

## **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](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](mailto: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](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](mailto: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 and email it to: [PurchaseRequest@dgs.ca.gov](mailto: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.**

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

Item	Description	✓
<p>Purchase Estimate <b>(Agencies <u>not</u> Transacting in FI\$Cal, also known as Deferred or Exempt Agencies)</b></p> <p align="center"><b>OR</b></p> <p>FI\$Cal Requisition <b>(Agencies Transacting in FI\$Cal)</b></p> <p align="center"><b>OR</b></p> <p><b>Electronic Signatures are encouraged</b></p> <p>For DGS Review and Approval of:</p> <ul style="list-style-type: none"> <li>• Proprietary Software and Proprietary Software Maintenance Standard Agreements (STD. 213) and Standard Agreement amendment (STD. 213A) <b><u>that require an NCB/SCR.</u></b></li> <li>• Inter-Agency Agreements (IAA)</li> </ul>	<p>Submit completed and signed Purchase Estimate (PE) and attachments to <a href="mailto:PurchaseRequest@dgs.ca.gov">PurchaseRequest@dgs.ca.gov</a>. Refer to SCM Vol. 3, Ch. 2, Topic 8 - Purchase Requisition</p> <hr/> <p>Submit a Requisition via FI\$Cal and attach all support documentation.</p> <p>Procedures how to submit a Requisition can be found on <a href="#">OTA's website</a>, under the section: <b>Services. Click the link "Submit a FI\$Cal Requisition to One-Time Acquisitions"</b>. To help you put your request package together, refer to this checklist: Refer to SCM-F, Ch. 2, Topic 4 – Purchase Requisition</p> <hr/> <p>Attach the <b><u>electronically signed</u></b> STD. 213 and STD. 215 and include all attachments and/or exhibits to the requisition.</p> <p><b>OR for Agencies NOT transacting in FI\$Cal:</b></p> <p>Email STD. 213 and STD. 215 and include all attachments and/or exhibits to <a href="mailto:PurchaseRequest@dgs.ca.gov">PurchaseRequest@dgs.ca.gov</a>.</p> <p>Refer to: SCM Vol. 3, Ch. 8, Topic 3 – Creating Purchase Documents 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 SCM-F Chapter 6, Topic 6 and Topic 7</p> <p><b><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></b></p>	

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

Item	Description	✓
Ship to Address <b>(FI\$Cal Exempt and Deferred Agencies Only)</b>	Provide <b>Ship to Address(es)</b> and respective <b>FI\$Cal Ship To ID Number</b> . 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: <a href="mailto:fiscalservicecenter@fiscal.ca.gov">fiscalservicecenter@fiscal.ca.gov</a>	
Payee Data Record STD. 204 (if <b>applicable</b> )	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 <u>Word</u> format 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)	
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. Submit in Microsoft <u>Word</u> or <u>Excel</u> format	
Price Quote(s)	Provide quotes: At least two (2) supplier quotes (if competitive) One (1) quote if using approved NCB/SCR or <b>proprietary software/proprietary software maintenance</b>	
Proprietary Letter or Sole Source Letter <b>(proprietary only)</b>	Current letter on company letterhead from the manufacturer / supplier, addressed to State Agency, dated and signed 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)	
Information Technology (IT) Purchasing Authority Contact (PAC)  <u>Existing</u> Proprietary Software Maintenance/Upgrade  and  <u>New</u> Proprietary Software	For IT Proprietary Software and Software Maintenance for purchases <u>under \$1,000,000.00</u> : <ul style="list-style-type: none"> <li>• Obtain <b>approval of the IT Purchasing Authority Contact (PAC)</b>. Approval can be accomplished via a Memorandum, or</li> <li>• 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.</li> </ul> For purchases of <u>\$1,000,000.00 or above</u> , an approved NCB/SCR is required. Refer to: SCM Vol. 3, Ch.5, Topic 5, and SCM-F Ch.6, Topic 6	
Prior NCB/LTB/SCR <b>(if applicable)</b>	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.	

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

Item	Description	✓
Prior Purchase Order or Agreement (if applicable)	Copy of prior PO or Agreement and <b>all</b> 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.  <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)  Refer to: SCM Vol. 3, Ch. 2, Topic 6, (2.C6.0) and SCM-F, Ch. 2, Topic 5, (2. E 5.0)  <a href="#">Broadcast Bulletin: P-06-17</a>  <a href="https://cdt.ca.gov/policy/simm/">SIMM website</a> (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 <a href="mailto:CIOPMOsubmission@state.ca.gov">CIOPMOsubmission@state.ca.gov</a>  Refer to: 22 COTS/SaaS Acquisitions at the <a href="https://cdt.ca.gov/policy/simm/">SIMM website</a> (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.  Refer to: SAM 4983 & 4983.1, Government Code Sections 11545 & 11546  <a href="#">Technology Letter: TL 17-06</a>  <a href="https://cdt.ca.gov/policy/simm/">SIMM website</a> (https://cdt.ca.gov/policy/simm/)	

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

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). <b>All purchases, after a PIER is approved, must be submitted to the California Department of Technology, even after the project has ended.</b> 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. <a href="#">Refer to DGS Broadcast Bulletin# P-10-18 dated 9/19/18</a>	
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: <a href="#">SCM</a> 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: <a href="#">California Department of Technology (CDT) letters</a> , 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 <a href="#">Department of Technology TL-14-07</a> 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 Refer to <a href="#">SCM</a> 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 <a href="#">SCM</a> Vol. 3, Ch. 10, Topic 7, SCM-F, Ch.2, Section C, Topic 1, (2.C1.6)	

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

Item	Description	✓
GC 19130 Justification (STD. 215 or equivalent) and proof of submittal to Department of Personnel Administration (DPA) ( <b>personal services contracts only</b> )	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)	
Bargaining Unit Notification (STD. 215 or equivalent) ( <b>personal services contracts only</b> )	The requesting department is expected to process <b>Bargaining Unit Notification of proposed personal services</b> contracts Refer to: <a href="#">GC 19132(b)(1)</a> Refer to: <a href="#">STD 215</a> (rev. 1-2014)	
<b>Leveraged Procurement Agreement (if applicable)</b>	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: <a href="#">SCM</a> Vol 3, Ch.2, Section B, Topic 3, and Ch.6; and SCM-F, Ch.2, Section B, Topic 1 and Ch.5	
<b>Statewide Contract Exemption Form (if applicable)</b>	Submit approved form or email from the Statewide Contract Administrator. Refer to: <a href="#">SCM</a> Vol. 3, Ch.6, Section D, Topic 1, (6.D1.9) and SCM-F, Ch.5, Section B, Topic 1, (5.B1.8)	

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

Item	Description	✓
<p><b>Printing Services Exemption Request (PSER)</b></p>	<p>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 <a href="#">OSP Customer Service Page</a> (<a href="https://www.dgs.ca.gov/OSP/Resources/Page-Content/Office-of-State-Publishing-Resources-List-Folder/Customer-Service-Lookup-for-Printing-Services">https://www.dgs.ca.gov/OSP/Resources/Page-Content/Office-of-State-Publishing-Resources-List-Folder/Customer-Service-Lookup-for-Printing-Services</a>). Refer to: MM 19-03 dated 5/14/18</p>	
<p><b>Printing Equipment Acquisition Request (PEAR)</b></p>	<p>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: <a href="mailto:inplantopsmanager@dgs.ca.gov">inplantopsmanager@dgs.ca.gov</a> . Approved PEAR Must be submitted to DGS-PD OTA.</p>	

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

Item	Description	✓
<p>Small Business (SB) or Disabled Veteran Business Enterprise (DVBE) Option Market Research (if applicable)</p>	<p>If purchase is valued from \$5,000.01 - \$249,999.99  Refer to: <a href="#">Government Code (GC) Section 14838.5</a> (a)&amp;(b)  Refer to: <a href="#">SCM</a> Vol. 3, Ch.4, Section B, Topic 7, (4.B7.0-4.B7.1) and <a href="#">SCM-F</a>, Ch.4, Section D, Topic 3, (4.D3.0-4.D3.1)</p>	
<p>Telecommunication Goods and Services (if applicable)</p>	<p>Send all acquisitions for Telecommunication Goods and Services to the <b>California Department of Technology (CDT)</b>, Statewide Technology Procurement Division (STPD)  Email: <a href="mailto:CIOTEchnologyprocurements@state.ca.gov">CIOTEchnologyprocurements@state.ca.gov</a>  <a href="#">Technology Letter: TL 12-6</a>  Refer to: <a href="#">PCC 12120</a></p>	
<p><b>Approved</b> Limit to Brand Statement (LTB) (IT Goods only) (if applicable)</p> <p><b>OR</b></p> <p><b>Approved</b> Non-Competitively Bid Contract Justification (NCB) (if applicable)</p> <p><b>OR</b></p> <p><b>Approved</b> Special Category Request (SCR) (if applicable)</p>	<p>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.</p> <p><b>DRU Website:</b>  <a href="https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/Portal-for-Non-Competitively-Bid-Contracts">https://www.dgs.ca.gov/PD/Resources/Page-Content/Procurement-Division-Resources-List-Folder/Portal-for-Non-Competitively-Bid-Contracts</a></p> <p><b>Portal for Non-Competitively Bid Contracts:</b>  <a href="https://dgs.service-now.com/ncb">https://dgs.service-now.com/ncb</a></p> <p>For any and all questions related to this section, email the Disputes and Resolution Unit (DRU) at:  <a href="mailto:PDNCB@dgs.ca.gov">PDNCB@dgs.ca.gov</a>.</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 following the instructions on page 2.</p> <p>Refer to <a href="#">SCM</a> Vol. 3, Ch. 5 – Non-Competitively Bid (NCB) Contracts,  <a href="#">SCM</a> Vol. 3, Ch. 5, Topic 4 – Special Category NCB Request (SCR)  <a href="#">SCM</a> Vol. 3, Ch. 4, Topic 3 – Limit to Brand or Trade Name (LTB)  <a href="#">SCM-F</a>, Ch. 6 – Non-Competitively Bid (NCB) Contracts  <a href="#">SCM-F</a>, Ch. 2, Topic 7 - Special Category NCB Request  <a href="#">SCM-F</a>, Ch. 2, Topic 6 – Limit to Brand or Trade Name Contracts</p>	