



November 6, 2015

MEMORANDUM

To: Cabinet
College Presidents
Vice Presidents of Finance and Administration
Business Managers
Purchasing Directors and Accounts Payable Directors
Legal Affairs Designees

From: Frederick P. Schaffer, General Counsel & Senior Vice Chancellor for Legal Affairs
Leonard Zinnanti, University Executive Controller

Re: Informal Purchasing (Discretionary Purchasing Authority)

I. Introduction

Certain purchases made by The City University of New York and its colleges are not subject to the formal competitive solicitation processes that are otherwise required by applicable law and policy, such as the receipt of sealed bids and proposals (“Formal Purchasing”), but instead may be procured using informal purchasing methods under the University’s discretionary purchasing authority pursuant to the State Finance Law and Education Law (“Informal Purchasing”). Colleges, acting through their Purchasing Departments, may use Informal Purchasing when obtaining commodities or services under certain dollar thresholds, and after meeting other University and New York State requirements. Where permitted, Informal Purchasing is intended to allow colleges to use streamlined processes to obtain needed goods and services at competitive prices. This memorandum sets forth specific procedures for the use of Informal Purchasing by colleges.

Colleges must follow these procedures when utilizing Informal Purchasing. Any deviations from these procedures must be approved in advance in writing by the Office of University Controller and the Office of General Counsel.

These procedures do not apply to procurements by The City University Construction Fund, college associations, auxiliary enterprise corporations, or college foundations.

II. Overview of Informal Purchasing

The University may use Informal Purchasing to procure commodities and/or services with a value of less than \$100,000 that are not available through preferred sources or centralized contracts, including CUNY-wide contracts. Informal Purchasing may not be used to procure commodities and/or services valued at \$100,000 or more except as noted in Section VI (Exceptions to Informal Purchasing Threshold), below.

Informal Purchasing is distinct from Formal Purchasing in the type of solicitations used as well as the statutory requirements and rules that govern the related procurements. Informal Purchasing is used for lower dollar value, less complex, often one-time, purchases that do not exceed \$100,000.¹ Informal Purchasing methods include the use of Telephone Quotes or written Requests for Quotes (“RFQ”). Advertising may be required when using Informal Purchasing based on the value of the purchase. As further described in these procedures, there are both competitive and non-competitive Informal Purchasing methods.

Formal Purchasing is typically used for higher dollar and/or more complex purchases, typically in excess of \$100,000. Formal Purchasing typically results in the provision of commodities and/or services generally over a period of time (e.g., year or multi-year terms). Formal Purchasing methods are often dictated by specific statutory requirements that direct the solicitation, selection, and award processes such as the use of Requests for Proposals (“RFP”) and Invitations for Bid (“IFB”) and the receipt of sealed proposals and bids. Contract awards under Formal Purchasing may require additional CUNY, City and State approvals.

III. Informal Purchasing Requirements and Restrictions

A. Informal Purchasing Requirements

When considering the use of Informal Purchasing, colleges must adhere to all applicable purchasing requirements, including the following:

1. Coordinating all purchases through their Purchasing Departments. All Informal Purchasing methods, including Requests for Quotes and Telephone Quotes, only may be used by college Purchasing Departments. Other college staff may use the written Requests for Quotes document for purposes of obtaining price estimates for budgeting purposes only. Purchasing Directors may use the results of such price estimates as the basis of a purchase if they determine that the methodology followed was consistent with the requirements of these procedures.
2. Researching whether potential purchases in the aggregate (see footnote 1) by the college of the same commodity or service will exceed \$100,000, or, in the case of purchases described in Section VI below, \$200,000 (the “Informal Purchasing

¹ In determining whether a particular solicitation meets one of the Informal Purchasing dollar thresholds described in this policy, colleges shall consider the reasonably expected aggregate amount of all purchases of the same commodities or services to be made within the twelve-month period commencing on the date of purchase. When a college can reasonably anticipate that repeat or multi-year purchases of the same commodities or services are necessary, the college shall aggregate the expected repeat or multi-year purchases when determining whether the purchases meet one of the applicable Informal Purchasing dollar thresholds. Colleges may not enter into amendments or renewals to purchases made using Informal Purchasing that would cause the aggregate purchase to exceed the applicable Informal Purchasing dollar threshold. Purchases of services or commodities shall not be artificially divided for the purpose of satisfying the applicable thresholds.

Threshold”), and monitoring actual purchases made of the same commodity or service using Informal Purchasing methods to ensure that such purchases will not exceed the applicable Informal Purchasing Threshold.

3. Ensuring that the commodity or service sought satisfies the college’s required form, function, and utility, and determining whether a preferred source or a centralized contract offers commodities or services that can satisfy these requirements.
4. Only if the requirement cannot be met through a preferred source or centralized contract, using competition to the maximum extent practicable through a Telephone Quote or the written Request for Quotes, using forms issued by the University’s Office of General Counsel (“OGC”).
5. As applicable, setting MWBE goals on purchases in excess of \$25,000 as required by law and the University’s Policy on Purchasing from Minority-Owned and Women-Owned Businesses.
6. In addition, when conducting procurements for commodities and/or services valued at \$20,000 or more but less than \$100,000, colleges must use an RFQ, IFB, or RFP.
7. Obtaining all necessary internal and external approvals.
8. Advertising in the NYS Contract Reporter and The City Record when the value of the purchase is \$50,000 or more. (Senior Colleges may forego advertising if they obtain an exemption from the NYS Comptroller and publish notice of the exemption in the NYS Contract Reporter.)
9. Obtaining and maintaining all required forms, certificates, and information from the prospective vendor.
10. Maintaining a record of the procurement that demonstrates that the requirements have been met and includes documentation of fairness and reasonableness of price.²
11. Complying with the University’s Contract Signing Authority policy.
12. Obtaining Office of General Counsel approval as to form for any solicitations for services in excess of \$50,000 and for commodities in excess of \$100,000.

B. Informal Purchasing Restrictions

Informal Purchasing procedures also are subject to the following restrictions:

1. Colleges may not use Informal Purchasing methods for procurements of construction, architecture, engineering and/or surveying services.
2. Colleges may not artificially divide purchases in order to use Informal Purchasing. Splitting purchases is prohibited. Amendments to or renewals of contracts or purchase orders issued using Informal Purchasing shall not cause the total value of the associated purchase to exceed the original Informal Purchasing Threshold for the procurement.
3. Telephone Quotations are for use of college Purchasing Department staff only.
4. Telephone Quotations are **not** allowed for the purchase of commodities and/or services with a value of \$20,000 or more.

² See Section VII (Award under Informal Purchasing) for a discussion of how to establish fairness and reasonableness of price.

IV. Competitive Informal Purchasing Methods

A. Telephone Quote

A Telephone Quote is an Informal Purchasing method that may be used only by college Purchasing Department staff to obtain verbal quotes for commodities and/or services with a value that is less than \$20,000. When using a Telephone Quote the college Purchasing Department staff must obtain a minimum of three (3) quotes. Colleges must use the form documents issued by OGC for Telephone Quotes and maintain the completed forms as part of the procurement record.

The use of Telephone Quotes is **not** allowed for the purchase of commodities or services with a value of \$20,000 or more.

B. Request for Quotes

A Request for Quotes is an Informal Purchasing method that can be used for purchases by the college Purchasing Department of either commodities and/or services with a value of less than \$100,000, except as permitted under Section VI (Exceptions to Informal Purchasing Threshold) below. Colleges must use the RFQ form issued by OGC and maintain the completed RFQ and all vendor responses as part of the procurement record. When using an RFQ with a value that is less than \$50,000 the college Purchasing Department staff must obtain a minimum of three (3) quotes. When using an RFQ with a value that is \$50,000 or more but less than \$100,000 the college Purchasing Department staff must obtain a minimum of five (5) quotes. Colleges must use the form documents issued by OGC for Telephone Quotes and maintain the completed forms as part of the procurement record.

V. Non-Competitive Informal Purchasing Methods

In certain limited instances purchases may be made without using competitive methods under the Informal Purchasing dollar threshold.

A. Single Source

The single source procurement method may be used when there is more than one vendor capable of providing the needed commodity or service and one vendor clearly represents the best possible source due to several factors, including price, technical requirements, capabilities, expertise, resources, facilities, and schedule.

Prior to proceeding with a single source purchase, the college end-user must prepare a non-competitive single source justification memorandum for review by the college Purchasing Director. The college end-user must include the following information in the memorandum:

- description of the commodity or service sought;
- explanation of why one vendor represents the best possible source considering price, technical capabilities or characteristics, availability of special expertise, resources, facilities, and schedule;
- explanation of alternatives considered and why such alternatives were deemed not acceptable;
- description of the procurement history, future requirement and long-range objectives, including what efforts have been made to ensure future competition can occur;

- estimated costs, including documentation of fairness and reasonableness of price; and
- schedule considerations.

The college Purchasing Director will review the justification memorandum and make a determination as to whether the information presented is sufficient to select the single source purchase as the most appropriate procurement method. The Purchasing Department may proceed with the purchase on a single source basis only if the Purchasing Director has determined that a single source justification exists. If the college proceeds with the purchase on a single source basis, then the college Purchasing Department must maintain as part of the procurement record the single source justification memorandum and a record of the Purchasing Director's determination relating to the justification memorandum. The Purchasing Department must justify and document as part of the procurement record the fairness and reasonableness of the prices to be paid for the commodities and/or services purchased.

If the Purchasing Director determines that a single source procurement is not justified for a particular purchase, then the college must use another procurement method, following the purchasing hierarchy as described in this policy.

B. Sole Source

The sole source procurement method may be used when there is only one entity capable of providing the needed commodity and/or service, typically by virtue of exclusive technical capability (e.g., existence of patents, trade secrets, copyrights, technical and/or other proprietary data and rights); exclusive performance capability (e.g., the entity is unquestionably the predominant expert and is the only one with the highly specialized experience considered vital to the commodities and/or services needed); resource capability (e.g., the entity has exclusive facilities and/or test equipment that are complex or specialized and vital to the effort); schedule capability (e.g., the entity is the only one who can do the job within the required schedule constraints, typically of an urgent or emergency nature). Schedule constraints or a vendor's performance capability, however, are not sufficient by themselves to support a sole source purchase.

A purchase using the sole source procurement method must be supported with demonstrated, verifiable evidence. Purchasing Directors and end-users must set forth the evidence in a non-competitive procurement justification memorandum that must include the following information:

- description of commodity/service sought;
- explanation of vendor's exclusive capability;³
- discussion of the procurement history, future requirement and long range objectives;
- discussion of the efforts made to ensure that future competition can occur;
- estimated costs including the fairness and reasonableness of the price;⁴ and
- schedule.

³ Relying only upon on a vendor's assertion of exclusive capability is not sufficient evidence to use the sole source procurement method.

⁴ Using a sole source procurement method does not relieve the Purchasing Department of ensuring a fair and reasonable price.

VI. Exceptions to Informal Purchasing Threshold

A. Exception

Informal Purchasing may be used for purchases with a value of up to \$200,000 when award is made to or for one or more of the following:

- New York State Small Businesses;
- New York State certified Minority- and/or Women-Owned Business Enterprises;
- recycled or remanufactured commodities or technology; or
- commodities that are food including milk and milk products that are grown, produced or harvested in New York State.

B. Definitions

The following definitions and requirements apply to this Section VI.

1. New York State Small Business: A business that is resident in New York State (“NYS”), independently owned and operated, not dominant in its field and employs 100 or fewer persons; colleges must obtain a certification from the vendor that the vendor meets this criteria.
2. New York State certified Minority and/or Women Owned Enterprises: A business that is certified by the NYS Department of Economic Development as a minority- or women-owned enterprise (“MWBE”).
3. Recycled or Remanufactured commodities or technology: A recycled commodity is a product manufactured from secondary materials as defined in NYS Economic Development Law §261 (1) and State Finance Law §165(3)(a). A remanufactured commodity is a commodity that has been restored to its original performance standards and functions and is thereby diverted from the solid waste stream, retaining, to the extent practicable, components that have been through at least one life cycle and replacing consumable or normal wear components. Colleges must obtain a certification from the vendor that the commodity or technology is recycled or remanufactured.
4. New York State Food Commodities: Food, including milk and milk products that are grown, produced or harvested in NYS (“NYS Food Products”). In addition to the advertising requirements described in Section VII (Advertising) below, if the purchase of NYS Food Products exceeds \$50,000 in value, the college must advertise the purchase on the college website for a reasonable period of time and must make the purchase based on lowest price.

VII. Advertising

A. Requirement for Advertising

The purchase of commodities and/or services valued at \$50,000 or more must be advertised in the New York State Contract Reporter as required by the Article 4-C of the Economic Development Law. In addition, CUNY also requires advertisement of such purchases in The City Record.

Colleges must advertise in the NYS Contract Reporter and The City Record at least fifteen (15) business days prior to conducting a solicitation event including: holding pre-bid/pre-proposal conferences; receiving quotes, bids or proposals; making awards; or entering into contracts or issuing purchase orders.

B. Exceptions to Advertising

Several types of purchases, identified below, are *exempt* from the advertising requirement:

- Preferred Sources (e.g., NYS Industries for the Blind, NYS Industries for the Disabled);
- centralized New York City, NYS or federal contracts or a NYS pre-approved piggyback contract; and
- single source procurements and sole source procurements for Senior Colleges, but only if the College first obtains an exemption from advertising from the NYS Comptroller and places a notice in the NYS Contract Reporter, as soon as practicable, indicating that an exemption has been received, identifying the reasons for the exemption, the vendor, providing a description of the commodities or services, and the value of the purchase.

C. Advertising a Single or Sole Source Purchase

When considering a single or sole purchase in excess of \$50,000, Purchasing Departments must use a “blind” advertisement to assist the college establish the justification for the single or sole source purchase. A blind advertisement must indicate that the college intends to purchase the commodities and/or services, but must not specifically name the proposed single source or sole source vendor. In addition, the advertisement must identify the unique qualifications and salient characteristics of the commodity and/or service being purchased and any related University requirements and permit interested vendors to respond to the college. Requirements that artificially preclude competition or are biased to a particular vendor are prohibited.

If there is only one response to the advertisement, then the college will have satisfied the requirement for competition and may proceed with the single or sole source purchase with the responding vendor. However, if more than one response is received to the advertisement, a competitive process may be required. Any questions should be directed to the Office of the University Controller and the Office of General Counsel.

Exception for Senior Colleges: In lieu of advertising a single source or sole source procurement with a value of \$50,000 or more, Senior Colleges may request an exemption from advertising from the NYS Comptroller. An exemption request should contain a complete description of the procurement and address all the aspects of the procurement identified under Section V(A) above including fairness and reasonableness of price. If the NYS Comptroller grants the exemption, the Senior College must publish notice of the exemption in the NYS Contract Reporter. The notice must state the reason for the exemption and be placed as soon as practicable. The Senior College must maintain the published notice as part of the procurement record. If the procurement is subject to NYS Comptroller pre-audit, then the Senior College must also submit a copy of the exemption approval and the publication notice to the NYS Comptroller. (Note that this exemption is not available to Community Colleges, which must advertise all individual procurements in excess of \$50,000.)

D. Advertising an Informal Purchase

The following advertising templates are to be used when advertising and using Informal Purchasing:

1. Alternative #1

[College] intends to purchase [project description, e.g., 1,000 widgets] pursuant to its discretionary authority under the New York State Education Law and State Finance Law, which authorize purchases without a formal competitive process in certain circumstances, including purchases from New York State small businesses, from businesses certified pursuant to Article 15-A of the New York State Executive Law and, if applicable, from businesses selling commodities or technology that are recycled or remanufactured or commodities that are food, including milk and milk products, grown, produced or harvested in New York State. Interested parties should contact [College contact] to discuss this opportunity.

2. Alternative #2

[College] intends to purchase [project description, e.g., 1,000 widgets] pursuant to its discretionary authority under the New York State Education Law and State Finance Law. Interested parties should contact [College contact] to discuss this opportunity.

3. Alternative #3

[College] intends to purchase [insert project description, e.g., 1,000 widgets] pursuant to its discretionary purchasing authority under the New York State Education Law and State Finance Law. This procurement opportunity is limited to New York State small businesses, businesses certified pursuant to Article 15-A of the New York State Executive Law, and, if applicable, businesses selling commodities or technology that are recycled or remanufactured or commodities that are food, including milk and milk products, grown, produced or harvested in New York State.

If a college desires to use a different advertisement from the above templates, the college must contact OGC for additional options.

VIII. Award under Informal Purchasing

A. Purchasing Hierarchy

When conducting procurements within the Informal Purchasing dollar threshold, college Purchasing Departments must follow the purchasing hierarchy described below and depicted in Section X (Procurement Thresholds). The purchasing hierarchy indicates the order of precedence that Purchasing Departments must follow when considering which purchasing method to use for an individual procurement.

Before using Informal Purchasing, Purchasing Departments must first determine whether a preferred source or centralized contract can meet their needs (i.e., the form, function and utility) or

whether a University-wide contract exists for the needed commodities or services.⁵ To apply the form, function and utility standard, the college must establish the minimum essential requirements that will satisfy the college's needs. Requirements must not be inflated or overstated.

Preferred sources include the NYS Industries for the Disabled ("NYSID"), NYS Industries for the Blind ("NYSIB"), and the NYS Department of Corrections ("Corcraft"). Centralized contracts include University-wide contracts available through the Office of University Controller and contracts available through the NYS Office of General Services ("OGS"), NYC Department of Citywide Administrative Services ("DCAS"), NYC Department of Education ("DOE"), NYC Department of Information Technology & Telecommunications ("DOITT"), and the U.S. General Services Administration ("GSA").

If the college's requirements cannot be met by a preferred source or centralized contract, and a University-wide contract does not exist, then a Telephone Quote or Request for Quotes may be used. The dollar thresholds and requirements for using a Telephone Quote or Request for Quotes are set forth in Section IV (Competitive Informal Purchasing Methods). Single and Sole Source procurements are to be used only when there is a compelling, substantiated rationale and justification for a non-competitive procurement. The requirements for Single and Sole Source procurements are contained in Section V (Non-Competitive Informal Purchasing Methods).

B. Determination and Documentation Reasonableness of Price

Purchasing Departments are responsible for ensuring and documenting that the price of commodities or services purchased is fair and reasonable. This is a requirement regardless of the value of the purchase or the source of funds (i.e., tax levy or non-tax levy). There are several methods for determining the fairness and reasonableness of price including the following:

- competition (quotes, oral or written);
- Note: If fewer than three (3) quotes are obtained, then the Procurement Record must contain the analysis used to determine that the price is fair and reasonable;
- comparison with published catalogs, price lists, market prices of commodities, indexes, etc.;
- comparison of historical prices paid by CUNY and/or other governmental entities with current proposed prices for same or similar items;
- comparison to GSA, "OGS or Less" – if applicable, for same or similar items;
- comparison of proposed prices with independent, internal cost estimates; or
- other cost or price analytical tools (audit, etc.).

One or more of the methods identified above must be used when determining and documenting the fairness and reasonableness of price. Use of more than one method may be appropriate and necessary when justifying higher dollar procurements within the Informal Purchasing thresholds or single or sole source procurements.

The University has determined a price to be fair and reasonable if it is within 15 percent of the lowest current price offered from other responsive and responsible vendors or within 15 percent of the other current pricing indicator used by the college. In the event an award is

⁵ Please note that CUNY has entered into a number of University-wide contracts on an exclusive basis with vendors for certain commodities or services, and in these instances colleges are prohibited from purchasing such commodities or services from other sources. Colleges must direct any questions to the Office of University Controller.

made to a responsive and responsible vendor whose price is greater than (but within 15% of) the lowest current offered price or other current pricing indicator available, the Purchasing Department must maintain documentation in the procurement record of the rationale for the selection of the vendor.

For more information on Procurement Record requirements, refer to Section IX (Procurement Record) below.

IX. Procurement Record

College Purchasing Departments must maintain a record of each procurement.

Key elements of the procurement record include:

1. an explanation of the procurement method and vendor selection process;
2. justification as to the fairness and reasonableness of the price (see Section VIII(B) above);
3. copies of the solicitation documents and any bid or quote tabulation sheet or proposal scoring sheets;
4. copies of the bids, proposals, or quotes received;
5. copies of any related, relevant correspondence;
6. copies of advertisements and notices;
7. copies of all required forms;
8. record of any responsibility determination made; and
9. a copy of a purchase order and/or contract.

X. Procurement Thresholds

The available procurement methods and corresponding requirements change depending on the value of the commodity and/or service being purchased. The current thresholds, which are defined by the value of the purchase, are identified below.

The tables on the following pages summarize the procurement methods, requirements, and forms for each threshold. Many of the available methods, requirements, and forms are consistent across the thresholds. Additional requirements that become applicable to each incremental threshold are set forth in ***bold and italicized type*** within each table.

THRESHOLD 1: PURCHASES VALUED AT LESS THAN \$20,000

| Purchasing Methods | Purchasing Method Notes | Special Requirements & Forms |
|---|---|---|
| 1. Preferred Source | NYSID, NYSIB, Corcraft | In addition to the minimum requirements in Section IX (Procurement Record), the following forms are required: Workers Compensation & Disability Benefit Insurance |
| 2a. University-Wide Contracts | Refer to current year University-wide contract list. | |
| 2b. Centralized Contract | OGS, DCAS, DOE, DOITT, GSA | |
| 3a. Informal Purchasing | Telephone Quote (only by Purchasing Dept.) or RFQ | |
| 3b. Single or sole source (<i>if necessary</i>) | Documentation of justification and reasonableness of price required | |

THRESHOLD 2: PURCHASES VALUED AT \$20,000 BUT LESS THAN \$100,000¹

| Purchasing Methods | Purchasing Method Notes | Special Requirements & Forms |
|---|--|---|
| 1. Preferred Source | NYSID, NYSIB, Corcraft | In addition to the minimum requirements in Section IX (Procurement Record), the following forms are required for Purchasing Methods 2a, 3a, 3b, 3c: ² <ul style="list-style-type: none"> Workers Compensation & Disability Benefit Insurance Procurement Lobbying Law Consultant Disclosure Legislation (applicable to contracts for consulting services)³ At \$25,000: MWBE goals must be considered when procurement involves labor, services, supplies, equipment, or materials At \$50,000: (i) advertising required in NYS Contract Reporter and The City Record (unless the NYS Comptroller has granted to a Senior College an exemption from advertising) and (ii) OGC approval as to form required for services over \$50,000 and commodities over \$100,000 |
| 2a. University-wide contracts | Refer to current year CUNY-wide contract listing | |
| 2b. Centralized Contract | NYS OGS, DCAS, DOE, DOITT, GSA | |
| 3a. Informal Purchasing | Must use RFQ. Telephone quotes prohibited. | |
| 3b. Formal Purchasing (<i>if appropriate</i>) | Use Request for Proposals (RFP) or Invitation for Bid (IFB) | |
| 3c. Single or sole source (<i>if necessary</i>) | Justification required. At \$50,000 advertising required ⁴ | |

¹ The maximum threshold for Informal Purchasing increases to \$200,000 for purchases from qualified NYS small businesses and NYS certified MWBEs, and for purchases of recycled or remanufactured commodities or technology, or of commodities that are food, including milk and milk products that are grown, produced or harvested in New York State (additional restrictions apply to food purchases). Refer to Section VI (Exceptions to Informal Purchasing Threshold).

² For University-wide contracts, the Central Office collects these forms.

³ A “contract for consulting services” is any contract for analysis, evaluation, research, training, data processing, computer programming, engineering, environmental health and mental health services, accounting, auditing, paralegal, legal, or similar services.

⁴ Senior Colleges: Refer to Section VII (Advertising), Paragraph C (Advertising a Single or Sole Source Purchase). Pre-audit approval is required from the Office of the New York State Comptroller for service-related purchases of \$100,000 or more.

THRESHOLD 3: PURCHASES VALUED AT \$100,000 OR MORE¹

| Purchasing Methods | Purchasing Method Notes | Special Requirements & Forms |
|--|---|--|
| 1. Preferred Source | NYSID, NYSIB, Corcraft | In addition to the minimum requirements in Section IX (Procurement Record), the following forms are required for Purchasing Methods 2a, 3a, 3b, 3c: ² <ul style="list-style-type: none"> • Procurement Lobbying Law • Workers Compensation & Disability Benefit Insurance • Consultant Disclosure Legislation (applicable to contracts for consulting services)³ • <i>Vendor Responsibility Questionnaire</i> • <i>NYS Tax Law ST-220-CA and ST-220-TD</i> Advertising, OGC approval as to form, and MWBE goal requirements apply (See Threshold 2) |
| 2a. University-wide contract | Refer to current CUNY-wide contract listing | |
| 2b. Centralized Contract | NYS OGS, DCAS, DOE, DOITT, GSA | |
| 3a. Formal Purchase | Request for Proposals (RFP), Invitation for Bid (IFB) | |
| 3b. Piggybacking | Refer to OGS Purchasing Memorandum on piggyback process | |
| 3c. Single or sole source (if necessary) | Justification and advertising required ⁴ | |

¹ The maximum threshold for Informal Purchasing increases to \$200,000 for purchases from qualified NYS small businesses and NYS certified MWBEs, and for purchases of recycled or remanufactured commodities or technology, or of commodities that are food, including milk and milk products that are grown, produced or harvested in New York State (additional restrictions apply to food purchases). Refer to Section VI- (Exceptions to Informal Purchasing Threshold).

² For University-wide contracts, the Central Office collects these forms.

³ A “contract for consulting services” is any contract for analysis, evaluation, research, training, data processing, computer programming, engineering, environmental health and mental health services, accounting, auditing, paralegal, legal, or similar services.

⁴ Senior Colleges: Refer to Section VII (Advertising), Paragraph C (Advertising a Single or Sole Source Purchase). Pre-audit approval is required from the Office of the New York State Comptroller for service-related purchases of \$100,000 or more