



STANDARD PROCEDURE No. 006

TITLE: **Document Standard**
REVISION: **Number 4**
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Previous Version: 3/28/2023

STANDARD PROCEDURE

1. Required Solicitation Documents

- 1.1 Procurement Officer develops a solicitation and uploads associated documents in the State's eProcurement System, Arizona Procurement Portal (APP), as outlined on page 3 of the attached *APP Document Upload Guidelines and Naming Conventions* ("Guidelines").
- 1.2 Per the attached *Guidelines*, the solicitation shall be uploaded in two (2) separate attachments in the exhibits portion of the solicitation, with each attachment titled using the standard naming convention and including the elements identified in the *Guidelines*.
- 1.3 When a solicitation must be amended, a solicitation amendment document shall be uploaded summarizing the changes made to the solicitation. The Procurement Officer shall also upload the revised Solicitation Requirements and/or the Solicitation Instructions document(s) as a new round in APP.
- 1.4 Any Attachments that require a supplier response must be included in the Questionnaire sections of the solicitation in APP (Financial and/or Technical tabs).

- **See: *APP Document Upload Guidelines and Naming Conventions*** (Page 3)

2. Required Solicitation Award Documents

- 2.1 Once responses have been evaluated, the Procurement Officer shall upload the evaluation and award documents to the RFx Exhibits tab in the most recent Lot/Round in APP as outlined on pages 4-5 of the attached *APP Document Upload Guidelines and Naming Conventions*. **If the documents are not uploaded to the most recent Lot/Round, they will not be viewable on the public side; therefore, the entire procurement file will not be published.**
- 2.2 Each exhibit shall be titled using the standard naming convention.

- **See: *APP Document Upload Guidelines and Naming Conventions*** (Pages 4-5)

3. Required Contract Documents

- 3.1 Once responses have been evaluated and the solicitation or direct contract awarded, the Procurement Officer shall create a master agreement/contract and upload associated documents in APP as outlined on page 6 of the attached *APP Document Upload Guidelines and Naming Conventions*.
- 3.2 The master agreement/contract documents shall be uploaded using a minimum of two (2) separate documents: Contract Documents and Contractor's Response. Each document shall be titled using the standard naming convention and include the elements identified in the *Guidelines*.
- 3.3 Documents containing confidential information should be uploaded separately to the confidential tab. See [QRG 2108](#) for marking documents confidential.
- 3.4 As applicable, additional documents may be added to the master agreement/contract. These include, but are not limited to the following: Pricing, Plans, and Specifications. Each document shall be titled using the standard naming convention and include the elements identified in the *Guidelines*.
- 3.5 For contracts created through a Limited Competition Determination, select the appropriate contract type when creating the contract in APP as outlined on page 7 (follow [QRG 2113](#)). The determination shall be uploaded to the contract file with the applicable determination type selected from the "Document Type" field with completed determination effective dates. These include, but are not limited to, the following: Competition Impracticable, Not Practicable to Quote, Sole Source, and Emergency Procurement.
- 3.6 Additional administration files shall be uploaded to the contract when they occur, as outlined on pages 8 through 10 of the attached *APP Document Upload Guidelines and Naming Conventions*. These include Certificate of Insurance, Supplier Performance, Contract Administration, and Contract Amendment documents. Each file shall be titled using the standard naming convention and include the applicable elements identified in the *Guidelines*.

- **See: *APP Document Upload Guidelines and Naming Conventions*** (Pages 6 through 10)

4. EFFECTIVE

This Standard Procedure is hereby authorized and effective 10/23/2024 unless otherwise revised or repealed.



David Steuber (Oct 23, 2024 13:55 PDT)

David Steuber
State Procurement Administrator

APP Document Upload Guidelines and Naming Conventions

SOLICITATION

APP Document Title	APP Document Type	APC Reference	Additional Information
[RFx No.] Solicitation Requirements	Solicitation Documents	A.R.S. § 41-2533(B) A.R.S. § 41-2534(B)(E) A.R.S. § 41-2535 A.A.C. R2-7-B301(C) A.A.C. R2-7-C301(C) A.A.C. R2-7-D302(A)	<p>One (1) PDF document or zip file to include:</p> <ul style="list-style-type: none"> ● Notice Page ● Table of Contents ● Scope of Work or Specifications ● Special Terms and Conditions ● Uniform Terms and Conditions ● Federal Provisions (as applicable) ● Exhibits <p>For RFQs: solicitation requirements, instructions, and attachments may be combined into one (1) document.</p> <p><i>Note: Attachments that require a supplier to respond must be included in the APP questionnaire (Financial and/or Technical tabs) as "Attachment X Title" or "Attachment: Title" and not uploaded to the RFx Exhibits tab. Example: Attachment 1 Offer and Acceptance or Attachment: Offer and Acceptance. (Adding an attachment number is optional based on Agency preference.)</i></p>
[RFx No.] Solicitation Instructions	Solicitation Documents	A.A.C. R2-7-B301(C) A.A.C. R2-7-C301(C) A.A.C. R2-7-D302(A)	<p>One (1) PDF document to include:</p> <ul style="list-style-type: none"> ● Special Instructions to Offerors ● Uniform Instructions to Offerors or Standard Instructions for RFPs (based on solicitation type)
[RFx No.] Plans and Specifications for [location]	Solicitation Documents	A.A.C. R2-7-B301(C) A.A.C. R2-7-D302(A)	As applicable.
[RFx No.] Solicitation Amendment [No.]	Solicitation Documents	A.A.C. R2-7-101(38) A.A.C. R2-7-B303 A.A.C. R2-7-C303	One (1) PDF document to summarize changes made to the solicitation.

[RFx No.] Solicitation Requirements per Amendment [No.]	Solicitation Documents		If the solicitation amendment modifies the Solicitation Requirements or Instructions, then the document must be replaced in APP following QRG 2026 .
[RFx No.] Solicitation Instructions per Amendment [No.]	Solicitation Documents		
Attachment: [Title] or Attachment [No.] [Title]			Follow QRG 2009 for instructions on how to upload attachments to the Questionnaire (Technical and Financial tabs). <i>NOTE: Creating or using an existing Excel template will help the Procurement Officer quickly add the required items to the Questionnaire (Technical and Financial tabs).</i>

SOLICITATION AWARD (Attach in RFx Exhibits tab in the most recent Lot/Round)

APP Document Title	APP Document Type	APC Reference	Additional Information
[RFx No.] Award Documents	General Documents	A.A.C. R2-7-B314(C) A.A.C. R2-7-C317(B) A.A.C. R2-7-D303 (B)	One (1) combined PDF document or zip file to include: <ul style="list-style-type: none"> • Award letter(s) with executed Offer & Acceptance • Non-award letter(s), including the notification of a non-susceptibility determination (if applicable and not sent earlier in the process). <p><i>Note: The Award and Non-award Notifications can also be sent through APP by following QRG 2112. If sent within APP, check the box to send a copy of the notification to yourself and print the email to PDF to add to the award documents file.</i></p>
[RFx No.] Evaluation Documents	Evaluation Documents	A.A.C. R2-7-B314(B)(E) A.A.C. R2-7-C316 A.A.C. R2-7-C317(A)(D) A.A.C. R2-7-D303(C)(D) SP 043	One (1) combined PDF document or zip file to include: <ol style="list-style-type: none"> 1. Executive Summary and Award Determination (a template from SPO's Determinations Library is available) 2. Bid Recap or Signed Evaluation Report (in accordance with SP 043) 3. Finalized Initial and BAFO consensus evaluation tools with scores and comments

			<ol style="list-style-type: none"> 4. Responsibility documentation (i.e. Background checks, Debarment and Suspension checks, License verification, Reference Checks) 5. Determinations (i.e. Nonresponsive Offer, Not Susceptible Offer, Confidentiality) 6. Clarification/negotiation documentation, including any sign-in sheets (as applicable) 7. Invitation to submit a revised offer or BAFO (as applicable) 8. Evaluation consensus sign-in sheets (as applicable)
<p>[RFx No.] Supplier Bids, [RFx No.] Supplier Proposals, or [RFx No.] Supplier Quotes</p>	RfX Supplier Proposals	<p>A.A.C. R2-7-B314(E) A.A.C. R2-7-C317(D) A.A.C. R2-7-D303(D)</p>	<p>APP Document Title for IFB shall be named: [RFx No.] Supplier Bids</p> <p>APP Document Title for RFP shall be named: [RFx No.] Supplier Proposals</p> <p>APP Document Title for RFQ shall be named: [RFx No.] Supplier Quotes</p> <p>Zip file to include all offers received, including any revised offers or BAFOs, redacted documents, and excluding any confidential information. (Multiple zip files may be added depending on number and size.)</p> <p>Separate folders with the Supplier's name are recommended within the zip file to prevent <i>Supplier A's</i> response from being mixed up with <i>Supplier B's</i> response.</p>
[RFx No.] Pre-Solicitation Documents	Pre-Solicitation Documents	<p>A.R.S. § 41-2517 A.R.S. § 41-2533(C) A.A.C. R2-7-B301(B) A.A.C. R2-7-C301(B)</p>	<p>One (1) combined PDF document or zip file to include:</p> <ol style="list-style-type: none"> 1. Procurement Request (as applicable) 2. Significant Procurement Role (SPR) Disclosure Statements, including updated SPRs from Evaluators. 3. Determinations (i.e. Brand Name Specification, Multi-Term Contact, Beyond five(5) years, Multi-Agency Cooperative) 4. Legal Advertising Affidavit, signed and certified (as applicable) 5. Pre-Offer/Site Visit sign-in sheets (as applicable)

CONTRACT AWARDED THROUGH SOLICITATION

APP Document Title	APP Document Type	APC Reference	Additional Information
[Contract No.] Contract Documents	General Documents	A.R.S. § 47-2201 A.R.S. § 47-2204	One (1) combined PDF document or zip file to include: <ol style="list-style-type: none"> 1. Executed Offer and Acceptance 2. Solicitation Requirements (to include revisions for all solicitation amendments and negotiated terms, as applicable) <ol style="list-style-type: none"> a. Table of Contents b. Scope of Work or Specifications c. Special Terms and Conditions d. Uniform Terms and Conditions e. Federal Provisions (as applicable) f. Exhibits (as applicable) g. Executed Construction Contractor Agreement/Design Agreement (Article 5)
[Contract No.] Pricing	General Documents		<ul style="list-style-type: none"> ● APP contract catalog (recommended) ● One (1) Excel document (as applicable)
[Contract No.] Plans and Specifications for [location]	General Documents		As applicable.
[Contract No.] Contractor Bid Response or [Contract No.] Contractor Proposal Response or [Contract No.] Contractor Quote	General Documents		Zip file to include the awarded contractor's response in its entirety, both initial and BAFO, as applicable.
[Contract No.] Contract Summary Document	General Documents		For Multi-awarded contracts only: One (1) document containing a list of all awarded contract numbers, contactors, and awarded categories (i.e. locations, regions, counties, disciplines, etc.).

DIRECT CONTRACT AWARD

Follow [QRG 2113](#)

APP Document Title	APP Document Type	APC Reference	Additional Information
[Contract No.] [Type] Determination	Determination: [Sole Source] OR [Emergency] OR [Competition Impracticable] OR [Not Practicable to Quote]	A.R.S. § 41-2536 A.R.S. § 41-2537 A.A.C. R2-7-D301(4) A.A.C. R2-7-E301 A.A.C. R2-7-E302 A.A.C. R2-7-E303	One (1) PDF document of executed determination. <i>NOTE: Types of determinations include: SS - Sole Source, Emergency, CI - Competition Impracticable, NPTQ - Not Practicable to Quote</i>
[Contract No.] Pre-Contract Documents	General Documents		One (1) combined PDF document or zip file to include: 1. Procurement Request (as applicable) 2. Significant Procurement Role (SPR) Disclosure Statements (SPO Forms 120/130) 3. Determinations (i.e. Brand Name Specification, Multi-Term Contract, Beyond 5 years, Cooperative)
[Contract No.] Contract Documents	General Documents	A.R.S. § 47-2201 A.R.S. § 47-2204	One (1) combined PDF document or zip file to include: 1. Executed Offer and Acceptance; AND 2. Direct Contract signed (if completing PA or Limited Competition).
[Contract No.] Pricing	General Documents		<ul style="list-style-type: none"> • APP contract catalog (recommended) • One (1) Excel document (as applicable)
[Contract No.] Plans and Specifications for [location]	General Documents		As applicable.
[Contract No.] Contractor Response	General Documents		Zip file to include Contractor's response in its entirety, as applicable.

CONTRACT MANAGEMENT

Category	APP Document Title	APP Document Type	APC Reference	Additional Information
Certificates of Insurance	[Contract No.] COI YYYY-MM-DD [Type]	Insurance Documents		<p>Per contract terms, include a PDF document or zip file for relevant COIs. Select as many Coverage Types as applicable from the drop-down field within APP and add the COI effective and expiration dates. If there is more than one expiration date on the certificate, then use the earliest expiration date within APP.</p> <p>When Procurement Officers upload a COI to the contract file, the document title should auto-populate based on the coverage type field and expiration date entered for the document once it is saved, submitted, and approved. The naming convention will show as follows: COI YYYY-MM-DD Coverage type i.e. COI 2024-03-31 GL WC</p> <div data-bbox="1163 789 1915 928" style="border: 1px solid #ccc; padding: 5px; margin: 10px 0;"> <p>Coverage Type*</p> <div style="display: flex; gap: 5px;"> General Liability x Auto Liability x Professional Liability E&O x Workers Compensation x </div> </div> <p>Contractors may also now upload their own certificate of insurance to APP. Procurement Officers follow QRG 2212 to review and approve to add the COI to the Contract.</p> <p>Refer to QRG 2108 for instructions on how to upload documents and COIs.</p>
Supplier Performance Documents	[Contract No.] [Type] YYYY-MM-DD	General Documents	A.R.S. § 41-2612 A.R.S. § 41-2613	<p>Incomplete or VPRs with no action taken should be uploaded to the confidential tab within APP and not made available publicly (See QRG 2108).</p> <p>For each type of resolved or completed Supplier Performance action(s), upload a single zip file containing all performance documents related to the initial concern, with the latest action on top.</p>

			<p>For example, a zip file or single PDF labeled <i>[Contract No.] [Type] YYYY-MM-DD</i>, containing all pages of the following:</p> <ul style="list-style-type: none"> <i>[Date] Resolution/Closure Letter (if applicable)</i> <i>[Date] Additional responses from Contractor</i> <i>[Date] Follow-up letter to Contractor</i> <i>[Date] Contractor's response</i> <i>[Date] Notification letter to Contractor</i> <i>[Date] Initial documented concern/VPR from customer</i> <p>Types of Supplier Performance include, but are not limited to (as applicable):</p> <ol style="list-style-type: none"> 1. Vendor Performance Report (only if it contains a letter from the Procurement Officer and all comments have been reviewed for appropriate content). [Contract No.] VPR [No.] YYYY-MM-DD 2. Corrective Action Plan [Contract No.] CAP [No.] YYYY-MM-DD 3. Performance Improvement Plan [Contract No.] PIP [No.] YYYY-MM-DD 4. Demand for Assurance [Contract No.] DFA YYYY-MM-DD 5. [Contract No.] Stop Work Order YYYY-MM-DD 6. [Contract No.] Notice of termination YYYY-MM-DD <p><u>Note: All VPRs uploaded to the contract shall be reviewed by the Procurement Officer and redact any untrue, biased, or opinionated statements by the end user.</u> Only comments that are based on factual evidence and information shall be made available publicly once the contract action(s) is resolved.</p>
Contract Administration Documents	[Contract No.] [Type] YYYY-MM-DD	General Documents	<p>For each type of Contract Administration Document, upload a separate zip file or PDF document labeled as follows (as applicable):</p> <ol style="list-style-type: none"> 1. [Contract No.] Post Award Documents <ol style="list-style-type: none"> a. Post Award Sign-In Sheet b. Payment and Performance Bonds c. Certified Mail Receipt Returned Bid Bond d. Safety Plan

				<ul style="list-style-type: none"> e. Schedules 2. [Contract No.] Employment Verification YYYY-MM-DD 3. [Contract No.] Price Increase request YYYY-MM-DD (if <i>denied</i>, include request and agency response; if <i>approved</i>, attach documents behind the issued contract amendment) 4. Contract correspondence documents <ul style="list-style-type: none"> a. [Contract No.] Memo to File YYYY-MM-DD b. Other correspondence as needed 5. Other Contract Administration Documents: <ul style="list-style-type: none"> a. [Contract No.] [Description of document] YYYY-MM-DD
Amendments	[Contract No.] Contract Amendment [No.]	General Documents	A.A.C. R2-7-702	<p>One (1) PDF file which may include the following, as applicable:</p> <ul style="list-style-type: none"> 1. If extending contact term, responsibility documentation (i.e. Debarment and Suspension check, License verification). 2. If granting a price increase, the supplier request, and agency analysis with fair and reasonable determination.