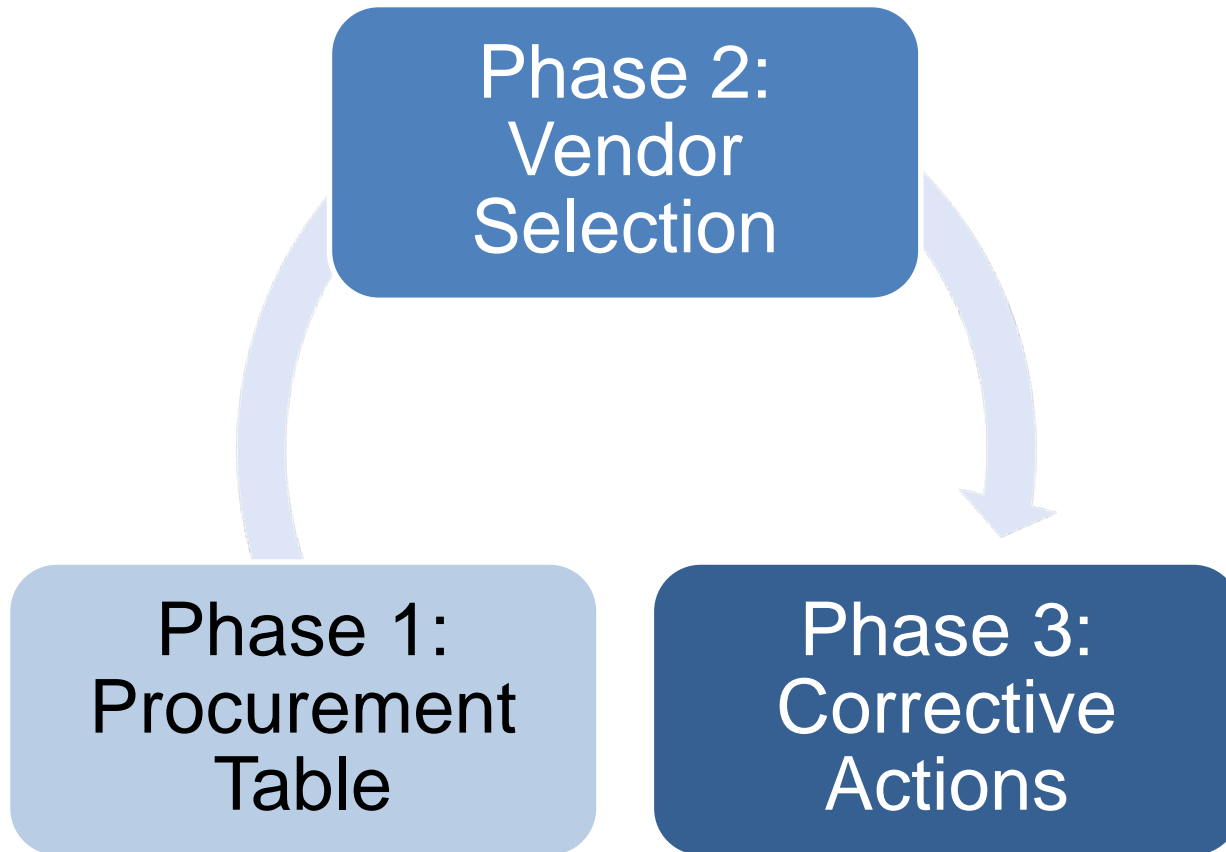




# Procurement Review: Phases 2 and 3

Mark Richards, Garrett Contizano,

# What are the Phases of a Procurement Review?



# Vendor Selection Process

Receive  
Vendor  
Selection  
Notice

Upload  
supporting  
documents

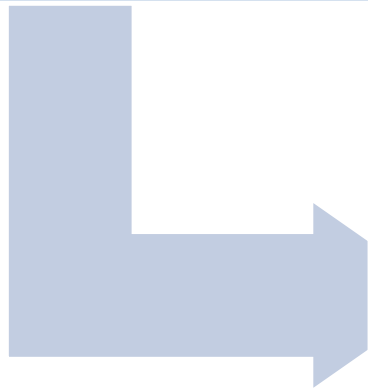
Notify the  
lead  
reviewer

Review  
documents

Sponsor steps

# Vendor Selection Notice

Lead reviewer selects vendors from SFA Procurement Table for further review



Sends Vendor Selection Notice to superintendent, treasurer and food service director

# How do I know which vendors are selected?

Vendors							
(Purchases from vendors valued at \$3,500 or below)							
Add Vendor						Count: 1	
Action	Vendor Name	Vendor ID	Goods/Services	Total Paid	# Purchases	Comments	Selected
Modify	ABC Inc	12345	Bread, Cheese, Milk	\$4,567.89	25		<input checked="" type="checkbox"/>

Under each vendor type on the **SFA Procurement Table**, the **red X** in the selected column will show as a **green check mark** for vendors that have been selected for further review.

# How do I know which vendors are selected?

Review Tools	
Action	Description
View   Modify	Review Information
View   Modify	Sponsor Contact Information
Detail	SFA Procurement Table <b>Staff: (3)    Vendors: (4)</b>
Detail	Review Forms <b>Vendors Selected for Review: (4)</b>
View   Modify	Corrective Action Documents (0)
View   Modify	Recommendation (0)
View   Modify	Commendations (0)
View   Modify	Technical Assistance (0)
Detail	Review Attachments (3)

Alternatively, the vendors selected for review can be found under the **Review Forms** section of the procurement review dashboard.

# How do I know which vendors are selected?

	Action	Form	Status
<input type="checkbox"/>		Procurement Review (10)	
<input type="checkbox"/>		Sponsor Level (10)	
	View   Modify	100 - General Procurement Procedures	
	View   Modify	Micro Purchases - All	
	View   Modify	Small Purchases - All	
	View   Modify	Formal Contracts - All	
	View   Modify	FSMC - All	
	View   Modify	Processing Contracts - All	
<input type="checkbox"/>		Micro Purchase Vendors (1)	
	View   Modify	ABC Inc	
<input type="checkbox"/>		Small Purchase Vendors (1)	
	View   Modify	UME Inc.	
<input type="checkbox"/>		Formal Contracts Vendors (1)	
	View   Modify	123 Company	
<input type="checkbox"/>		Processing Contracts Vendors (1)	

In **Review Forms**, click the plus sign next to each vendor type. This will show vendors selected for review for each type.

# Review Questions



Action	Form	Status
<input type="checkbox"/>	Procurement Review (10)	
<input type="checkbox"/>	Sponsor Level (10)	
<a href="#">View</a>   <a href="#">Modify</a>	100 - General Procurement Procedures	
<a href="#">View</a>   <a href="#">Modify</a>	Micro Purchases - All	
<a href="#">View</a>   <a href="#">Modify</a>	Small Purchases - All	
<a href="#">View</a>   <a href="#">Modify</a>	Formal Contracts - All	
<a href="#">View</a>   <a href="#">Modify</a>	FSMC - All	
<a href="#">View</a>   <a href="#">Modify</a>	Processing Contracts - All	
<input type="checkbox"/>	Micro Purchase Vendors (1)	
<a href="#">View</a>   <a href="#">Modify</a>	ABC Inc	
<input type="checkbox"/>	Small Purchase Vendors (1)	
<a href="#">View</a>   <a href="#">Modify</a>	UME Inc.	
<input type="checkbox"/>	Formal Contracts Vendors (1)	
<a href="#">View</a>   <a href="#">Modify</a>	123 Company	
<input type="checkbox"/>	Processing Contracts Vendors (1)	
<a href="#">View</a>   <a href="#">Modify</a>	Ohio Department of Education	

Click **view** on any items to go to Review Questions for the vendor type.



# Review Questions

Responses recorded on this form will be applied to all Micro Purchase Vendors which have not been decoupled.

1	Was each transaction with this vendor below \$3,500? [2 CFR 200.320(a)] <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Comments: <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>	
2	Were purchase prices reasonable? [2 CFR 200.320(a)] <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Comments: <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>	
3	Did the SFA spread purchases equitably among all qualified sources? [2 CFR 200.320(a)] <input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A Comments: <div style="background-color: #cccccc; height: 40px; width: 100%;"></div>	

These are the questions the lead reviewer answers based on uploaded documents.

**Sponsors cannot answer these questions.**

# Where to Start

## **Notes:**

Write down selected vendors and their type.

# Where to Start

## **Checklist:**

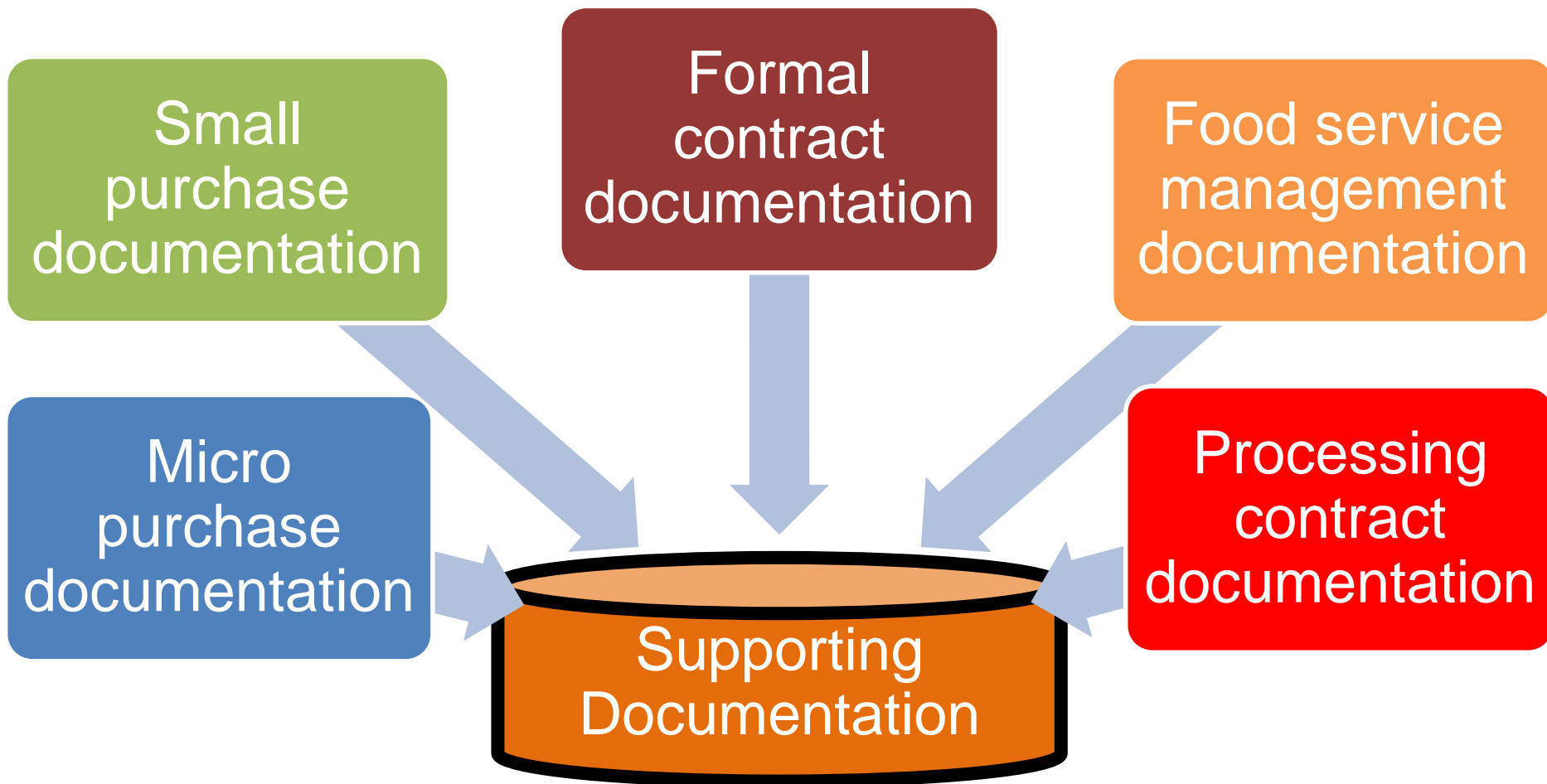
From the vendor selection email or from the Ohio Department of Education website, print a copy of the [Vendor Selection Checklist](#).

# Where to Start

## Uploads:

- Gather the required documents for your selected vendors and upload to the Review Attachments.
- **Include accurate descriptions of the file contents when uploading.**

# Supporting Documentation



# Micro Purchases

## Receipts/Invoices

- Sample of three to four invoices or receipts throughout the school year
- Reviewers may request more as needed

# Small Purchases

## Solicitation documents

- Any communications (emails, letters, documents) sent to vendors that describe what you are looking to buy and requirements to do business
- Any responses

## Evaluation documentation

- Description of criteria used to judge responses to the solicitation
- Comparison of responses received

# Small Purchases

## Award notification

- Any notice sent to solicited vendors accepting offers, if applicable

## Supporting purchase documentation

- Three to four invoices or receipts chosen randomly throughout the year

## Copy of contract

- A complete copy of any contract or purchase agreement formed, if applicable



# Formal Contracts

## Solicitation documents

- Invitations bid or request for proposals published or sent to vendors that describe what you are looking to buy and requirements to do business
- Any responses to the solicitations

## Cost price analysis documentation

- Estimate of expected costs created prior to the invitations to bid or requests for proposals

# Formal Contracts

## Public advertisement

- Proof of payment to publishers for advertisement
- Copy of the advertisement as published

## Evaluation documentation

- Criteria used to judge invitations to bid
- Rubric used to judge requests for proposals showing all vendors' scores

# Formal Contracts

## Award notification

- Any notice sent to solicited vendors accepting offers; if applicable

## Copy of contract

- A complete copy of the contract formed
- A complete copy of any amendments made to the contract
- A complete copy of any costs, discounts, rebates or credits applied to the contract
- A complete copy of any contract renewals

# Food Service Management Company

Requires all of the same documentation as formal contracts

Solicitation documents

Cost price analysis documentation

Public advertisement

Evaluation documentation

Award notification

Copy of contract

# Processing Contracts

Requires all of the same documentation as formal contracts and food service management company contracts with the addition of



Draw down by manufacturer report

- Report showing source of processed products

# Notify the Lead Reviewer

Once you have uploaded all of your supporting documents for the selected vendors, contact your lead reviewer.

Your lead reviewer's name is available on the Procurement Review Dashboard.

## Review Details

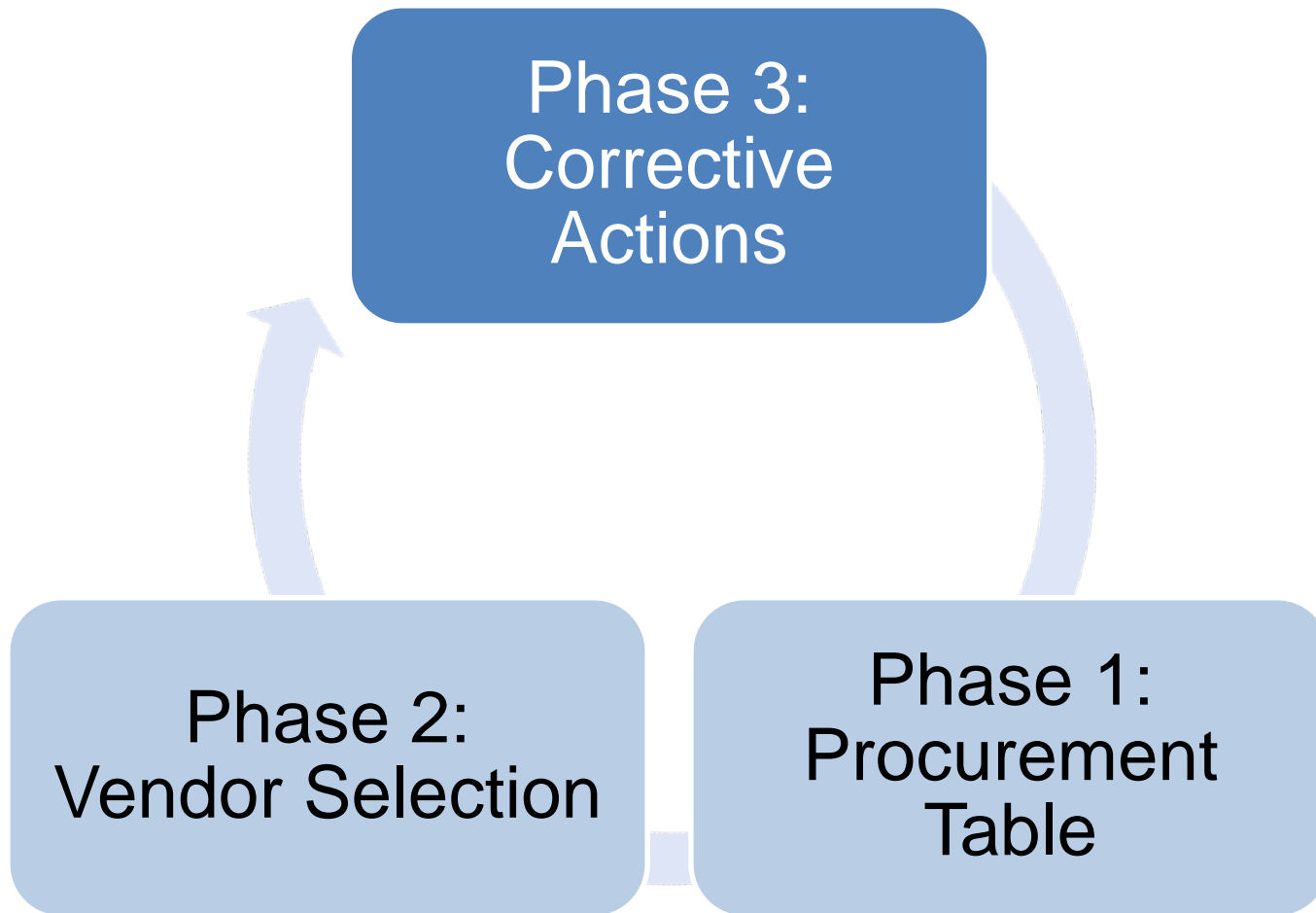
<b>Review Type:</b>	Procurement	<b>Lead Reviewer:</b>	Fox, Munch	<b>Review ID:</b>	13352
<b>Review Form Set:</b>	Procurement Review v1			<b>Status:</b>	Open

# Next Steps

Lead  
Reviewer

Requests  
additional  
documentation or  
reviews/issues  
findings.

# Phase 3





# Corrective Action Process

Receive Findings

Review Findings

Respond to Corrective Actions

Close Review

Sponsor steps

# Where to View Findings

Review Tools	
Action	Description
View   Modify	Review Information
View	Sponsor Contact Information
Detail	SFA Procurement Table <b>Staff: (3) Vendors: (4)</b>
Detail	Review Forms <b>Vendors Selected for Review: (4)</b>
View <b>Modify</b>	<b>Corrective Action Documents (1)</b>
View	Recommendation (0)
View	Commendations (0)
View	Technical Assistance (0)
Detail	Review Attachments (3)

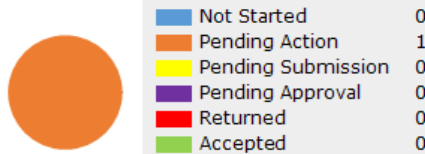
Findings and corrective actions are available in the **Corrective Action Documents** section of the procurement review dashboard.

# Where to View Findings

## Corrective Action Documents

Review ID: 13352

### Total CADs Required



### CAD Counts

Total Number of CADs:	1
Number of Sponsor CADs:	1
Number of Site CADs:	0
CAD Due Date:	
Sponsor Access Start Date:	11/20/2018
Sponsor Access End Date:	1/1/2019

### Review Findings and Corrective Action Documents

Update All Open and Returned Corrective Action Due Dates:

### Sponsor Findings

Not Started	Pending Action	Pending Submission	Pending Approval	Returned	Accepted	Total
0	1	0	0	0	0	1

Action	Area	Question	CAD?	Status	Due Date
View <b>Modify</b>	100 - General Procurement Procedures	1 - Does the SFA/LEA have written codes of conduct that include prohibiting real...	Y	Pending Action	12/31/2018

### Vendor Findings

Not Started	Pending Action	Pending Submission	Pending Approval	Returned	Accepted	Total
0	0	0	0	0	0	0

Actions	Area	Question	CAD?	Status	Due Date	Nbr of Sites
No Findings.						

Individual findings can be viewed from the **Sponsor Findings** section.

Select **Modify** next to each finding to read a full description of the issue.

# Definition of Findings

**Review Findings and Corrective Action Documents** Review ID: 13352

---

**Form:** 100 - General Procurement Procedures

**Question:** 1  
Does the SFA/LEA have written codes of conduct that include prohibiting real, or apparent conflicts of interest for employees engaged in selection, aw...

**Finding ID:** V-0100  
General Procurement Procedures requirements are not met.

**Finding Description**  
Add Standard Comment:

**Required Corrective Action:**  
Add Standard Comment:  

Create a Code of Conduct or modify your Code of Conduct such that it:

- i. Prohibits real, or apparent conflicts of interest for employees engaged in selection, award, and administration of contracts
- ii. Prohibits officers, employees and agents from soliciting or accepting gratuities, favors or anything of monetary value from contractors or parties of subcontracts
- iii. Provides disciplinary actions for violations by officers, employees, or agents

And provide a copy of it.

Findings describe a problem found with the procurement process or documentation provided.

They also outline required corrective actions, which are steps the sponsor must take to address the issue.

# Responding to Findings

**Special Instructions:**

**Sponsor Corrective Action Response:**

**Document Attachments**  
A Sponsor may submit supplemental information related to their Corrective Action by selecting the 'Add an attachment' link.

Action	Comments	Uploaded By
<a href="#">Add an attachment</a>		

**Finding Tracking**

Current Status: Pending Action

Corrective Action Required: Action Required

Due Date: 12/31/2018

Reviewer Response to CAD:

**Dates**

Submitted for Acceptance:

Accepted by Reviewer:

[Save](#) [Submit For Acceptance](#) [Cancel](#)

Enter responses in the **Sponsor Corrective Action Response** at the bottom of the page.

Responses can either be typed in or uploaded in a document (preferred).

Submit for Acceptance when complete.

# Notify the Lead Reviewer

Once you have uploaded all of your supporting documents for the selected vendors, contact your lead reviewer.

Your lead reviewer's name is available on the Procurement Review Dashboard.

## Review Details

<b>Review Type:</b>	Procurement	<b>Lead Reviewer:</b>	Fox, Munch	<b>Review ID:</b>	13352
<b>Review Form Set:</b>	Procurement Review v1			<b>Status:</b>	Open

# Next Steps

The Lead  
Reviewer

Requests additional documentation or reviews and closes the findings.

# Close the Review

All findings closed.

Lead reviewer will notify you of Corrective Action closure

The Procurement Review will be closed in the CRRS

The CRRS automatically schedules the next review for three years from the school year being reviewed



# Questions?



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