

Information Technology (IT) – Purchase Request Preparation and Submission Checklist

The following checklist has been developed to assist Agencies in the preparation and submittal of IT purchase requests (**Purchase Estimate (PE) STD. 66 / FI\$Cal Requisition / Standard Agreement STD. 213**) to the Department of General Services (DGS) Procurement Division (PD), One Time Acquisitions (OTA) Unit, when the purchase exceeds an Agency Purchasing Authority.

This checklist and additional tools are available on the OTA website: <http://www.dgs.ca.gov/pd/Programs/onetime.aspx>

To submit NCB/SCR/LTB Requests please contact the Dispute Resolutions Unit (DRU) at: PDNCB@dgs.ca.gov

To view a list of Departments with Approved Purchasing Authority, go to: <http://www.dgs.ca.gov/pd/Programs/Delegated.aspx>

For Procurement and Policy information refer to the State Contracting Manuals (SCM) found at: <http://www.dgs.ca.gov/pd/Resources/FormsResourcesLibrary.aspx>. Submit procurement policy questions to: ppo@dgs.ca.gov

How to submit your Purchase Request:

- **Agencies not Transacting in FI\$Cal**, also known as Future Release, Exempt or Deferred (FRED) Agencies:

Submit a STD 66 – Purchase Estimate with all support documentation to IAU@dgs.ca.gov.

- **Agencies Transacting in FI\$Cal:**

Submit a Requisition via FI\$Cal and attach all support documentation. Procedures how to submit a Requisition to OTA can be found at: <http://www.dgs.ca.gov/pd/Programs/onetime.aspx>, under the section: *Purchase Requests (Purchase Estimate (PE) and Requisitions via FI\$Cal*.

Please note, not all items listed are applicable to each type of procurement request.

Item	Description	✓
Purchase Estimate (Agencies <u>not</u> Transacting in FI\$Cal, also known as Deferred or Exempt Agencies)	Submit completed and signed Purchase Estimate (PE) and attachments to IAU@dgs.ca.gov . Refer to SCM Vol. 3, Ch. 2, Topic 8 - Purchase Requisition	
OR	Submit a Requisition via FI\$Cal and attach all support documentation. Procedures how to submit a Requisition to OTA can be found at: http://www.dgs.ca.gov/pd/Programs/onetime.aspx , under the section: Purchase Requests (Purchase Estimate (PE) and Requisitions via FI\$Cal). Refer to SCM-F, Ch. 2, Topic 4 – Purchase Requisition	
FI\$Cal Requisition (Agencies Transacting in FI\$Cal)		

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<p>OR</p> <p style="color: red;">For DGS Review of Proprietary Software and Proprietary Software Maintenance Standard Agreements (STD. 213), Standard Agreement amendments (STD. 213A), and IAAs</p> <p>Standard Agreement (STD. 213) & Agreement Summary (STD. 215) for Review and Approval</p>	<p>Submit four (4) signed (wet ink) STD. 213s, one (1) signed (wet ink) STD. 215 and one (1) STD. 215 copy</p> <p>mail to:</p> <p style="text-align: center;">DGS/Procurement Division Intake & Analysis Unit, Attn: <u>One Time Acquisitions Unit</u> 707 3rd Street, 2nd Floor West Sacramento, CA 95605</p> <p>Refer to SCM Vol. 3, Ch. 8, Topic 5 – STD 213 for IT Goods and Services Only, SCM Vol 3, Chapter 5, Topic 5-Proprietary Software Purchases, SCM Vol. 3, Ch. 8, Topic 7</p> <p style="color: red;">For review of proprietary software and proprietary software maintenance Standard Agreements (STD. 213), and Standard Agreement amendments (STD. 213A) that require an NCB/SCR:</p> <p><i>Include approved NCB and approved Contract Advertising Exemption Request (STD. 821). Note: IT IAAs are exempt from advertising and competitive bidding therefore, STD. 821 is not required.</i></p>	
<p>Ship To Address (FI\$Cal Exempt and Deferred Agencies Only)</p>	<p>Provide Ship To Address(es) and respective FI\$Cal Ship To ID Number. All Ship To addresses must be entered in the FI\$Cal System before you submit your request. To request FI\$Cal to enter your Agency Ship To Addresses and get the Ship To ID Number, send request to: fiscalservicecenter@fiscal.ca.gov</p>	
<p>Payee Data Record STD. 204 (if applicable)</p>	<p>If submitting a STD. 213 for review and approval, include supplier's payee data record</p>	
<p>Statement of Work (SOW)</p>	<p>A written description of IT Goods/Services to be acquired, submitted in Microsoft Word format</p> <p>Refer to: SCM Vol. 3, Ch.2, Section B, Topic 5, (2.B5.1) and SCM-F, Ch.2 , Section B, Topic 8, (2.B8.1)</p>	
<p>Cost Worksheet</p>	<p>Itemized list of IT Goods/Services to be acquired. Include line item(s) for additional years and/or optional years, shipping and handling, and tax. Submit in Microsoft Word or Excel format</p>	
<p>Price Quote(s)</p>	<p>Provide quotes: At least two (2) supplier quotes (if competitive) One (1) quote if using approved NCB/SCR or proprietary software/proprietary software maintenance</p>	
<p>Proprietary Letter or Sole Source Letter (proprietary only)</p>	<p>Current letter on company letterhead from the manufacturer / supplier, addressed to State Agency, dated and signed</p> <p>Refer to: SCM Vol. 3, Ch.5, Topic 5, (5.5.0, 5.5.1) and SCM-F, Ch.6, Topic 4, (6.4.0, 6.4.1)</p>	

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<p><u>Existing</u> Proprietary Software Maintenance/Upgrade</p> <p>and</p> <p><u>New</u> Proprietary Software Agency Secretary and the Department Director (or next ranking official) approval</p>	<p>Obtain approval of the agency secretary and the department director (or next ranking official) prior to submitting purchase requests for any request for new proprietary software and renewal of existing proprietary software and maintenance that exceeds the department's IT purchasing authority. Approval can be obtained through a Memorandum or Department's own internal form.</p> <p>Refer to: SCM Vol. 3, Ch.5, Topic 5, (5.5.2) and SCM-F Ch.6, Topic 6, (6.6.2)</p>	
<p><u>New</u> Proprietary Software Approved NCB (if over \$1,000,000.00)</p>	<p>Must obtain and provide the necessary documentation to the DGS/PD in support of the non-competitive status of the contract. If over \$1,000,000.00 – Submit approved NCB.</p> <p>Refer to: SCM Vol. 3, Ch.5, Topic 5, (5.5.1) and SCM-F, Ch.6, Topic 6, (6.6.1)</p>	
<p>Prior NCB/LTB/SCR (if applicable)</p>	<p>A prior NCB/LBT/SCR must be submitted with Prior Purchase Order or Agreement. If original NCB/LTB/SCR approved amount does not cover the proposed changes on the Scope of Work, an amendment to the NCB/LTB/SCR is needed.</p>	
<p>Prior Purchase Order or Agreement (if applicable)</p>	<p>Copy of prior PO or Agreement and all support documentation if request is for a renewal of services or like items</p>	
<p>Certification of Compliance with IT Policies form (SIMM 71B) (for IT procurements \$100,000.00 or more)</p>	<p>Use the 'Certification of Compliance with IT Policies Preparation Instructions' located in SIMM Section 71A to complete the SIMM 71B form. The SIMM 71B form must accompany requests submitted to DGS/PD.</p> <p><u>Note:</u> Number 2 in Section 2 of SIMM 71B must be "Yes" ; otherwise, the purchase request should not be submitted to One Time Acquisitions (OTA)</p> <p>Refer to: SCM Vol. 3, Ch 2, Topic 6, (2.C6.0) and SCM-F, Ch 2, Topic 5, (2.E5.0) Broadcast Bulletin: P-06-17 SIMM website: https://cdt.ca.gov/policy/simm/</p>	
<p>Post-Implementation Evaluation Report (PIER) (if applicable)</p>	<p>A PIER is the final reporting requirement for a project. Once the PIER is approved, the project is officially complete and the system is considered a production system (application)</p> <p>Refer to: SCM Vol. 3, Ch.2, Section C, Topic 3, (2.C3.1)</p>	
<p>Feasibility Study Report (FSR) (if applicable)</p> <p style="text-align: center;">OR</p>	<p>For IT Projects - Submit with approval signatures and FSR number, documentation of scope, costs, benefits, schedules and methodologies</p> <p>Refer to: SCM Vol. 3, Ch. 2, Section C, Topic 3, (2.C3.1) and SCM-F, Ch.2, Section E, Topic 2, (2.E2.0) Refer to: California Department of Technology (CDT) letters, TL 12-1, TL 12-17 & TL 13-03 http://www.cio.ca.gov/Government/IT_Policy/TL.html</p>	

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Project Approval Lifecycle – Stage 1 Business Analysis (S1BA) Stage 2 Alternatives Analysis Stage 3 Procurement Analysis Stage 4 Solution Analysis	NOTE: After July 1, 2015 FSRs are no longer utilized. Refer to Department of Technology TL-14-07 dated 12 2014 – Project Approval Life Cycle, Stage 1 Business Analysis (S1BA) and Stage 2 Alternatives Analysis. http://www.cio.ca.gov/Government/IT_Policy/SIMM_19/SIMM19.html	
Pre-Procurement Reviews and Approvals (if applicable)	Certain classes of purchases that may require review and approval before a department can proceed with a purchasing activity Refer to SCM Vol. 3, Ch. 2, Section C and SCM-F, Ch. 2, Section C	
Approved Property Survey Report Form (STD. 152) (if applicable)	Trade-in of state property. Submit a copy of the STD. 152 form with your request to support the purchase of replacement equipment as a result of being lost, stolen, or destroyed Refer to SCM Vol. 3, Ch. 10, Topic 7, SCM-F, Ch.2, Section C, Topic 1, (2.C1.6)	
GC 19130 Justification (STD. 215 or equivalent) and proof of submittal to Department of Personnel Administration (DPA) (personal services contracts only)	Refer to: SCM Vol. 3, Ch. 2, Section B, Topic 4, (2.B4.3) and SCM-F, Ch.2, Section B, Topic 3, (2.B3.3) Refer to: Broadcast Bulletin, dated April 18, 2008 http://www.documents.dgs.ca.gov/pd/delegations/pac041808.htm	
Bargaining Unit Notification (STD. 215 or equivalent) (personal services contracts only)	Bargaining Unit Notification of proposed personal services contracts Refer to: GC 19132(b)(1) Refer to: STD. 215 (rev. 1-2014) Refer to: MM 14-01 http://www.documents.dgs.ca.gov/osp/sam/mmemos/MM14_01.pdf	
Statewide Contract Exemption Form (if applicable)	Submit approved form or email from the Statewide Contract Administrator. Refer to: SCM Vol. 3, Ch.6, Section D, Topic 1, (6.D1.9) and SCM-F, Ch.5, Section B, Topic 1, (5.B1.8)	
Small Business (SB) or Disabled Veteran Business Enterprise (DVBE) Option Market Research (if applicable)	If purchase is valued from \$5,000.01 - \$249,999.99 Refer to: Government Code (GC) Section 14838.5 (a) and (b) Refer to: SCM Vol. 3, Ch.4, Section B, Topic 7, (4.B7.0-4.B7.1) and SCM-F, Ch.4, Section D, Topic 3, (4.D3.0-4.D3.1)	
Telecommunication Goods and Services (if applicable)	Send all acquisitions for Telecommunication Goods and Services to the California Department of Technology (CDT), Statewide Technology Procurement Division (STPD) Email: CIOtechnologyprocurements@state.ca.gov Technology Letter: TL 12-6 Refer to: PCC 12120	

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<p>Approved Limit to Brand Statement (LTB) (IT Goods only) (if applicable)</p> <p>OR</p> <p>Approved Non-Competitively Bid Contract Justification (NCB) (if applicable)</p> <p>OR</p> <p>Approved Special Category Request (SCR) (if applicable)</p>	<p>If the dollar amount of the LTB/NCB/SCR justification exceeds your agency's granted approval dollar threshold submit original documents (with wet signatures) to the Dispute Resolutions Unit (DRU) at:</p> <p>Department of General Services Attn: PD-DRU, 2nd Floor 707 3rd Street West Sacramento, CA 95605-2811</p> <p>Contact Disputes and Resolution Unit (DRU) at PDNCB@dgs.ca.gov regarding any and all questions.</p> <p>If your procurement is above your Department's Purchasing Authority, submit your procurement request (STD 66 – Purchase Estimate or FI\$Cal Requisition) with the approved LTB/NCB/SCR to PD One Time Acquisitions.</p> <p>Refer to SCM Vol. 3, Ch. 5 – Non Competitively Bid (NCB) Contracts, SCM Vol. 3, Ch. 5, Topic 4 – Special Category NCB Request (SCR) SCM Vol. 3, Ch. 4, Topic 3 – Limit to Brand or Trade Name (LTB) SCM-F, Ch. 6 – Non Competitively Bid (NCB) Contracts SCM-F, Ch. 2, Topic 7 - Special Category NCB Request SCM-F, Ch. 2, Topic 6 – Limit to Brand or Trade Name Contracts</p>	✓