



OFFICE OF THE COUNTY COMPTROLLER THE PERSONAL SERVICES PROCUREMENT RECORD CHECKLIST FILING INSTRUCTIONS

*This checklist must be filed with the Comptroller's Office by all departments, offices and agencies procuring personal/consultant services **within 10 days of issuing an award letter**. This checklist is required for all personal/consultant services procured by contracts or agreements including Letters of Agreement, Letters of Intent, Memorandums of Understanding or other agreements indicating procurement or future procurement regardless of amount, **except** for contract awards to agencies whose services are classified as object code 4980, have a designated line item in the Budget with an activity/pseudo code assigned by the Budget Office **and** have been reported in the Comptroller's Contract Agency database as part of the Budget process. Initiating departments must submit this checklist for all procurement other than by RFP processed through the Office of Central Procurement; the Office of Central Procurement must file this checklist for all processed RFPs. Submit completed checklist by e-mail to comptroller.checklist@suffolkcountyny.gov.*

Department Name: *Provide the name of the department.*

Contractor: *Provide the name of the contractor.*

Vendor ID Code: *Provide the contractor's IFMS Vendor/Customer code.*

Contract Period: *Provide the period of the contract and any extension term options.*

Contract Amount: *Provide the fixed contract amount or fee schedule with contracted rates if applicable.*

RFP/RFQ No.: *Provide the RFP number (assigned by the Office of Central Procurement) or RFQ number if applicable.*

Contract No.: *Provide the contract number assigned by the County Attorney's Office, if available. If not available when Checklist is filed, provide by e-mail to comptroller.checklist@suffolkcountyny.gov when available.*

Date of Award: *Provide the date the consultant was first notified in writing of award of the contract by the contracting department. The notification of award predates the execution of the contract.*

Capital Project No.: *Provide the Capital Project number, if applicable.*

Fund No.: *Provide the 3-digit IFMS fund number.*

Dept. Code: *Provide the 3-digit IFMS department code.*

Org. Code: *Provide the 4-digit IFMS organization code.*

Object Code: *Provide the 4-digit IFMS object code for the procured services.*

Description and scope of the service being procured: *Provide a brief description of the service required, e.g., to provide specialty medical services in the field of cardiology to inmates incarcerated at the Suffolk County Correctional Facility.*

Procurement Method/Method of Award: *Check one or more of the boxes that are applicable to the approach that was taken and/or method used to procure the services. Explain any methods used that are not listed on the form. Attach copies of RFPs and RFQs if applicable. For exemptions by law, check "Other" and reference the applicable section of the County Code. For Waivers, attach copies of both the waiver request and the letter of approval from the County Executive's Waiver Committee Chairman. For Emergency procurement, attach a written explanation of the emergency determination declared by the County Executive. For Preferred Source, attach expression of interest received from Preferred Source. For single/sole source, attach documentation that explains the unique nature of the requirement and circumstances leading to the selection of the vendor, including the alternatives considered.*

Additional Minimum Documentation required with the Checklist: *Check all boxes that apply.*

- Non-Competitive Procurement** *(For contract amounts up to \$1,000 and all single/sole source contracts)*
 - Justification for Selection** *Provide basis for selection; for single/sole source contracts, provide determination that there is only one provider or limited providers.*
 - Justification of Reasonableness of Price** *Provide basis upon which cost is determined to be reasonable.*

- Competitive Procurement** *(For contract amounts over \$1,000)*
 - Solicitation List** *(names and contact info) Provide the name, address and contact information of all parties solicited.*
 - Solicitation Document** *Provide the document developed by the department in order to solicit quotes or proposals.*
 - RFP Scoring Evaluation Sheet/Memo** *For procurement through an RFP/RFQ, attach the evaluation scoring sheets and related narratives. For other procurement, attach an evaluation memo summarizing the criteria used in the evaluation and the basis for selection.*
 - Copies of Successful Proposal and Award Letter** *Attach a complete copy of the successful proposal and a copy of the award letter notifying the successful proposer of the award. In addition, for RFPs processed through the Office of Central Procurement, include the notification letter to the apparent successful proposer.*
 - No Conflict of Interest Disclosure Statements** *Attach original "No Conflict of Interest Disclosure Statements" from each participating member of the evaluation committee (See Form OCC-2 on Comptroller's website), as required pursuant to Chapter 1065 of the Suffolk County Code, for all procurement of personal/consultant services.*
 - Written Notification of RFP** *Attach a copy of the written notification of the RFP to the Clerk of the Legislature and the Chief Deputy County Executive.*
 - Intro Resolution (if only one proposal received)** *If only one proposal is received as a result of an RFP process, attach a copy of the required Introductory Resolution.*
 - Notification of Preferred Source** *Attach a copy of the correspondence between the department and the Preferred Source indicating the interest of the Preferred Source and the department's approval.*
 - Summary of Quotes Received/Evaluated** *Attach a signed/certified summary sheet of all quotes received and evaluated for procurement up to \$25,000 and for procurement over \$25,000 through an RFP Waiver if a streamlined competitive process is used.*
 - RFP Opening Sheet** *Attach a signed/certified sheet to document the receipt and opening of the RFPs.*

- Justification for Less than 3 Quotes** *If written quotes are not received from at least 3 sources for procurement up to \$25,000, attach a written explanation why the required number of quotes was not obtained.*
- Justification of Award to Other than the Lowest Proposer** *If the lowest proposer is not awarded the contract, attach a written explanation detailing the reason(s) why the contract is awarded to the selected proposer.*
- RFP/RFQ Advertisement and Written Approval of Advertisement** *For procurement through an RFP/RFQ, attach a copy of the required advertisement and the written approval for the advertisement from the County Executive's Office. For all other procurement, attach a copy of the advertisement if advertised.*

Complete items 1 through 3 for all Competitive Procurement (For contract amounts over \$1,000) Note: Items 1 through 3 are not applicable to procurement through exemption to the RFP/RFQ process by law.

1. **Procurement Advertisement:** *Check one or more of the boxes that are applicable to the manner in which the request for services was advertised. Explain any circumstance where advertisement is not applicable.*

2. **Evaluation Process:** *Provide the following information in the provided space or on a separate sheet for all contract amounts over \$1,000. For RFPs, reference specific documents and/or sections of the RFP as necessary.*
 - a. **Explain the process used in ensuring a competitive field:** *Provide a detailed description of the steps taken to identify potential providers and seek as many as possible in order to promote competition, i.e., to allow qualified vendors a fair and equal opportunity to obtain County business and ensure that the County obtains the best value.*

 - b. **List the evaluation criteria used to evaluate the proposals:** *Provide a description of the evaluation methodology, evaluation instrument and scoring. Include the qualitative and quantitative measure (criteria and points), cost/benefit analysis and all other factors affecting the evaluation of proposals.*

 - c. **List evaluation committee members:** *Provide the name, title and department of each voting member on the evaluation committee.*

3. **Summary of Competitive Procurement:** *(For all contract amounts)*
 - a. **Number of proposals solicited:** *Provide the number of requests sent to prospective providers; for advertised RFPs/RFQs, provide the number of requests that were directly solicited.*

 - b. **Number of proposals received:** *Provide the total number of proposals received – may be in response to a direct solicitation, advertisement or any other means.*

 - c. **Number of no-proposals received:** *Provide the number of negative responses received from providers that were directly solicited.*

 - d. **Number of no replies:** *Provide the number of responses that were not received from providers that were directly solicited.*

 - e. **Number of rejections:** *Provide the number of proposals received by any means that were rejected by the County and not evaluated due to non-compliance with time- related or other RFP requirements. Attach a separate statement indicating the reason(s) for all rejections.*