<u>**Information Technology (IT)**</u> **– 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](https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Acquisitions/One-Time-Acquisitions) (https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Acquisitions/One-Time-Acquisitions).

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

To obtain a copy of your Purchasing Authority Approval Letter (PAAL) go to: [Departments with Approved Purchasing Authority](https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Policy-Training-and-Customer-Service/Purchasing-Authority-Unit) (https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Policy-Training-and-Customer-Service/Purchasing-Authority-Unit)

For Procurement and Policy information refer to the [State Contracting Manuals (SCM)](https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/State-Contracting-Manual-Volume-2-3-FI$Cal) (https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/State-Contracting-Manual-Volume-2-3-FI$Cal). Submit procurement policy questions to: ppo@dgs.ca.gov

How to submit your Purchase Request:

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

  Submit a STD 66 – Purchase Estimate, with all support documentation and email it to: PurchaseRequest@dgs.ca.gov.

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

  Submit a Requisition via FI$Cal and attach all support documentation. Procedures on how to submit a Requisition to OTA can be found on [OTA's website](https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Acquisitions/One-Time-Acquisitions) (https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Acquisitions/One-Time-Acquisitions),under the section: *Services. Click the link "Submit a FI$Cal Requisition to One-Time Acquisitions.*

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

Item	Description	✓
Purchase Estimate **(Agencies not Transacting in FI$Cal**, also known as Deferred or Exempt Agencies)	Submit completed and signed Purchase Estimate (PE) and attachments to PurchaseRequest@dgs.ca.gov.	
OR	Submit a Requisition via FI$Cal and attach all support documentation. Procedures how to submit a Requisition can be found on OTA's website, under the section: **Services. Click the link "Submit a FI$Cal Requisition to One-Time Acquisitions".** To help you put your request package together, refer to this checklist: Refer to SCM/TOC/3/3-1 – Purchase Request Review Acquisition Planning (ca.gov)	
FI$Cal Requisition **(Agencies Transacting in FI$Cal)**		
OR **Electronic Signatures are encouraged.** For DGS Review and Approval of: • Standard Agreements (STD. 213) and Standard Agreement amendment (STD. 213A) **that require an NCB/SCR.** • Inter-Agency Agreements (IAA)	Attach the **electronically signed** STD. 213 and STD. 215 and include all attachments and/or exhibits to the requisition. **OR for Agencies NOT transacting in FI$Cal:** Email STD. 213 and STD. 215 and include all attachments and/or exhibits to purchaseRequest@dgs.ca.gov. Refer to: SCM/TOC/18/18-01 COMMON PRACTICES for CREATING PURCHASE DOCUMENTS (ca.gov) SCM/TOC/7/7-1 Tracking and Reporting Reasonable Accommodation Acquisitions in Fi$Cal *SCM/TOC/1/1-1 Purchasing Authority Basics (ca.gov)* *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.*	

Item	Description	✓
Ship to Address (**FI$Cal Exempt and Deferred Agencies Only**)	Provide **Ship to Address(es)** and respective **FI$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	
Payee Data Record STD. 204 (**if applicable**)	If submitting a STD. 213 for review and approval, include supplier's payee data record.	
Statement of Work (SOW)	A written description of IT Goods/Services to be acquired, submitted in Microsoft Word format. Refer to: SCM/TOC/3/3-5 Statement of Work (SOW) (ca.gov)	
Cost Worksheet	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. Must use OTA's Excel Cost Worksheet Template.	
Price Quote(s)	Provide quotes: At least two (2) supplier quotes (if competitive) One (1) quote if using approved NCB/SCR or **proprietary software/proprietary software maintenance**	
Proprietary Letter or Sole Source Letter (**Proprietary only**)	Current letter on company letterhead from the manufacturer / supplier, addressed to State Agency, dated and signed Refer to: SCM/TOC/15/15-07 New Proprietary Software and Existing Proprietary Software Maintenance/Upgrade Renewals (ca.gov)	
Information Technology (IT) Purchasing Authority Contact (PAC) Existing Proprietary Software Maintenance/Upgrade and New Proprietary Software	For IT Proprietary Software and Software Maintenance for purchases under $1,000,000.00: • Obtain **approval of the IT Purchasing Authority Contact (PAC).** Approval can be accomplished via a Memorandum, or • If transacting in FI$Cal, approval can be obtained in the FI$Cal System, prior to submitting your Requisition to OTA, by including PAC's name in the approval path. For purchases of $1,000,000.00 or above, an approved NCB/SCR is required. Refer to: SCM/TOC/15/15-07 New Proprietary Software and Existing Proprietary Software Maintenance/Upgrade Renewals (ca.gov) SCM/TOC/15/15-02 Non-Competitively Bid (NCB) Purchases and Purchasing Authority (ca.gov)	

Item	Description	✔
Prior NCB/LTB/SCR (**if applicable**)	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 and, after DGS-DRU approval, a new Purchase request (Purchase Estimate or Requisition or STD 213) should be submitted to OTA.	
Prior Purchase Order or Agreement (**If applicable**)	Copy of prior PO or Agreement and **all** support documentation (including copy of approved NCB/SCR/LTB) if request is needed for a renewal of services or like items	
Certification of Compliance with IT Policies form (SIMM 71B) (**For IT procurements $5,000.00 or more**)	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. Note: Number 2 in Section 2 of SIMM 71B must be "Yes"; otherwise, the purchase request should not be submitted to One Time Acquisitions (OTA) Refer to: SCM Vol. 3, Ch. 2, Topic 6, (2.C6.0) and SCM-F, Ch. 2, Topic 5, (2. E 5.0) Broadcast Bulletin: P-06-17 SIMM website (https://cdt.ca.gov/policy/simm/)	
COTS/SaaS Acquisition Information form (SIMM 22B) (**For IT procurements of Commercial-off-the-Shelf and Cloud Software as a Service**)	Provide a copy of the SIMM 22B form submitted to CDT along with a copy of the email as verification of submission of the form to CIOPMOsubmission@state.ca.gov Refer to: 22 COTS/SaaS Acquisitions at the SIMM website (https://cdt.ca.gov/policy/simm/)	
Cloud Computing Exemption Policy (SIMM 18) (**For IT procurements of IaaS and PaaS**)	Use the Cloud Computing Policy Exemption Form Preparation Instructions located in SIMM Section 18B to complete the SIMM18C form. The SIMM 18C form must accompany requests submitted to DGS/PD. Contact CDT for guidance at: TechnologyProcurements@state.ca.gov Refer to: SAM 4983 & 4983.1, Government Code Sections 11545 & 11546 Technology Letter: TL 17-06 SIMM website (https://cdt.ca.gov/policy/simm/)	

Item	Description	✓
Post-Implementation Evaluation Report (PIER) (**If applicable**)	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). **All purchases, after a PIER is approved**, **must be submitted to the California Department of Technology, even after the project has ended.** CDT has modified the definition of an IT project in SAM Section 4819.2 to ensure IT Projects and their associated acquisitions are conducted with the appropriate level of oversight based on risk and complexity throughout the entire solution lifecycle. [Refer to DGS Broadcast Bulletin# P-10-18 dated 9/19/18](#)	
Feasibility Study Report (FSR) (**If applicable**) **OR**	For IT Projects - Submit with approval signatures and FSR number, documentation of scope, costs, benefits, schedules and methodologies Refer to: [California Department of Technology (CDT) letters](#), TL 12-1, TL 12-17 & TL 13-03	
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.	
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.	
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.	

Item	Description	✔
GC 19130 Justification (STD. 215 or equivalent) and proof of submittal to Department of Personnel Administration (DPA) (**personal services contracts only**)		
Bargaining Unit Notification (STD. 215 or equivalent) (**Personal services contracts only**)	The requesting department is expected to process **Bargaining Unit Notification of proposed personal services** contracts. Refer to: GC 19132(b)(1) Refer to: STD 215 (rev. 1-2014)	

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Item	Description	✓
Leveraged Procurement Agreements (LPA) to include: CMAS, SLP, IT Consulting Services MSA (TDCC), Cooperative Agreements (NASPO) (If applicable)	Departments shall conduct Market Research to verify if the required services and/or goods are available through a Leveraged Procurement Agreement (LPA). If available on LPA, provide required information such as LPA type, number, classification, services and/or goods. Refer to: SCM/TOC16/16-02 LEVERAGED PROCUREMENT AGREEMENT (LPA) BASICS (ca.gov) Provide: 1. Copy of current PO/Agreement or last PO/Agreement and all attachments. Copy of all POC or amendments. Provide Amendment Log if it applies. 1. SOW in Word with no headers. We recommend **Contract Term** for two (2) years, or longer, with option to extend for two (2) one (1) year optional years at bid prices. The excel cost worksheet must match the SOW contract term and optional years. 2. SIMM71B (if IT $5,000 or over) 3. Copy of LPA Contract you are using for your procurement request (CMAS, SLP, Cooperative Agreement, MSA, etc.) 4. Copy of LPA Pricing List and highlight the items you want to purchase. 5. Copy of LPA User Instructions 6. Cost Worksheet- Must use OTA IT Cost Worksheet Template (attached). 7. Two (2) informal Quotes from the specific LPA vendors (CMAS, SLP, Cooperative Agreements, etc.). To get informal quotes, send the SOW to the LPA potential vendors and ask for an informal quote. Use their response to review your SOW and Cost Worksheet, as needed. 8. Assessment Plan in Word. 9. If using CMAS, provide list of five (5) potential CMAS suppliers with contact information (name, email, phone). 10. IF using SLP, provide list of authorized resellers with contact information (name, email, phone). 11. If using SLP, and pricing does not include the product ID you need, the supplier must contact SLP to add those items to their existing SLP contract.	

Item	Description	✓
Statewide Contract <u>Exemption</u> Form **(If applicable)**	Submit approved form or email from the Statewide Contract Administrator. Refer to: SCM/TOC/16/16-06-1 [Statewide Contract (SC) Basics (ca.gov)](#)	
Printing Services Exemption Request (PSER)	State agencies must procure printing services through the DGS Office of State Printing (OSP). To request an exemption, an agency must submit a PSER to their OSP customer representative, which can be located on the [OSP Customer Service Page](#) (https://www.dgs.ca.gov/OSP/Resources/Page-Content/Office-of-State-Publishing-Resources-List-Folder/Customer-Service-Lookup-for-Printing-Services). Refer to: MM 19-03 dated 5/14/18	
Printing Equipment Acquisition Request (PEAR)	No state agency may acquire printing equipment valued in excess of $50,000 without prior approval from the State Printer. Agencies seeking to acquire equipment must submit a PEAR and a Recovery of Investment Template (RIT) to: inplantopsmanager@dgs.ca.gov . Approved PEAR Must be submitted to DGS-PD OTA.	

Item	Description	✔
Small Business (SB) or Disabled Veteran Business Enterprise (DVBE) Option Market Research (**If applicable**)	If purchase is valued from $5,000.01 - $249,999.99 Refer to: Government Code (GC) Section 14838.5 (a)&(b) Refer to: SCM/TOC/12 SMALL BUSINESS AND DISABLED VETERAN BUSINESS ENTERPRISE CONTRACTING (ca.gov)	
Telecommunication Goods and Services (**If applicable**)	Send all acquisitions for Telecommunication Goods and Services to the **California Department of Technology (CDT),** Statewide Technology Procurement Division (STPD) Email: CIOtechnologyprocurements@state.ca.gov Technology Letter: TL 12-6 Refer to: PCC 12120	
Approved Limit to Brand Statement (LTB) (**IT Goods only**) (**if applicable**) **OR** **Approved** Non-Competitively Bid Contract Justification (NCB) (**if applicable**) **OR** **Approved** Special Category Request (SCR) (**if applicable**)	When the dollar amount of the LTB/NCB/SCR justification exceeds your agency's granted approval dollar threshold, please refer to the Dispute Resolutions Unit (DRU) for additional information and click on the "Submit NCB Justification Request to DGS" link to view and submit your request through the portal. **DRU Website:** https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/Portal-for-Non-Competitively-Bid-Contracts **Portal for Non-Competitively Bid Contracts:** https://dgs.service-now.com/ncb For any and all questions related to this section, email the Disputes and Resolution Unit (DRU) at: PDNCB@dgs.ca.gov. If your procurement is above your Department's Purchasing Authority, submit your procurement request (STD 66 – Purchase Estimate or FI$Cal Requisition) with the approved LTB/NCB/SCR to PD One Time Acquisitions following the instructions on page 2. SCM/TOC/15/15-02 Non-Competitively Bid (NCB) Purchases and Purchasing Authority (ca.gov) SCM/TOC/15/15-05 Special Category NCB Request (SCR) SCM/TOC/15/15-06 Purchases Exempt from the NCB Process (ca.gov)	