



## OFFICE OF THE COUNTY COMPTROLLER THE PERSONAL SERVICES PROCUREMENT RECORD CHECKLIST

*This checklist must be filed with the Comptroller's Office by all departments, offices and agencies procuring consultant/personal services within 10 days of issuing an award letter. This checklist is required for all consultant/personal 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 dollar amount. Initiating departments must submit this checklist for all procurement other than by RFP processed through Central Purchasing; Central Purchasing must file this checklist for all processed RFPs. Submit completed checklist to:*

*Office of the County Comptroller  
Attention: Elizabeth Tesoriero  
Executive Director of Auditing Services  
H. Lee Dennison Building, 9<sup>th</sup> floor, Hauppauge, NY*

**Refer to Filing Instructions before completing.**

Department Code/Name: \_\_\_\_\_

Contractor: \_\_\_\_\_ Federal Business ID No.: \_\_\_\_\_

Contract Period: \_\_\_\_\_ Contract Amount: \_\_\_\_\_

RFP/RFQ No.: \_\_\_\_\_ Law No.: \_\_\_\_\_

1. Description and scope of the service being procured: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Procurement Method/Method of Award: (check all that apply)

- |  |   |
|--|---|
| <input type="checkbox"/> Departmental Award (Contract $\leq$ \$25,000) | <input type="checkbox"/> RFQ                |
| <input type="checkbox"/> Emergency (attach documentation)              | <input type="checkbox"/> Single/Sole Source |
| <input type="checkbox"/> RFP   | <input type="checkbox"/> Local Preference   |
| <input type="checkbox"/> Waiver (attach documentation)                 | <input type="checkbox"/> Other _____        |

3. Procurement Advertisement: (check all that apply)

- Newspaper Advertisement Notice Attached  
 Waiver Attached  
 County Website Advertisement Attached  
 Not applicable. Explain: \_\_\_\_\_

4. The following information must be completed. (A separate document may be used, or department may reference specific documents and/or sections of the RFP.)

a. Explain the process used in ensuring a competitive field: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. List the evaluation criteria used to evaluate the proposals: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

c. List evaluation committee members. Provide Name, Title and Department:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. If the contract was awarded to other than the lowest-cost proposer, attach a memorandum that contains a detailed explanation as to the reason(s) why the contract was awarded to the proposer.

6. Summary of Competitive Procurement:

- a. Number of proposals solicited: \_\_\_\_\_
- b. Number of proposals received: \_\_\_\_\_
- c. Number of no-proposals received: \_\_\_\_\_
- d. Number of no replies: \_\_\_\_\_
- e. Number of rejections: \_\_\_\_\_

7. Minimum Documentation Required:

- Competitive Procurement
  - Solicitation List (Include Names and Contact Info)
  - RFP Scoring Evaluation Sheet/Evaluation Memo
  - Copy of Winning Proposal
  - No Conflict of Interest Disclosure Statements
  - Introductory Resolution if only one proposal received
- Non Competitive Procurement
  - Justification for Selection
  - Justification of Reasonableness of Price

Department Name and Title: \_\_\_\_\_ Date: \_\_\_\_\_

Department Signature: \_\_\_\_\_ Telephone #: \_\_\_\_\_

OCC Auditor Name and Title: \_\_\_\_\_ Date: \_\_\_\_\_



## 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 consultant/personal services within 10 days of issuing an award letter. This checklist is required for all consultant/personal 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. Initiating departments must submit this checklist for all procurement other than by RFP processed through Central Purchasing; Central Purchasing must file this checklist for all processed RFPs. Submit completed checklist to:*

*Office of the County Comptroller  
Attention: Elizabeth Tesoriero  
Executive Director of Auditing Services  
H. Lee Dennison Building, 9<sup>th</sup> floor, Hauppauge, NY*

**Department Code/Name:** *Provide the IFMS departmental code and name.*

**Contractor:** *Provide the name of the contractor.*

**Federal Business ID No.:** *Provide the contractor's 9-digit Federal Business ID number.*

**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 Central Purchasing) or RFQ number if applicable.*

**Law No.:** *Provide the number assigned by the County Attorney's Office if applicable.*

1. **Description and scope of the service being procured:** *Provide a brief description of the service required, e.g., to provide portable radiology services for the Department of Health Services' Division of Patient Care Services and the John J. Foley Skilled Nursing Facility.*
2. **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. For Emergency procurement, attach a written explanation of the emergency determination declared by the County Executive. For Waivers, attach copies of both the waiver request and the letter of approval from the County Executive.*
3. **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.*
4. *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.*
5. **If the contract was awarded to other than the lowest-cost proposer, attach a memorandum that contains a detailed explanation as to the reason(s) why the contract was awarded to the proposer.** *For RFP, reference the evaluation. Otherwise, provide specific delineation of the unique skills and experience of the proposer, the specific reasons why a proposal is deemed superior and/or why the proposer has been judged to be able to perform more quickly than other proposers, if applicable.*
6. **Summary of Competitive Procurement:** *(For all contract amounts) In addition to providing the following data, forward to the Comptroller's Office all protests, complaints, etc. received at any time subsequent to the filing of this checklist.*
- 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.*
7. **Minimum Documentation Required:**
- Competitive Procurement** *(For contract amounts over \$1,000)*
    - Solicitation List (Include Names and Contact Info)** *Provide the name, address and contact information of all parties solicited.*
    - RFP Scoring Evaluation Sheet/Evaluation Memo** *Attach completed RFP/RFQ 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.*
    - Copy of Winning Proposal** *Attach a complete copy of the winning proposal.*
    - No Conflict of Interest Disclosure Statements** *Attach original No Conflict of Interest Disclosure Statements from each participating member of the evaluation committee. (See format on Comptroller's website.)*
    - Introductory Resolution if only one proposal received** *Attach a copy of the Introductory Resolution if applicable.*
  - Non Competitive Procurement** *(For contract amounts up to \$1,000 and all sole source contracts)*
    - Justification for Selection** *Provide basis for selection including basis for determination that there is only one provider for sole source contracts.*
    - Justification of Reasonableness of Price** *Provide basis upon which cost is determined to be reasonable, including an anticipated "fair market price" for sole source contracts.*