

# Modernization Program Procurement Management Plan

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## Document Maintenance

This document is maintained by the Modernization team, specifically the Modernization Contract Project Manager, and will be reviewed annually to determine whether revisions are necessary. Periodic process reviews assess the effectiveness of program plans and processes. Any identified changes or improvements are incorporated in program processes and reflected within revisions to these program plans. All program plans are stored within the program's file share located here:

<\\WPOEDFILL04\Modernization\00 Program Management\Program Plans>

Version	Date	Author	Change Description
V1.0	12/2018	Jennifer Hannan, Modernization Program Manager	Initial version of the document.
V2.0	7/2019	Jennifer Hannan, Modernization Program Manager	Added document relationship section, added anticipated procurements for OCM and schedule advisory services, made adjustments throughout to address editorial changes and corrections to accurately reflect current process, refreshed all appendices to reflect current templates.
V3.0	05/2019	Jenny King, Modernization Contract Project Manager	Updates to plan made were primarily to address items from CSG QC review. Added additional section and verbiage in areas that were light or needed additional clarification.
V4.0	09/2020	Jenny King, Implementation Project Manager	Updates to overview paragraph and other miscellaneous updates.
	11/2022	Sanjuana Cantu, Contract Project Manager	Annual review of the plan.
	06/2023	Sanjuana Cantu, Contract Project Manager	Plan refresh in preparation for Workforce Modernization Project stage gate endorsement submission.

## Program Overview

The Employment Department's Modernization Program is a multi-year initiative focused on transforming the agency's business processes and core technology systems. Computer systems supporting receipt of unemployment insurance (UI) taxes, Paid Leave Oregon contributions, payment of UI and Paid Leave Oregon benefits, and delivery of employment services will be replaced or established. Further, business processes will be transformed to take advantage of opportunities and benefits available through new system capabilities.

## Document Purpose

This plan provides a framework for planning procurement activities to acquire contracted resources and services. This plan describes the roles, responsibilities, and processes for identifying procurement requirements and conducting procurement activities. This plan is intended to ensure that the program's procurements are compliant with statutes, rules, and policies that govern procurement actions within the State of Oregon. This plan only applies to procurements initiated and managed by the Modernization Program and its associated projects.

## Document Relationships

This plan is an extension of the Modernization Program's Project Management Plan. This plan also relies upon or references other plans. For a complete list of document relationships see the Document Matrix in the Modernization Document Registry, located here: [Q:\00 Program Management\Program Plans\Document Registry](#).

## Document Audience

This document is intended for these primary audiences:

- **Sponsors and steering committee members** – to understand processes that will be followed. They also have a responsibility to ensure processes are appropriate and enforced.
- **Internal and external oversight entities** – to monitor whether appropriate processes are in place and continue to be followed.
- **Program and project team members and vendor staff** – to understand processes that will be followed.
- **Agency employees and interested parties** – to reference for general awareness.

## Risks, Assumptions, and Constraints

### RISKS

Risks related to procurement and contract process groups are described and managed through the program's risk and issue process. See the Modernization Program Risk and Issue Management Plan for further details on the risk and issue process. The program Risk and Issue Management Plan is located here: [Q:\00 Program Management\Program Plans\Risk and Issue Management Plan](#). See the Modernization Risk-Issue Registry for a current listing of Procurement Management related risks and

issues. The Risk-Issue Registry is located here: Q:\00 Program Management\Risk-Issue\Risk and Issue Registries.

## ASSUMPTIONS

- The procurement processes developed to support modernization projects will be based upon and adhere to Project Management Institute's (PMI) *A Guide to the Project Management Body of Knowledge* (PMBOK), Oregon statutes and rules governing procurement and contract management, and agency policy.
- The Modernization Program will have a dedicated resource on the team responsible to develop procurement materials and facilitate the procurement teams.

## CONSTRAINTS

- Procurement processes are governed and guided by Oregon contracting statutes and rules, and Department of Administrative Services (DAS) procurement policies. Oregon's Procurement Manual provides resources and links to relevant statutes and rules. This manual is available on the DAS website: <https://www.oregon.gov/das/opm/pages/index.aspx>
- The agency has limited delegated procurement authority, which may change based on statutory authority.
- Each procurement planning will include a determination, under the direction of the agency Designated Procurement Officer (DPO), of where procurement authority lies. Information on delegated authority can be found on the DAS website: <https://www.oregon.gov/das/OPM/Pages/authority.aspx>.
- Contracts with a value of \$150,000 or more require approval for legal sufficiency by the Department of Justice (DOJ).
- IT Investments require approval by Enterprise Information Services Project Portfolio Performance (EIS P3) and Cyber Security Services (CSS).
- The Modernization Program will need to identify existing agency contracts and work with the agency Procurement Office and the delegated Contract Administrator to initiate amendments to incorporate system development changes that support the program.

## Roles and Responsibilities

Significant roles and responsibilities involved in a procurement process are described below.

**Table 1 – Roles and Responsibilities**

Role	Responsibilities
DAS Procurement Services (DAS PS)	While DAS PS may be consulted on any procurement matter, they are accountable for procurements above agency delegated authority. For these procurements, DAS PS: <ul style="list-style-type: none"> <li>• Conducts procurements for products or services exceeding the agency’s delegated authority. This includes facilitation of interviews, bidder conferences, and contract negotiations.</li> <li>• Serves as point of contact for communications with proposers throughout the procurement process up to the award of a contract.</li> <li>• Provides guidance and support to the agency on procurement processes, policies, risk mitigation, and best practices.</li> <li>• Drafts procurement documents and provides advice on compliance with rules, policies, or laws.</li> <li>• Ensures compliance with procurement rules and policies.</li> <li>• Assists agency in resolution of procurement and contract disputes.</li> <li>• Maintains the official procurement and contract file.</li> </ul>
Department of Justice (DOJ)	DOJ may be consulted on any procurement matter. For contracts requiring their review, DOJ: <ul style="list-style-type: none"> <li>• Participates in contract negotiations as requested.</li> <li>• Provides legal guidance on contract statutes, rules, risk mitigation, and best practices.</li> <li>• Ensures appropriate procurement and contracting methods are utilized, and contract language complies with applicable rules, policies, and laws.</li> <li>• Reviews procurements and contracts for legal sufficiency when contracts exceed designated thresholds (\$150,000).</li> <li>• Assists agency in resolution of procurement and contract disputes.</li> <li>• Represents the state for contract legal matters.</li> </ul>

Role	Responsibilities
<p>Modernization Program Executive Sponsor (Oregon Employment Department Director)</p>	<p>Makes decisions about products or services needed, procurement approach, and procurement budget.</p> <p>Provides direction on procurement and contract negotiation decisions.</p> <p>Approves funding decisions and expenditures that are greater than established budget authority for Modernization Program Sponsor.</p> <p>Approves Modernization contracts on behalf of the agency.</p>
<p>Modernization Program Sponsor (Modernization Director)</p>	<p>Makes decisions about products or services needed, procurement strategy and approach, and procurement budget.</p> <p>Provides direction on procurement and contract negotiation decisions.</p> <p>Approves funding decisions and expenditures within established budget authority (approval needed above established limits is escalated to the Modernization Executive Sponsor).</p> <p>Serves as the contract administrator and authorized representative, unless otherwise delegated, for most modernization contracts.<sup>1</sup></p> <p>Approves Modernization contracts on behalf of the program.</p>
<p>Modernization Program Manager</p>	<p>Supports the execution of the procurement strategy by working with the agency's procurement office and the Modernization Contract Project Manager to develop sufficient management processes that adhere to PMBOK best practices, Oregon statutes and rules, and agency policy.</p> <p>Participates in regular process assessments to evaluate whether processes are effective, efficient, and are being followed.</p> <p>Participates as a member of procurement teams.</p>

<sup>1</sup> The Statewide Quality Assurance Program Manager administers the contract for independent quality management services.

Role	Responsibilities
<p>Modernization Contract Project Manager</p>	<p>Develops and maintains the procurement management plan and conducts regular assessments to identify how processes could be improved.</p> <p>Develops draft procurement documents and ensures compliance with Oregon contracting statutes and rules, and DAS procurement policies. Initiates and coordinates procurements with Agency Procurement Office, DAS Procurement Services, and DOJ.</p> <p>Facilitates procurement teams to plan procurements, develop statements of work and evaluation criteria, and conduct solicitations.</p> <p>Manages procurement timelines, determines timing and duration of services, and works with the Schedule Project Manager to ensure procurement activities are reflected within the program and project schedules.</p> <p>Assists in planning for and carrying out negotiations of contracts.</p> <p>Maintains the procurement files located on the shared drive for the Modernization Program.</p> <p>Uploads procurement and contract documentation into EIS Clarity PPM Tool for oversight review.</p>
<p>Agency Delegated Procurement Officer Agency DPO</p>	<p>Accountable for procurements and contracts within agency delegated authority. These procurements are handled through the Agency Procurement Office.</p> <p>Assists agency in resolution of procurement and contract disputes.</p> <p>Provides signature authority for procurements within the agency's delegated authority.</p> <p><i>Note: Agency director designates the Agency DPO and is a co-signer for procurements exceeding agency-delegated authority. The Agency Chief Financial Officer may act on behalf of the Agency DPO in their absence.</i></p>
<p>Agency Procurement Office – Agency DPO or assigned Agency Procurement and Contract Specialist</p>	<p>For procurements within the agency's delegated authority:</p> <ul style="list-style-type: none"> <li>• Conducts procurements for products or services, ensuring appropriate contracting methods are utilized, risks are mitigated, and contract adheres to rules, policies, or laws.</li> <li>• Facilitates interviews, bidder conferences, and contract negotiations.</li> <li>• Acts as point of contact for any communications with proposers throughout the procurement process up to contract award.</li> <li>• Maintains the official procurement and contract file.</li> </ul> <p>For all procurements:</p>



Role	Responsibilities
	<ul style="list-style-type: none"> <li>• Provides guidance and support on procurement processes, policies, risk mitigation, and best practices.</li> <li>• Collaborates with the Modernization team in planning procurements, developing statements of work and evaluation criteria, conducting solicitations, evaluating vendors, and developing contracts.</li> <li>• Develops draft procurement documents and ensures compliance with Oregon contracting statutes and rules, and DAS procurement policies. Participates as a reviewer of procurement and contract documents.</li> <li>• Serves as key liaison with DAS Procurement Services and DOJ on procurements exceeding the agency’s delegated authority.</li> <li>• Assists agency in resolution of procurement and contract disputes.</li> </ul>
Procurement Team	<p>Works together to plan procurements, develop statements of work and evaluation criteria, and may participate in evaluations and negotiations.</p> <p><i>Note: A procurement team is comprised of designated individuals from the Modernization team, the agency’s procurement office, and agency business and technical subject matter experts. DAS P S, DOJ, EIS, and CSS are involved as needed, and always for procurements exceeding delegated authority thresholds or as otherwise required by policy or law. Different individuals may be brought onto the team during different phases of a procurement. For example, different individuals may be involved in evaluations, while others may be involved in contract negotiations.</i></p>
Evaluation Team	<p>Works independently and together at various points during the evaluation phase to evaluate vendor responses and fit against the requirements and criteria set forth in procurements. This team will be expected to make key decisions related to the evaluation process and ultimately make the final vendor selection based on scoring criteria.</p> <p><i>Note: An evaluation team is comprised of designated individuals from the Modernization team, agency executive leadership, and agency business and technical subject matter experts. DAS Procurement Services and DOJ are involved always for procurements exceeding delegated authority thresholds or as otherwise required by policy or law. Different individuals may be brought onto the team during different phases of an evaluation. For example, different individuals may be involved in evaluating technical response artifacts, while others may be involved in evaluating business response artifacts.</i></p>

Role	Responsibilities
Negotiations Team	<p>Works together to develop the negotiations strategy and a contract negotiations checklist. This team will be expected to make key decisions on what is or is not included in the final contract. This team will work together to negotiate and finalize the resulting contract including scope and statements of work, service and work order contracts, terms and conditions, and service level agreements.</p> <p><i>Note: A negotiation team is comprised primarily of agency executive leadership, designated individuals from the Modernization team, and agency business and technical subject matter experts. DAS Procurement Services and DOJ are involved always for procurements exceeding delegated authority thresholds or as otherwise required by policy or law. Different individuals may be brought onto the team to consult on specific subject areas.</i></p>
Modernization Senior Quality and Risk Analyst	<p>Monitors and facilitates management of procurement related risks. Conducts quality control reviews of procurement management processes.</p>
Independent quality management services (iQMS) vendor	<p>Conducts independent quality control reviews of procurement management processes and select solicitations as requested by oversight bodies or the Modernization team.</p>
Enterprise Information Services, Project Portfolio Performance (EIS P3), Oversight Analyst	<p>Conducts oversight reviews of contracts, amendments, and change orders prior to execution. Provides guidance on negotiating contracts and amendments..</p>
Cyber Security Services (CSS), Business Security Advisor	<p>Provide highly technical input on security requirements in solicitations, contracts and amendments.  Conducts oversight reviews of contracts, amendments, and change orders prior to execution.</p>

## Procurement Strategy

Throughout the program, needs will arise to procure goods and services. For each procurement, considered strategies will take into account what is being procured, the delegated authority requirements, and lessons learned from previous procurements. Existing DAS statewide price agreements with pre-qualified vendors will be utilized whenever necessary and feasible in accordance with the state's Buy Decision priority.

The Modernization Contract Project Manager will engage the agency's procurement office by submitting an agency procurement request form. The assigned Agency Procurement Specialist will work with the Modernization Program Sponsor to consider procurement options and strategies, such as utilizing existing price agreements. The following constraints are considered as procurement strategies are planned:

- The agency has limited delegated procurement authority, which may change over time. As each procurement is planned, the procurement authority will be determined.
- Contracts with a value of \$150,000 or more require engagement with DAS PS and require a legal sufficiency review by DOJ.
- Information technology (IT) Investments require approval by EIS P3 and CSS as needed.

For larger contracts involving DAS PS, the Agency DPO will submit a procurement request form to initiate their engagement. Below are some of the procurements anticipated for the Modernization Program.

### SOLUTION PROVIDERS AND INTEGRATORS

The purpose of the Modernization Program is to replace or establish the agency's computer systems that support UI and Paid Leave Oregon contributions, UI and Paid Leave Oregon benefits, and delivery of employment services. The agency prefers to leverage existing vendor solutions that are currently in use by other state(s), and configure solutions to meet the agency's requirements. The agency anticipates major procurements for vendor solutions and implementation services. Procurement for vendor integration services may also be necessary. The agency will work closely with the Agency Procurement Office, DAS PS, EIS, CSS, and DOJ to plan these procurements.

### INDEPENDENT QUALITY MANAGEMENT SERVICES

The State of Oregon has established a Statewide Quality Assurance (QA) program as a resource for quality and risk management for the state's IT community. Its purpose is to increase the success of implementing IT projects in meeting business needs and in improving customer satisfaction, while lowering the risk and cost of IT solutions delivery and their ongoing ownership. By statute and policy, iQMS must be procured for certain IT initiatives based on cost and risk. Statewide IT Policy No. 107-004-030 and guidance provided by the Statewide Quality Assurance Program provide direction to agencies.

DAS PS has entered into statewide price agreements with vendors under which state organizations (authorized purchasers) can execute work order contracts (WOC) to acquire iQMS for oversight and risk management. Authorized purchasers may select a particular iQMS vendor for a single project, phased project, or portfolio of projects through a best value analysis (BVA) process.

The Modernization Program anticipates multiple projects to achieve the benefits for the program. The agency prefers to engage a single vendor to provide iQMS for all modernization projects. This increases consistency, and provides the iQMS vendor with background and context as they assess processes and project deliverables throughout the entirety of the Modernization Program.

The Modernization team will coordinate with DAS PS, EIS's Statewide QA Program team, and the Agency Procurement Office to procure iQMS.

## ADVISORY SERVICES

The Modernization Program is large and complex. In addition to ensuring that agency staff have appropriate training and experience, best practices indicate that thoughtful engagement with external research, advisory, training, and consulting services can be a powerful contributor to success. As needs arise, the Modernization Contract Project Manager will engage the agency procurement office and conduct any necessary research to procure such services.

## STAFF AUGMENTATION

The agency may use blended internal and outsourced teams on Modernization projects. Vendors will be utilized on projects when state staff do not possess the necessary qualifications or skillsets for specific bodies of work, are not available (capacity constraints), or the services and/or expertise needed are of an urgent or temporary nature. When staff augmentation is needed the Modernization Program Sponsor will work with the Modernization Contract Procurement Manager and the agency procurement office to evaluate options and strategies for procuring staff augmentation services.

## Procurement Process

Because specific procurement processes are determined by DAS and the Agency Procurement Office, this plan only generally describes the roles, responsibilities, and processes involved. It is expected that processes for acquiring products and services will follow the Oregon Procurement Manual and DAS policies and guidelines. DAS processes, policies, and guidelines can be found on their website at <https://www.oregon.gov/das/OPM/Pages/planning.aspx>.

Prior to initiating procurement activities, the Modernization Contract Project Manager will consult with the Agency Procurement Office to:

- Review product or services needed
- Identify the tools, skills, and/or expertise required
- Determine timing and duration of services
- Determine if procurement can be coordinated and combined with another project procurement
- Select procurement methods and resulting contract type
- Determine what requirements, such as DAS and Service Employees International Union (SEIU) mandated feasibility studies need to be completed
- Determine whether procurement may exceed delegated authority thresholds
- Identify individuals to serve on a procurement and/or evaluation team
- Develop initial procurement timeline
- Develop and maintain a procurement plan and checklist of tasks to be completed prior to releasing the solicitation
- Develop a contract negotiations checklist of items to be included in the contract

## PROCUREMENT TEAM

A procurement team will be assembled early in procurement planning and will participate in the development of the procurement solicitation. The procurement team will involve procurement experts to guide the process in accordance with state contract laws and policies; technical and business subject matter experts who have a clear understanding of how the product or service must meet the business or technical needs; and individuals with the authority to approve procurements on behalf of the agency or State of Oregon.

Generally, the procurement team will include the Agency DPO, designated Agency Procurement and Contract Specialist, the Modernization Contract Project Manager, members of the Modernization team, and agency business or technical experts. DAS PS, EIS P3, CSS, and/or DOJ may also be involved for procurements that exceed the agency's delegated authority or thresholds for legal sufficiency review.

## PROCUREMENT METHODS

Procurements may use different approaches or methods. The priority order of procurement methods is specified by Oregon Administrative Rule (OAR) 125-247-0200. The Agency Procurement and Contract Specialist can discuss these with the procurement team to select the method that is most appropriate. A partial list of standard procurement methods includes:

- The Buy Decision priority according to OAR 125-247-0200
- Competitive sealed bidding according to Oregon Revised Statute (ORS) 279B.055
- Competitive sealed proposals according to ORS 279B.060
- Small procurement according to ORS 279B.065
- Intermediate procurement according to ORS 279B.070
- Sole-source procurement according to ORS 279B.075
- Emergency procurement according to ORS 279B.080
- Special procurement according to ORS 279B.085

A cooperative procurement in accordance with OAR 125-246-0400 substantially uses a competitive sealed bidding or competitive sealed proposals method.

## CONTRACT TYPES

Different procurement methods may be applied to different types of contracts. For example, a personal services contract may be firm fixed price or time and materials based, or a combination of the two. A partial list of standard contract types includes:

- Firm fixed price
- Time and materials
- Cost reimbursement

The agency prefers firm fixed price rather than time and materials contracts. In some instances, a time and materials based contract may be the only option if using an existing statewide price agreement when developing a Service Order Contract (SOC) or WOC. In these cases, it will be expected that not-to-exceed (NTE) amounts will be listed per deliverable.

## CONTRACT SIZE

General estimates are formed for how much the contract is expected to cost during the feasibility and planning processes. The larger the contract amount, the more extensive the external processes involved,

and the longer the procurement process takes. The path chosen differs based on the unique aspects of each procurement. If a procurement exceeds the agency's delegated authority thresholds, DAS PS, EIS, and DOJ will be engaged in the procurement process.

## Planning a Procurement

As soon as a procurement for products or services is identified, a procurement team will be assembled to begin planning the procurement strategy and detailed needs. Generally, procurement planning will need to occur at least 3 months before executing the procurement strategy. For larger procurements, this may take up to 6 months or more. The procurement team will make decisions that will drive the execution and management of a procurement. Some of the key topics that will be discussed and decided include:

- Scope of work and specifications
- Contract deliverables and acceptance criteria
- Business and technical requirements
- Method of procurement
- Contract type
- Estimated schedule and dependencies
- Estimated cost and budget
- Vendor performance measures (if applicable)
- Alternatives and contingencies
- Assumptions, constraints, and risks
- Team assignments and procurement deadlines
- Evaluation strategy and plan
- Proposal submission requirements
- Proposal evaluation criteria and scoring matrices

## Building a Procurement

Typically, building a procurement starts with the development of a statement (or scope) of work and determination of the requirements, minimum/desired qualifications of vendor key personnel, and/or expected deliverables. The scope or statement of work becomes a part of the procurement package and will be the start of a first draft of the resulting contract. A procurement checklist will be developed and used to ensure all requisite activities are completed and critical items are included in the solicitation.

The Modernization Contract Project Manager will engage the procurement team to draft the statement of work, specifications, and evaluation criteria to be used within the procurement package. In many cases, templates and formats for statements of work, requests for proposal, requests for quote, or other procurement documentation may be predetermined based on statewide master price service agreements, or state and agency standards. The Modernization Contract Project Manager will engage with Agency Procurement Office and/or DAS PS to identify and develop appropriate solicitation documents and prepare the procurement for release.

## Releasing a Procurement

Procurements for which the agency has delegated authority will be released through Oregon Buys by the Agency DPO, who acts as point of contact for any communications with proposers through contract execution.

For procurements exceeding delegated authority thresholds, DAS PS will release the solicitation through Oregon Buys and act as point of contact for any communications with proposers through contract execution.

The release duration for each procurement will be determined by the procurement team and will primarily be dependent upon the complexity and nature of the procurement.

## Evaluating Bidder Responses

Whether reviewing a single resume or multiple responses, there are specific steps involved in the selection process. Evaluation teams will follow state procurement best practices in the review, interview, and selection processes to ensure the selection process is fair, equitable, and transparent, reducing potential protests. Details for how evaluations will be conducted and the individuals who will serve on the evaluation team are captured within the detailed procurement plan.

The procurement team will develop evaluation criteria and scoring matrices to be used for reviewing and scoring vendor responses by the evaluation team. Members of the procurement team may also serve on the evaluation team. The evaluation team will use the evaluation criteria and related scoring matrices that were developed by the procurement team to determine which vendor best meets the procurement requirements. Depending on the complexity of the procurement, additional time will be built in to the schedule to allow for learning and refinement of next steps at the end of each evaluation phase.

## Negotiations and Contract Development

Once a vendor has been selected, the notice of intent to award has been released, and the protest period has expired, the parties will begin the negotiations stage during which the specific terms of the contract and statement of work will be negotiated.

A negotiations team will be formed, which may carry forward members of the procurement or evaluation team. The negotiations team will develop a contract negotiations checklist to ensure all critical items are included in the contract. The Contract Negotiations Checklist Template can be found here: <\\wpoedfill04\Modernization\00 Program Management\Procurement\Procurement Forms and Guidance\Contract Negotiations Checklist Template.xlsx>

All vendors are required to comply with the processes and rigor required to manage modernization projects, including oversight requirements, and will be monitored and managed to this compliance. The negotiations team will also be charged with identifying and finalizing the vendor metrics included in contracts.

Once the contract is executed, the contract and vendor management processes will be followed as described within the Modernization Program Contract Management Plan.

## Retainage and Letters of Credit

When determined necessary by the agency or DAS PS, some contractors may be required to include retainage in larger contracts and provide acceptable letters of credit. The negotiations team will evaluate each contract in consultation with DAS PS, the Agency Procurement Office, and/or DOJ to determine which contracts should contain retainage clauses, determine the amount of retainage, and define any letters of credit.



## Contractor Insurance and Escrow Requirements

Contractor insurance and escrow requirements will be evaluated and determined by the agency DPO and/or DAS PS and included within the contract. All contractors will be required to carry the insurance requirements set out in their respective contract. In addition, some contractors may be required to have an escrow account listing the Oregon Employment Department as the beneficiary.

## Detailed Procurement Plan and Procurement File

A detailed procurement plan will be developed for each procurement. The detailed procurement plan documents the specific approach and how decisions are made throughout the life of the procurement, and provides an overview of the procurement process for historical purposes. The procurement plan template is located here: <\\WPOEDFILL04\Modernization\00 Program Management\Procurement\Procurement Forms and Guidance\Procurement Plan Template.docx> The detailed procurement plans will be regularly updated to reflect details as each procurement is planned and executed.

All procurement materials are stored and maintained within a procurement and contract file which is the official record for each procurement. The office with authority for the procurement is responsible for the maintenance and storage of the procurement and contract file. The Modernization Contract Project Manager will coordinate with the Agency Procurement Office or DAS PS to supply any procurement materials developed by the procurement team for official recordkeeping. The procurement and contract file contains information such as:

- Procurement plan and related documents
- Bids and proposals received
- Evaluation documents
- Selection documents
- Reviews and approvals
- Emails and other communications associated with the procurement

See Appendix A for the Agency Procurement Office contract file checklist.



## Approving Authorities

*Renee Royston*  
[Renee ROYSTON \(Jun 30, 2023 18:36 PDT\)](#)  
\_\_\_\_\_  
Renee Royston, Modernization Program Sponsor  
Modernization Director  
Date

*David B. FORD*  
[David B. FORD \(Jun 30, 2023 18:41 PDT\)](#)  
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David Ford, Modernization Program Manager  
Date

*SanJuana CANTU*  
[SanJuana CANTU \(Jun 30, 2023 18:47 PDT\)](#)  
\_\_\_\_\_  
Sanjuana Cantu, Modernization Contract Project Manager  
Date

## Appendix A – Agency Procurement Office Contract Checklist



### *Contract File Checklist*

According to OAR 125-246-0556, agencies must ensure procurement files contain the following items.  
This checklist helps maintain complete procurement files.

**CONTRACT  
REFERENCE:**

[Click here to enter text.](#)

- All Written documents delivered to an Agency from DAS Procurement Services, whether the documents relate to approvals, revocations, orders, modifications, or other actions, related to the documents' subject matter and Action
- An executed Contract, if awarded, and any Ordering Instruments and Amendments
- The record of the actions used to develop and administer the Contract
- A copy of the Solicitation, if any
- The Contract Administrator and any delegates
- Any required findings or statement of justification for the selection of the Provider and sourcing method according to ORS 279A.200 through 279A.220 (Interstate Cooperative Procurement); 279B.055 through 085 (seven methods for Supplies and Services); 279C.100 through 279C.125 (Architectural, Engineering, Photogrammetric Mapping, Transportation Planning or Land Surveying Services or Related Services); or ORS 279C.300 through 279C.450 (Public Improvements);
- Documentation of Contract Administration according to OAR 125-246-0555 and if required by the selected procurement method:
  - A list of prospective Providers notified of any Solicitation;
  - The method used to advertise or notify prospective Providers;
  - A copy of each Offer that resulted in the Award of a Contract;
  - The record of any Negotiation of the Statement of Work and results;
  - A record of all material Communications regarding the Solicitation by interested Providers according to OAR 125-246-0635;
  - All information describing how the Provider was selected, including the method and basis for awarding the Contract;
  - A copy of the Request for Special Procurement, if any;
  - Documentation for a Federal Program purchase according to OAR 125-246-0360; and
  - Documentation related to Cooperative Procurements according to OAR 125-246-0400.