

Standard Operating Procedure (SOP): M/WBE Noncompetitive Small Purchase Method

Summary of Roles/Responsibilities

Owner	Responsibilities
Program Units	<ul style="list-style-type: none"> • Identifies need to procure goods, services, or construction-related services over \$20,000.00 and up to \$1.5M using M/WBE NCSP award method • Completes the following documents to initiate the M/WBE Noncompetitive Small Purchase (NCSP) procurement: <ol style="list-style-type: none"> 1. Project Initiation Worksheet 2. Document defining Scope of Services 3. Project Information Worksheet • Evaluates the responses submitted by M/WBEs and selects the vendor to be awarded • Once the vendor is selected, completes the Justification Worksheet
Office of Diversity and Industry Relations (ODIR), M/WBE Unit mwbediscretionaryinfo@ddc.nyc.gov	<ul style="list-style-type: none"> • Reviews the Project Initiation Worksheet, Project Information Worksheet, and Scope of Services document completed by Program Unit to create a solicitation entry in PASSPort • Conducts a search of the SBS Online Directory of Certified Businesses to develop a list of vendors that provide the relevant goods or services for the specific solicitation • Once the solicitation is released, monitors PASSPort for vendor questions or comments for the duration of the solicitation • Once the solicitation is closed, sends bids/proposals to the Program Units to be reviewed
Legal	<ul style="list-style-type: none"> • Provides standard contract templates required for services requested

Owner	Responsibilities
<p>Finance & Procurement, Agency Chief Contracting Officer (ACCO) Unit</p> <p>Small Purchasing and Professional Services teams</p>	<ul style="list-style-type: none"> • Approves the procurement for MWBE Noncompetitive Small Purchase method when requested by the Program Unit • Checks to see if any of the good or services requested are on requirements contract that must be utilized • Reviews the solicitation entry in PASSPort and subsequently releases the solicitation to the selected vendors if no changes are needed from ODIR • Once the solicitation bid due date has passed, closes the solicitation upon request from ODIR • Determines if Public Hearing is required • Works through the execution process in PASSPort with the selected vendor • Once all required steps are complete, works to self-register the contract in PASSPort
<p>Finance & Procurement, Budget Unit</p> <p>Capital Budget and Expense Budget teams</p>	<ul style="list-style-type: none"> • Confirms if there is a CP and/or Expense funds for the request • Confirms if there is a Fixed Asset/FN document for the request • Verifies that there is sufficient funding available in the budget. Engages the sponsor if additional funding is needed and updates the budget in FMS • If there is an approved CP and FN: Submits a Budget Code Modification (BCM) funding request to OMB • If there is no CP: Requests Program Unit to initiate the CP package with the project scope details • Prepares and compiles funding documents for the CP package and submits to OMB • Once the CP is approved, submits a Fixed Asset/FN document to Comptroller's office for approval • Once funding and FN document are approved, submits requisition details to the ACCO team for registration

To Complete An M/WBE Noncompetitive Small Purchase Method in PASSPort:

Step 1: When the program unit becomes aware of a project and the Managing Agency Switch (MAS) has taken place, the **Program Unit** should prepare and submit the CP for the project to the Capital Budget unit, if Capital Funds are intended to be used.

If expense funds are to be used, the **Program Unit** should reach out to the Expense Budget unit for confirmation of funds.

Step 2: When the **Program Unit** has identified a procurement need using the M/WBE NCSP method, the Program Unit completes the M/WBE Discretionary Procurement Initiation Worksheet and sends an email to the ACCO team with a cc to the ODIR M/WBE team. If the need is for services, then the Program Unit will also submit with their initial request a document with the Scope of Services.

- If the initial request comes directly from the program unit to ODIR, the MWBE Compliance Analyst will direct the requestor to contact Deputy ACCO of Contract Procurement (Michael Ransom), the Director of Small Purchasing (Yolanda Perez), and the Director of Professional Services (Hemwattie Roopnarine) to receive procurement approval before proceeding with the request.

Step 3: The **ACCO team** reviews the request and confirm there are no requirements contracts that must be utilized. The ACCO team notifies the ODIR team to proceed with the M/WBE Noncompetitive Small Purchase and sends the M/WBE Discretionary Procurement Initiation Worksheet, as well as the Scope of Services document, if the request is for project-based services.

The ACCO team will reach out to both the requesting unit and the budget team to confirm that there will be funding for the project. The Budget team will have to confirm there is either a CP or expense funds for the request.

Step 4: Once the request has been confirmed and approved by ACCO team, the **M/WBE Analyst** asks the Program Unit to complete the Project Information Worksheet and any necessary updates to the M/WBE Discretionary Procurement Initiation Worksheet.

- The information provided on the M/WBE Discretionary Procurement Initiation Worksheet and the Project Information Worksheet is used to create the RFI/Solicitation in PASSPort. Please ensure that the requestor has provided the following information in detail in the Procurement Initiation Worksheet.
 - **Overview** – Brief summary and background information on the project.
 - **Scope of Work** – Full details of the good or service that is being requested.
 - **Deliverables** – If applicable, any items that will be required before or after proposal is submitted from vendor.
 - **Schedule or Duration** – Time frame or duration of contract for service or goods
 - **Requirements - (Education, Licensing and Experience)** – Some services or goods may require specific licensing, education or experience from the vendor to be eligible for award. Confirm with program unit case by case if there are any special requirements.

Step 5: The **M/WBE Analyst** searches for at least 3 City-certified M/WBEs who can provide the goods or services needed in the SBS Online Directory of Certified Businesses (www.nyc.gov/buycertified).

- **Note:** Search for vendors by commodity code, keywords or vendor name. Advanced search functionality allows for a search by Ethnic and Gender categories.
- **Note:** Please see the “Recovery For All” memo, which is attached to the FAQ guide for further guidance on first selecting M/WBE vendors in the underutilized certification categories.

Step 6: The **M/WBE Analyst** verifies PASSPort accounts for selected M/WBE vendors.

- **Note:** Vendors must have active PASSPort accounts in order to directly respond to Agency Requests for Quotes in PASSPort. MOCS will assist with new vendor enrollments, as needed.

Step 7: The **M/WBE Analyst** creates a Request for Quotes by using the PASSPort Request for Information (RFI):

- **Generate RFI:** Initiate a new RFI record by entering procurement information in the General Information section.
- **Setup Project:** Provide general information about the procurement and Request for Quotes.
- **Setup Team:** Identify the team members who will work on the RFI. Members of the ACCO team must be included in all purchases. Please list the roles of all ACCO team members in PASSPort as follows:
 - ACCO Manager/ Financial Contributor/ Financial Manager
 - ACCO Manager/ Financial Contributor/ Financial Manager
 - ACCO Manager/ Financial Contributor/ Financial Manager
 - M/WBE Compliance Analyst as_Agency Contact/Procurement Contributor/Project Administrator
- **Setup Documents:** Create RFX Documents and add pertinent RFI documents.
 - Scope of Services (Provided by Programs Units)
 - Relevant Standard Language Contract (Provided by Law Department)
 - Tax Affirmation
 - Owner Certification Guide
 - MacBride Principle Rider
 - Doing Business Q&A – Standard 2018
 - Doing Business Data Form – Standard 2018
 - RFI Questionnaire Template (This document will be added to the “Questionnaire” section of the “Prepare RFX” tab)
- **Select Vendor:** Identify and add at least 3 City-certified M/WBE vendors to receive the RFI (based on the vendor search results performed in Step 5) and add the vendors to the PASSPort RFI record.
- **Prepare and Release RFX:** Configure and customize the information, documents and questions that will go out to your vendors for their response.
 - **Note:** Depending on your Agency’s needs, MOCS will provide hands-on assistance in configuring the RFI. Templates will be available to help agencies formulate their questions.

Step 8: When the solicitation/RFI is ready to be released, the **M/WBE Analyst** sends request email to the ACCO team to review and release the RFI.

Step 9: The **ACCO team** releases the RFI in PASSPort.

Step 10: Once the solicitation has been released, the **M/WBE Analyst** calls all vendors selected to participate in solicitation. The analyst informs the identified vendors that the solicitation has been released and they have been invited to submit bid.

Step 11: The **M/WBE Analyst** reviews vendor activity and responses via the “View RFx Activity” tab within the RFI.

- Answers vendor questions, if any, in the Discussion Forum tab of the RFI.
- Reaches out to Program Units to get answers to any vendor questions.
- Works with ACCO team to issue Addenda in the Prepare RFx tab, if necessary.
 - **Note:** DDC must make all reasonable efforts to get quotes from at least 3 City- certified M/WBEs to determine the price is fair and reasonable or otherwise explain why obtaining the minimum number of quotes was not feasible.

Step 12: Once the active solicitation period has ended, the **M/WBE Analyst** contacts the ACCO team to request the solicitation be closed in PASSPort.

Step 13: Once it is confirmed that the solicitation is closed, the **M/WBE Analyst** downloads all bid submissions and sends an email to the respective Program Unit. In the email, please be sure to include the following:

- Compressed/zipped folder of all bid submissions
- **Note:** MWBE Discretionary Procurement Justification Worksheet to be filled out by the Program Unit if/when a vendor has been selected for award.

Step 14: The **Program Unit** completes their evaluation of vendor responses and selects a vendor. Program Unit should notify the M/WBE Compliance Analyst that they have selected a vendor and sends the completed M/WBE Discretionary Procurement Justification Worksheet.

Step 15: The **M/WBE Analyst** notifies the ACCO team ASAP to initiate the contract negotiation and award procedures.

Step 16: The **ACCO team** creates the M/WBE Noncompetitive Small Purchase Requisition via the Requisition Module to start the award process.

- Links the related RFI created to obtain the vendor quotes.
- Identifies Procurement Method as M/WBE Noncompetitive Small Purchase.
- Identifies the selected vendor in the Procurement Method Questionnaire section.

- Determines if a Public Hearing is required

Step 17: The ACCO team requests Public Hearing (if required – if procurement is greater than \$100k)

Step 18: The ACCO team completes a Responsibility Determination on the vendor.

Step 19: The ACCO team confirms the contract award and executes the contract with the selected vendor.

- **Note:** This step is put on hold until the Approved CP is received or the confirmation of Expense funds is received.

Step 20: The ACCO team launches contract to complete contract registration activities.

- Setup team members who will complete contract registration tasks.
- Complete the series of tabs that will contain all the data and documents necessary to finalize the agreement and register the contract.
 - **Header:** Make sure to select Award Code 72 and the FMS Contract Type as a CT1.
 - **Documents:** Upload contract agreement and submit to Law (all awards over \$100,000); add any other supplemental contract documents to be included as part of contract agreement and registration and identify what documents are required to be uploaded by the vendor. Complete signatures via DocuSign.
 - **Award Details:** Complete Award details.
 - **Financials:** Obtain CFO approval of funds; add applicable Certificate to Proceed number (if capital); complete encumbrance for FMS submission and registration.
- **Note:** This step cannot be completed until the RQC1 is received from Budget.

Step 21: The ACCO team submits the Contract Award for Self-Registration.

- Submits purchase order to FMS.
- Once self-registered, identifies and selects documents to include in the Registration Package.
- Submits copy of Registration Package to the Comptroller's Office within 30 days of contract registration through PASSPort.
- For the M/WBE Noncompetitive Innovative Method, publishes a notice of award in the City Record within 15 days after registration of the contract. This action will need to be completed outside of PASSPort in The City Record Online system.

Congratulations on your purchase!