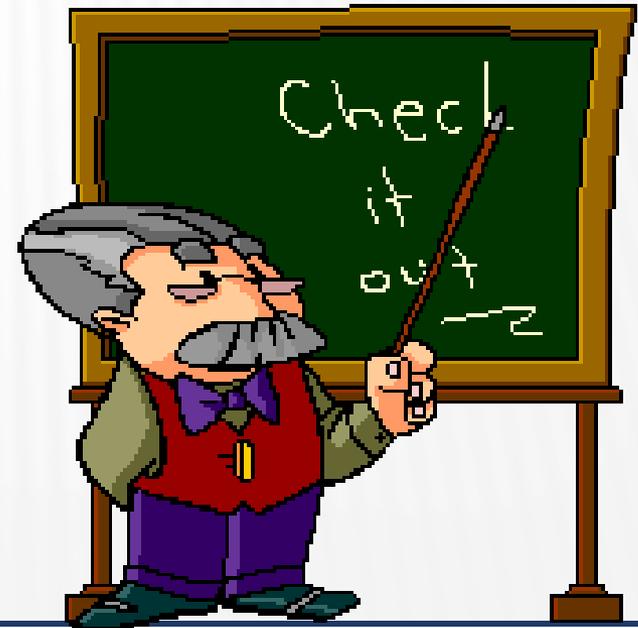
**[http://www.wcb.ny.gov/content/ebiz/icempcovsearch/icempcovsearch\\_overview.jsp](http://www.wcb.ny.gov/content/ebiz/icempcovsearch/icempcovsearch_overview.jsp)**



# Required Documents to Get to Yes!

- ➔ Consultant Form A\*
- ➔ Lobby Law \*
- ➔ ST220-CA \*
- ➔ Enabling Legislation\*
- ➔ Municipal Resolutions\*
- ➔ Authority Board Resolutions\*
- ➔ Need Justification
- ➔ Cost Justification
- ➔ Iran Divestment Language

\* If Applicable



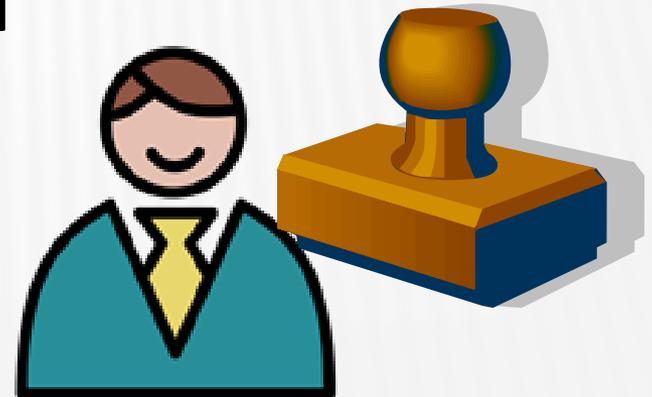
# Include in the Procurement Record for **Yes!**

- ➔ **Cover Memo to OSC**
- ➔ **Rejected Bids**
- ➔ **Non-Award Letters**
- ➔ **Protests**



# Say **Yes** to Authorized Signatures

- ➔ **Notarized contractor signature**
- ➔ **Agency signature by an authorized individual**
- ➔ **Attorney General approval, if applicable**
- ➔ **Civil Service Stamp**
  - **Only required for “S” contracts when a contract is with an individual**



# Say **Yes** to Authorized Signatures

## Original Signed Stand-Alone Purchase Order

**For Phase 1 Agencies, a Stand-Alone Purchase Order, as opposed to a contract encumbrance, is generated in SFS as an “un-authorized” copy.**

**The “un-authorized” copy must be signed by the agency. After approval, OSC generates and stamps the “authorized” version of the Stand-Alone PO, and transmits the stamped version back to the agency.**



# Get to Yes!



**When less than 3 bids are received:**



**Canvass No Bids**



**Address Specifications**



**Provide Price Reasonableness**



# Price Justification Gets to Yes!

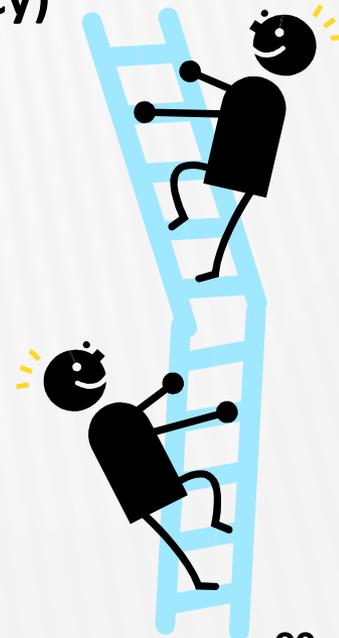


**When Less Than 3 Bids are Received:**



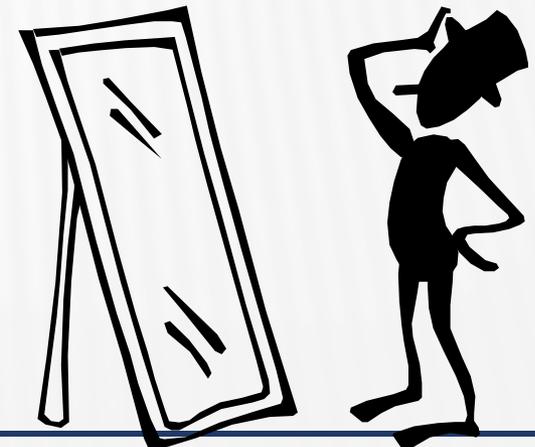
**Price Reasonableness Comparison Tools:**

- Purchase made by other state agencies (Check SFS & Open Book)
- Purchase made by other states (look at other state's websites)
- Purchase made by similar facilities (within your agency)
- GSA pricing (Available online at <http://www.gsaelibrary.gsa.gov/ElibMain/home.do>)
- Discounts from published price lists
- OGS pricing
- Historical cost
- Manufacturing costs plus profit
- Cost of similar projects or items
- Description of due diligence process



# Ensuring **Yes** with Administrative Mirror Checks

- ➔ **Correct Department ID**
- ➔ **Correct Vendor ID**
- ➔ **Correct Contract Amount**
- ➔ **Not to Exceed Contract Amount in the Agreement**
- ➔ **Sufficient Encumbrance Amount**



# Get to **Yes** with Contract Assignment

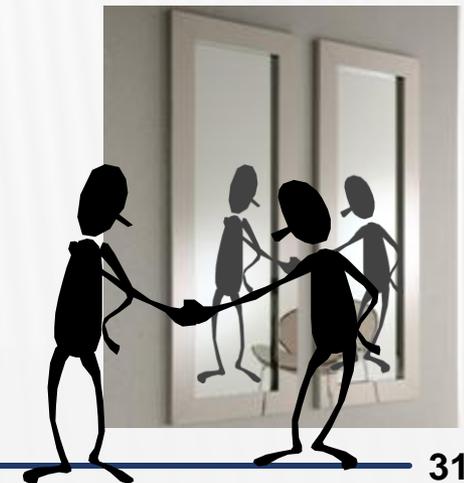
- ➔ Assignments must have an **Effective Date** in the agreement.
- ➔ Assignments require two SFS transactions.

## Assignor Transaction

- Single Transaction Summary (STS) to end term on a day prior to the Effective Date
- Reduce the remaining balance to \$0.00

## Assignee Transaction

- New contract number
- Use the Effective Date as the STS start date
- Up to the remaining balance may be transferred to the new contract



# Method of Award Gets to Yes!



## Method of Award



**Include the method of award specifics**



**Award consistent with stated methodology**



**Evaluate qualifications only, not cost, in the selection of an architect, engineering or surveying service**



# Method of Award Gets to **Yes!**



## Method of Award



**Grand Total vs. Item**



**Prevailing Wage Percent Markup**



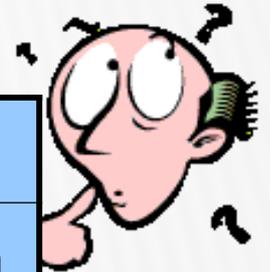
**Estimated Hours x Rate**



# Method of Award: Mirror Check **Yes** Quiz 1



**Grand Total: List the Items, Add them Up**



Item	Vendor Bid		
	Bergdorf	Bloomingdales	Bon-Ton
Socks	<del>\$10</del>	\$8	\$4
Pants	<del>\$890</del>	\$70	\$30
Shirt	<del>\$50</del>	\$45	\$20
Jacket	\$225	\$175	<del>\$145</del>
Hat	\$34	\$35	<del>\$199</del>
<b>Grand Total</b>	<b>\$409</b>	<b>\$333</b>	<b>\$199</b>



# Method of Award: Mirror Check **Yes** Quiz 2



## Snow Plowing Services:

Method of Award Hourly Estimated Usage.

Write the number of hours to plow our lot and multiply by your price per hour bid.



Vendor	Hours	Price	Total Bid
2 Shovels, Inc.	15	\$10	\$ 150.00
Flurries Plowing	5	\$40	\$ 200.00
Blizzard Mountain	1	\$125	\$ 125.00



# Procurement Mirror Check

# Amendment Requirements



# Amendment Topics for **Yes!**

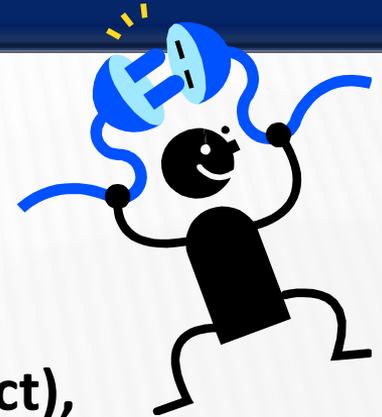
- ➔ **Iran Divestment Act language**
- ➔ **Updated Appendix A**
- ➔ **Amendment contract amount**
- ➔ **Adding to or reducing leased space**
- ➔ **Procuring additional lease services, such as 24 hour HVAC or additional cleaning services**



# Get to **Yes** with Iran Divestment Act Language



## **Incorporation of Iran Divestment Act**



**As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), §165-a, effective April 12, 2012.**

**Effective July 17, 2012, Chapter 106 of the 2012 laws of New York extended the Act to State and local public authorities, the State University of New York and the City University of New York.**



# Get to **Yes** with Iran Divestment Act Language

**For commodities, services, construction and printing contracts, the Act requires that bids or offers for and renewals or assignments of contracts include certification by the contractor with respect to investment activities in Iran.**



# Get to **Yes** with Iran Divestment Act Language

- ➔ **References**  
**GFO XI.18.F. The Iran Divestment Act of 2012**
- ➔ **See Office of General Services (OGS) Purchasing Memorandum CL-768 for text for solicitations, contracts, assignments renewals and extensions.**  
<http://www.ogs.ny.gov/BU/PC/purchase/spg/pdfdocs/CL768.pdf>
- ➔ **The list is available on the OGS website at**  
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>



# Get to **Yes** with Appendix A

## GFO XI.2.J. Uniform Statutory Provisions for Contracts

A number of federal and New York State laws, rules, and regulations impact New York State procurements. The New York State Department of Law summarizes some of these requirements into Appendix A, Standard Clauses for all New York State contracts, which is to be attached to each state contract.

All contracts not containing Appendix A will be returned to the agency by the Attorney General or the State Comptroller.

Appendix A can be accessed from the OGS website at <http://ogs.ny.gov/About/Docs/AppendixA.pdf>



# Get to **Yes** with Appendix A

## **APPENDIX A**

### **STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS**

**PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.**

**December, 2012**



# Get to **Yes** with Amendment Contract Amount

**Amendment contract amount should take into consideration the original contract amount minus the current Life to Date expenditures, all outstanding vouchers, and all anticipated spending through the end of the period (LTD expenditures) for a more accurate increase/decrease in contract value for the renewal.**



# Get to **Yes** with Amendment Contract Amount



**For example, 1 year renewal:**



**The original contract value for 2 years was \$100,000.00 or \$50,000.00 per year.**



**The LTD expenditures are \$80,000.00.**



**\$80,000.00/2 years is \$40,000.00/year.**



# Get to **Yes** with Amendment Contract Amount

\$ 100,000.00	Current contract amount
- <u>\$ 80,000.00</u>	<u>LTD expenditures</u>
= \$ 20,000.00	Balance of contract amount

\$ 40,000.00	Projected yearly renewal needs
- <u>\$ 20,000.00</u>	<u>Balance of contract amount</u>
= \$ 20,000.00	<b>Amount needed for renewal</b>

**\* Add CPI pricing Increases, if applicable**



# Get to **Yes** with Amendment Contract Amount



## **Not to Exceed Limits for Contract Renewal**



**Contracts should include revised “not to exceed contract amount” language.**



**As all new contracts must contain “not to exceed contract amount” language, you must remember to revise the “not to exceed amount” when amending the contract for renewals.**



# Get to **Yes** with Amendment Contract Amount



## Adding Out of Scope Work to an Existing Contract



Contact OSC first before authorizing any work outside the contract scope

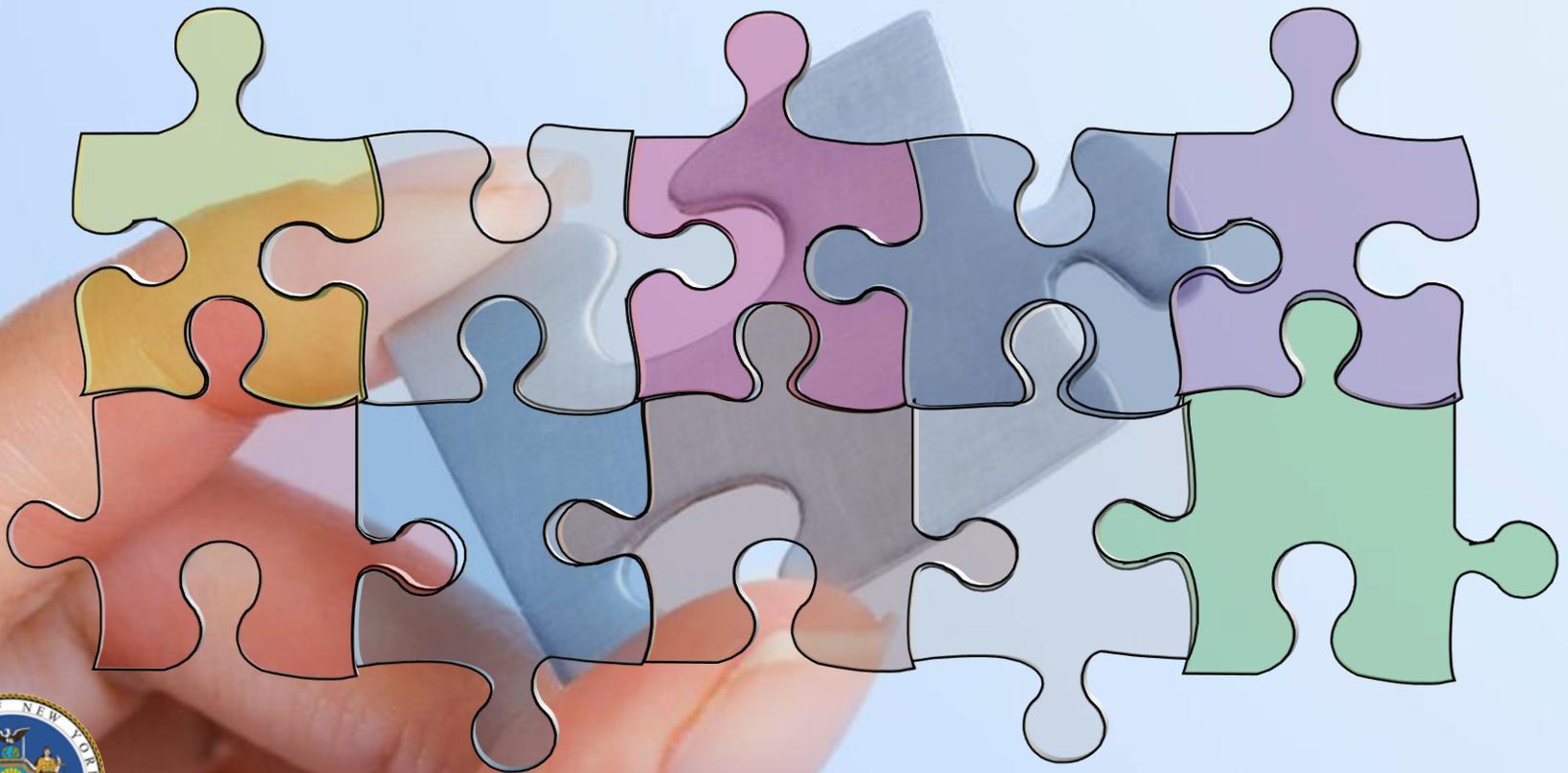


A contract Reporter exemption may be deemed necessary

- Must be approved prior to the submission of the contract amendment
- A new procurement may be required
- Reference GFO XI.2.H. Multi-Year Contract Renewals

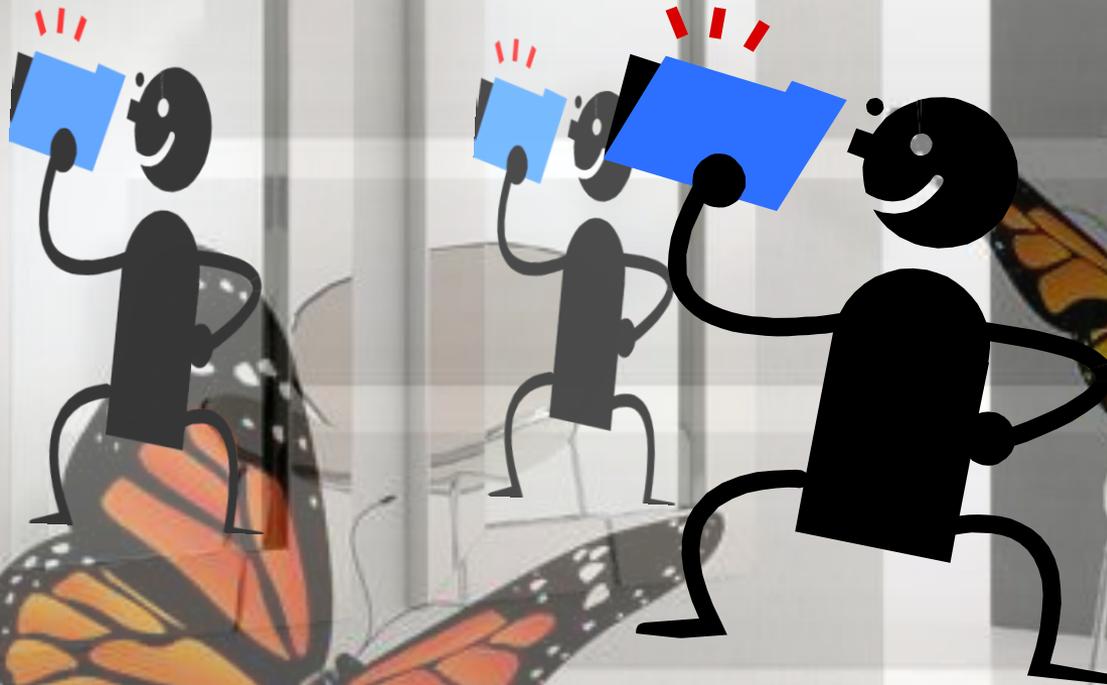


# YES! to a BREAK



# Procurement Mirror Check

Getting to  
**YES** –  
Contract  
Approval



# Procurement Mirror Check

## SFS Considerations



# SFS Entry Checkpoints for **Yes!**

- ➔ **Vendor Name & SFS Vendor ID**
- ➔ **Contract Amount**
- ➔ **Corporate Contract Box**
- ➔ **Stand-Alone Purchase Order:  
Freight Term**



# Get to **Yes** with Vendor Name & SFS Vendor ID

**Vendor name and ID number in SFS must be identical with the information in all procurement documents, including but not limited to the bid, contract, ST-220-CA, VendRep documents, and insurance certifications.**



# Get to **Yes** with Contract Amount



**OSC cannot** change a contract amount in SFS.



**OSC takes the transaction off of SFS.**



**Agency revises and re-enters the transaction into SFS.**



**Agency submits the revised STS/AC340-S with revised documentation, if applicable.**



**OSC receives the transaction and finalizes the approval.**



# Get to **Yes** with Corporate Contract Box

In SFS, when the Corporate Contract (CC) box is unchecked **and** the agency's business unit is unidentified, an agency will not be able to encumber funds or make payments against a contract.



# Get to **Yes** with Corporate Contract Box

**Contract** [Create Releases](#) [Review Releases](#)

SetID: SHARE Status: Requested PO  
Contract ID: OMH01-██████████ Audit Type: TBP [Amendment Details](#)

**Header**

Process Option: Contract [Add Comments](#) [Activity Log](#)  
Vendor: ██████████ [Contract Activities](#) [Document Status](#)  
Vendor ID: ██████████ [Primary Contact Info](#) [Thresholds & Notifications](#)

Begin Date: 03/01/2013  
Expire Date: 02/28/2018  
Currency: USD CRRNT

Primary Contact:  
Vendor Contract Ref:  
Description: Preventative Maint Gen

Master Contract ID:  
 Tax Exempt

**Amount Summary**

Maximum Amount:	152,208.00 USD
Total Line Released Amount:	0.00
Open Item Amount Released:	34,825.00
<hr/>	
Total Released Amount:	34,825.00
Remaining Amount:	117,383.00
Remaining Percent:	77.12

**Order Contract Options**

Allow Multicurrency PO  Allow Open Item Reference  Must Use Contract Rate Date  
 Corporate Contract  Adjust Vendor Pricing First Rate Date: 04/29/2013  
 Lock Chartfields  Price Can Be Changed on Order

[Defaults](#) [PO Open Item Pricing](#) \*Dispatch Method:



# Get to **Yes** with Corporate Contract Box



# Get to **Yes** with Corporate Contract Box

**Contract Entry**

**PO Defaults**

SetID: SHARE Contract ID: OMH01-██████████

**Header**

\*Business Unit: **OSC01**

Vendor Loc: MAINEPAY

Buyer:

Origin: ONL

Currency: USD CRRNT

Payment Terms ID: 30

**Shipping Information**

Ship To:  [Ship To Address](#)

Location:

IN Unit:

Freight Terms: ORIGIN

Ship Via:

Charge By: Quantity

*GL Unit	Dept	Program	Fund	Account	Product	Bud
OMH01	<input type="text"/>					

[Add Comments](#)

OK Cancel Refresh

**Contract Entry**

**PO Defaults**

SetID: SHARE Contract ID: OMH01-██████████

**Header**

\*Business Unit: **OMH01**

Vendor Loc: MAINEPAY

Buyer:

Origin: ONL

Currency: USD CRRNT

Payment Terms ID: 30

**Shipping Information**

Ship To:

Location:

IN Unit:

Freight Term:

Ship Via:

Charge By: Quantity

*GL Unit	Dept	Program	Fund	Account	Product	Bud
OMH01	<input type="text"/>					

[Add Comments](#)

OK Cancel Refresh



# Stand-Alone PO: Freight Term for **Yes!**



Change Freight Term of  
Phase 1 Agency  
Stand-Alone PO to  
**FOB Destination** from  
FOB Origin.



# Stand-Alone PO: Freight Term for **Yes!**



# Stand-Alone PO: Freight Term for **Yes!**

AC 130-S (Effective 4/12)

STATE OF  
NEW YORK

## PURCHASE ORDER

SFS Dept. ID	Date (MM) (DD) (YY)	AP BU and PO TYPE	Vendor: Show On All Bills and Correspondence			
Originating Agency			Comptroller's Contract No.	Commodity Group No.	SFS PO Number	
Vendor			Bill To			
SFS Vendor ID			Ship To (if different than address above)			
Unless Otherwise Indicated, All Prices Are F.O.B. Destination						
Discount Terms % Days						
Vendor: Direct Questions to:						
Telephone No.						
Item No.	Description of Material/Service	Quantity	Unit	Price	Amount	



# Stand-Alone PO: Freight Term for **Yes!**

## Purchase Order

[Redacted]  
 [Redacted]  
 Albany NY [Redacted]  
 United States  
  
 Vendor: [Redacted]  
 [Redacted]  
 [Redacted]  
 [Redacted]

Purchase Order		Date	Revision	Page
[Redacted]		06/25/2013		1
Payment Terms	Freight Terms	Ship Via		
Net 30	Origination	Common		
Buyer	[Redacted]	Currency		
		USD		
Ship To:	See Detail Below			
Bill To:	[Redacted]			
	Albany NY [Redacted]			
	United States			

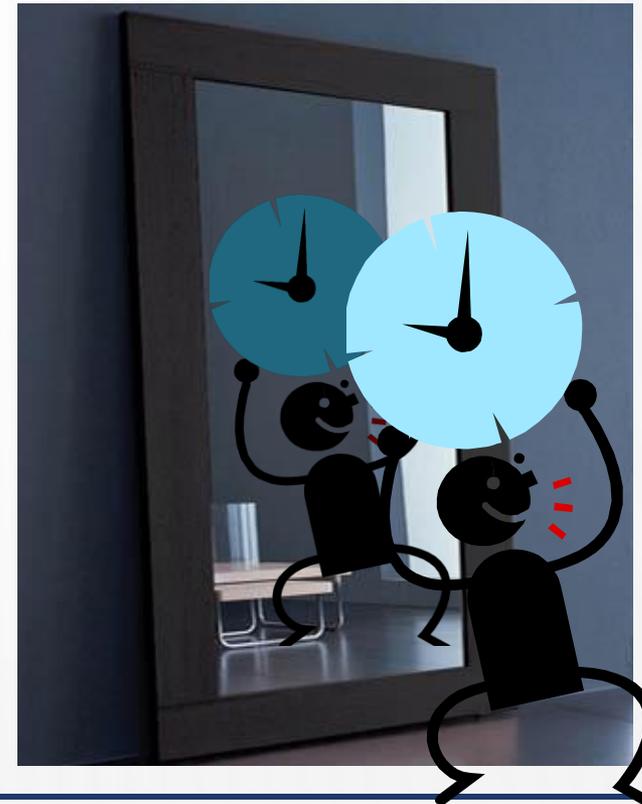
Line-Sch	Item/Description	Mfg ID	Quantity	UOM	PO Price	Extended Amt	Due Date
1- 1	Promise SANLink Thunderbolt to 4Gbit/s Fibre Channel Adapter Quote # New H7293LL/A		2.00	EA	719.00	1,438.00	06/25/2013
Ship To: [Redacted]							
NYS [Redacted]							
Albany NY [Redacted]							
United States							
Schedule Total						1,438.00	
Item Total						1,438.00	
2- 1	PROMISE VTrak x30 Series 72TB 4U RAID Subsystem		1.00	EA	28,799.00	28,799.00	06/25/2013
Ship To: [Redacted]							
NYS [Redacted]							
Albany NY [Redacted]							
United States							
Schedule Total						28,799.00	
Item Total						28,799.00	
3- 1	PROMISE VTrak x30 Series 72TB 4U Expansion Chassis		1.00	EA	23,399.00	23,399.00	06/25/2013
Ship To: [Redacted]							
NYS [Redacted]							
Albany NY [Redacted]							
United States							
Schedule Total						23,399.00	
Item Total						23,399.00	
			2.00	EA	899.00	1,798.00	06/25/2013



# Checkpoints to Facilitate Approval for **Yes!**

➔ **Purchase Order (PO) Amount**

➔ **Lapsing Transactions**



# Get to **Yes** with Purchase Order Amount



**Specify PO Amount (Encumbrance)  
on STS/AC340-S**



# Get to **Yes** with Purchase Order Amount

AC 340-9 (Effective 4/12)

STATE OF  
NEW YORK

## CONTRACT ENCUMBRANCE REQUEST

Amendment /  
Supplemental

SFS DEPARTMENT ID	BATCH NUMBER	AUDIT TYPE	AF BUSINESS UNIT	NET AMOUNT
Originating Agency		Contract No.	Sequence #	
SFS Vendor ID	Additional	Contractor Type	Administering Agency SFS Dept. ID	
Payee Name (Limit to 30 spaces)		Payee Name (Limit to 30 spaces)		
Payee Address (Limit to 30 spaces)		Payee Address (Limit to 30 spaces)		
City (Limit to 20 spaces)	(Limit 2 spaces)	State	Zip Code	
Interest Eligible (Y/N)	RS Code	Stat. Type	Indicator-Statewide	Indicator-Department
Contract Amount	Contract period (MM) (DD) (YY)		to (MM) (DD) (YY)	
Bid Date (MM) (DD) (YY)	Renewal/Amendment Beginning Date (MM) (DD) (YY)			
Description (Limit to 50 spaces)				
Description (Limit to 50 spaces)				
Provisions (Limit to 63 spaces)				
Preparer's Signature			Preparer's Phone No.	
Agency Finance Officer's Signature			Date	
Audit Status	Category	Method of Award		Audit Class (MM) (YY)
Bids Solicited	Number Rejected	Declined	No Reply	Route Code
Date Received	Audit Group	Date Approved	Date Rejected	Auditor's Initials
COST CENTER CODE				
Line	Ad	Intended Encumbrance Amount	Dept.	Cost Center Unit
				Var.
				Yr.
				Object

Check if continuation form is attached



Report ID:

State of New York  
Statewide Financial System  
Procurement Contract Request

Page No:  
Run Date:  
Run Time:

### Single Transaction Summary

BUSINESS UNIT	DOCUMENT TYPE	AUDIT TYPE
Business Unit (Name)	Contract No	Sequence #
Dept ID	Department Name	
Vendor ID		
Vendor Name		
Transaction Amount	Begin Date (MM/DD/YYYY) to Expire Date (MM/DD/YYYY)	
Bid Date (MM/DD/YYYY)	Renewal Amendment Beginning Date (MM/DD/YYYY)	
Description		
Provisions		
Preparer's Signature		Preparer's Phone No
Agency Finance Officer's Signature		Date
Reporting Code	Method of Award	Number of Bids
		Special Code
Date Received	Date Approved	Date Rejected
		Auditor's Initials

Intended Encumbrance

Amount

# Get to **Yes** with Lapsing Transactions



When submitting a contract transaction for OSC approval that will utilize funds approaching the lapsing date, agencies must indicate “**LAPSING**” on STS or AC340-S.



# Get to **Yes** with Mirror Check References



**GFO**

<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>



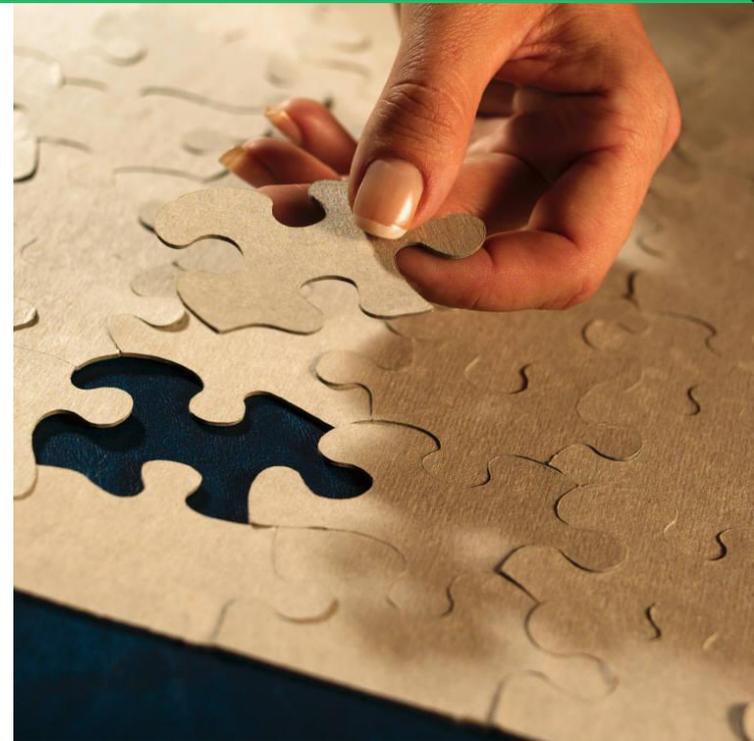
**SFS Help Desk**

- Email: [helpdesk@sfs.ny.gov](mailto:helpdesk@sfs.ny.gov)
- Tel: 518-457-7737
- Fax: 518-473-8808



# Procurement Mirror Check

## Miscellaneous



# Miscellaneous for **Yes!**



**Transmittal Letters/Cover Memos**



**Solicitations that Result in Multiple Awards**



**Required Documents**



**Extra Copies of Signed Contracts**



**Prevailing Wage Schedule**



**Correct Audit Types**



**Forms**



**The Road to OSC Bureau of Contracts**



**Contract Management**



# Get to **Yes** with Transmittal Letters/Cover Memos

**Your Transmittal Letter or Cover Memo to OSC explaining the nature of the contract should include the following elements:**

- **Contract Number**
- **Contractor's Name**
- **Total Contract Amount**
- **Description of Goods or Services**
- **Previous Contract Number**
- **Detailed Explanation of Rejected Bid or Protest**
- **Name of Contact Person and their Contact Information**
- **Explanation of Procurement Activities**



# Yes for Solicitations that Result in Multiple Awards



**When you are awarding multiple contracts from one solicitation, please submit all awards together.**



**It will allow us to assign transactions to the same OSC staff, helping us to facilitate more efficient approvals as the same auditor/auditors will be familiar with the solicitation and able to review and approve all the contracts together.**



# Get to **Yes** with Required Documents



**Document Submission Guide**



**Lists Required Documents for:**

- **Competitive Bids**
- **Amendments & Renewals**
- **Single/Sole Source**
- **Emergency Contracts**



**Please take a copy at the end of presentation**



# Document Submission Guide for **Yes!**

NO.	OFFICE OF THE STATE COMPTROLLER - OFFICE OF OPERATIONS - BUREAU OF CONTRACTS - CONTRACT DOCUMENT SUBMISSION GUIDE - NEW PROCUREMENTS, AMENDMENTS AND RENEWALS (except Preferred Source and Discretionary Purchases) - MAY 15, 2013	Competitive Bid (IFB)	Competitive Bid (RFP)	Single / Sole Source	Emergency	Amendment	Renewal
1	SFS - Single Transaction Summary - AC340-S with Intended Encumbrance, if applicable	x	x	x	x	x	x
2	Contract Agreement or Purchase Order	x	x	x	x	x	x
3	Prevailing Wage Rates, if applicable	x	x	x	x	x	
4	AG Approval, except P contracts and POs	x	x	x	x		
5	OFT PTP Approval, if applicable	x	x	x	x		
6	Civil Service Approval for Service with Individuals	x	x	x	x		
7	Procurement Record Checklist	x	x	x	x		
8	DOB 1184 Attachment A or B	x	x	x	x	x	x
9	Approved Contract Reporter Exemption Request, if applicable			x	x	x	x
10	Signed Declaration of Emergency				x		
11	Non-Approval Notice, if resubmission	x	x	x	x		
12	Contract Reporter Advertisement	x	x	x	x		
13	Preferred Source Documentation or Waiver if applicable	x	x				
14	Certified Bid Tabulation (or 3 quotes for Emergency)	x	x		x		
15	Solicitation List	x	x	x	x		
16	Mandatory letters of intent/mandatory pre-bid conference sign in sheet and transcript	x	x				
17	Cover Letter / Recommendation of Award	x	x	x	x	x	x
18	Non-award letters		x				
19	Original Awarded Bid	x	x				
20	Signed Vendor's Quote or Awarded Emergency Quote			x	x		
21	Bid Protests and Agency Response, if applicable	x	x	x	x		
22	Questions and Answers	x	x				
23	Any Proposer Correspondence (e.g. clarifications)	x	x	x	x	x	x



# Extra Copies of Signed Contract for **Yes!**

OSC needs **one (1)** complete signed original copy of your contract and X number of sets of signature pages in your contract package.



# Recommended Signature Page & Certification for **Yes!**

## RECOMMENDED SIGNATURE PAGE

Contract Number \_\_\_\_\_

### Agency Certification

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

### Agency Certification

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

Contractor's Signature

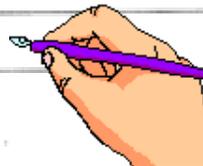
\_\_\_\_\_

Dated \_\_\_\_\_

Agency's Signature

\_\_\_\_\_

Dated \_\_\_\_\_



Attorney General's Signature

\_\_\_\_\_

Dated \_\_\_\_\_

Comptroller's Signature

\_\_\_\_\_

Dated \_\_\_\_\_



# Sample Acknowledgement for **Yes!**

STATE OF NEW YORK )  
 ) SS.:

COUNTY OF )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_, before me personally came  
\_\_\_\_\_, to me known and known to me to be the person described in and who  
executed the foregoing instrument and he acknowledged to me that he executed the same.

\_\_\_\_\_  
Notary Public

\*\*\*\*\*

STATE OF NEW YORK )  
 ) SS.:

COUNTY OF )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_, before me personally came  
\_\_\_\_\_, to me known and known to me to be the person who executed the above  
instrument, who, being duly sworn by me, did for himself depose and say that he is a member of the firm of  
\_\_\_\_\_, and that he executed the foregoing instrument in the  
firm name of \_\_\_\_\_, and that he had authority to sign same, and he did duly  
acknowledge to me that he executed the same as the act and deed of said firm of  
\_\_\_\_\_, for the uses and purposes mentioned  
therein.

\_\_\_\_\_  
Notary Public

\*\*\*\*\*

STATE OF NEW YORK )  
 ) SS.:

COUNTY OF )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_, before me personally came  
\_\_\_\_\_, to me known who being duly sworn, did depose and say that he resides  
in \_\_\_\_\_; that he is the \_\_\_\_\_ of  
the \_\_\_\_\_, the corporation described in and which  
executed the foregoing instrument; that he knew the seal of said corporation; that the seal affixed to said instrument  
was such corporate seal; that it was so affixed by the order of the Board of Directors of said corporation, and that he  
signed his name thereto by like order.

\_\_\_\_\_  
Notary Public



# Get to **Yes** with Prevailing Wage Schedule



OSC does **not** need the entire Prevailing Rate Case (PRC) schedule.



A copy of the front cover page of the schedule indicating the PRC number will suffice.



Andrew M. Cuomo, Governor \_\_\_\_\_



\_\_\_\_\_ Peter M. Rivera, Commissioner

Schedule Year 2013 through 2014  
Date Requested 06/07/2012  
PRC# 20 \_\_\_\_\_

Location Various campuses in NYS  
Project ID# \_\_\_\_\_  
Project Type \_\_\_\_\_ Service/Maintenance Contract \_\_\_\_\_

**PREVAILING WAGE SCHEDULE FOR ARTICLE 8 PUBLIC WORK PROJECT**

Attached is the current schedule(s) of the prevailing wage rates and prevailing hourly supplements for the project referenced above. A unique Prevailing Wage Case Number (PRC#) has been assigned to the schedule(s) for your project.

The schedule is effective from July 2013 through June 2014. All updates, corrections, posted on the 1st business day of each month, and future copies of the annual determination are available on the Department's website [www.labor.state.ny.us](http://www.labor.state.ny.us). Updated PDF copies of your schedule can be accessed by entering your assigned PRC# at the proper location on the website.

It is the responsibility of the contracting agency or its agent to annex and make part, the attached schedule, to the specifications for this project, when it is advertised for bids and /or to forward said schedules to the successful bidder(s), immediately upon receipt, in order to insure the proper payment of wages.

Please refer to the "General Provisions of Laws Covering Workers on Public Work Contracts" provided with this schedule, for the specific details relating to other responsibilities of the Department of Jurisdiction.

Upon completion or cancellation of this project, enter the required information and mail OR fax this form to the office shown at the bottom of this notice. OR fill out the electronic version via the NYSDOL website.

**NOTICE OF COMPLETION / CANCELLATION OF PROJECT**

Date Completed: \_\_\_\_\_ Date Cancelled: \_\_\_\_\_

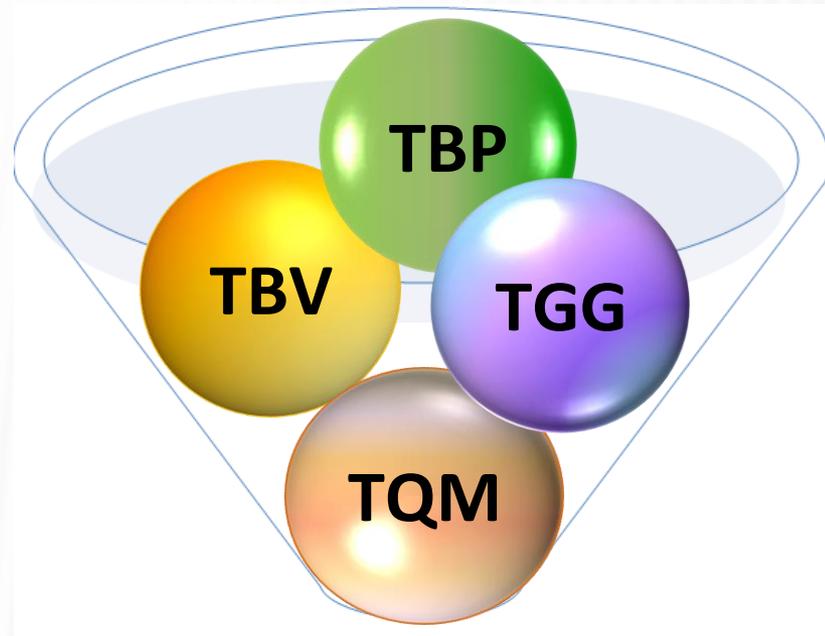
Name & Title of Representative: \_\_\_\_\_

Phone: (518) 457-5589 Fax: (518) 485-1870  
W. Averell Harriman State Office Campus, Bldg. 12, Room 130, Albany, NY 12240

[www.labor.state.ny.us](http://www.labor.state.ny.us) PW 200 PWAsk@labor.state.ny.us

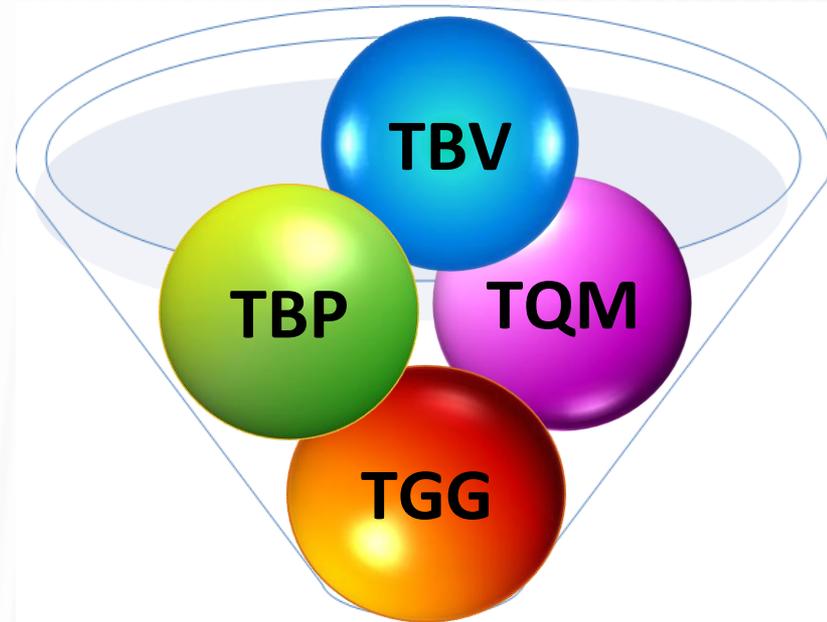
# Audit Type **Yes** Quiz 1

**Which of the following Audit Types will route to the IFB Team?**



# Audit Type **Yes** Quiz 2

**Which of the following Audit Types will route to the Real Property and Negotiated Contracts Team?**



# What are the Correct Audit Types to Use for **Yes?**

-  **TBP**  **Invitation for Bid Team**
-  **TBV**  **Request for Proposal Team**
-  **TGG**  **Grants Team**
-  **TQM**  **Real Property & Negotiated Contracts Team**
-  **QCT**  **Real Property & Negotiated Contracts Team  
(Quick Contracting Program)**



# Get to **Yes** with Updated Forms

-  **AC-340 vs. AC-340S – Which one is correct?**
-  **Vendor Responsibility Profile AC-3273S rev. 05/2013**
-  **What is the correct version of the Vendor Responsibility Questionnaire to use?**

<http://www.osc.state.ny.us/vendrep>

-  **ST-220-CA vs. ST-220-TD**
-  **AC-1782S**



# Renewal Amendment Begin Date (RAB) for **Yes!**

Report ID:	State of New York Statewide Financial System Procurement Contract Request	Page No:	Run Date:
			Run Time:
<b>Single Transaction Summary</b>			
<b>BUSINESS UNIT</b>		<b>DOCUMENT TYPE</b>	<b>AUDIT TYPE</b>
Business Unit (Name)		Contract No	Sequence #
Dept ID	Department Name		
Vendor ID			
Vendor Name			
Transaction Amount	Begin Date (MM/DD/YYYY) to		Expire Date (MM/DD/YYYY)
	05/01/2010		04/30/2015
Bid Date (MM/DD/YYYY)	Renewal Amendment Beginning Date (MM/DD/YYYY)		
	05/01/2013		
Description			
Provisions			
Preparer's Signature		Preparer's Phone No	
Agency Finance Officer's Signature		Date	
Reporting Code	Method of Award	Number of Bids	Special Code
Date Received	Date Approved	Date Rejected	Auditor's Initials
<b>Intended Encumbrance</b>			
Amount			



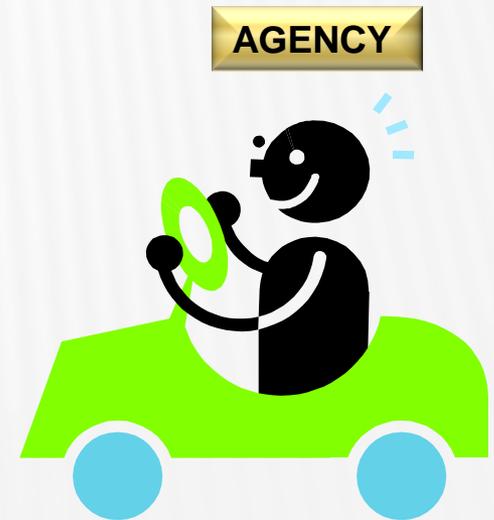
# The Road to OSC for **Yes!**



**What is the path your contract takes to reach OSC Bureau of Contracts?**



**How many stops will your contract make?**



# Get to **Yes** with Contract Management



## Checking invoices against:



**Contract Rates**



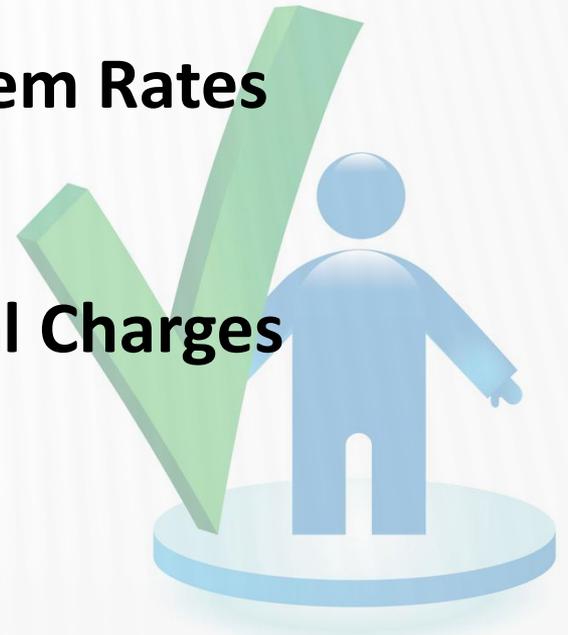
**Travel Rates – NY State Per Diem Rates**



**Deliverables**



**Pre-Approved Time & Material Charges**

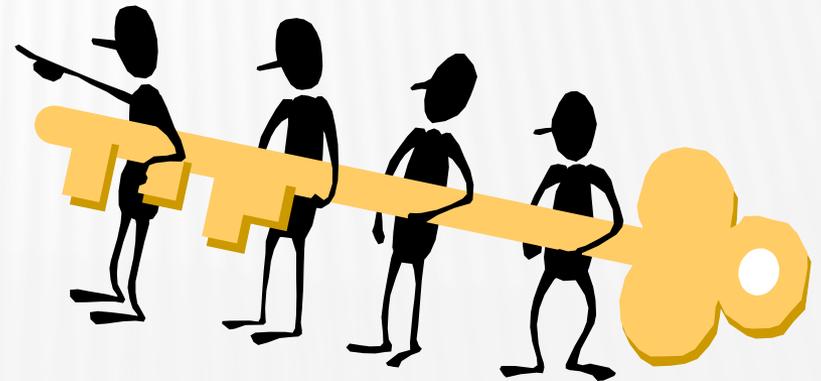


# Get to **Yes** with time to Check the Mirror



# Mirror Check Wrap Up

- ➔ **Involve your legal staff**
- ➔ **Talk to other staff**
- ➔ **Ask Bureau of Contracts for pre-reviews of solicitations**
- ➔ **Call us if you are thinking about doing something new in your procurement to get some feedback before it is released**
- ➔ **Review GFO**
- ➔ **Review Open Book**
- ➔ **Talk with other agencies**
- ➔ **Do a mirror check**



# Mirror Check Wrap Up



## Bureau Of Contracts

- Tel: 518-474-6494
- Fax: 518-473-8808  
518-474-8030



**“YES!”**

**Together,  
We Make It Work!**

