

Procurement Policies and Procedures Manual Checklist

Your department's Procurement Policies and Procedures Manual (P&P Desktop Manual) must be written to the intended audience which is your department's procurement staff. **DO NOT** copy entire sections from the State Contracting Manual (SCM), as it is not written as a step-by-step desktop procedure manual to your department's procurement staff. Replicating entire sections of the SCM with only minimal changes to the verbiage (i.e. replacing "Department" with your department name or acronym) does not meet the intent of developing a departmental procurement policies and procedures desktop manual as required for obtaining and maintaining purchasing authority.

The purpose of the P&P is to include: all relevant procurement laws, rules, and policies; and step-by-step desktop procedures relevant to the delegated procurement types, category/sub-categories, and dollar levels for which authority has been approved. Your procurement staff should have all necessary information included in the P&P with limited references to any other manuals (SCM, SAM, SIMM, etc.). Links to sample documents, websites, etc., are appropriate for your P&P.

Please submit only one checklist for your department including responses for both Non-IT & IT P&P.

*Policy – A written statement that clearly indicates the position and values of the Department/Department on a given subject. It contains rules and tells one what to do.
 Procedures – A written set of instructions that describe the approval and recommended steps for a particular act or sequence of acts. It tells one how to perform a set of tasks in relationship to the department's policies on conducting business.*

DESKTOP MANUAL GENERAL INFORMATION REQUIREMENTS

#	Desktop Manual Component	DGS USE ONLY Compliant
1.	Title Page	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Table of Contents Numbering System – chapter, section, page numbers, and revision date. All pages must be numbered and include the latest revision date. Page numbers listed below <u>must</u> correspond to the related topic.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Introduction to Manual <ul style="list-style-type: none"> ✓ purpose of manual ✓ intended audience ✓ Location of manual (intranet, hardcopy, etc.) and its availability to employees. 	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Manual Updates Identify how and when updates to the desktop manual will occur.	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Acronym List	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	P&P has been spellchecked and proofed for spelling, grammatical errors, and content.	<input type="checkbox"/> Yes <input type="checkbox"/> N
7.	All referenced documents are included as attachments and have web links that work.	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	P&P Language Written by Department to Intended Audience and Not a Replication of SCM	<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS

#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
1.	Scope of Purchasing Authority and Exclusions List approved purchasing authority categories, sub-categories, and dollar threshold limits per the Department's current Purchasing Authority Approval letter and a list of exclusions from purchasing authority. Note: Exclusions do not apply to IT Purchasing Authority. (SCM Vol. 2, Sect. 1.A2.0-3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Procurements Exceeding Purchasing Authority Thresholds Explain: when a Purchase Estimate (STD. 66) is required; the process to complete the form; what documents to attach; where to submit, i.e. DGS/PD or CalTech; and when to submit a Purchasing Authority Increase Request to DGS/PD. Please include a web link in your P&P and a copy of the STD. 66 as an attachment. (SCM Vol. 2, Sects. 1.A2.4 & 2.C6.0-3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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3.	Order Splitting Explain the Department's policy prohibiting the splitting of orders to evade the bidding or advertising requirements or to circumvent the approved purchasing authority thresholds. (SCM Vol. 2, Sect. 1.A2.5 & PCC 10329)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Procuring for Another Department(s) (Primary & Secondary) (If applicable) If the Department (primary) is procuring for another department(s) (secondary), explain the procedures for the secondary department(s) to request and coordinate procurements with the primary department.		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Delegating Purchasing Authority Within the Department & Sub-Delegations (If applicable) Explain Department's policy/criteria for determining staff assignments in the procurement unit and in other offices/units outside of the procurement unit that have sub-delegated purchasing authority. Identify staff positions, their assigned purchasing categories (LPA, competitive, IT, non-IT, etc.), and their dollar limits, etc. (SCM Vol. 2, Sect. 1.A3.0 & PCC 10333.a.4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Signature Authority List what positions (titles/classifications) are authorized to approve and sign procurement documents, the procurement categories authorized, and their authorized dollar thresholds. (SCM Vol. 2, Sect. 1.A3.0)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	Training Policy/Program In accordance with the training policy requirement in Public Contract Code Sect. 10333, describe the Department management's philosophy regarding procurement-related training opportunities for staff involved in the procurement process. a) Include requirement for all staff involved in the procurement process to be trained at the appropriate levels for the types, categories, and dollar thresholds of the procurements each staff conducts. b) List the procurement-related resources the department requires its procurement staff be familiar with. c) Include requirement for all procurement staff to complete DGS/PD California Procurement and Contracting Academy (Cal-PCA) Basic Acquisitions Certification Program (BACP) training classes and the other Cal-PCA acquisitions training classes available that would be helpful to procurement staff. d) Describe the internal and/or external training provided/required by the department for procurement staff. e) Include requirement for the Cal-Card Administrator and anyone issued a Cal-Card to complete Cal-Card training. (SCM Vol. 2, Ch. 1 & PCC 10333)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	Controlling and Reviewing Purchasing Practices Explain how department staff controls and reviews purchasing practices and monitors the department's progress in meeting and/or exceeding purchasing authority standards and continuous improvement of the department's purchasing program. (e.g. management oversight, review and approval of requisitions, solicitations and awards, audits, training, procurement log, documentation checklists, database (SCPRS) tracking and ethics training) (SCM Vol. 2, Ch. 1, 2 & 4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
9.	Internal Auditing of Purchasing Activities Identify the departmental staff responsible to perform audits, frequency of audits, focus of the audits, criteria used to determine compliancy (checklists), requirements of a corrective action plan, etc. Include the audit forms used as attachments to the P&P. If the department doesn't have auditing capabilities, then specify entity responsible for internal auditing of purchasing activities (e.g. department, other than DGS/OAS). (PCC 10333.a.4; SCM Vol. 2, Ch.1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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10.	<p>Conflict of Interest/Incompatible Activities Policy & Statement and Accepting Gifts and Gratuities Explain policy requiring every staff person involved in the procurement process, including those who prepare requisition requests, receive goods and approve payment, to sign a COI/IA at least once during their tenure with the department. Department must either use the sample COI statement provided in the SCM or develop their own that must reference and include the language contained in GC 19990. The P&P must include: policy requiring all procurement staff to be aware of possible conflicts and sign a COI/IA; a copy of the COI statement as an attachment; where form is located (hardcopy & web link); and where completed statements are maintained. <u>Copies</u> of signed COI/IA's should be maintained in the procurement office. (SCM Vol. 2, Sects. 1. A3.0 & 2.A2.0-2) Note: If the department develops their own COI, the statement must be submitted to DGS/PD for approval.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
11.	<p>Confidentiality Policy and Statement The department must have a Confidentiality Policy and a Confidentiality Statement to ensure department staff maintains confidentiality in all procurement activities. Department must either use the sample confidentiality policy & statement provided in the SCM or develop their own. The P&P must include: policy requiring all procurement staff to maintain confidentiality in all procurement activities and sign a Confidentiality Statement for each procurement; a copy of the statement as an attachment; where form is located (hardcopy & web link); who needs to sign; and where completed statements are maintained. Confidentiality Statements should be maintained in each individual procurement file. (SCM Vol. 2, Sects. 4.A1.3-5) Note: The Confidentiality Policy & Statement should not be confused with the Conflict of Interest/Incompatible Activities Policy & Statement, and should be completed for each competitive solicitation by the buyer and all those involved with that particular project, including the bidders. The signed Confidentiality Statements should be maintained in each procurement file. The Conflict of Interest/Incompatible Activities Statements need to be maintained in a central location, preferably in the procurement office, for audit purposes.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
12.	<p>Ethics & Conflicts Department personnel involved in procurement activities are either directly or indirectly spending public funds and are subject to public scrutiny. Explain how the department ensures that personnel involved in procurement activities:</p> <ul style="list-style-type: none"> • Act responsibly. • Conduct business honestly. • Avoid wasteful and impractical purchasing practices. • Avoid real or perceived conflicts when conducting business on the State's behalf. • Advise departmental personnel of expected standards of ethical and moral behavior during any procurement activities involving their participation. <p>Click here to access the Fair Political Practices Commission's web page for additional information. (SCM Vol. 2, Sects., 1.A4.3 & 2.A1.1)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
13.	<p>Separation of Duties Explain the department's policy to maintain sufficient separation of duties in order to reduce the risk of error or fraud in the department's purchasing program and list the key duties and the staff person(s) responsible for each duty. Key duties and responsibilities should be segregated to separate the responsibilities for: conducting procurements; approving purchase documents; acknowledging and receiving goods and services; approving invoices; and preparing payments. Note: No one person should control more than one of the key aspects of procurement activities listed above. (SCM Vol. 2, Sect., 1.A4.4)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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14.	Additional Pre-Procurement Reviews and Approval Requirements – Requirement and procedures for buyers to obtain other approvals as may be required from: PIA, DGS Surplus Property, DGS Office of Records & Information Management (CalRIM), DGS/PD, DGS/OLS, DGS/RESD, DGS/OFAM (Fleet), DGS/OSP, CalTech STPD, CalTech Telecom, State Personnel Board, Represented Employee Organizations, Department of Conservation etc. (SCM Vol. 2, Ch. 2 & 4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
15.	Gift of Public Funds Explain your agency's understanding and compliance, prohibitions, etc. (CA State Constitution, Article 16, Section 6; SCM Vol. 2, Ch. 2 Section 2.A2.3; and Governor's Memo dated 2/18/11)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
16.	Acquisition Request Process Explain the department's requisition process for centralized and decentralized purchases including: a copy of the requisition document as an attachment and procedures on completing the form; levels of approval; and required support documentation (i.e. justification, reviews/approvals, funding, specifications, SOW, etc.)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
17.	Conducting Procurement Activities Provide detailed step-by-step instructions on how to conduct a purchasing activity for the requested or current approved dollar threshold. Procedures must reflect dollar thresholds of each category requested or currently approved. <i>Tip – Look at each purchasing authority type/category. Organize the information, use a flow chart to establish the sequence of work and integrate SCM requirements to support the procedure.</i>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
18.	Classifying the Purchase Explain importance of properly classifying purchases, how to determine main purpose of purchase, Non-IT vs. IT, Goods vs. Services. (SCM Vol. 2 Sects. 2.B1.0–8)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
19.	Procurement Planning, Buyer Review, and Internal/External Reviews Procedures for buyer to review/approve requisition documents and conduct the procurement, approval criteria, internal reviews, process for in-house legal review, required external reviews, etc. (SCM Vol. 2, Ch. 2, Sect. B)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
20.	Determining the Appropriate Procurement Approach Procedure and what factors are to be considered in determining the appropriate procurement approach: PIA; SB/DVBE Option; Competitive, Non-Competitive; Informal/Formal; LPA ; etc. (SCM Vol. 2, Sect. 2.B2.3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
21.	Specification Development For the procurement of goods departments must have policies and procedures to develop a technical specification clearly detailing the necessary qualities and functions of the goods without being restrictive to competition. The DGS/PD Engineering Services is available to assist departments in providing technical knowledge and assistance in planning efforts and specification preparation. Include links below in your P&P. DGS/PD Engineering Services web page sample solicitation Specification Checklist (SCM Vol. 2, Sect. 2B2.4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
22.	Contracted Personal Services Explain what to consider and justification for contracting for personal services, include required notification and approval of the State Personnel Board and/or Represented Employee Organizations. (SCM Vol. 2, Sects. 2.B3.3 & 2.C5.2; SCM Vol. 3, Sect. 2.B4.3; GC 19130 (a) (b) (c); 19131; 19132; 19135. BB P-01-14 dated 1/28/14 & MM 14-01)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
23.	Blanket Purchase Orders Explain department's policy and procedures for issuing a blanket purchase order including: the department must document why it is in the State's best interest to execute a blanket purchase; in no case may a blanket purchase exceed \$4,999.99 per transaction, unless the blanket purchase is issued under an LPA; and copies orders placed against the blanket purchase document must be kept in the procurement file. (SCM Vol. 2, Sect. 2.B3.5)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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24.	Shipping Charges & Transportation Management Unit (TMU) Explain policy and procedures: types of shipping methods; preferred method; and when to contact TMU to determine freight costs. Requirement for freight bill audit and TMU audit stamp. Add TMU contact information: Address; Phone number; Fax, Email, and web link. (SCM Vol. 2, Sects. 2.B3.6, 8.5.0-2 & 9.A6.1; SAM 1200 et seq., 3851, 3852 & 8422.1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
25.	Term Purchases Explain Department's policy on establishing Term Purchases. Include criteria for a term purchase: a specified time period – not to exceed 36 months; a specified list of products and quantities; and routinely acquired items. Also include solicitation requirements and specific language to be included in solicitations. (SCM Vol. 2, Sect. 2.B3.7)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
26.	Non-Discrimination Ineligibility and Exception Explain department policy to determine contractor eligibility before award; contractors that do not meet the provisions of GC 12990 are not eligible to contract with the State for non-IT and IT goods; include link in P&P to find ineligible contractors in the California Regulatory Notice Register link . Please also state the exception to GC 12990 when using Cal-Card and the department is to monitor the use of this exemption and adhere to the restrictions on these purchases. Include documentation of eligibility in procurement file. (SCM Vol. 2, Sect. 2.B3.10-11; GC 12990; & IT General Provisions, GSPD-401IT, Rev. 11/27/2013)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
27.	Darfur Contracting Act Explain requirements of the Act, policy requiring suppliers to certify, applies to all Non-IT acquisitions regardless of procurement approach, method, or solicitation format except for LPA's, etc. The P&P must include a sample certification as an attachment and identify where document is located (hardcopy or web link), and file documentation. (SCM Vol. 2, Sect. 2.B3.12 & PCC 10475–10481)		<input type="checkbox"/> Yes <input type="checkbox"/> No	N/A	
28.	Loss Leader Required statement to be included in all solicitations and list excluded acquisitions. (SCM Vol. 2, Sects. 2.B3.13 –14; SCM Vol. 3, Sects. 2.B4.10–11; PCC 10302(b)(1)&(4) and 12104.5(b)(1)&(3); B&P Code 17030)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
29.	Mission Critical Certification for DGS Required certification for all work, documents, or contracts to be initiated by or reviewed by DGS and who signs the certification. Include a copy of the certification as an attachment. (SCM Vol. 2, Sect. 2.B3.15; SCM Vol. 3, Sect.2.B4.14)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
30.	Iran Contracting Act Policy requiring buyers to check list of ineligible vendors during bid evaluation, applies to all acquisitions of \$1,000,000 or more regardless of procurement approach, method, or solicitation format except for LPA's. P&P must include a copy of the document as an attachment to be used for suppliers to satisfy certification requirements, etc. (SCM Vol. 2, Sect. 2.B3.16; SCM Vol. 3, Sect. 2.B4.15; & PCC 2200-2208)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
31.	Tax Delinquents Prohibition Policy Include language prohibiting tax delinquent persons or companies from bidding and file documentation requirements. Add the following links for verification: https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml http://www.boe.ca.gov/cgi-bin/deliq.cgi (PCC 10295.4 and SCM Vol. 2, Sect. 2.B3.18)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
32.	Statement of Work (SOW) Department policy and procedures for developing a SOW to document the details of the work to be performed, what to include in the SOW, etc. (SCM Vol. 2, Sect. 2.B4.0-1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
33.	Emergency Purchases Define emergency, define processes for emergency in response to natural disaster vs. other than natural disaster, describe process when Department doesn't need to contact DGS and when they do, if purchase is within/not within NCB contract purchasing authority, Form 42, required file documentation, etc. (SCM Vol. 2 Sects. 2.B5.0-5; PCC 1102 & 10340(a)(1))		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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34.	Office of Fleet and Asset Management (OFAM) Explain procedures for the purchase of mobile equipment (vehicles), obtaining OFAM approval, and equipment excluded from OFAM oversight. (SCM Vol. 2, Sects. 2.C1.0-4 & GC 13332.09)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
35.	Surplus Property Program Explain program, available products, required reports, etc. (SCM Vol. 2, Sects. 2.C2.0-4; MM 11-01)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
36.	Prison Industry Authority (PIA) Procurement Procedures Explain program requirements, available products, exemption process, ordering procedures; use of Cal-Card, etc. (SCM Vol. 2, Sects. 2.C3.0-7; & PC 2807)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
37.	Community Rehabilitation Program (CRP) Procurements Explain CRP, these purchases exempt from advertising requirements, competitive bidding, dollar threshold limits, and NCB requirements, and pricing must be documented as Fair and Reasonable. (SCM Vol. 2, Sect. 2.C4.0 & WIC 19404)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
38.	Documenting Decisions Explain procedure to fully document each procurement from identifying the need to purchase through the completed purchase transaction. (SCM Vol. 2, Sects. 2.D1.0-4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
39.	Americans with Disabilities Act/Reasonable Accommodation Explain department's policy and procedures that ensure that the procurement process is available to all persons including those with disabilities. Identify your department's ADA Coordinator. (ADA and SCM Vol. 2, Ch. 3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
40.	Small Business Procurement and Contracting Act and DVBE Participation Explain your department's policies ensuring commitment to complying with Small Business Procurement and Contract Act and DVBE Participation Program requirements, contracting with SB/DVBE's, and meeting annual participation goals. Define the goals and the available procurement approaches to achieve goals. (PCC 10333.a.3; PCC 10115; GC 14835 et. seq.; M&VC 999 et. seq.; CCR, Title 2, Sect. 1896.60 et. seq.; and SCM Vol. 2 & 3, Ch. 1 & 3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
41.	SB/DVBE Advocate Identify the SB/DVBE Advocate and how to contact them, describe their roles and responsibilities and how they will be involved in the department's procurement process. (GC 14846, MVC 999.12; SCM Vol. 2, Ch. 3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
42.	SB/DVBE Option Explain the Option: dollar thresholds; department's commitment to utilizing the option; advertising requirement is eliminated; establishing mailing lists; how to process a procurement using the Option; verification of SB/DVBE certification; file documentation; etc. (GC 14838.5; SCM Vol. 2, Sects. 3.2.4 & 4.B5.0-3; SCM Vol. 3 Sects. 3.2.4 & 4.B7.0-1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
43.	SB/DVBE Off-Ramp Explain policy and procedures to use the Off-ramp. Explain requirements: only used for Mandatory Statewide contracts; equivalent products; equal to or less than contract price; transactions must be less than \$250,000; documentation for transactions less than \$5,000; documentation for transactions \$5,000 to maximum; verification of SB/DVBE certification; file documentation; etc. (SCM Vol. 2 Sects. 6.C1.4-5 & SCM Vol. 3 Sects. 6.D1.5-6)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
44.	Verification of SB/DVBE Certification Status Explain policy and procedures for verification prior to award regardless of procurement approach. Include web link to SB/DVBE Services web page. http://www.dgs.ca.gov/pd/Programs/OSDS.aspx (SCM Vol. 2, Sect. 3.2.5)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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45.	Commercially Useful Function (CUF) Explain policy and procedures on how to determine CUF in all procurements with SB/DVBE participation and requirement for Bidder Declaration and DVBE Declaration (STD. 843) to be included in solicitations, with exceptions, and completed by bidders. Include copies of the declarations as attachments and add web links.(GC 14837; M&VC 999; and SCM Vol. 2, Sects. 3.2.6-7 & 3.5.8-9)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
46.	DVBE Program Requirements and Incentive – Explain the department’s policies and procedures to comply with DVBE Program Requirements, how to apply incentive to competitive procurements with DVBE participation, how to calculate the incentive, and how to document procurement file. (CCR, Title 2, Division 2, Ch. 3, sections 1896.98, 1896.99, and 1896.99.120; and SCM Vol. 2, Sects. 3.5.0 – 3.5.13)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
47.	Waiving the DVBE Participation/Incentive Requirement Explain that the department understands that if at your discretion you waive the requirement, your 3% annual goal still applies, requirement to complete the DVBE Incentive Waiver and approval by executive officer. Include a copy of the waiver as an attachment and add web link. (SCM Vol. 2, Ch. 3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
48.	SB and Non-SB Subcontractor Preference – Explain your department’s policy and procedures to apply preference to competitive procurements with SB participation, exceptions, preference amount and maximum amount, how to calculate preference, use of Bidder Declaration and include a copy as an attachment, and how to document procurement file. (GC 14838(b) and 14838(f) and SCM Vol. 2, Ch.3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
49.	TACPA Preference Program Policy and procedures to apply preference to competitive solicitations more than \$100,000 (include in solicitations over \$85k), preference amount and maximum preference, documentation and required approvals. (SCM Vol. 2, Sects. 3.9.0-7; GC 4530-4535)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
50.	State Agency Buy Recycled Campaign (SABRC) Program Explain program requirements including: Recycled Content Product purchasing; Recycled preference; Non-compliant trash bag manufacturer ineligibility for State contracts; requirement for supplier certification of recycled content (PCRC CIWMB Form 74) to be included in solicitations and a copy of the certification as an attachment and web link; and recycled tire preference. Include links below in your P&P. (SCM Vols. 2 & 3, Sects. 3.10.0-10; PCC 12200-12217) http://www.calrecycle.ca.gov/BuyRecycled/StateAgency/Buying.htm SABRC@CalRecycle.ca.gov CalRecycle’s website		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
51.	Environmentally Preferred Purchasing (EPP) – Explain EPP program requirements, policy to commit to compliance, required commodities to be purchased, EPP Best Practices, add links to the DGS Buying Green website and the Buying Green Guide for Buyers website, and describe the department’s commitment to purchase products that meet the Federal Energy Management Program recommended standards, etc. (SCM Vols. 2 & 3, Sects. 3.11.0-3; PCC 12400-12404; EO B-18-12) http://www.dgs.ca.gov/buyinggreen/Home.aspx http://www.dgs.ca.gov/buyinggreen/Home/BuyersMain.aspx		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
52.	Infrastructure-Related Bond Act of 2006 (If applicable) If your department awards infrastructure contracts with proceeds from the I-Bonds. (SCM Vol. 2, Sects. 3.12.0-9 & GC 14838.1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
53.	Developing Supplier Resources Explain policy and procedures to broaden supplier base, increase competition, and solicit SB/DVBE suppliers whenever possible by establishing supplier mailing lists, using Request for Interest (RFI), etc. (SCM Vol. 2, Sects. 4.A2.0-4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS					
#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
54.	Advertising Requirements - California State Contracts Register (CSCR) State the CSCR advertising requirements, dollar thresholds for Non-IT & IT, exemptions and exemption process, advertising requirement is eliminated when using the SB/DVBE Option, required file documentation, etc. Include link to the Contract Advertising Exemption Request (STD.821) and add a copy as an attachment. (SCM Vol. 2, 4.A3.1 & SCM Vol. 3, 4.A2.1; GC 14825, 14827.2 & 14838.5(a)).		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
55.	Informal vs. Formal Solicitations Define Informal and Formal, types of solicitation documents used, dollar thresholds, etc. (SCM Vols. 2 & 3, Sect. 4.B1.0)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
56.	Phone Quotes Explain policy, including dollar thresholds, and procedures for conducting a phone quote including requirement for buyers to develop and use a 'script' with appropriate language to ensure that each bidder is being equally informed, referring bidders to PD web page for Bidder's Instructions and General Provisions, and documenting the quote using the Bid/Quote Worksheets. Add copy of the Bid/Quote Worksheet and a copy of a Phone Quote script as attachments. Both the phone script and bid/quote worksheet need to be included in the procurement file. (SCM Vol. 2 & 3, Section 4.B1.1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
57.	Competitive Written Solicitations Policies and procedures for using written solicitations including: written solicitation formats (RFQ, IFB, RFP); when you may/must use; advertising requirement; distribution methods; supplier signature requirements; solicitations should be clear and concise; avoid restrictive requirements; required language; common elements of a written solicitation; faxed bid response language; preference program requirements; solicitation addenda procedure requirements; documenting results; etc. The P&P must include sample solicitations as attachments and identify where they are located (hardcopy & web link). <u>Do not use sample solicitations from the SCM.</u> (SCM Vols. 2 & 3, Ch. 4 Sect. B)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
58.	Obtaining Seller's Permit – Explain policy requiring seller's permit for all purchases of goods, language in solicitations requiring bidder to submit permit and procedures for buyers to always verify that the seller's permit is active by going to the Board of Equalization website provided at the link below and print the validation page to include in the procurement file documentation. https://efile.boe.ca.gov/boeweb/services/verification.jsp (SCM Vol. 2, Sect. 4.B6.3; Vol. 3, Sect. 4.B8.6; PCC 10295.1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
59.	Bidder Instructions & General Provisions Policy requiring use in all solicitations and add current revision dates for Bidders Instructions (11/09/11) and General Provisions for Non-IT, (06/08/2010) and IT (11/27/13). Include the eight (8) non-IT and nine (9) IT required provisions in solicitations under \$5,000.00 if the GP's are not used. Bidder Instructions are required in all competitive solicitations except for IT solicitations over \$1,000,000. Include website link for these documents in the P&P: https://www.dgs.ca.gov/pd/Resources/ModelLanguage.aspx Note: IT Special Provisions have been incorporated into the IT General Provisions (Rev. 11/27/13). (SCM Vol. 2 Sections 4.B6.0-2 and SCM Vol. 3 Sections 4.B8.0-4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
60.	Fair and Reasonable Pricing Procedures Explain policy and procedures on purchases under \$5,000, techniques buyers use to determine fair and reasonable pricing and how to document fair and reasonable. Also add the following language on Fair and Reasonable: GC 14838.5 (c) states: "if the estimated value of a transaction is under \$5,000.00, a state agency shall obtain at least two price quotations from responsible suppliers whenever there is reason to believe a response from a single source is not a fair and reasonable price." (SCM Vols. 2 & 3, Sects. 4.C1.0 & 4.C2.0)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS					
#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
61.	Supplier Evaluation and Selection Explain policy and procedures: Evaluator's Responsibility; Confidentiality; Evaluation Documentation; Evaluation and Selection Team Procedures; evaluation documents (Bid/Quote Worksheet, Evaluation & Selection Report, etc.); public record availability; bid response/award availability; etc. (SCM Vols. 2 & 3, Ch. 4 Sect. D Topic 1)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
62.	Determining Responsive Bid and Responsible Bidder Explain policy and procedures: define responsive and responsible; how to determine effective competition; options to take if competition is not achieved; and file documentation. (SCM Vols. 2 & 3, Ch. 4 Sect. D Topic 2)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
63.	Award to Other than Low Bidder Explain policy and procedures in determining low bidder's non-compliance; informal vs. formal solicitation documentation and process; documenting file in sufficient detail; does not apply to SB/DVBE awards due to preference/incentive. (SCM Vols. 2 & 3, Ch. 4 Sect. D Topic 2)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
64.	Material/Immaterial Deviations Explain policy and procedures: "requirement or condition" vs. "desirable attribute or condition"; "material" vs. "immaterial" deviations; determining responsiveness; add Deviation Worksheet as an attachment; and file documentation. (SCM Vols. 2 & 3, Ch. 4, Sect. D, Topic 4)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
65.	Evaluation and Award Explain policy and procedures: bid submission; fax bids; Procurement Summary; Bid/Quote Worksheet; Evaluation & Selection Report; Intent to Award; Notice of Intent to Award; policies for awarding tie bids; IT Value Effective methodology; two-envelope evaluation; Cost Proposal Certificate; and file documentation. (SCM Vol. 2, Sect. 4.D5.0-5 & SCM Vol. 3, 4.D5.0-5 & 4.D6.0-3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
66.	Non-Competitively Bid (NCB) & Special Category Request NCB (SCR) Contracts Cite NCB legal authority per PCC 10301 & 10302. Explain the policies and procedures for conducting NCB purchases: these types of contracts should be used only when fully justified; establish mailing lists using a variety of means to locate potential suppliers; state your department's NCB delegated amount (Non-IT & IT) per your current Purchasing Authority Approval Letter; NCB's above this amount need either DGS/PD or CalTech approval; and purchases exempt from NCB process. SCR's have no delegated authority; all SCR's need DGS/PD approval. Include the NCB Contract Justification (GSPD-09-007), SCR (GSPD-09-008), and Exemption from Advertising (STD. 821) as attachments. (PCC 10301, 10302, & 12102; and SCM Vols. 2 & 3, Chapter 5)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
67.	Limit to Brand (LTB) Explain the policies and procedures for conducting LTB purchases: determining the need to acquire a specific brand or trade name, department's LTB delegated amount (Non-IT & IT), all LTB's above delegated amount need DGS/PD or CalTech approval; include Limit to Brand Statement (GSPD-08-001) as an attachment, etc. (PCC 10301, 10302, 12102(b); and SCM Vol. 2 & 3, Ch.4, Sect. C, Topic 3)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
68.	Exempt Contracts Procedures – based on statute or policy Procedures should include how to: <ul style="list-style-type: none"> ✓ Conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statute or policy ✓ Develop the solicitation and obtain the price quote from the supplier ✓ Provide sufficient detail in the procurement file to identify the rationale to exempt the purchase from competitive bidding or advertising by stating specific statute or policy. ✓ Document procurement file identifying how the purchase cost reasonableness was established. (SCM Vol.2, Ch. 5, Topic 5 & 6; & SCM Vol. 3, Ch. 5, Topic 6 & 7) 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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69.	<p>Leveraged Procurement Agreements Procurements Procedures for each type of LPA should include but not limited to the following areas:</p> <ul style="list-style-type: none"> ✓ Use the State Contracts Index Listing to find LPA's. Add link to P&P: http://www.documents.dgs.ca.gov/pd/contracts/contractindexlisting.htm ✓ Review contract, user instructions and supplements on BidSync ✓ Use of LPA's not exempt from procurement policies and laws ✓ Contact State Contract Administrator with questions ✓ Mandatory vs. Non-Mandatory use ✓ SB/DVBE Off-ramp policy ✓ Minimum/Maximum order quantities and dollar amounts ✓ Requesting exemptions from LPA delegated dollar thresholds ✓ Appropriate documents to obtain pricing (RFO) and to execute orders (STD. 65 or 213) ✓ No protest language in LPA solicitations ✓ Obtaining multiple offers including SB/DVBE (if required) and documenting less than 3 offers. ✓ Verify contract pricing (BidSync, CMAS, GSA, etc.) to support the pricing offered ✓ Best Value – Criteria included in solicitation used to assess supplier offers and determine Best Value ✓ Where copies of LPA's are maintained in the department ✓ Validation of SB and/or DVBE status and validating participation ✓ The P&P must include a copy of the solicitation (RFO) as an attachment and identify where they are located (hardcopy & web link). <u>Do not use sample RFO from the SCM.</u> (SCM Vol. 2, Chapter 6) 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
70.	<p>Protests and Post Award Disputes Explain the process for a Protest of Proposed Award, the Alternative Protest Process (APP), and a Post-Award Dispute. Add requirements for when to include Protest in competitive solicitation and language to be included, protest language not included in LPA transactions, when to contact DGS and contact information, etc. (SCM Vol. 2, Chapters 6 & 7)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
71.	<p>Purchase Document Procedures Explain your department's procedures to complete and execute purchase documents including:</p> <ul style="list-style-type: none"> ✓ Which purchase documents to use and when (STD. 65, 213, etc.) ✓ Instructions on how to properly complete purchase documents ✓ Explain the purchase document numbering system and who assigns numbers ✓ CAL-Card transactions ✓ CALPIA Orders ✓ Avoid price bundling ✓ Consider transportation terms and costs (TMU) ✓ Amending or cancelling a purchase document ✓ Explain routing for both internal and external signatures/approvals and where a current signature authority list can be obtained and provide the list within the P&P. (SCM Vol. 2, Ch. 8) 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
72.	<p>State Contract and Procurement Registration System (SCPRS)</p> <ul style="list-style-type: none"> ✓ Who is responsible for registering document ✓ Explain policy on whether department buyers are to register all purchase documents regardless of value or only those over \$5,000.00 ✓ How to register, eProcurement website link ✓ Requirement for registration # to be entered on purchase documents prior to issuing to supplier. (SCM Vol. 2, Sects. 8.1.0–6) 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS					
#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
73.	<p>State Sales Tax and Maintenance Sales Tax Policy on paying sales tax on purchases to include: The State does not pay federal taxes on purchases, only state sales tax and/or use tax; taxes are assessed based upon where the products are physically received; use the latest California Sales and Use Tax rate chart by county found on the Board of Equalization's web site Board of Equalization; and for information regarding maintenance sales tax, refer to Regulation 1502 of the Sales and Use Tax Regulations of the Business Taxes Law Guide, or contact the Board of Equalization. (SCM Vol. 2, Sects. 9.A1.5-6)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
74.	<p>Payee Data Record (STD. 204) Explain policy including: regardless of the procurement approach (competitive, NCB, LPA, etc.), a Payee Data Record (STD.204) must be obtained from a supplier prior to executing a purchase document whenever a department engages in an activity leading to a payment to an entity other than a government entity; the completed STD.204 must be provided to the department's accounting office or business services unit and must be attached to the purchase document; it is the buyer's responsibility when obtaining a copy of a supplier's LPA contract to ensure a completed STD.204 is included or the buyer must obtain a completed STD.204 from the supplier. (SCM Vol. 2, Sects. 9.A4.0-2; SAM 8112.3 & 8422.190)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
75.	<p>Payment of Invoices Explain the department's policy including: remind suppliers of the importance of submitting accurate and correct invoices; department must not pay for anything that is not in the purchase document (pallets, shipping, travel costs, etc.); components of an accurate invoice; Tracking payment timeliness (Prompt Payment Act); prompt payment discounts; completing the Invoice Dispute Notification (STD. 209); and a reminder to maintain a separation of duties. (SCM Vol. 2, Sects. 9.A5.0-5 & CCR, Title II, Sect. 1895.8)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
76.	<p>Prompt Payment Act Explain policy and procedures in compliance with the Prompt Payment Act: include date stamping invoices upon receipt; disputing incorrect invoices within 15 days after receipt; use of the Invoice Dispute Notification (STD. 209); automatic authorization and payment of Late Payment penalties; and Late Payment Penalty reporting. (SCM Vol. 2 Sect. 1.A3.0 & 9.B20-1, Ch. 12 & GC 927)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
77.	<p>Cal-Card Program Identify the Cal-Card Coordinator, their roles and responsibilities, DGS/PD on-line training required for the Coordinator and all staff issued a Cal-Card, and how the department ensures that cardholders adhere to purchasing authority requirements. Include: Payment mechanism only; prohibition of splitting purchases; what Cal-Card can be used for and what it can't be used for; Staff roles and responsibilities; Executing purchases valued \$2,500 and over and purchases less than \$2,500; required purchase and supporting documents; and file documentation. Include the link below for information about the program and on-line training. Cal-Card Training: http://www.dgs.ca.gov/pd/Programs/CALCard.aspx (SCM Vol. 2, Ch. 9, Sect. B)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
78.	<p>Receiving, Inspection, Acceptance Testing and Acceptance or Rejection Procedures for taking possession of purchased goods and accepting service deliverables including: receiving; inspection; acceptance and/or rejecting stock; following up on open purchase documents; substitution of goods; supplier performance evaluations; asset management; and reporting lost, stolen, or destroyed property. Include the processes for completion of the Stock Received Report (STD. 106), Returned Stock Report (STD. 108), Supplier Performance Report (web link or sample), Property Survey Report (STD. 152); and the Contract Evaluation Report (STD. 4). (SCM Vol. 2, Ch. 10; SAM 3520. 3861, 8422.20, 8602, 8643, 8651, 20080)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS					
#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
79.	<p>Official Procurement File Procedures Policy/procedure on proper documentation of all procurement files, location of files and access to files. Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where it is located). Each procurement file should have within it a File Documentation Checklist. Create File Documentation Checklists for each type/dollar amount of procurement and add checklists as <u>attachments & web links</u> to your P&P. <u>Do not use or reference the checklists in the SCM.</u> They are not current. Checklists need to include but are not limited to:</p> <ul style="list-style-type: none"> a. All correspondence, written, electronic, and record of verbal b. Department specific procurement documents c. Purchase Request/Requisition and Justification d. All required approval documents with signatures e. Mission Critical Certification f. PIA Waiver g. Surplus Property Consideration h. DVBE Waiver i. Conflict of Interest/Incompatible Activities Statements (note where COI/IA's are located if not in file) j. Confidentiality Statements k. Copy of Request for Information (RFI) l. Exemption by Statute or DGS Policy Documentation m. Approved NCB/LTB Justification n. Solicitation (RFO, RFQ, IFB, RFP, etc.) and all Addenda o. All Solicitation Attachments (Cost Worksheets, Technical Specifications, SOW, General Provisions, Bidder Instructions, etc.) p. List of solicited suppliers and contact information q. Documentation of supplier non-response r. All Solicitation Responses s. Fair & Reasonable Evaluation t. Phone Quote Worksheet u. Bid/Quote Worksheet v. Evaluation and Selection documents w. Material Deviation Worksheets x. Documentation of award to other than low bidder y. Award/Purchase/Contract documents (STD. 65, 213, 215, etc.), all Attachments and Amendments z. Protest documents aa. Payee Data Record (STD 204) bb. Seller's Permit, BOE Validation, and SOS Corporate Qualification Verification cc. PCRC Cert dd. Copy of CSCR add ee. Certificate of Compliance with State IT Policies ff. DMCP justification gg. Verification Supplier is Not Tax Delinquent hh. Darfur Certification ii. Bidder Declaration, DVBE Declaration jj. SB/DVBE Certifications kk. SB Preference and DVBE Incentive calculation documentation ll. CUF Certification mm. Copy of LPA cover page and price pages nn. Copy of entire LPA (as required) oo. SCPRS registration pp. Copy of Notice of Contract Award (STD. 16) qq. Copy of Stock Received Report (STD. 106) rr. Copy of Stock Returned Report (STD. 108) ss. Procurement Summary, Evaluation & Selection Report (ESR), etc. 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS					
#	Desktop Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
80.	Contract Administration Explain policies and procedures for post-award activities including: contract administrator roles and responsibilities; post-award buyer involvement; post-award orientations; monitoring the performance of the contract; completion of the Contractor Evaluation report (STD. 4); maintaining ethical standards; proper documentation; record retention; and establishing procurement files. (SCM Vol. 2, Chapters 2 & 11; SAM 3504)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
81.	Reporting Requirements Policy on what reports are required, report due dates, and where (dept. and address) to submit. If applicable: <input checked="" type="checkbox"/> Purchasing Authority Activity Reporting (STD. 65, 213, 215, etc.) <input checked="" type="checkbox"/> Data Center Interagency Agreement Quarterly Report <input checked="" type="checkbox"/> Annual Contracting Activity Report (STD. 810) <input checked="" type="checkbox"/> Late Payment Penalty Reporting <input checked="" type="checkbox"/> Contract Award Report (STD. 16) <input checked="" type="checkbox"/> Report of Independent Contractors (DE 542) <input checked="" type="checkbox"/> State Agency Buy Recycled Campaign (SABRC) Report <input checked="" type="checkbox"/> The NCB Quarterly Report is no longer required. (SCM Vol. 2, Ch. 12; PCC 10111 & 12200-12217; MVC 999; GC 927 7 19130; 2 CCR 8117.5; & UIC 1088.8)		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

In addition to all the above requirements which apply to both non-IT and IT procurements, the requirements below need to be included in your P&P Desktop manual for IT procurements only.

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS <u>IT ONLY</u>			
#	Desktop Manual Component	Page(s)	DGS USE ONLY Compliant
1.	Defining an IT Procurement Explain differences and give examples of: IT Goods, IT Supplies, IT Goods Not Considered Supplies, and IT Services. (SCM Vol. 3, Section B, Topic 2, SAM 4819.2)		<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Leasing Equipment Policy and procedures for department to perform a lease vs. purchase cost analysis; factors to be considered; Lease Versus Purchase Analysis form; Purchase Option Credits; lease purchases via GS \$Mart or Lease \$Mart; etc. (SCM Vol. 3, Sects. 2.B4.4-7; SAM 3700 et seq.)		<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Desktop Mobile Computing Policy and Coordinator Procedure on how the department will comply with the Desktop Mobile Computing policy, allowed/excluded purchases, identify DMCP Coordinator and their roles & responsibilities, and procurement file documentation requirements. (BL 04-26, SAM 4800, 4989-4989.8, 4819.2-4819.42; & SCM Vol. 3, Sects. 2.B7.0-2)		<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Certificate of Compliance with State IT Policy Explain policy and procedures for compliancy with this requirement including: when is a Certification of Compliance required (IT purchase over \$100,000); when the certification will be authorized and by who; the signed certificate will be retained in the procurement file; how the buyer will document the procurement file when the IT expenditure is exempt from SAM 4819 – specifically how the exclusions identified in SAM 4819.32 will be supported in the procurement file. Add copy of certificate to P&P as an attachment. (SAM 4819.2, 4819.32; and SCM Vol. 3, Sects. 2.C6.0-2)		<input type="checkbox"/> Yes <input type="checkbox"/> No

DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS <u>IT ONLY</u>			
#	<i>Desktop Manual Component</i>	<i>Page(s)</i>	<i>DGS USE ONLY Compliant</i>
5.	<p>Procurement Activity Review and Approvals Identifies when and how to obtain approvals (both departmental and/or outside the department) prior to conduction the procurement activity. <u>Procedure should include:</u></p> <ul style="list-style-type: none"> ✓ What information will be required to be submitted to the procurement office to justify and support the IT expenditure ✓ Initial buyer review of purchase requisition to ensure it includes: all approvals/signatures; is in compliance with equipment standards; has justification to support procurement; any special requirements are met; has funding authority; addresses any budgetary and timing constraints; has all external reviews/waivers/approvals; project coordination with all department program areas; and in-house legal participation as needed. ✓ How buyers obtain other approvals as may be required: CalTech; Project Approval; Feasibility Study Reports (FSR); Special Project Report (SPR); Post Implementation Evaluation Report (PIER); Telecommunications approval; Voice and Data Services; Personal Communications Devices (PCD); etc. ✓ IT Project Authority: If the department has been granted, or is requesting, IT purchasing authority, explain the difference between CalTech IT project authority vs. DGS/PD IT purchasing authority and state the CalTech IT Project Authority level. <p>(SCM Vol. 3, Sects. 2.C3.0-7 & 2.C4.0-7; GC 11545; SAM 4500 et seq., 4800 et seq., 4989, 5200, 6700-6780; and SIMM)</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No