Department Procurement Manual
Reference Checklist

Department Procurement Manual		
Yes	**No**	**Features:** **(SCM, Vol. 2, Chapter 12)**
☐	☐	Title Page
☐	☐	Table of Contents
☐	☐	Table of contents for each section (i.e. Section on policies, section on non-IT, section on IT, etc.)
☐	☐	Introduction to manual
☐	☐	Identifies the purpose of the manual
☐	☐	Identifies the intended audience
☐	☐	Identifies how updates to manual will occur and when
☐	☐	Identifies where the manual is located and its availability to employees
☐	☐	Numbering system – chapter, section, page, etc.
☐	☐	Glossary
☐	☐	Acronym list
☐	☐	Flow charts
☐	☐	Organization charts
☐	☐	Reference documents
☐	☐	Index
Comments:		

Policy – "A written statement that clearly indicates the position and values of the department on a given subject. It contains rules and tells one what to do."

Yes	No	Policy Section
☐	☐	Conflict of Interest – how the department ensures staff involved in any aspect of the procurement process are free from conflict of interest. (PCC 10330, SCM Vol. 2 & 3, Chapter 1)
☐	☐	Training: (SCM Vol. 2 & 3, Chapter 1) • Policy should include the department's position regarding CalPCA certification/training • CAL-Card training • Internal training practices for staff involved in any aspect of the department's procurement process
☐	☐	Small Business Procurement and Contract Act: (GC 14835 - 14843, GC 14846, SCM Vol. 2 & 3, Chapter 1) ▪ Meeting department participation goals ▪ Involving its SB advocate in the procurement process
☐	☐	Americans with Disabilities Act (ADA) (SCM Vol. 2 & 3, Chapter 1) Ensuring its programs, activities and services are available to all persons, including person with disabilities.
☐	☐	Prompt Payment Act: (GC 927, SCM Vol. 2 & 3, Chapter 1)
☐	☐	Desktop and Mobile Computing Policy (SCM, Vol. 3 & SAM 4989)
☐	☐	Signature Authority (SCM Vol. 2 & 3, Chapter 1 & SAM 3507)
☐	☐	Additional department policies pertaining to acquisition processes: Procurement methods and approaches for ▪ Recycle ▪ Waiving the DVBE participation requirement (either by single procurement or by category of purchases as applicable to the department's position) ▪ Environmentally preferable purchasing ▪ Maintaining bidder lists ▪ Advertising solicitations
Comments:		

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 polices on conducting business."

Non-Information Technology Purchasing Authority:

Categories and sub-categories:

Yes	No	Procedure Section
☐	☐	Does the procedure section of the procurement manual provide detailed instructions on how to conduct a purchasing activity for the requested and/or authority dollar threshold? **Note**: Procedures must reflect dollar thresholds of each category being requested. Recommendation: Look at each purchasing authority type/purchasing authority category. Organize the information, use a flow chart to establish the sequence of work and integrate SCM, Vol. 2 requirements to support the procedure.
☐	☐	Identifies the department's requisition process. ✓ Provide sample of document that is used and procedures on completing the form ✓ Levels of approval, as applicable ✓ Supporting documentation, as applicable to the request (i.e. manufacturer specifications, proprietary letters, etc.)
☐	☐	Identifies when and how to obtain any pre-approvals prior to conducting the purchase activity (i.e. CalPIA, OSP, Surplus property, etc.)
☐	☐	Competitive: Procedure should include: ✓ Advertising proposed contract opportunities in CSCR (GC 14827) ✓ Establishing and maintaining bidder lists ✓ Solicitation formats (RFQ, IFB, Phone Quotes, required solicitation language) ✓ Evaluating and Award ✓ Use of Contract Language ✓ Bidder Instructions ✓ General Provisions (GSPD-401 non-IT) ✓ Agency Special Provisions
☐	☐	Exempt Contracts – based on statute or policy Procedure should include how to: ✓ Conduct an emergency purchase (SCM, Vol. 2, Chapter 2) ✓ Conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statue or policy. (SCM, Vol. 2, Chapter 5) ✓ Develop the solicitation and obtaining 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 statute or policy. ✓ Provide a statement in procurement file to identify how the purchase is cost reasonableness
☐	☐	SB/DVBE Option ($5,000.01 - $99,999.99)
☐	☐	California Prison Industry Authority (CalPIA)
☐	☐	Community Rehabilitation Program (CRP)
☐	☐	Non-competitively bid (NCB) contract justification for non-IT Goods

Comments:

Non-Information Technology Purchasing Authority - (Continued):		
		Leveraged Procurement Agreements sub-categories: Procedures for each should include but not limited to the following areas: ✓ Dependent upon LPA category (CMAS, MA, SPS, etc.) instructions on what document is required to obtain pricing ✓ Obtaining multiple offers ✓ Obtaining information to support the pricing offered ✓ Methods used to access supplier offers (Best Value – identifying how best value is determined) ✓ Where and/or how LPA contracts are located in the department. ✓ Validation of SB and/or DVBE status and validating participation
Yes	**No**	**Procedure Section**
☐	☐	Statewide Contract
☐	☐	State Price Schedules
☐	☐	Master Agreements non-IT Goods
☐	☐	Western State Contracting Alliance (WSCA) Master Price Agreement – non-IT Goods
☐	☐	California Multiple Award Schedules (CMAS) non-IT Goods
☐	☐	California Multiple Award Schedules (CMAS) non-IT Services

Comments:

Non-Information Technology Purchasing Authority - (Continued):		
Additional purchasing activities requiring procedures:		
Yes	**No**	**Procedure Section**
☐	☐	Determining Fair and Reasonable Pricing (SCM, Vol. 2, Chapter 4)
☐	☐	CalCard procedures (SCM, Vol. 2, Chapter 1)
☐	☐	Official Procurement File Procedures on setting up the official department procurement file ✓ Location of file ✓ Access to file ✓ Documentation requirements ✓ Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where is it located) ✓ Identifying whether the official audit file is maintained electronically or hardcopy.
☐	☐	Procedures on how buyers obtain required approvals from Finance, CalPIA, DGS/PD, Telecom, OFA, OLS, CalRIM, etc. as applicable to the purchasing authority/category of transaction. SCM, Vol. 2, Chapters 1 & 2)
☐	☐	Procedures for receiving stock and following up on open purchase documents (SCM, Vol. 2, Chapter 10)
☐	☐	Supplier Performance (SCM, Vol. 2, Chapter 10)
☐	☐	Purchase Document (SCM, Vol. 2, Chapter 8) ▪ Identifies the purchase document numbering system ▪ Identifies how and who assigned the purchase document numbers. ▪ Identifies the purchase documents used and when. ▪ Identifies the routing for both internal and external signatures and/or approvals. ▪ Identifies either where a current signature authority list can be obtained and/or provides the list within the procedure.
☐	☐	Reporting Requirements (SCM, Vol. 2, Chapter 12) ▪ NCB ▪ Reporting purchase documents executed under the department's purchasing authority(ies). ▪ Prescription Drugs Purchased Outside of the Prescription Drug Bulk Purchasing Program Quarterly Report, as applicable to the department. ▪ Who is responsible, how information is collected, etc.
☐	☐	State Contract and Procurement Registration System (SCPRS) (SCM, Vol. 2, Chapter 8) • Who is responsible for entering document? • Identifies by either procedure and/or policy whether buyers are entering all purchases documents regardless of value or only those purchase documents over $5,000.00.
Comments:		

Information Technology Purchasing Authority:		
Categories and sub-categories:		
Yes	**No**	**Procedure Section**
☐	☐	Does the procedure section of the procurement manual provide detailed instructions on how to conduct a purchasing activity for the requested and/or authority dollar threshold? **Note**: Procedures must reflect dollar thresholds of each category being requested. Recommendation: Look at each purchasing authority type/purchasing authority category. Organize the information, use a flow chart to establish the sequence of work and integrate SCM, Vol. 3 requirements to support the procedure.)
☐	☐	Identifies the department's requisition process. ✓ Provide sample of document that is used and procedures on completing the form ✓ Levels of approval, as applicable ✓ Supporting documentation, as applicable to the request (i.e. manufacturer specifications, proprietary letters, etc.)
☐	☐	Identifies when and how to obtain approvals (both departmental and/or outside the department) prior to conducting the procurement activity. (SCM, Vol. 2, Chapter 2 & SAM 4500, 4800, 4832, 4921, 4989, 5200) Procedure should include: ✓ How the buyer will ensure that the IT expenditure is authorized. ✓ What information will be required to be submitted to the procurement office to support the IT expenditure ✓ Identifying how the department will be compliant when a Certification of Compliance with SAM 4819 is necessary, when the certification will be authorized and by who, and retaining the signed certificate in the procurement file. (SAM 4819.41) ✓ Identify how the procurement file will be documented when the Certification of Compliance with SAM 4819 is not required. (SAM 4819.41) ✓ 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. (SAM 4819.32)
☐	☐	Procedure on how the department will comply with the Desktop Mobile Computing policy (SCM, Vol. 3, Chapter 2)
☐	☐	Competitive: Procedure should include: ✓ Advertising proposed contract opportunities in CSCR (GC 14827) ✓ Establishing and maintaining bidder lists ✓ Solicitation formats (RFQ, Phone Quotes, required solicitation language, IFB & RFP) ✓ Evaluating and Award (award to responsive and responsible bidder based on low bid or value effective) ✓ Bidder Instructions ✓ Use of General and Special Provisions: ➢ General Provisions (GSPD-401/IT) ➢ Information Technology Purchase Special Provisions ➢ Information Technology Maintenance Special Provisions ➢ Information Technology Software License Special Provisions ➢ Information Technology Personal Services Special Provisions ➢ Agency Special Provisions ➢ Statement of Work (including equipment and delivery schedules)
☐	☐	Exempt Contracts – based on statute or policy ✓ Identifies procedure on how to conduct an emergency purchase (SCM, Vol. 2, Chapter 2) ✓ Identifies procedure of how to conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statue or policy. (SCM, Vol. 2, Chapter 5) Procedure should include: ➢ Developing the solicitation and obtaining the price quote from the supplier ➢ Providing sufficient detail in the procurement file to identify the rationale to exempt the purchase from competitive bidding or advertising by statute or policy. ➢ Providing a statement in procurement file to identify how the purchase is cost reasonableness
☐	☐	SB/DVBE Option ($5,000.01 - $99,999.99)
☐	☐	Prison Industry Authority (PIA)
☐	☐	Community Rehabilitation Program
☐	☐	Non-competitively bid (NCB) contract justification for IT Goods and Services
Comments:		

Information Technology Purchasing Authority (Continued):		
		Leveraged Procurement Agreements sub-categories: Procedures for each should include but not limited to the following areas: ✓ Dependent upon LPA category (CMAS, MA, SPS, etc.) instructions on what document is required to obtain pricing ✓ Obtaining multiple offers ✓ Methods used to access supplier offers (Best Value – identifying how best value is determined) ✓ Obtaining information to support the pricing offered, ✓ Where and/or how LPA contracts are located in the department. ✓ Validation of SB and/or DVBE status and validating participation
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☐	☐	State Price Schedules
☐	☐	Master Agreements IT Goods and/or IT Services
☐	☐	Western State Contracting Alliance (WSCA) Master Price Agreement - IT Goods and/or IT Services
☐	☐	California Multiple Award Schedules (CMAS) IT Goods and/or Services

Comments:

Information Technology Purchasing Authority (Continued):		
Additional purchasing activities requiring procedures		
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☐	☐	Determining Fair and Reasonable Pricing (SCM, Vol. 2, Chapter 4)
☐	☐	CAL-Card procedures (SCM, Vol. 3, Chapter 2 and Chapter 10)
☐	☐	Official Procurement File Procedures on setting up the official department procurement file ✓ Location of file ✓ Access to file ✓ Documentation requirements ✓ Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where is it located) ✓ Identifying whether the official audit file is maintained electronically or hardcopy.
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☐	☐	Procedures for receiving stock and following up on open purchase documents (SCM, Vol. 2, Chapter 10)
☐	☐	Supplier Performance (SCM, Vol. 2, Chapter)
☐	☐	Purchase Document ▪ How purchase document numbers are assigned. ▪ What purchase documents are used and when. ▪ Routing internal and external ▪ Signature authority.
☐	☐	Reporting Requirements (SCM, Vol. 3, Chapter 12) ▪ NCB ▪ Reporting purchase documents ▪ Who is responsible, how information is collected, etc.
☐	☐	State Contract and Procurement Registration System (SCPRS) (SCM, Vol. 2, Chapter 8) ▪ Who is responsible for entering document? ▪ Identifies by either procedure and/or policy whether buyers are entering all purchases documents regardless of value or only those purchase documents over $5,000.00.
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