

# Documentation Order Guide for Procurement Contracts and Contract Amendments

## (Transmitted via OSC's Electronic Document Submission System)

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### New Contract

#### 1) Transaction Identifying Documents

- Cover Letter with relevant information for OSC including agency contact preferences and FOIL concerns
- Procurement Record Checklist per Procurement Council Guidelines
- OSC Non-Approval Notice, if resubmission

#### 2) Contract

- Agreement (including all current appendixes, exhibits and attachments)
- For Purchase Orders subject to OSC review (OP transactions), Agreement terms and conditions must be provided in the Statewide Financial System using the appropriate comment fields (*GFO XI.3 Purchase Orders Subject to OSC Review*)
- Bonds, if applicable

#### 3) Procurement Documents

- New York State Contract Reporter Advertisement or proof of exemption from advertising
- List of solicited potential bidders
- For Emergencies only
  - 3 quotes for Emergency
  - Signed Declaration of Emergency
- For Piggybacks only
  - OGS *Contract Use Request Form* and supporting documentation
- The solicitation for bids/applications
- Certified bid tabulation—a certification by the agency staff responsible for opening and recording the bids, in accordance with the Procurement Council Guidelines
- The full winning bid(s), all cost proposals/quotes, rejected bids
  - Signed vendor's quote or awarded emergency quote
  - Price lists, if applicable
  - Memo / Justification for rejecting bids or proposals, if applicable
- Questions & answers; and addendums, if applicable
- Bid evaluation documents / score sheets
  - Evaluation summary
  - Completed evaluation score sheets
- Summary of negotiations if any final contract terms changed from the original bid document/bid
  - Any agency - proposer correspondence (e.g., clarifications)
- Any debriefing or protest/appeal correspondence/documentation relative to the procurement (Note: all protests, and appeals where provided for, must be resolved prior to submission to OSC)
- Award & Non-Award Notification(s)
- Contract award notice for OGS Centralized Contracts
- Mandatory Letters of Intent to Bid, if applicable
- Mandatory pre-bid conference and / or site visit sign-in sheet, transcript and items presented or distributed, if applicable
- Explanation of the methodology used to determine the contract value (not to exceed amount)
- For Negotiated Architect & Engineer Contracts, the price justification by standard multiplier or reference to current Construction Fund Fee Schedule
- For contracts that meet the terms of OSC's Quick Contracting Program, a Quick Contracting Certification Form.
- For Real Estate Purchases or Sales.
  - Independent appraisals.
  - Approval(s) to sell surplus property, if applicable (for RPN)
  - Environmental Assessment, if applicable (for RPN)

- Copy of appraisals (2 required if value exceeds \$300,000)
- Copy of agency appraisal review
- When 2 or fewer responses are received for single award or 2 or fewer responses are received for any lot/region/section for multiple awards
  - Agency's justification of award with limited competition
  - Reasonableness of price justification
  - Canvass of those who did not bid and their responses, if applicable
- Procurement Lobbying Act documentation per *GFO XI.18.B Procurement Lobbying Act*
- Consultant Disclosure documentation per *GFO XI.18.C Consultant Disclosure*
- Sales and Compensating Use Tax documentation per *GFO XI.18.D Sales and Compensating Use Tax Documentation*
- Sexual Harassment Prevention documentation per *GFO XI.18.I Sexual Harassment Prevention Certification*
- Approved Division of Budget B-1184 Agency Spending Controls Application
- IT-PTP approval of purchase by NYS Office of Information Technology Services if applicable
- Preferred Source documentation or waiver, if applicable

#### **4) Vendor Responsibility and Integrity**

- Vendor Responsibility Profile
- Vendor Responsibility Questionnaire certified within six months of the contracting entity's defined due date for the Questionnaire
- Proof of Workers Compensation and Disability Insurance coverage per *GFO XI.18.G Workers' Compensation Coverage and Debarment*
- Vendor Responsibility documentation on all known subcontractors per *GFO XI.16 Vendor Responsibility*
- Proof of EO 192 compliance as applicable, including any required vendor integrity certification forms

## **Contract Amendment**

### **1) Transaction Identifying Documents**

- Cover Letter with relevant information for OSC including agency contact preferences and FOIL concerns
- Non-Approval Notice, if resubmission

### **2) Amendment**

- Contract Amendment (including all current appendixes, exhibits and attachments)
- For changes to Purchase Orders subject to OSC review (OP transactions), Agreement terms and conditions must be provided in the Statewide Financial System using the appropriate comment fields (*GFO XI.3 Purchase Orders Subject to OSC Review*)

### **3) Supporting Documents**

- Proof of exemption from advertising, if applicable
- Price Justification for amendments and renewals (if not specified in original agreement)
- Approved Division of Budget B-1184 Agency Spending Controls Application, if applicable
- IT-PTP approval of purchase by NYS Office of Information Technology Services, if applicable
- Preferred Source documentation or waiver, if applicable

### **4) Vendor Responsibility and Integrity**

- Vendor Responsibility Profile
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- Proof of Workers Compensation and Disability Insurance coverage per *GFO XI.18.G Workers' Compensation Coverage and Debarment*
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*For questions related to document requirements, please call OSC at 518-474-6494*