

Procurement Policies and Procedures Manual

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Department of Consumer Affairs,
Business Services Office

TABLE OF CONTENTS

NOTE: Follow the links contained in this manual by holding down the ‘Ctrl’ key and clicking on the selected link

Contents

CHAPTER 1 – INTRODUCTION	8
1.1 Purpose of the Procurement Policies and Procedures Manual (PPPM)	8
1.2 Roles and Responsibilities.....	8
1.3 Procurement Authorities and Methods.....	10
1.4 Who to Contact.....	10
1.5 Manual Distribution and Revisions	10
1.6 Reporting Requirements.....	10
1.7 SB/DVBE Advocate.....	11
1.8 Conflict of Interest Confidentiality Policy	11
1.9 Ethics.....	12
1.10 DGS Service Charges and Fees	13
1.11 Statement of Work (SOW)	13
1.12 Service Contracts	13
1.13 Order Splitting	14
1.14 Gifts of Public Funds Prohibited	14
1.15 Authority to Purchase	15
1.16 Signature Authority.....	15
1.17 DCA Purchasing Authority Delegation	16
1.18 Delegation Exclusions	17
1.19 Initial Buyer Review	18
1.20 Purchase (Goods/Commodities) vs. Service and IT vs. Non-IT.....	18
1.21 Other considerations affecting the procurement planning process.....	21
1.22 Blanket Purchases	23
1.23 Items Requiring Internal Approvals	23
1.24 Items Requiring External Approvals.....	25
CHAPTER 2 – PURCHASING OPTIONS.....	26
2.1 Procurement Planning (for Obtaining Furniture)	26
2.2 Modular Furniture.....	26
2.3 Free Standing Furniture.....	26
2.4 DGS Leveraged Procurement Agreements	27
2.5 Purchasing Authority Management Section	27
2.6 Delegation Types	27
2.7 Purchase Estimate (PE)	28
2.8 GS \$Mart Lease vs Purchase	28
2.9 Additional IT Purchasing Requirements.....	29
2.10 State Administrative Manual (SAM) Sections	29
2.11 Government Code (GC).....	29
2.12 Public Contract Code (PCC)	29
2.13 State Telecommunications Management Manual (STMM)	30
2.14 Prohibition of Tax Delinquents	30
2.15 Americans with Disabilities Act.....	30
CHAPTER 3 – MISCELLANEOUS PURCHASES	31
3.1 Printing.....	31
3.2 Other Printing Options.....	31
3.3 Library Distribution Act.....	31
3.4 Business Cards	31
3.5 Copiers.....	31
3.6 Copier Maintenance	32

3.7 Facilities Management Unit Verification	32
3.8 Promotional Items	32
3.9 Retirement and 25-Year Service Awards	32
CHAPTER 4 – HOW TO ORDER	34
4.1 Informal vs. Formal Solicitations.....	34
4.2 Acquisition Request (BSO-47)	35
4.3 Contact Person	35
4.4 Approval Signatures.....	35
4.4.1 Acquisition Request Submittal to BSO	35
4.4.2 Financial Coding Information	35
4.4.3 Additional Documentation.....	36
Table 1: Attachments.....	37
4.4.4 Payee Data Record (STD. 204).....	37
4.4.5 Information Technology (IT) Ordering Process	38
4.5 Bid Requirements	38
4.6 Non-IT Acquisitions Purchasing Authority 9G-10XX-DCA-HQ1	39
4.6.1 Information Technology (IT) Purchasing Authority 9I-10XX-DCA-HQ1	39
4.6.2 Desktop and Mobile Computing Purchases	40
4.6.3 Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) Quotations	41
4.7 Bidder’s Instructions and General Provisions	41
4.8 Selecting Supplier.....	42
4.9 Seller’s Permit or Certification of Registration	42
4.10 Matching Offers.....	43
4.11 Rejection of Offers.....	43
4.12 Community Rehabilitation Program (CRP) Procurements.....	43
4.13 Discounts	43
4.14 Departmental Goals.....	43
4.15 SB Preference and Competitive Solicitations.....	44
4.16 DVBE – Incentive.....	45
4.17 SB/DVBE – Commercially Useful Function (CUF)	46
4.18 Freight.....	46
4.19 Non-Competitively Bid Purchases.....	47
4.20 Limit to Brand or Trade Name Purchases.....	48
4.21 Amendments and Cancellations	48
4.22 State Contract and Procurement Registration System (SCPRS).....	49
CHAPTER 5 – EQUIPMENT PURCHASES.....	51
5.1 Expendable and Non-Expendable Equipment.....	51
5.2 Property Control	51
5.3 Filing/Imaging/Shredding	51
5.4 Acceptance	52
5.5 Movement of Equipment.....	52
CHAPTER 6 – RECEIVING AND ASSET MANAGEMENT	53
6.1 STOCK RECEIVED	53
6.2 PROPERTY TAGS	54
6.3 DISPOSAL METHODS FOR SURVEYING STATE SURPLUS PROPERTY	54
6.4 PROPERTY SURVEY/TRANSFER REQUESTS	55
6.5 PROPERTY TAGS FOR PROPERTY TRANSFERS	56
6.6 LOST, STOLEN, or DESTROYED PROPERTY.....	56
6.7 Invoice Disputes	57
6.8 Partial Shipments	57
6.9 California Prompt Payment Act	58
6.10 Contract Administration	58

CHAPTER 7 – PURCHASING FILES	60
7.1 Purchasing File Documentation	60
7.2 Standard File Requirements	60
7.3 Additional File Requirements (For the following Acquisition Types).....	61
7.4 Documentation of Fair and Reasonable Pricing	62
7.5 Retention Period.....	63
CHAPTER 8 – EMERGENCY PURCHASES	64
8.1 Emergency Definition	64
8.2 State Declared Emergency Purchases	64
8.3 Documentation for State-Declared Emergency Purchases	64
8.4 Confirming Estimates/Purchases	65
8.5 Purchases Exceeding Delegated Monetary Limits - Form 42	65
8.6 CAL-Card for emergencies	66
CHAPTER 9 – RECYCLED AND ENVIRONMENTALLY PREFERRED PURCHASING	67
9.1 Recycled Content Program Requirement	67
9.2 Certification Requirements.....	67
9.3 Environmentally Preferred Purchasing (EPP).....	68
CHAPTER 10 –PREPARATION OF PURCHASE DOCUMENTS AND SOLICITATION DESK PROCEDURES.....	70
10.1Overview	70
10.2Training	70
10.2.1 Monetary Authority.....	70
10.2.2 Limitations.....	70
10.3Solicitation Process	71
10.3.1 Advertising.....	71
10.3.2 Bid Submission Requirements.....	72
10.3.3 Bidder’s Instructions.....	72
10.3.4 General Provisions.....	72
10.3.5 Goals and Preferences.....	72
10.3.6 Bid Opening and Evaluation	73
10.3.7 Bid Award and Posting of Intent to Award	75
10.3.8 Intent to Award to Other than Lowest Bidder.....	75
10.3.9 Bid Rejection Procedures	75
10.3.10 Bid Protest Procedures	76
10.4Non-Competitively Bid Purchases.....	77
10.5Purchase Authority Purchase Order and Administrative Duties.....	78
10.5.1 Important Items for Inclusion on the Purchase Order.....	78
10.5.2 Administrative Duties	78
CHAPTER 11- CAL-CARD	79
11.1Introduction	79
11.2Overview	79
11.2.1 How to Become an Authorized CAL-Card Holder	79
11.2.2 Purchasing Guidelines	80
11.2.3 Purchasing Requirements	80
11.2.4 Allowable Products for Purchase.....	80
11.2.5 Conditional Purchases	81
11.2.6 Prohibited Purchases	81
11.2.7 Cost Comparison/Best Value Principles	82
11.3SB/DVBE Participation Goals.....	82
11.4Recycled Product	82
11.5Cardholder Responsibilities.....	83
11.6 Troubleshooting	83
11.7 Cancellation of the CAL-Card.....	84

11.8 Gift of State Funds	84
11.8.1 Approving Official Responsibilities	84
11.8.2 Assembling and Reconciling the Monthly Bank Statement (Statement)	84
11.8.3 Submitting the Statement Package	86
11.8.4 Disputed Transactions/Discrepancies.....	86
11.8.5 Lost or Stolen Card	88
11.9 VISA Guidelines.....	88
11.10 Order Splitting.....	89
Appendix 1 - FORMS.....	91
Darfur Contracting Act	91
Purchase Estimate.....	92
DGS Mission Critical	94
Non-Core Payment Form.....	95
Iran Contracting Certification.....	96
Non-Competitively Bid (NCB) Contract Justification	97
Property Transaction Form (AISD-034)	100
Property Survey Request (AISD-033)	101
Certificate of Computing Media Sanitation Form (152 A)	102
Property Survey Report (STD. 152)	103
Property Transfer Report (STD. 158).....	104
Cal-Card Request (VISA) Form (AISD-030)	105
Memorandum of Understanding (MOU) (BSO-49)	106
Transaction Information Form (AISD-031)	113
Cardholder Statement of Questioned Item.....	114
CAL-Card Checklist (BSO-50)	115
Bidder Declaration (GSPD-05-106)	116
DVBE Declaration (STD 843)	118
DVBE Incentive Waiver (GSPD-07-04)	119
Contract Advertising Exemption Request (Std. 821)	121
Appendix 2 - ACRONYMS	123
RESOURCES	125

CHAPTER 1 – INTRODUCTION

1.1 Purpose of the Procurement Policies and Procedures Manual (PPPM)

- A. The Business Services Office (BSO) is responsible for the procurement of Non-Information Technology (Non-IT) goods and services, and Information Technology (IT) goods and services. The Department of Consumer Affairs' (DCA) procurement policies and procedures are based on its purchasing authority delegated by the Department of General Services Procurement Division (DGS/PD) and the statewide procurement policies.
- B. This manual provides information and procedural instructions to DCA BSO Buyers responsible for the procurement of goods and services. Personnel involved in purchasing activities are required to be knowledgeable of these policies and procedures as a condition of the DGS delegated purchase authority. DCA Boards, Bureaus and Programs (Clients) will refer to DCA's [Client Purchasing Handbook](#) for their step-by-step process.
- C. BSO's mission is to provide timely delivery of purchasing services that are needed by DCA clients. This manual, IT Acquisition Information, CAL-Card, and Acquisition training information and identified forms can all be located on DCA's intranet site at http://inside.dca.ca.gov/offices/oas/bso/purchasing_center.html.
- D. The Department of General Services (DGS), State Contracting Manual (SCM), Volumes 2 and 3 is referenced throughout this manual. The SCM is available on the DGS website:
 - SCM, Volume 2: <http://www.dgs.ca.gov/pd/Resources/publications/SCM2.aspx>.
 - SCM, Volume 3: <http://www.dgs.ca.gov/pd/Resources/publications/SCM3.aspx>.

1.2 Roles and Responsibilities

- A. The Business Services Officer is the designated Procurement and Contracting Officer (PCO) as designated by DGS/PD. The PCO is responsible and accountable for all procurement activities conducted under the approved purchasing authority. BSO strives to secure purchases and contract services that are legally sound, maximize the State's purchasing power, and adequately meet business needs. BSO implements a strategic plan to ensure alignment with DCA's mission, values, and objectives as well as to set measurable performance goals supporting continuous improvement efforts. To that end, BSO staff is charged with continuous assessment of business processes with an eye for opportunity to strengthen and/or improve procedures. Staff are expected and encouraged to communicate observations and make recommendations for innovative solutions.
- B. DCA Buyers must comply with DCA's Departmental Policy [BSO12-01](#), Titled Contracts and Purchases.
- C. The DCA BSO has been delegated responsibility and direct accountability for DCA's purchases and service contracts and is responsible to:
 - 1. Develop written policies, procedures, and control mechanisms that ensure the DCA's contracting and purchasing activities comply with applicable provisions of law and regulations.
 - 2. Develop and administer a review and approval process that ensures purchases meet the needs of our clients, promote competitive bidding, and protect the interests of DCA.

3. Direct the training and development of staff on various aspects of the purchasing process. Assess the needs of BSO staff and staff of DCA's Boards, Bureaus, Divisions and Programs (Clients) to assure that the training program is adequate, comprehensive and up-to-date.
4. Ensure the effectiveness and efficiency of the Business Service Office performance.
5. Maintain a working liaison with DGS, State Personnel Board (SPB), Department of Finance (DOF), and other regulatory agencies as required.
6. Ensure incoming Acquisition Requests are complete and based on sound business practices.
7. Review purchasing documents for accuracy, ensuring compliance with all applicable laws and regulations, prior to approving procurements.

D. Designated BSO Buyers are responsible for the following:

1. Process Acquisition Requests (BSO-47) and prepare procurement documents in accordance with State Contracting Manual (SCM) Volume 2 and Volume 3 requirements.
2. Provide consultation and advice to clients and BSO Management.
3. Mentor less experienced acquisition staff.
4. Be knowledgeable of procurement laws, regulations, executive orders, ethics, policies, procedures and best practices.
5. Complete DGS California Procurement and Contracting Academy (Cal-PCA) Basic Certificate training within the first year of employment with BSO.
 - The required training classes for all procurement staff include DGS/PD California Procurement and Contracting Academy (Cal-PCA) Basic Acquisitions Certification Program (BACP), and for IT purchasing, the Intermediate Acquisitions Certification Program (IACP). CAL-Card Holders and CAL-Card Approving Officials, refer to PPM Section [11.2](#) and [11.2.1](#) of this manual for CAL-Card Training information.
6. Maintain procurement files and related documentation.
7. Develop and conduct procurement training courses for clients.

E. Audits

Purchasing activities will be audited by DCA's Internal Audit Office on a three (3) year cycle. The focus of the audit will be on DCA's compliance with the requirements of its Delegated Purchasing Authority, and the State Contracting Manual. Follow-up to previous audit findings will also be included. The criteria to be used to determine compliance include the State Contracting Manual, Volumes 2 and 3, as well as the State Administrative Manual.

The scope of the purchasing audit includes, but is not limited to, compliance with policies governing the conduct of competitive solicitations, use of leveraged procurement agreements, solicitation of certified small businesses and Disabled Veteran Business Enterprises, establishment of fair and reasonable pricing for acquisitions of less than \$5,000, use of Cal-Cards to pay for goods and services, and prompt payment of suppliers.

The Business Services Office will be asked to provide a corrective action plan to address any findings that may result from an audit. A follow-up audit will be conducted at 180 and 360 days to determine compliance.

DCA's central procurement files are located in the BSO Office located at 1625 N. Market Blvd, Suite S-103, Sacramento, CA 95834. For additional information regarding DCA's Internal Audit Office please call 916-574-8190.

1.3 Procurement Authorities and Methods

- A. The primary purchasing authorities delegated by the DGS/PD are listed below. Refer to PPPM [Chapter 3](#) of this Manual for the various procurement methods to purchase goods and services:
- Non-IT Goods Purchasing Authority
 - IT Goods and Services Purchasing Authority
 - Small Business Enterprise (SB) and Disabled Veteran owned Business Enterprise (DVBE) Options
- B. The following references describe the legal authority and detail the State and Department policies and procedures for obtaining goods and services:
- State Administrative Manual (SAM), §§1200 et al governs Contracts
 - State Administrative Manual (SAM), §§3500 and 3600 et al, governs Purchases
 - State Contracting Manual (SCM) Volume 1 – guidance on contracting
 - State Contracting Manual (SCM) Volume 2 – guidance on purchasing
 - State Contracting Manual (SCM) Volume 3 – guidance on IT purchasing and IT contracting

1.4 Who to Contact

DCA Acquisition Manual comments, suggestions and questions are always welcome regarding any of the information included in this manual. Inquiries may be directed to bsoadmin@dca.ca.gov.

1.5 Manual Distribution and Revisions

This manual is available on the DCA intranet at:

http://inside.dca.ca.gov/offices/oas/bsu/purchasing_center.html. Updates to this manual will be on an as-needed basis. When revisions occur, the revision date will be noted next to the respective PPPM Section Title. The Manual's header revision date will reflect the most current published date. Unless otherwise specified, this Manual will be updated and published in October annually.

1.6 Reporting Requirements

In compliance with SCM Vol. 2 and Vol. 3, Chapters 12, DCA coordinates and reports the state mandated reports as follows:

- A. BSO must coordinate and submit the Annual Contracting Activity Report (STD. 810) to DGS, Procurement Division for the reporting period of July 1 – June 30 by August 1 of each year.

Included in the report is the following:

- ▣ STD. 810 A Infrastructure Bond Activity
 - ▣ STD. 810 C Consulting Services
 - ▣ STD.810S SB/DVBE Option and DVBE Incentive
 - ▣ STD. 810E Ethnicity, Race and Gender, Sexual Orientation (ERGSO)
 - ▣ Improvement Plan Outline (if the department does not meet the required state contracting participation for SB (at least 25%) or DVBE (at least 3%))
- B. DCA Accounting must submit a Late Payment Penalty report by September 30th of each year, in accordance with the Prompt Payment Act, GC Section 927 et seq., to the DGS Director.
- C. BSO must report the Notice to Contract, [STD. 16](#) to the Department of Fair Employment and Housing (DFEH) electronically within 10 days of all contract awards over \$5,000 to the following email address: complianceprograms@dfeh.ca.gov.
- D. BSO must submit a Report of Independent Contractor(s) to Employment Development Department in accordance with California's Unemployment Insurance Code Section 1088.8.
- E. BSO submits the State Agency Buy Recycled Campaign (SABRC) report in accordance with PCC Sections 12200-12217 annually (October 31) to the Department of Resources Recycling and Recovery (CalRecycle).

1.7 SB/DVBE Advocate

- A. The DCA is dedicated to increasing the participation of Small Business (SB) and Disabled Veteran Business Enterprises (DVBE) firms in State contracting and procurement.
- B. The DCA SB/DVBE Advocate responds to inquiries and concerns from how to become SB/DVBE certified as well as assist in directing people to the SB/DVBE certification in eProcurement and explaining to them the program and how it works. The SB/DVBE Advocate also assists in conflict resolution regarding payment issues, subcontractor to prime contractor issues, and other procurement related issues.
- C. The SB/DVBE Advocate conducts outreach, informational workshops as well as procurement fairs throughout the State. The SB/DVBE Advocate provides technical assistance from locating bidding opportunities, certification assistance, how to navigate the DCA and eProcurement websites to marketing one's firm.
- D. The SB/DVBE Advocate ensures non-discrimination in the execution of contracts and promotes positive external customer relations.
- E. DCA is actively pursuing SB/DVBE business participation in all procurement opportunities and has developed a comprehensive small business and Disabled Veteran Business Enterprise infrastructure. For assistance or additional information, please contact the SB/DVBE Advocate, Andrea Pina at 916-574-7268.

1.8 Conflict of Interest Confidentiality Policy

- A. In addition to the DCA Departmental Policy [OHR 14-01](#), Incompatible Work Activities and the Annual Statement of Economic Interests Form 700, the SCM Vol. 2 and 3 (Sections 11.3.2) requires a signed COI Confidentiality statement certification for every staff person involved in the procurement process.

Supervisors, Requesters, Approving Officials, CAL-Card Program Coordinators, BSO staff and BSO Managers are responsible for ensuring that all persons within their respective areas of responsibility complete a Conflict of Interest/Incompatible Activities Confidentiality Statement on the BSO-47 and/or Transaction Information Form (as applicable) certifying compliance with this directive. Each shall ensure that employees have read, understand, and will abide by all provisions of the accompanying Article 8 of California Public Contract Code (PCC) Sections 10410 and 10411, and Section 19990 of California Government Code (GC).

- B. The OHR 14-01 form and Form 700 must be signed prior to obtaining price quotations/bids from suppliers and signing the Acquisition Request and/or Purchase Order. The requestor of each Acquisition Request ([BSO-47](#)) must sign Section 8 Conflict of Interest Statement on the BSO-47 (<http://inside.dca.ca.gov/forms/oas/bso47.pdf>) each time they complete a request. The [Incompatible Work Activities](#) form is also available at http://inside.dca.ca.gov/services/policies/policy/ohr_1401.pdf. The completed form must be kept on file in the Office of Human Resources for audit purposes. CAL-Card holders and the CAL-Card Approving Officials must also submit a completed copy to BSO (refer to PPPM [Section 11.8.1](#)).
- C. The overall objective of maintaining confidentiality is to ensure the integrity of the procurement process, prevent any bidder/proposer from gaining an advantage, and avoid protests. It is important to understand that the disclosure of certain confidential or procurement-sensitive information could jeopardize the procurement. Individuals involved in the procurement must be careful to avoid breach of confidentiality both inside and outside of the workplace. Each individual is personally responsible for maintaining confidentiality in all oral and written communications, as well as in the handling of information through electronic means. The disclosure of any procurement-sensitive information that may jeopardize the acquisition may result in civil or criminal penalties and/or disciplinary action.
- D. Any disclosure of confidential information by a State employee during the procurement process is a basis for disciplinary action, including dismissal from State employment, as provided by Government Code (GC) Section 19570 et seq. Total confidentiality during the procurement process is vital to preserve the integrity of the process. It cannot be over emphasized.
- E. Any formal or informal inquiries by potential bidders/proposers should be directed to the individual conducting the solicitation: DGS or BSO Buyer (as applicable). Advise the potential bidder/proposer to reference the solicitation number when calling. Other individuals may not attempt to answer any inquiries by potential bidders/proposers (Refer to SCM, Vol. 2 and SCM, Vol. 3, Sections 4.A1.3 and 4.A1.4).

1.9 Ethics

Ethics Training: This is a requirement for all DCA employees. As required by Policy ([DCA Conflict of Interest Regulations](#)), all DCA employees who must complete the Economic Statement of Interest Form 700 must complete an ethics training course within six months of their hiring, and biennially thereafter, in accordance with Government Code, Section 11146. CAL-Card Holders and CAL-Card Approving Officials refer to PPPM Section [11.2](#) and [11.2.1](#) Cal-Card Training Requirements.

1.10 DGS Service Charges and Fees

- A. The DGS/PD charges each department an administrative fee for use of most purchasing authority transactions (competitive bids, LPAs, NCB, etc.) based on the value of each purchase document.
- B. In most cases, the DGS/PD may bill a department directly or rely on the contractor to collect the fee. Individual LPA contracts will describe any administrative fees associated with using the contract and how the fee will be collected.
- C. The DGS/PD publishes a price book and directory of services that provides a listing of the services provided and prices charged by the DGS.

Click here to access the [DGS Price Book and Directory of Services](http://www.dgs.ca.gov/ofs/Pricebook.aspx).
(<http://www.dgs.ca.gov/ofs/Pricebook.aspx>)

1.11 Statement of Work (SOW)

- A. A Statement of Work (SOW) is a description of work that includes the location where the work is to be performed. Service contracts include a brief but clear statement of services to be performed in an introductory paragraph called the “Statement of Work”. Purchases, in which services will be provided, either wholly or in part with the goods, must include a description of the services to ensure clear expectations of the contractor’s performance are documented. The extent of detail included in the SOW is entirely dependent on the complexity of services, risk associated with the work, and the type of deliverables. The SOW may be limited to short narrative on the Purchase Order or it may be a separate detailed attachment to the Purchase Order, depending upon the extent of the documentation necessary to adequately communicate expectations. A SOW must include, at minimum, the following information:

- What work is to be done? (Details of the specific services to be performed or provided, problems to be solved or the goals and objectives to be met should be included. It will also identify any special requirements, restrictions and/or limitations.)
- When, where and how is the work to be done (Date(s), time(s), frequency of service)?
- Which resources will be provided by the Department and by the contractor?
- Any specialized equipment required.
- A description of items, products or results to be delivered.
- Work details for consultative services would also include:
 - An explanation in realistic terms of what is expected to be accomplished, including any desired approach to the problem and the specific functions, tasks or activities that must be performed, in order of their importance and probable sequence.
 - An enumeration of specific questions to be answered or issues to be addressed.

- B. A Training [Workshop](http://www.dgs.ca.gov/pd/Programs/CalPCA/BWorkshop.aspx) specific to Statements of Work is available through DGS Cal-PCA.
(<http://www.dgs.ca.gov/pd/Programs/CalPCA/BWorkshop.aspx>)

1.12 Service Contracts

- A. DGS/PD competitively bids some services and makes them available as Master Agreements and California Multiple Award Schedules (CMAS) contracts for State agencies to order by issuing

a Purchase Order. Services that are not made available via these avenues are obtained through the Service Contract process.

- B. Non-IT incidental services (i.e. set-up and installation) may be acquired during the original purchase of non-IT goods but the services must be subordinate to the overall purchase and not exceed a dollar threshold of \$4,999.99. If the service portion of a non-IT goods purchase exceeds \$4,999.99, then the service portion must be separated from the non-IT goods purchase and executed as a contract in accordance with the SCM Volume 1, Section 1.A2.1. This requirement does not apply to LPA orders for non-IT goods.
- C. State Policy requires competitive bidding when the cost or value of the service is over \$5,000. If the service is projected to total \$5,000 or more the contract must be advertised in the California State Contract Register and competitively bid, unless exempted otherwise (SCM Vol. 1 Section 5.80; GC Section 14825 et seq.; PCC Section 10340).
- D. Consulting Services Contracts, which includes CMAS Consulting: All state agencies must comply with Government Code Section [19132\(b\)](#) that requires BSO to submit at minimum a full copy of the proposed contract, to all organizations that represent state employees who perform the type of work to be contracted. BSO is required to send this information before the contract is executed. In order to fulfill this requirement, a justification for contracting out as required in [GC 19130 \(b\)](#) (Sections 1 through 10) must be submitted with any CMAS services order.
- E. Services may not be split to avoid the need to advertise or obtain competitive bids. In particular, a series of related services that would normally be combined and bid as one job cannot be split into separate tasks, steps, phases, locations, or delivery times to avoid adhering to a State law, policy, or departmental procedure (PCC § 10329). Also refer to [PPPM Section 11.10](#), Cal-Card Order Splitting and [Section 1.13](#), Order Splitting.
- F. Contracting for personal services must undergo intense scrutiny for deciding the applicability and use of contracts. The use of contracted non-civil service employees over State available employee services by law is permitted in GC Section 19130 if either part (a) or part (b) applies respectively.

1.13 Order Splitting

California Public Contract Code (PCC) Section 10329 for Non-IT goods and by policy for IT goods and services state that "no person shall willfully split a single transaction into a series of transactions for the purpose of evading the bidding requirements of this article." Also, orders cannot be split to circumvent approved purchasing authority dollar threshold limits. For more information, refer to SCM Vol. 2 and SCM Vol. 3, Sections 1.A2.5 (Also reference PPPM Section [11.10](#), CAL-Card Order Splitting).

Additional information can be obtained at the Accounting Services website at:
<http://inside.dca.ca.gov/offices/oas/accounting/index.html>.

1.14 Gifts of Public Funds Prohibited

In accordance with the California State Constitution, Article 16, Section 6, any gift of public funds is strictly prohibited. All expenditures must support the Department's mission (function and purpose) and benefit the State to not be considered gifts of public funds. Per the Governor's memo dated February 18, 2011,

State agencies must discontinue spending taxpayer dollars on free giveaway and gift items (such as flashlights, ashtrays, key chains, squeeze toys, pens, hats, trinkets, shirts, cups and other gift items). For more information, refer to SCM Vol. 2, Section 2.A2.3 and SCM Vol. 3, Section 2.A2.2.

1.15 Authority to Purchase

- A. Each State agency has authority to purchase Non-IT goods with a dollar value up to \$100. The authority to transact purchases in excess of \$100 is vested in the DGS/PD per PCC Section 10308. State agencies cannot purchase Non-IT goods in excess of \$100 or IT goods without Purchasing Authority from DGS/PD.
- B. Each Board, Bureau, Program or Division within DCA establishes criteria and determines who may request and approve orders for goods, equipment, and furniture within their respective area. Authorized employees may order goods and services by using the following methods:
 - Acquisition Request (BSO-47) submitted to BSO, and
 - CAL-Card (up to established dollar threshold limits).

1.16 Signature Authority

The Department Director has delegated [signature authority](#), to designated members of the BSO management team to sign purchase documents. This delegation is renewed annually and/or amended as changes occur. Only authorized management may sign purchase documents on behalf of the State. Refer to SCM, Vol. 2, Section 8.2.3 and SCM, Vol. 3, Section 8.3.3.

Business Services Office Purchasing Authority Delegation

Services	Laura Sober	Steve Del Rio	Bill Pequinot	Lisa Hernandez	Gail White	Will Lumsargis	Ken Brown
Competitive Non-IT and IT	Unlimited	\$500,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	<\$5000
GC 14838.5 SB/DVBE Option	\$250,000	\$250,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
California Multiple Award Schedule Non-IT	Unlimited	\$250,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
California Multiple Award Schedule IT	Unlimited	\$500,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
Master Agreement Orders Non-IT	Unlimited	\$500,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
Master Agreement Orders IT	Unlimited	\$1,500,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
Western States Contracting Alliance Non-IT	Unlimited	\$500,000	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A
Western States Contracting Alliance IT	Unlimited	Unlimited	<\$50,000	<\$50,000	<\$50,000	<\$50,000	N/A

Goods	Laura Sober	Steve Del Rio	Bill Pequinot	Lisa Hernandez	Gail White	Will Lumsargis	Ken Brown
Competitive Non-IT and IT	Unlimited	\$500,000	\$100,000	\$100,000	\$100,000	\$100,000	<\$5000
State Price Schedule Orders	Unlimited	\$25,000	\$25,000	\$25,000	\$25,000	\$25,000	N/A
GC 14838.5 SB/DVBE Option	\$250,000	\$250,000	\$250,000	\$250,000	\$250,000	\$250,000	N/A
California Multiple Award Schedule Non-IT	Unlimited	\$100,000	\$100,000	\$100,000	\$100,000	\$100,000	N/A
California Multiple Award Schedule IT	Unlimited	\$500,000	\$500,000	\$500,000	\$500,000	\$500,000	N/A
Master Agreement Orders Non-IT	Unlimited	\$500,000	\$500,000	\$500,000	\$500,000	\$500,000	N/A
Master Agreement Orders IT	Unlimited	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	N/A
Western States Contracting Alliance Non-IT	Unlimited	\$500,000	\$500,000	\$500,000	\$500,000	\$500,000	N/A
Western States Contracting Alliance IT	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	N/A
Statewide Contracts	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	N/A
Prison Industry Authority	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	Unlimited	N/A
Software License Program Orders	Unlimited	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	\$2,000,000	N/A

1.17 DCA Purchasing Authority Delegation

- A. DCA is required to annually request from the DGS/PD, delegated authority to procure its acquisitions in specific categories and dollar thresholds. This annual request is approved, adjusted, and/or denied based on prior year’s procurement practices. The following table is the current procurement delegation by category and dollar threshold.
- B. The chart below displays both IT Acquisition and Non-IT Acquisition options with the respective purchasing limits. It illustrates the purchasing authority options available when considering what purchasing type(s), categories or sub-categories, and dollar threshold limits are available and what will best satisfy the needs of our clients. Dollar thresholds identified in this table exclude sales and use tax, finance charges, postage, and handling charges. Shipping charges are also excluded from the dollar threshold limits unless the shipping charge is included in the evaluation such as FOB Origin, Freight Collect, or FOB Destination.
- C. To obtain detailed information in determining the appropriate purchasing vehicle, read the applicable sections below. Also reference: SCM, Vol. 2 and Vol. 3, Section 1.A2.0.

Note: LPA thresholds are applicable unless otherwise specified in the respective LPA User Instructions.

		PURCHASING AUTHORITY NUMBER(S)		
		9I-0415-DCA-HQ1	9G-0415-DCA-HQ1	
		IT	NON-IT GOODS	NON-IT SERVICE
PROCUREMENT METHOD	CATEGORIES			
	1. 1122 Procurement Program – GSA Component		\$ 0.00	
	2. CMAS	\$ 500,000.00	\$ 100,000.00	\$ 250,000.00*
	3. Competitive	\$ 100,000.00	\$ 100,000.00	
	4. Cooperative Agreement (WSCA)	as noted in user instructions	as noted in user instructions	as noted in user instructions
	5. Data Center Interagency Agreements (DIA)	unlimited		
	6. Interagency Agreement	same as competitive		
	7. Master Agreement	\$ 1,500,000.00	\$ 500,000.00	\$ 500,000.00
	8. IT Master Service Agreement	\$ 1,500,000.00		
	9. NCB Justification	\$ 25,000.00	\$ 25,000.00	
	10. NCB Contract (As a result of an approved NCB Justification)	\$ 100,000.00	\$ 100,000.00	
	11. Prison Industry Authority (PIA)		unlimited	unlimited
	12. SB/DVBE Option	\$ 249,999.99	\$ 249,999.99	
	13. Software License Program	\$ 2,000,000.00		
	14. Statewide Contract Orders	unlimited	unlimited	
15. State Price Schedule	\$ 25,000.00	\$ 25,000.00		

* CMAS Non-IT Services orders above \$50,000 must be approved by DGS prior to award (SCM Vol. 2, Chapter 6)

1.18 Delegation Exclusions

The activities described below are outside the scope of this purchasing authority as authorized by the DGS/PD:

Activity	Basis for Exclusion
Non-It Goods valued at \$100.00 or less	Defined in PCC Section 10308 departments have the statutory authority to purchase non-IT goods valued at \$100 or less without DGS/PD oversight.
Non-IT Services, Legal Services	Contact the Business Services Office for personal services that are not defined as IT. Primarily labor related, rather than providing a tangible product -- this also includes Legal services.
Interagency Agreements (IAA) for IT/Non-IT Services	Defined in GC Section 11256 as an agreement between two or more state agencies. Non-IT Services IAAs must be processed through the Non-IT Services Unit of the Business Services Office. Contact the ITA Unit for interagency agreements for IT goods/services.
Memberships in Professional organizations for represented and non-represented employees.	Memberships in professional organizations for represented employees are governed by the 21 collective bargaining agreements and memberships in professional organizations for non-represented employees are governed by CalHR rules. Payment for both is on a reimbursement basis (through a travel claim). These memberships, for both represented and non-represented employees, are not to be purchased through the State's procurement process (that is a STD 65). Departmental memberships in professional organizations are considered a service and therefore, must be procured via a CAL-Card Service Agreement Under \$5,000 or STD 213, depending on the dollar amount. If over \$5,000, contact Non-IT Services Unit. IT departmental memberships are included within IT purchasing authority. If an IT membership purchase exceeds a department's approved authority dollar threshold, then the acquisition must be submitted to the DGS/PD. For assistance, contact the ITA Unit.

1.19 Initial Buyer Review

The buyer’s first step in the planning and scheduling of a procurement effort is the initial review of a department’s purchase request. Reviewing the request in terms of the following information will assist the buyer in determining any impact in relationship to the procurement planning and scheduling activities. For more information, refer to SCM, Vol. 2, Ch. 2, Section 2.B2.1.

Does the purchase require:	If “Yes”:
Departmental review and approvals	<ul style="list-style-type: none"> ✓ Have the proper approval signatures been secured? ✓ Is the request in compliance with equipment standards? ✓ Does the request require any department technical review? ✓ Is there documentation in sufficient detail to support and justify conducting the procurement? ✓ Are there any program schedule requirements, special delivery instructions, time constraints, etc.? ✓ Has Recycled and Environmentally Preferred Purchasing been considered (refer to PPPM Chapter 9)
Funding authority	<ul style="list-style-type: none"> ✓ Is the procurement scheduling and planning effort limited by: <ul style="list-style-type: none"> ▫ Budgetary constraints? ▫ Availability of current and future year funding? ▫ Timing constraints impacted by availability of fiscal year funding?
External reviews, waivers and/or approvals	<ul style="list-style-type: none"> ✓ What is required by law, regulation or policy? ✓ For details of external reviews and approvals, refer to SCM, Vol. 2, Ch. 2, Section C.

1.20 Purchase (Goods/Commodities) vs. Service and IT vs. Non-IT

When determining if an acquisition is for goods/commodities only, DGS/PD recommends that buyers consider the following concepts:

- A. Determine if the sole or main purpose of the acquisition is for tangible items, such as equipment, parts, supplies or other merchandise. If the main value of the acquisition is for goods/commodities, with no IT classification or Non-IT services, then the purchase is conducted under the Non-IT goods purchasing authority.
- B. Determine the main value of the acquisition (goods or services). If the main value of the acquisition is for services, then the transaction should be processed as a Service Contract. For further detail regarding IT services refer to SCM, Vol.3, Chapter 2, Section 2.B2.4.
- C. DCA may not issue a Purchase Order for “goods/commodities” that include installation, set up or other services, if the dollar value of the services exceeds \$4,999.99. All purchases that include services exceeding \$4,999.99, which are not covered by a Leveraged Procurement Agreement, must be processed as a Service Contract (See SCM, Vol. 2, Chapter 2, Section 2.B1.6).
- D. If the main value of the acquisition is for goods/commodities, with an IT classification then the

purchase is conducted under the IT goods purchasing authority (Refer to SCM, Vol.3, Chapter 2, Section 2.B2.0).

- 1) Per SAM section 4819.2, IT is defined as “all computerized and auxiliary automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, voice, video, data communications, requisite systems controls, and simulation.”
- 2) In accordance with SAM section 4819.2, any of the activities listed below either individually or in combination are considered IT procurement:
 - IT facility preparation, operation and maintenance
 - Application systems development and implementation, or changes to application systems or programs to meet new or modified needs, or maintenance, including:
 - Feasibility study preparation
 - Systems analysis
 - Systems design
 - Purchase and installation of software
 - Programming services
 - Data or programming conversions
 - Systems and procedures documentation
 - Project appraisal or assessment
 - Operation of application systems or programs including handling, assembling or editing of input-output data or media where IT equipment or IT personnel are used.
 - Acquisition, installation, operation and maintenance of data processing equipment.
 - Other installation management activities including:
 - Performance measurement
 - System tuning
 - Capacity management
 - Personnel employed in support of, or directly related to, any of the activities listed above, including:
 - Administration
 - Technical services
 - Clerical services
 - Travel
 - Training
 - Preparation of periodic and special reports
 - Control functions directly related to the above activities
- 3) Examples of IT goods:
 - Central processing units (mainframes) and all related features and peripheral units, including processor storage, console devices, channel devices, etc.
 - Minicomputers, midrange computers, microcomputers and personal computers and all peripheral units associated with such computers
 - Special purpose systems including work process:

- Magnetic Ink Character Recognition (MICR)
- Optical Character Recognition (OCR)
- Photo composition
- Typesetting and electronic bookkeeping
- Communication devices used for transmission of data such as:
 - Modems
 - Data sets
 - Multiplexors
 - Concentrators
 - Routers
 - Switches
 - Local area network (LAN)
 - Private branch exchanges
 - Network control equipment, or microwave or satellite communications systems.
- Input-output (peripheral) units (off-line or on-line) including:
 - Terminal
 - Card readers
 - Optical character readers
 - Magnetic tape units
 - Mass storage devices
 - Card punches
 - Printers
 - Computer output to microform converters (COM)
 - Video display units
 - Data entry devices
 - Teletypes
 - Teleprinters
 - Plotters
 - Scanners

4) IT Goods Not Considered Supplies

- PC keyboards
- Mice
- Zip drives
- Memory cards
- Personal digital assistants (PDA)
- Software and scanners

- 5) IT Services are services that have someone doing IT related services, e.g., hardware, software or system maintenance services.
- 6) IT consulting services are services of an advisory nature that provide a recommended course of action or personal expertise (product of the mind). This may include subject matter experts or specialists within the IT field overseeing technical projects or providing IT training.
 - Resumes and customer references are required and should always be reviewed to ensure the level of expertise and experience matches the project requirements or skill levels as identified in the solicitation or request for offer as well as in the applicable LPA service contracts (CMAS or MSA).
 - The end product may transmit information, either written or verbal, and is related to the governmental functions of a State department’s administration and management and program management or innovation. It may include anything from answers to specific questions to design of a system or plan, and includes workshops, seminars, retreats, and conferences for which paid expertise is retained by contract.

Example:

Independent Verification and Validation (IVV) consulting services or Independent Project Oversight (IPO) consulting services are considered IT services because they provide oversight and validation on large IT Integration Projects (required by Statewide Information Management Manual section 45). These services must be acquired in adherence to IT procurement rules.

1.21 Other considerations affecting the procurement planning process

- A. Loss Leader - All solicitations for goods/services shall contain the following statement:

“It is unlawful for any person engaged in business within this state to sell or use any article or product as a “loss leader” as defined in Section 17030 of the Business and Professions Code.”

Excluded acquisitions (do not require loss leader language):

 - RFOs for acquisitions from Leveraged Procurement Agreements
 - Acquisitions using Fair and Reasonable pricing
 - Acquisitions using the SB/DVBE Option.
- B. [Mission Critical Certification](#) (See Appendix 1-Forms) for DGS – No work/documents/contracts will be initiated, reviewed, or approved by DGS that would result in the expenditure of funds unless written certification is received and signed by the Agency’s Secretary or Department’s Director or their designees. Per [PCU 15A-3](#) DCA’s Director has designated Executive Officers, Bureau Chiefs, and Deputy Directors to approve and sign the form. (Refer to SCM Vol. 2, Section 2.B3.15 and SCM Vol. 3, Section 2.B4.14)
- C. Non-Discrimination Ineligibility and Exception - Any employer who wishes to contract with the State for IT goods and non-IT goods is subject to the provisions of GC section 12990 relating to discrimination in employment. Contractors that do not meet the provisions of GC 12990 are not eligible to contract with the State for IT goods or non-IT goods. (Reference SCM Vol. 2, Section 2.B3.10-11 and SCM Vol. 3, Section 4.D3.5)

Determine whether or not contractors are eligible via website:

http://www.oal.ca.gov/California_Regulatory_Notice_Online.htm. Include documentation of eligibility in procurement file.

The requirements of GC section 12990 do not apply to a credit card purchase of goods of two thousand five hundred dollars (\$2,500) or less. The total amount of exemption authorized herein shall not exceed seven thousand five hundred dollars (\$7,500) per year for each company from which a state agency is purchasing goods by credit card. The CAL-Card Coordinators shall monitor the use of this exemption and adhere to these restrictions on these purchases.

- D. Darfur Contracting Act - PCC section 10475-10481, applies to any company that currently or within the previous three years has had business activities or other operations outside of the United States. The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with “scrutinized” companies that do business in the African nation of Sudan (of which the Darfur region is a part), for the reasons described in PCC section, 10475. All bidders must complete the Darfur Contracting Act Certification form and submit with bid. If the company has not, within the previous three years, had any business activities or other operations outside of the United States, it will only need to complete paragraph 1 on the [Darfur Contracting Act Certification](#) form (See Appendix 1-Forms).

A scrutinized company is a company doing business in Sudan as defined in PCC section 10476. Scrutinized companies are ineligible to, and cannot bid on, or submit a proposal for an Agreement with a State agency for goods or services. (PCC Section 10477(a)).

Therefore, PCC section 10478 (a) requires a company that currently has or within the previous three (3) years had business activities or other operations outside of the United States to certify that it is not a “scrutinized” company when it submits a bid or proposal to a State agency.

A scrutinized company may still; however, submit a bid or proposal for a Purchase Order with a State agency for goods or services if the company first obtains permission from the Department of General Services (DGS) according to the criteria set forth in PCC Section 10477(b).

The Darfur Contracting Act Certification Form is required for the acquisition of non-IT goods and services; it is not required for the acquisition of IT goods or services.

- E. Iran Contracting Act – Pursuant to the Iran Contracting Act of 2010, vendors are ineligible to bid on or submit a proposal for any contract with the state for goods/services of one million dollars or more if the vendor engages in investment activities in Iran (Refer to PCC Sections 2200 through 2208, SCM Vol. 2, Section 2.B3.16 and SCM Vol. 3, Section 2.B3.15).

Vendors shall submit the [Iran Contracting Act Certification](#) (See Appendix 1-Forms) with any bid for goods or services of one million dollars or more. Prior to executing any agreement BSO must confirm that a vendor is not on the [list of ineligible vendors](#) (<http://www.documents.dgs.ca.gov/PD/poliproc/Iran%20Contracting%20Act%20List.pdf>) prohibited from doing business with the State of California.

1.22 Blanket Purchases

A. DCA does not utilize Blanket Purchase Orders.

1.23 Items Requiring Internal Approvals

The following items, regardless of the purchasing method used, must be reviewed and approved as indicated below prior to completing the acquisition.

A. DCA, Facilities and Planning Unit approval is required for the following if being purchased for an Office Facility:

Security related purchases, including Video Surveillance Systems	Wallpaper, Paneling and Interior/Exterior Pain
Copier, Sorter, Mailing Machines	Fire Alarm Systems
Burglar Alarm Systems	Room Air Conditioners
Smoke Detectors	Air Purifiers
Compressors for Air Conditioning Systems	Space or Wall Heaters
Fans	Sound Masking or Background Music Systems
Storage Equipment	Patio Covers
Carpeting/Rugs	Modular Furniture/Acoustical Screens
Major IT and Lab Testing Equipment that may affect floor load, Electrical, HVAC, etc.	Drapes, Curtains or Blinds
Furniture	Seatrains or Boxcar-type Storage
Office/Building Equipment	Mobile Office Buildings
Bullet Proof Glass Enclosures	Kitchen Appliances
Generators	Storage Buildings/Prefabricated Structures
Water Heaters	Pallet Racking/Shelves

B. Note: In addition to the above approvals

- The State Fire Marshall must approve purchases of fire alarm systems.
- Purchases of modular furniture, acoustical screens, or office furniture from sources other than Prison Industry Authority (PIA) require a written waiver from PIA. Refer to PPPM [Section 2.1](#) regarding the PIA Waiver process. The PIA Waiver Request form (SAL-F001) is available at the following site: http://pia.ca.gov/pdf/General_info/General-State-Agency-Exemption-Form.pdf.

C. DCA Records Management Coordinator approval is required for the following:

- Image Management Equipment
- Filing and Shredding Equipment
(Requires submittal of Records Management Authorization Form AISD-041)

D. IT approval is required for all IT purchases as defined in SCM Vol. 3, Section 2.B2.0. This includes, but is not limited to:

- Miscellaneous Telecommunications Equipment
- Microcomputer Systems & Components
- Computer Software
- All Copiers

Approval is in the form of an Information Technology Acquisition Justification (ITAJ) form approved by the Office of Information Services (OIS).

Note: Equipment listed on the [OIS Approval Exclusions List](#) does not require IT Approval.

- E. The DCA Director, Business Consumer Services and Housing Agency Secretary, DGS Director and DGS Agency Secretary must approve the following:
- Passenger Vehicles
 - Trucks
 - All towed Trailers
 - Mobile Fleet
- F. DCA Legal Affairs will review certain acquisition documents to minimize risk to the Department. The BSO Buyer is required to submit the following to DCA Legal Affairs for review (Refer to [PCU-12-7](#)):
- Request for Proposals (RFP) and Invitation for Bids (IFB) prior to advertising.
 - Informal/Formal competitive IT services > \$100,000 prior to submitting to DGS for solicitation.
 - Contracts that modify the General Terms and Conditions (GTC), General Provisions, Information Technology Modules, or Model Contract Language.
 - Contracts that incorporate any vendor terms and conditions.
 - Contracts that modify or add to the standard Exhibit D and E confidentiality language, including language related to information security, the safeguard of data, etc.
 - National examination contracts.
 - Request for Offers (RFO) or Requests for Quotes (RFQ) and/or the proposed resulting contract where the client and BSO are at an impasse and BSO still has concerns with the client response.
 - Consulting services contracts > \$100,000.
 - Leveraged Procurement Agreements (LPA) IT services RFOs and resulting contracts > \$100,000.
 - Informal/Formal competitive IT services >\$100,000 prior to submitting to DGS for solicitation.
 - Contracts >\$250,000.
 - Politically sensitive, high profile contracts
 - Contracts containing language that is potentially not in the best interest of the State.
 - Non-Competitive Bids (NCB)
- G. DCA Office of Human Resources (OHR) shall review the following prior to release, or agreement execution, to ensure that contracting outside of civil service is justified:
- Consulting Services Agreements
 - Invitation for Bid
 - Request for Proposal
 - Examination Services
 - Personal Services Agreements in which the state has a classification (i.e. Translator, Transcriptionist, Security Guard, etc.)

1.24 Items Requiring External Approvals

A. The following purchases require prior approval by the listed agency:

- California Department of Technology (Cal Tech) approval, Refer to SCM, Vol. 3, Sections 2.C3.4 through 2.C3.5
 - Public safety radio and related electronic equipment
 - Radio and Microwave Equipment services
- DGS Fleet Administration approval
 - Motor vehicles
 - General use mobile equipment
 - Surplus mobile equipment
- DGS/PD Delegated Purchase Authority and Restrictions – refer to PPPM [Section 1.17](#) and [1.18](#)
- DGS/OLS

B. DCA is granted delegated purchasing authority for the following types and limits:

- Non-IT Acquisitions - refer to PPPM [Section 1.17](#).
- Information Technology Acquisitions – refer to PPPM [Section 1.17](#).

C. The following items cannot be purchased with Delegated Purchase Authority. DGS/PD requires them to be placed on a Purchase Estimate for submittal to DGS/PD only:

- Passenger Vehicles and Mobile Equipment as defined in SAM 4110
- Soft Body Armor (when not purchased from a Statewide Contract, see SCM, Vol. 2, Section 6.C1.8)
- Alcoholic beverages

D. California Department of Technology (Cal Tech) approval is required for the following:

- Purchase Estimates (PE's) and Purchase Orders for reportable electronic data processing acquisitions including software or telecommunications acquisitions must be accompanied by a Certification of Compliance with Policy Pursuant to SAM Sections 4819.41 and 4832.
- Telecommunications Acquisitions (Excluding Smart Phone Replacement)

CHAPTER 2 – PURCHASING OPTIONS

DCA has the authority to use various options for purchasing commodities. The factors that determine the purchasing option to be used for processing orders include cost and the type of items being purchased. There are unique guidelines for each purchasing option described in this chapter.

2.1 Procurement Planning (for Obtaining Furniture)

When purchasing furniture, first consideration must be given to the Department of General Services (DGS) Property Surplus Program (SCM, Vol. 2, Chapter 2, 2.C2.0). If the required furniture is not available through the Property Reuse Program, pursuant to Penal Code Section 2807, you must then consider California Prison Industry (CAL-PIA) to fulfill the department's furniture needs. PIA is authorized and empowered to manufacture a wide range of commodities employing inmate labor at various State prison facilities. The commodities include but are not limited to: coveralls, shirts, vests, leather work gloves, aluminum guide plates, loose-leaf binders, safety glasses, signs, drapes, detergents, wood and metal office furniture, including chairs.

2.2 Modular Furniture

1. Determine that there is a need for modular furniture.
2. Contact the Facilities Management Unit at Facilities_Management@dca.ca.gov. The Facilities Management Unit will help identify the specific modular furniture to meet the program needs.

2.3 Free Standing Furniture

1. Determine there is a need for free standing furniture.
 - a. When purchasing "Reasonable Accommodation" furniture, DCA, Health and Safety Office approval is required. Include Health and Safety approval letter or email documentation with the [Acquisition Request](#).
2. DGS operates property reutilization facilities at its northern California warehouse facilities. Determine if surplus property is available, go to <http://www.applications.csps.dgs.ca.gov/gpinvs.asp> or contact the Surplus Property Program at: 1700 National Drive, Sacramento, CA 95814, phone (916) 928-4630 or via fax at (916) 928-0304.
3. If there are matches for the search completed in Step 2, above, contact the Property Reuse Program by clicking the "Contact Us" link.
4. If no results are found in response to the search, print the results and attach it to the Acquisition Request.
5. If it is determined that furniture is not available through the Property Reuse Program then give next consideration to CAL-PIA.
6. If CAL-PIA is unable to meet the furniture requirements, complete a [General State Agency Exemption Request Form \(SAL-F001\)](#) and include it with the Acquisition Request. Do not sign the exemption request form. The BSO Procurement and Contracting Officer's signature is required. BSO will forward the exemption request form to CAL-PIA for their approval.
7. Solicit two (2) certified SB/DVBE vendors for quotes and include with the request.

8. BSO Buyer may begin processing the acquisition request.

2.4 DGS Leveraged Procurement Agreements

- A. The Leveraged Procurement Agreement (LPA) Program, established by DGS/PD as set forth in PCC Section 10290 et seq. enables DGS/PD to streamline State purchases by removing repetitive, resource intensive, costly, and time consuming bid processes by departments. LPA Agreements are awarded by and made available through DGS/PD. The categories of LPAs include:
 - California Multiple Award Schedules (CMAS)
 - Statewide Contracts (SC)
 - State Price Schedules (SPS)
 - Master Price Schedules (MPS)
 - Master Agreements (MA)
 - Cooperative Agreements – Western States Contracting Alliance (WSCA)/National Association of State Procurement Officials (NASPO).
- B. LPA Agreements include “User Guides” or “Ordering Instructions” that are unique to that particular LPA. Unless identified as a mandatory contract, the use of LPAs is optional, although DGS encourages State departments to take advantage of the benefits of these pre-established contracts.
- C. More information on Leveraged Procurement Agreements is available at the following website: DGS/PD Division website at: <http://www.dgs.ca.gov/pd/Programs/Leveraged.aspx>.

2.5 Purchasing Authority Management Section

The Department of General Services, Procurement Division (DGS/PD), by virtue of the Purchasing Authority Management Section (PAMS), delegates procurement authority to State agencies to make certain purchases for themselves. All delegations are subject to applicable policies, procedures, dollar limits, and DGS/PD oversight. All delegations are renewed by written request from DCA to DGS/PD and have the same term dates and expiration dates effective May 1 through April 30 of each year. DCA utilizes three (3) Purchasing Authorities described below.

2.6 Delegation Types

- A. Non-IT Acquisitions: Base Goods Purchasing Authority 9G-04XX-DCA-HQ1: A purchasing method for the acquisitions of Goods, Equipment and Furniture valued at \$100 up to a limit of \$100,000 per transaction, exclusive of sales tax, use tax, shipping, postage and handling.
- B. IT Acquisitions: Base IT Purchasing Authority 9I-04XX-DCA-HQ1: A purchasing method for the acquisitions of IT goods and services (Electronic Data Processing and Telecommunications) valued up to \$1,500,000 per transaction. IT is defined as all computerized and auxiliary automated information handling, including systems design and analysis, conversion of data, computer programming, information storage and retrieval, voice, video, data communications, requisite system controls. (SAM 4819.2). Radio and Microwave equipment and services are not currently covered under this delegation authority without prior approval from California Department of Technology (CalTech).
- C. SB/DVBE Acquisitions: SB/DVBE Option using GC 14838.5: These provisions allow a State agency to award a contract for the acquisitions of Non-IT Goods, Equipment and Supplies, or Information

Technology (IT) with an estimated value of greater than five thousand dollars (\$5,000), but less than two hundred fifty thousand dollars (\$250,000) to a certified SB or a DVBE. For additional information, see SCM Vol. 2 and Vol. 3, Ch. 1, Section 1.A2.0.

Exceptions for higher purchasing authority can be requested on a case-by-case basis. See SCM Vol. 2 and Vol. 3, Section 1.A5.4 for additional information.

2.7 Purchase Estimate (PE)

- A. Goods and services that are not available from PIA, CMAS, State Price Schedules, Statewide Contracts, or Master Agreements, and exceed DCA's purchasing authority are competitively bid by the DGS/PD, except for orders of up to \$249,999.99 awarded to SB and DVBE using SB/DVBE Option GC Section 14838.5. The PE bid process is designed to meet agencies' unique program needs, assure competition and meet all state bidding requirements. DGS/PD services include solicitation preparation, including specification development and/or review, solicitation mailing and any required addenda, bid evaluation, and other related activities. For further information in what is required when submitting a [Purchase Estimate \(STD. 66\)](#) to DGS refer to the Purchase Estimate Preparation Checklist found at <http://www.documents.dgs.ca.gov/pd/poliproc/pestatus.pdf>.
- B. An Acquisition Request that requires processing as a Purchase Estimate (PE) will be prepared for submittal to DGS/PD for processing by BSO. The Client must include cost estimate information from at least three referenced suppliers, if available. This information is best furnished by the originator of the Acquisition Request whenever possible. The processing time for Purchase Estimate Request's (PER) processed through the DGS/PD averages six (6) to nine (9) months plus delivery time.

2.8 GS \$Mart Lease vs Purchase

- A. **Financed Acquisitions: Golden State Financial Marketplace (GS \$Mart® and Lease \$Mart®):** The financial marketplace provides financing and payment programs for purchasing; DCA does not lease, but does have financed purchases through this program. For more information, refer to: http://www.documents.dgs.ca.gov/sam/SamPrint/new/sam_master/rev427sept14/chap3400/chap3400%28PRINT%29.pdf
- B. The Department may acquire IT equipment by lease or purchase. The decision should be the result of a careful analysis of all factors involved including but not limited to the total cost to the State for the expected period of use.

Cost analysis – lease vs. purchase

- 1) Before initiating the acquisition, a cost analysis of leasing versus purchasing must be done. Cost analyses are to be based on the "contract or program life" of the items being required. "Contract or program life" is the anticipated life cycle of the requirement for which they are to be used, less any reasonable estimated length of time when a substitute capability will become available at a lesser cost. "Contract or program life" is not to be confused with "usable" or machine life. Modern electronic equipment can be expected to operate within design specifications for up to ten years when adequately maintained. This period is their "usable" or machine life.

If the lease/purchase analysis indicates leasing is the least costly acquisition method, a contract may be entered into in accordance with the procedures set forth herein. The terms of such

contract should be equal to the predicted "contract or program life." The only exceptions are as follows:

- Insufficient funding is available for either outright or deferred purchase; or
- A short period of operational experience is desirable to provide validity of a system or equipment design with which there is no previous reliable experience.

2) Click here to access the Lease versus Purchase Analysis form: [Word](#) or [PDF](#)

3) Click here to access a sample of a completed [lease versus purchase analysis form](#) as shown in SAM section 3700 Appendices (A-1).

Note: Use of any financing arrangement other than GS \$Mart is prohibited without prior approval from Finance per [Budget Letter 06-27](#).

- C. Purchase Option Credits: Many lease contracts allow the accrual of monetary credits which the contractor agrees may be applied toward the eventual outright purchase of the equipment being leased if the user so elects. If the probability of exercising a purchase option is remote, the inclusion of purchase option credits in a bid evaluation process will distort the evaluation to a point where it is likely that the bid with the lowest cost will not be selected, and the State will incur higher costs than it would if the winning bid was selected on the basis of the rent alone. Purchase option credits should be cost evaluated in a lease contract only if there is reasonable probability that a purchase option in a lease contract may be executed. Otherwise, purchase option credits are to be excluded from the cost evaluation.

2.9 Additional IT Purchasing Requirements

- A. All IT acquisitions must be properly authorized regardless of dollar amount. Additional IT procurement information is available at the DCA intranet website located at: http://inside.dca.ca.gov/offices/ois/admin_services/itacquisitions.html.
- B. Special attention should be given to the following IT acquisitions requirements, PPPM 2.10 – 2.13 below.

2.10 State Administrative Manual (SAM) Sections

- A. Certification of Compliance with Policies Pursuant to SAM Sections 4819.41 and 4832 is required for IT procurements that cost \$100,000 or more and are in support of a development effort.
- B. SAM 5203 Productive Use Requirements.

2.11 Government Code (GC)

Services (except for software maintenance) may not be paid for in advance (per GC Sections 11256-11263 and 11019).

2.12 Public Contract Code (PCC)

Pursuant to PCC Section 12156, no State agency shall purchase any printer or duplication cartridge for which the manufacturer, wholesaler, distributor, retailer, or re-manufacturer places restrictions on the recycling or the re-manufacturing of that cartridge by any other person.

2.13 State Telecommunications Management Manual (STMM)

STMM Chapter 0208.0-Requirement for agencies to provide Cal Tech a copy of the Feasibility Study Report for IT projects that also incorporate telecommunications services and equipment.

2.14 Prohibition of Tax Delinquents

Prior to executing all PO's the BSO Buyer must verify that the vendor is not on a prohibited list by both the Franchise Tax Board (FTB) and Board of Equalization (BOE). Check both of their websites. This requirement applies regardless of the procurement approach, method, or solicitation format used, including but not limited to Request for Proposals, Invitation for Bids, and non-competitive awards.

Public Contract Code Section 10295.4 provides no exceptions to these prohibitions. The list established by the FTB can be found here: https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml. The list established by the Board of Equalization can be found here: <http://www.boe.ca.gov/sutax/top500.htm>.

2.15 Americans with Disabilities Act

In compliance with the Americans with Disabilities Act (ADA) and State policy, the department must make every effort to ensure its programs, activities, and services are available to all persons, including persons with disabilities. The Department must provide reasonable accommodation to those persons with disabilities that have special needs requiring accommodation in order to participate in the procurement process and must be prepared to respond to those person having questions about reasonable accommodation. For further information contact DCA's ADA Coordinator Shamekia McBride in the Equal Employment Opportunities (EEO) office at 916-574-8328.

http://www.dca.ca.gov/about_dca/disability.shtml

CHAPTER 3 – MISCELLANEOUS PURCHASES

3.1 Printing

- A. DCA's Digital Print Services Unit is the first option for obtaining printing services. The Digital Print Services Unit is located at headquarters at 1625 N. Market Blvd., Sacramento, CA 95834.
- B. Instructions for submitting a Printing Request, Business Card Request, Envelope Request and Name Plate Request are located at <http://inside.dca.ca.gov/offices/cced/pde/dps.html>. You may complete each form and submit via email to reproduction_room@dca.ca.gov, or in person to the Consumer Information Center window at 1625 N. Market Blvd, Suite N-112, Sacramento, CA 95834.

3.2 Other Printing Options

- A. Per DGS Management Memo MM 07-06 dated 06/2007; all printing services must be procured through the DGS Office of State Printing (OSP), with the exception of in-house printing and reproduction services.
- B. A copy of the Publishing Order ([STD. 67](#)) must be sent to the DCA's Accounting Unit. This documentation is used to process the direct transfer of funds from DCA to OSP, via the State Controller's Office, using cost coding information supplied on the Acquisition Request.

3.3 Library Distribution Act

- A. The Library Distribution Act (LDA), Government Code Section 14900-et seq. requires that publications be distributed to State Depository Libraries. A current list may be obtained by contacting the California State Library, Government Publications Section by telephone; or via email at: cslgps@library.ca.gov.
- B. The requestor must check the LDA box on the Publishing Order ([STD. 67](#)) for new publication requests. OSP will then distribute 129 copies to the State Depository Libraries. OSP will charge an additional shipping cost of \$200 or more on the quotation, depending on weight. (When the LDA box is checked, do not add 129 to the order quantity on box 31 of the Publishing Order STD 67.) Internal publications (forms, business cards, flyers or publications not intended for public use) are exempt from the LDA, but anything consumed by the public must be distributed to libraries. Reprints of publications do not go to the libraries.

3.4 Business Cards

- A. Business cards may be ordered directly from Digital Print Services. See the following intranet site at: <http://inside.dca.ca.gov/offices/cced/pde/dps.html> and order form at http://inside.dca.ca.gov/offices/cced/pde/buscard_req.pdf.
- B. Complete the Business Card Request form on-line and submit.

3.5 Copiers

- A. DGS/PD typically has established a statewide commodity contract for copiers available for use by State departments. For the purchase of Digital Copiers (black/white and color), DGS/PD has awarded several LPA contracts. All copiers are considered IT. The requestor must submit a copy of the Information Technology Acquisition Justification (ITAJ) form with the Acquisition Request to the Office of Information

Services (OIS) for review and approval. The LPA contract includes standards for timely service and copier performance, along with warranty and maintenance agreements designed to obtain the lowest total cost of ownership.

- B. Use of the LPA contracts available at this time is non-mandatory. A California certified Small or Disabled Veteran Business Enterprise can also be used for copier and maintenance acquisitions.
- C. A Master Purchase Agreement (MPA) is available for color copiers at:
<http://www.dgs.ca.gov/pd/Programs/Leveraged/masteragreements.aspx>.
- D. Copier purchases are initiated with an Acquisition Request (BSO-47) and an ITAJ Form. All copiers require DCA OIS approval.

3.6 Copier Maintenance

- A. It is recommended that full service maintenance be procured for the guaranteed useful life of copiers at the time equipment is purchased. Failure to obtain copier maintenance could result in a break in service. Copier maintenance can be obtained on the LPA from which the copier is purchased or from a certified SB/DVBE (if the LPA allows for it). Make sure you include additional funds to cover copier overages (consult with BSO for assistance).
- B. Copier maintenance cannot be obtained by using the CAL-Card.

3.7 Facilities Management Unit Verification

Facilities Management Unit (FMU) verification is a critical component in ordering a copier. FMU staff needs to confirm that the appropriate electronic connections are in place prior to copiers being delivered. When copiers are to be connected to a network, it is important that the specifications are reviewed for compatibility by the FMU office.

3.8 Promotional Items

- A. Questions may arise regarding purchase of promotional items and items for employee recognition. Care should be taken to ensure that there is specific authority for procurement of these items. If there is no authority to purchase the items, the requestor may be personally liable for payment.
- B. Employee recognition purchases are limited to those items specifically addressed by the Department of Human Resources such as retirement awards, 25-year service awards and superior accomplishment awards.

3.9 Retirement and 25-Year Service Awards

- A. In recognition of valued service and dedication, GC 19849.9 authorizes DCA to present an award to employees who have completed 25 years of State service and to retiring employees who have completed 25 years of State service as of their retirement date.
- B. The DGS Statewide Commodity Contract with MTM Recognition is a mandatory contract. Employees cannot order from any other vendor.
- C. At the department's discretion, employees may purchase a gift from MTM's Non-Core gift website. The State of California will be responsible for the first \$90 (plus the tax on \$90). The employee is responsible for the balance. At the time of order, it is the employee's responsibility to pay anything

above and beyond the \$90, plus tax. No order will be fulfilled by MTM until the employee's portion is paid in full. The State's portion of the payment will be standard State terms.

- D. If ordering a Non-Core award item, the client must complete the Acquisition Request Form (BSO-47), a [Non-Core Payment Form](#) (See Appendix 1) and submit to BSO for processing. Additionally, the employee must pay the extra cost of the item for ordering a Non-Core Item. The years of state service and the 25-year anniversary date as well as the recipient's name must be indicated on the Acquisition Request. A certificate signed by the Governor bearing the State seal is automatically included when ordering 25-year Service Awards. The BSO Buyer shall obtain confirmation from DCA's OHR Personnel Specialist of the effective date, month, and years of service of the employee.

CHAPTER 4 – HOW TO ORDER

The procurement process has been divided into several segregated areas to reduce risk and fraud in the department’s purchasing program. Therefore, when ordering, requesters, approvers, and receivers must always be mindful to maintain sufficient separation of duties. Approvals of any request or PO must be made by a level higher than the individual preparing said request or PO.

Refer to the Purchasing Center on the DCA Intranet for information regarding the acquisition process and requirements: http://inside.dca.ca.gov/offices/oas/bs/purchasing_center.html. The DCA Client Purchasing Handbook is also available in the Purchasing Center on the DCA Intranet: http://inside.dca.ca.gov/offices/oas/bs/purchasing_handbook.pdf.

4.1 Informal vs. Formal Solicitations

Solicitations are purchase documents used to request quotes or bids from suppliers and characterized as either informal or formal. Informal solicitations are generally a lower dollar value and may be conducted using Request for Quotations (RFQ), Small Business (SB)/Disabled Veteran Business Enterprise (DVBE) Option process, or Invitation for Bids (IFB), depending on the degree of specific language needed. Formal solicitations are more complicated, higher in risk and usually of higher dollar value and are conducted using the IFB or Request for Proposal (RFP) process, depending on the degree of specific language needed.

The dollar thresholds for distinguishing between informal and formal solicitations are outlined below. Also refer to PPPM [Section 1.17](#) et seq.

Non-IT Goods Informal Solicitations		
Under \$5,000	2 quotes Required.	Refer to PPPM Section 7.4
\$5,000 - <\$50,000	RFQ. 3 Quotes Required Unless SB/DVBE Option Utilized.	Refer to PPPM Section 4.5 et seq.
\$50,000 - <\$100,000	IFB – Must be processed through BSO and advertised on eProcurement.	
\$5,000.01 - \$249,999.99	SB/DVBE Option. 2 Quotes Required.	

IT Goods Informal Solicitations (<\$1,000,000 [RFQ or IFB])		
Under \$5,000	2 quotes Required.	Refer to PPPM Section 7.4
\$5,000 - <\$100,000	Not advertised. 3 Quotes Required Unless SB/DVBE Option Utilized.	Refer to Section PPPM 4.5 et seq.
\$100,000 - <\$1,000,000	Must be processed through BSO and advertised on eProcurement.	
\$5,000.01 - \$249,999.99	SB/DVBE Option. 2 Quotes Required.	
\$0 – Delegated Authority Approval Limits	Acquisitions Using Leveraged Procurement Agreements	Refer to PPPM Section 2.4

4.2 Acquisition Request (BSO-47)

Complete the Acquisition Request (BSO-47) form. The instructions for completing the form are on page 2 of the form. The requestor must obtain all the appropriate approvals prior to submittal to BSO. The Acquisition Request is available on the DCA Intranet at <http://inside.dca.ca.gov/forms/oas/bs047.pdf>.

4.3 Contact Person

The Acquisition Request (BSO-47) must include a contact person's name, email address, and business phone with the area code. This person will be contacted if any further clarification or additional information is required. Reminder: Be sure to complete the "ship to" and "bill to" information.

4.4 Approval Signatures

- A. The requestor is responsible for obtaining all approval signature(s) on the Acquisition Request. This may include the Executive Officer, Assistant Executive Officer, Bureau Chief, Program Manager or the appropriate designee approvals/signatures. Approvals must be requester's supervisor or above.
- B. Currently signatures are an internal process. PPPM [Section 1.23](#), Items Requiring Internal Approvals, and [Section 1.24](#), Items Requiring External Approvals, of this manual lists the required approvals for various purchases that must accompany the Acquisition Request form.

4.4.1 Acquisition Request Submittal to BSO

- A. Non-IT Purchases: When the requestor's Acquisition Request has been fully approved, it shall be submitted to the BSO Office. All of the proper supporting documentation must be attached, as outlined in PPPM [Table 1: Attachments](#).
- B. IT Purchases: All IT Acquisitions must be approved by the Office of Information Services (OIS) on the Information Technology Acquisitions Justification (ITAJ) Form, unless the item being purchased is on the OIS Approval Exclusions List, which may be found on the DCA Intranet at: http://inside.dca.ca.gov/offices/ois/admin_services/exclusions.pdf. An electronic copy of the ITAJ is available on the DCA Intranet at: http://inside.dca.ca.gov/offices/ois/admin_services/itacquisitions.html. The Acquisition Request and required attachments must be submitted to the OIS for their review and approval. Once the OIS completes their review and grants their approval, they will forward the Acquisition Request package to BSO for processing.

4.4.2 Financial Coding Information

Coding information (Index, PCA, Agency Billing Code, and Budget Funding Fiscal Year) from the Acquisition Request will be forwarded to DCA Fiscal Operations. This information must be accurate to allow the funds to be certified and prevent delays in the purchase and payment process. For assistance, contact your program's budget analyst or refer to the CalStars Object and Source Code directory found at the following intranet site: http://inside.dca.ca.gov/offices/oas/accounting/object_code.pdf

4.4.3 Additional Documentation

Acquisition Request Required Attachments (attach required documents to the Acquisition Request as applicable).

The following documents are to be attached to the Acquisition Request as applicable:

- The contract cover sheet and price page(s) available at the following website for State Contracts/Leveraged Procurement Agreements (under State Contracts Index Listing): <http://www.dgs.ca.gov/Default.aspx?alias=www.dgs.ca.gov/pd>
- Sellers Permit – (see PPPM [Section 4.9](#))
- Request for Quotation (RFQ), written narrative used to solicit price quotes. See Bidding Requirements – (see PPPM [Section 4.5](#))
- Quote Detail (written quotes are required) with quantity, unit, and price information:
 - A detailed and complete description of the commodity/service, along with any required specifications, statement of work, unit price, terms and delivery instructions. The delivery group and class, if available, should also be noted. Key nouns should precede the Material description (e.g., “Chair”: executive, high-back, swivel, color: brown, Manufacturer: La-Z-Boy, part number: LAZ123). The Acquisition Request should be specific in describing exactly what is being requested. Brochures, catalog descriptions, manufacturer part numbers, manufacturer specifications or any other descriptive literature must be included to ensure the purchase item ordered and received is correct. DGS/PD is available to assist with specification preparation. Guidance is available on the DGS/PD website at: [DGS/PD web page/Sample Solicitation Specification Checklist](#). Bid Quote Worksheet is available on page 2 of the Acquisition Request and you may use the Request for Quote template available on the DCA Intranet at http://inside.dca.ca.gov/offices/oas/bs/req_quote.pdf.
- 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. The latest California Sales and Use Tax rate chart, by County, can be found on the Board of Equalization's (BOE) webpage at <http://www.boe.ca.gov/info/taxoverview.htm#sales>.
- Maintenance sales tax is in accordance with the Business Taxes Law Guide, [Regulations 1502](#) of the Sales and Use Tax Regulations (or contact [BOE](#))
- Small Business and Disabled Veteran Business Enterprise (SB/DVBE) Certifications must be verified and printed (an eligible SB/DVBE is one that has an active certification through DGS):
 - To obtain SB/DVBE certifications for vendors, go to: <http://www.dgs.ca.gov/pd/programs/osds.aspx>
 - The STD. 843 – Disabled Veteran Business Enterprise Declarations Form is required for the winning vendor, if they are a DVBE.
 - Include small business number(s) if applicable and expiration dates for quotes received. Government Code 14835 provides for a 5% preference to be given to bidders who qualify as small businesses (SBs). If a solicitation results in an SB submitting a bid, the SB is awarded the solicitation if their bid is evaluated as lower after subtracting 5% of the overall lowest responsible bidder’s amount from the SB bid amount. Billing and payment is still at the SB submitted bid amount.
 - This preference does not apply to the SB/DVBE Option Process (refer to

PPPM [Section 4.6.3](#) Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) Quotations).

- The STD. 204 – Payee Data Record is required for the winning vendor. See [PPPM Section 4.4.4](#) for additional information.
- Fair and Reasonable Documentation for acquisitions under \$5,000 – (see PPPM [Section 7.4](#))
- Required Justification for Purchase
- Additional Required Forms and Approvals
 - PIA waiver form SAL-F001
 - Additional forms as required for the particular type of purchase

Table 1: Attachments

Contract and corresponding price sheet	If applicable
Request for Quote (RFQ) <ul style="list-style-type: none"> ▪ Showing that all solicited vendors were provided with necessary Bidder’s Instructions, General Provisions, etc. 	For all solicited vendors
SB/DVBE Certifications	For all solicited vendors
Quotes (Written) <ul style="list-style-type: none"> ▪ Also attach documentation from vendors who declined to bid/offer (“no bids”) 	All quotes/offers received
STD. 843 – Disabled Veteran Business Enterprise Declarations Form	For winning vendor only, if winning vendor is a certified DVBE
STD. 204 – Payee Data Record	For winning vendor only
Seller’s Permit	For winning vendor only
Bidder’s Declaration (GSPD-05-106)	For winning vendor only. Not required if using an LPA.
IT Acquisitions Justification (ITAJ) Form	For IT Acquisitions only
Darfur Form	For Non-IT Acquisitions only
Telecom Service Request Form	If applicable
Property Survey Request Form	If applicable
Sole Source Documentation	If applicable
Fair and Reasonable Documentation	For acquisitions <\$5,000
Exhibits: Scope of Work, Budget Detail and Payment Provisions, Special/Additional Terms and Conditions, etc.	If applicable
Any other applicable justifications, cost comparisons, approvals, exemptions, etc.	As needed

4.4.4 Payee Data Record (STD. 204)

- A. The State of California Revenue and Taxation Code Section 18646 requires that all State agencies provide the Taxpayer Identification Numbers of all parties entering into business transactions that may lead to payment from the State. This process facilitates tax compliance enforcement activities and the preparation of Form 1099 and other information as required by Internal Revenue Code

Section 6109(a). A Payee Data Record is used to obtain this information about the supplier. It is the requestor's responsibility to obtain a completed Payee Data Record.

- B. A Payee Data Record must be obtained from the supplier and included with the Acquisition Request. An electronic copy of the [Payee Data Record](http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf) (STD. 204) form is available at: <http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>
- C. It is acceptable to keep an STD. 204 in your records for future use so long as it was completed in the twelve (12) months immediately preceding the date of the order. An updated STD. 204 is required for new orders when the form on file is over twelve (12) months old.
- D. Pursuant to Internal Revenue Service laws, the Department of Finance requires agencies to have a Payee Data Record on file for every different supplier address with which business is conducted.
- E. When doing business with another California governmental agency a Payee Data Record is not required.

4.4.5 Information Technology (IT) Ordering Process

- A. Please see the link(s) below for guidance and direction for IT procurement and certification: http://inside.dca.ca.gov/offices/ois/admin_services/itacquisitions.html
- B. The following is required for an IT Acquisition, along with the Acquisition Request. See PPPM [Table 1: Attachments](#), for additional information.
 - All IT Acquisitions must have been approved by the Office of Information Services (OIS) on the Information Technology Acquisition Justification (ITAJ) form, unless the item being purchased is on the OIS Approval Exclusions List, which is located on the DCA Intranet at: http://inside.dca.ca.gov/offices/ois/admin_services/exclusions.pdf. An electronic copy of the ITAJ is available on the DCA Intranet at: http://inside.dca.ca.gov/offices/ois/admin_services/itacquisitions.html.
 - The Acquisition Request and required attachments must be submitted to the OIS for their review and approval. Once the OIS completes their review and grants their approval, they will forward the Acquisition Request package to BSO for processing.
 - The number of quotes or responses required to be submitted will vary depending upon the method of acquisition i.e. informal solicitation (open market) or leveraged procurement agreement (LPA).

4.5 Bid Requirements

- A. There are other purchasing options available when requested commodities are not available from Prison Industry Authority (PIA), Statewide Commodity Contracts, or State Price Schedules and the bid requirements will vary with each type of purchasing option. Bid requirements for CMAS, Master Agreements, and Non-Competitive purchases are described in SCM, Vol. 2 and Vol. 3, Chapters 5 and 6. Bid requirements for the Department's Base Goods Purchasing Authority, Base IT Purchasing Authority, and SB/DVBE option are provided below.
- B. **Phone Quotes:** DCA requires written quotes for all orders. Phone Quotes are not accepted.

4.6 Non-IT Acquisitions Purchasing Authority 9G-10XX-DCA-HQ1

- A. The appropriate delegation number must be stated on the PR in the “Purchasing Authority Number” field. This is the purchasing authority that allows DCA to issue PO’s as explained in PPPM [Section 1.17](#).
- B. Purchases made under DCA’s Non-IT Purchasing Authority include all Non-IT goods and some incidental services. The dollar limits are between \$100 and \$100,000 excluding sales tax, use tax, shipping, postage and handling. Bidders should be advised that the standard invoice payment terms are “Net 45 days”. The following bid requirements apply:
- Acquisitions up to a value of \$4,999.99 require only two (2) quotes when possible; when only one supplier we may utilize one (1) quote if it is established and documented that the price is fair and reasonable. Fair and reasonable documentation must be included in package, along with-the Acquisition Request. Refer to PPPM [Section 7.4](#) whenever there is reason to believe a response from a single source is not a fair and reasonable price.
 - Acquisitions between \$5,000 and \$50,000: Advertising is recommended. Acquisitions in this range require two (2) written bids (can be a combination of SB, DVBE, and large business vendors). A response of “no bid” shall not be considered as receiving a bid. If you only solicit SB/DVBEs, then only two (2) quotes are required (reference PPPM [Section 4.6.3](#))
 - Acquisitions in excess of \$50,000 and below \$100,000: Advertising in eProcurement is required when not using the SB/DVBE Option process BSO will prepare and post the Request for Quotation in the eProcurement for 10 work days/20 work days if Disabled Veteran Business Enterprise Goals (DVBE) apply. The award of the PO typically takes three (3) to four (4) months to complete (SCM Vol. 2, 4.A3.1).
 - Expanded Authority Acquisitions valued from \$100,000.01 to \$2,500,000 are further explained in PPPM [Chapter 10](#).

4.6.1 Information Technology (IT) Purchasing Authority 9I-10XX-DCA-HQ1

- A. Purchases made under the Department’s IT Purchasing Authority including all IT goods and services must fall within the IT Goods and Services Purchasing Authority Delegation (reference PPPM [Section 1.17](#)). The following bid requirements apply:
- Acquisitions up to a value of \$4,999.99 require only two (2) quotes when possible; when only one supplier we may utilize one (1) quote if it is established and documented that the price is fair and reasonable. Fair and reasonable documentation must be included in package, along with-the Acquisition Request. Refer to PPPM [Section 7.4](#) whenever there is reason to believe a response from a single source is not a fair and reasonable price.(SCM Vol. 3 Chapter 4 Topic 7).
 - In accordance with GC Section 14838.5, SB/DVBE acquisitions between \$5,000 and \$249,999.99 require a minimum of two (2) written offers.
 - Advertising is required for IT goods in excess of \$100,000, IT services in excess of \$4,999.99 and IT goods and Services in excess of \$4,999.99 on the service portion only (SCM Vol. 3, 4.A2.1)
 - If acquisition is Formal Competitive and over \$100k, DGS will complete the procurement

for BSO.

- For SB/DVBE option (up to \$250k), LPA's (up to approved dollar threshold) there is not an advertising requirement.

4.6.2 Desktop and Mobile Computing Purchases

- A. CalTech delegates authority in lieu of requiring submittal of a Feasibility Study Report (FSR) to acquire desktop and mobile computer goods to departments that (see SAM section 4989- 4989.3):
- Have submitted acceptable Disaster Recovery Plans (DRP) or DRP certifications to CalTech
 - Maintain compliance with all applicable State IT security provisions as defined in SAM Section 4800, and
 - Have appropriate plans for the use of desktop and mobile computing goods.
- B. Under the Desktop and Mobile Computing Policy (DMCP) departments may acquire desktop and mobile computing goods necessary to support programmatic functions and business needs may be acquired. Refer to SCM Vol. 3 Sections 2.B7.0 through 2.B7.3.
- C. Allowed DMCP includes the acquisition and support of: Personal computers, Laptop computers, Personal digital assistants, Peripheral equipment (e.g., printers), Local Area Networks, other equipment and software commonly required for most state employees to perform daily business transactions. Software typically purchased and installed on a standard desktop or mobile computer such as: word processing, spreadsheets, desktop database, other non-modifiable commercial-off-the-shelf (COTS). See SAM Section 4989.1 for additional desktop and mobile computing definitions.
- D. Excluded items: In accordance with SAM Section 4989.2 the following activities are excluded from the DMCP and must be justified in accordance with SAM Sections 4819.3 through 4819.42:
- IT Projects – as defined in SAM Section 4819.2, beyond the acquisition, installation and operation of DMCP goods.
 - Budget Actions – any acquisition, maintenance or support of desktop and mobile computing IT goods, which requires a Budget Change Proposal, a Budget Revision or other budget action.
 - Specialized or single-purpose systems – such as computer-aided design systems, desktop publishing systems, programmer workbench systems or artificial intelligence systems.
 - Infrastructure or platform migration – acquisitions associated with or mandated by a change in a department's standard technical architecture for servers, desktops and/or mobile computing platforms. Migrating to a newer version within the existing standard's product family is not considered an infrastructure or platform migration.
 - Wide Area Networks (WAN) – acquisition, maintenance or support of desktop and mobile computing goods specifically to install or operate a WAN.
- E. The DMCP coordinator has traditionally been identified as the OIS Client Devise Services Section Chief.
- F. DCA has a disaster recovery plan and IT security provisions and policy are established by the Information Services Office.
- G. All requests for the purchase of desktop and mobile computing devices, as well as all peripherals and software, are reviewed and certified for compliance with department and state IT policy, as per SAM 4819.

A copy of the IT Acquisition Justification (ITAJ) form signed by the appropriate OIS staff for each purchase request, are forwarded to BSO for inclusion in the procurement file.

- H. Purchases acquired under the DMCP for desktop and mobile computing equipment must include, within the procurement file, sufficient justification to support that the purchase was conducted in accordance with established hardware, software and security standards for desktop and mobile computing. A statement of fact must be included for each purchase executed under the authority of the DMCP.

4.6.3 Small Business (SB) and Disabled Veteran Business Enterprise (DVBE) Quotations

Refer to SCM Vol. 2, Topic 5 and Vol. 3 Sections 3.2.0 through 3.6.5.

- A. GC Section 14838.5 eliminates the advertising requirement for transactions awarded to a certified SB or a certified DVBE when conducting a SB/DVBE Option Solicitation. GC Section 14838.5 allows departments to solicit California certified SB or California certified DVBE suppliers and award purchase documents that have an estimated value greater than five thousand dollars (\$5,000), but less than two hundred fifty thousand dollars (\$250,000) provided DCA has obtained responsive quotes from at least two or more responsible SB bidders or two or more responsible DVBE bidders. For procurement of goods, the \$249,999.99 threshold excludes tax and/or freight.
- B. The solicitation must be extended to at least two (2) or more DGS certified SB or two (2) or more certified DVBE firms qualified to sell the specified product using the same specifications with each firm solicited. SBs and DVBEs may not compete against each other. Two responsive offers from certified SB or two responsive offers from certified DVBE must be received to award the acquisition. The award to the certified SB or DVBE will help meet one of the State's two annual goals. A "No Bid" or non-response is not considered an offer. When using the SB/DVBE Option, verification of SB or DVBE certification is required and must be included in the procurement file.
- C. Each SB/DVBE business certification must be verified through DGS Office of Small Business and Disabled Veteran Services (OSDS) at: <https://www.bidsync.com/DPXBisCASB?ac=publicsearch>
- D. If the estimated cost to the state is less than five thousand dollars (\$5,000) for the acquisition of goods, services, or information technology, obtain at least two price quotations from responsible suppliers when possible.

4.7 Bidder's Instructions and General Provisions

- A. The State's Bidder Instructions ([GSPD-451](#) Revision 11/09/11) must be included or incorporated by reference in all competitive for non-IT goods.
- B. The State's General Provisions ([GSPD-401 non-IT commodities](#) Rev. 06/08/10) shall be used or incorporated by reference in all competitive solicitations and purchase documents for non-IT goods.
- C. The State's General Provisions ([GSPD-401 IT commodities](#) Rev. 11/27/13) shall be used or incorporated by reference in all competitive solicitations and purchase documents for IT goods.

4.8 Selecting Supplier

- A. Once quotes are received, be unbiased and evaluate all bids fairly. Review PPPM [Sections 1.2](#), Roles and Responsibilities, [1.8](#) Conflict of Interest and Confidentiality Policy, and [1.9](#) Ethics. If there is a conflict of interest or the appearance of one, withdraw from participating in the evaluation and contact BSO management for assistance.
- B. Bids/quotes must include all of all the requirements described in the solicitation. Any attempted modification to the bid document is considered a material deviation from the specifications and cannot be considered – The bid/quote must be rejected.
- C. A bid/quote may be rejected if it is conditional, incomplete, or if it contains any alterations of form or other irregularities of any kind. DCA may reject any bid on the basis that it is not responsive or from a non-responsible bidder, and may waive any immaterial deviation in a bid/quote. DCA waiver of an immaterial defect shall in no way modify the solicitation document or excuse the bidder from full compliance with all requirements if awarded the Purchase Order.
 - a. Material Deviation: Material deviations of mandatory requirements cannot be waived and the bid must be rejected. All such deviations must be thoroughly documented in the procurement file to support the rejection.
 - b. Immaterial Deviation: A bid/quote which substantially conforms to a call for bids may, though it is not strictly responsive, be accepted if the variance cannot have affected the amount of the bid or given the bidder an advantage or benefit not allowed other bidders or, in other words if the variance is inconsequential.
- D. DCA does not accept alternate agreement language or provisions from a bidder. A bid/quote with such language will be considered a counter proposal and will be rejected. The State’s Bidder Instructions [GSPD-451](#) and General Provisions ([GSPD-401 Non-IT/](#) [GSPD-401 IT commodities](#)) may be altered with advance Legal Affairs approval prior to agreement execution. Also refer to Section PPPM [Chapter 10](#).
- E. Solicitations exceeding \$100,000 require the evaluation and selection report: <http://www.documents.dgs.ca.gov/pd/delegations/EvSelRt.doc>.

4.9 Seller’s Permit or Certification of Registration

- A. In accordance with Public Contract Code Section 10295.1, a State department or agency shall not contract for the purchase of tangible property from a supplier, contractor or an affiliate of a supplier or contractor, unless that supplier, contractor and all its affiliates that make sales for delivery into California are holders of a California seller’s permit issued by the California Board of Equalization.
- B. A copy of the supplier’s/contractor’s Seller’s Permit or Certification of Registration must be obtained from the supplier/contractor and accompany the Acquisition Request and other supporting documents. If the supplier’s permit or registration number is known, another means of obtaining a copy is from the Board of Equalization website at: www.boe.ca.gov/info/publicrecords.htm
- C. This requirement also applies to CAL-Card purchases. However, it shall be the responsibility of the

Client to obtain the Seller's Permit and retain a copy of the CAL-Card transaction documents. For more information on competitive solicitation of Non-IT goods, refer to SCM, Vol. 2, Chapter 4.

- D. Always ensure that the seller's permit is active by going to the Board of Equalization website <https://efile.boe.ca.gov/boewebservices/verification.jsp>. Print the validation page to include in the procurement file.

4.10 Matching Offers

In the event of a precise tie between the bid of a certified SB and the bid of a certified DVBE that is also a SB, the award shall go to the DVBE that is also a SB. (Reference GC Section 14838 (f)).

4.11 Rejection of Offers

It is not mandatory to award a purchase because offers have been obtained. The State has the option to reject any or all offers prior to award.

4.12 Community Rehabilitation Program (CRP) Procurements

Buyers should consider purchasing products and services from rehabilitative or sheltered workshops pursuant to Welfare and Institutions Code (WIC) section 19403. In accordance with WIC 19404, purchases using these programs are exempt from advertising requirements, conducting a competitive bid and dollar threshold limits. These transactions are also exempt from the non-competitively bid (NCB) contract requirements. More information may be obtained by accessing the Welfare and Institutions Code Section 19404 at: www.leginfo.ca.gov. If the CRP procurement is used, be sure to document the procurement file to support that the price offered by a community rehabilitation program is fair and reasonable. Additional information and certification information can be found on the Department of Rehabilitation's website: <http://www.dor.ca.gov/VRED/Requirements-4-Becoming-Service-Provider.html>.

4.13 Discounts

There are several types of discounts offered by suppliers. Examples include volume-ordering discounts, prompt payment discounts, trade discounts, and government agency ordering discounts. When requests are made for offers, the supplier should be asked to include all applicable discounts. Prompt payment discounts are not considered when evaluating offers for award purposes because they are taken only if the payment is made within the discount period.

4.14 Departmental Goals

- A. DCA's goal for all orders is to purchase a minimum of 25% from certified Small Businesses (SB) and a minimum of 3% from Disabled Veteran Business Enterprises (DVBE). SB and DVBEs must be certified by the DGS/Office of Small Business and Disabled Veteran Business Enterprise Certification (DGS/OSDC). DCA's SB/DVBE Advocate provides assistance in locating certified firms. Every attempt shall be made to obtain offers from SB and DVBE certified firms for each purchase.
- B. DCA's purchasing staff shall vary the SB and DVBE suppliers for each solicitation of similar commodities/services in an attempt to provide purchasing opportunities for those businesses that have expressed interest in doing business with DCA.

4.15 SB Preference and Competitive Solicitations

- A. Departments granted competitive purchasing authority shall offer a five percent (5%) preference to California (CA) certified small businesses when conducting a competitive solicitation. The SB preference applies for competitive solicitations regardless of the solicitation format (RFQ or IFB) or dollar value with few exceptions.
- Exception: The SB preference is not applicable when the solicitation is being conducted using the “SB/DVBE Option” procurement approach or if the acquisition is less than \$5,000.00 and price has been documented to be fair and reasonable.
- B. GC Section 14835 et seq. requires that a five percent (5%) preference be given to contractors who qualify as a certified SB. The rules and regulations of this law, including the definition of a SB for the delivery of services, are contained in Title 2, California Code of Regulations (2 CCR) 1896 et seq.
- C. To claim the SB preference, the firm must have its principal place of business located in California and be certified by the California Department of General Services (DGS), Office of Small Business and DVBE Services (OSDS). The preference amount may not exceed fifty thousand dollars (\$50,000) for any bid and the combined cost of preferences granted may not exceed \$100,000.00 total.
- D. Pursuant to GC Section 14838 and 2 CCR 1896, if a bidder is not a certified SB, but wishes to be eligible for the five percent (5%) non-small business (NSB) preference, the bidder must subcontract at least 25 percent (25%) of its net bid price to one or more certified SBs. Bidder shall list the names of all certified SB firms being claimed for credit on the [GSPD-05-106](#) form. For each certified SB subcontractor listed, the Bidder shall submit a copy of the quotes from each SB as an attachment, titled “Quotes from SB Subcontractors.” This preference shall not be awarded to a noncompliant bidder and shall not be used to achieve any applicable minimum requirements.
- E. Certified SB bidder(s) shall have precedence over NSB bidders in the application of SB preference(s).
- F. SB preferences may not be applied to any bid deemed non-responsive with the solicitation instructions or from a non-responsible bidder.
- G. Questions regarding the certification approval process or SB program should be directed to OSDS at (800) 559-5529 or (916) 375-4940. For the 24-Hour Recording & Mail Request call (916) 322-5060, or Email: osdshelp@dgs.ca.gov.
- H. If SB preference is claimed, it shall be 5% of the net bid price of the lowest responsible NSB bidder meeting specifications. Also see Section 3.2.6 of SCM, Vol. 2 and Vol. 3 for CUF requirements. Note: The net bid price is the value of the bid excluding sales and use tax, finance charges, postage and handling charges. Shipping charges are also excluded from the net cost unless the shipping charge is included in the evaluation such as FOB Origin, Freight Collect or FOB Destination. The net bid price includes any evaluation corrections and applicable discounts. Subtract this amount from all qualifying bids if no other preferences or the DVBE incentive are applicable, re-rank bids to determine which bidder has the low responsive bid. Award is made to the #1 ranked bid. Note: Applying the SB preference formula is for evaluation purposes only and does not change the actual bids offered by any suppliers.
- I. Document the procurement file in sufficient detail to support the award. Documenting the file

includes recording the SB preference calculations.

4.16 DVBE – Incentive

- A. The DVBE incentive applies to all competitive solicitations whenever the solicitation includes the DVBE Program Requirement, regardless of format (RFQ, IFB or phone quotes), delivery method or dollar threshold. DCA may elect to waive DVBE participation requirements on an individual case by case basis. Such a waiver must be approved in advance by the Director or designee, documented in the procurement file, and does not relieve DCA from the annual 3% participation goal. If a solicitation includes the DVBE Program Requirement, buyers will use the DGS provided CA DVBE Program Requirements packet whenever conducting competitive solicitations under a department’s approved purchasing authority. If you cannot meet this requirement, refer to and follow the process in SCM Vol. 2, Section 3.5.4 and Vol. 3, Section 3.4.4, DVBE, Incentive Exemption Provision.
- B. The incentive is used only for evaluation purposes to arrive at the successful bidder and does not alter the amounts of the actual bid. Any responsive and responsible bidder with the confirmed DVBE participation and/or meets the requirements as specified in the solicitation is eligible to receive the incentive. Bidders who are not responsive and responsible regardless of the amount of DVBE participation are not eligible to receive the incentive.
- C. Written solicitations shall include the Bidder Declaration ([GSPD 05-106](#)) (See Appendix 1 – Forms) to allow bidders to identify if they are a DVBE and identify DVBE subcontractors, their proposed contract function and the corresponding percentage of participation. Refer to SCM Vol. 2, Section 3.5.7 for Declaration Narrative Information. DCA will apply an incentive to bids proposing the utilization of DGS Certified DVBE firms identified on the Bidder Declaration. Information provided on the Bidder Declaration shall be verified by DCA prior to the award of the contract. The incentive amount is equal to a percentage of the lowest responsive and responsible bid based on the amount of DVBE participation in the bid being evaluated per the Tables below.

Verified DVBE Participation	DVBE Incentive Amount
5% or more	5%
4% - 4.99%	4%
3% - 3.99%	3%
2% - 2.99%	2%
0.1% - 1.99%	1%

- D. When applying the DVBE Incentive, a NSB shall not displace an award to a DGS Certified Small Business. Refer to SCM Vol. 2, Section 3.5.5 and SCM Vol. 3, Section 3.4.5 for DVBE incentive percentage details.
- E. The Bidder Declaration ([GSPD-05-106](#)) will be included in the following procurement approaches: Non-competitive, Competitive, SB/DVBE Option, LPA orders, or Purchases exempt by statute and/or policy, when the possibility of using subcontractors exists. Refer to SCM, Vol. 2, Section 3.5.9 for Exceptions.
- F. To calculate incentives and reference low price award examples, refer to SCM Vol. 2, Sections 3.5.11-3.5.13 and SCM Vol. 3, Section 3.4.11.

- G. Document the Results: Buyers must document the application of the DVBE incentive for the department's reporting purposes. Refer to SCM Vol. 2, Section 3.5.10 to obtain the Procurement Summary (GSPD-300) form.

4.17 SB/DVBE – Commercially Useful Function (CUF)

- A. In accordance with GC Section 14837 and Military and Veterans Code Section 999, all SB and DVBE contractors, subcontractors and suppliers that bid on or participate in a state contract, regardless of whether it is a verbal or written solicitation and/or paid for using the CAL-Card as a payment method, must perform a commercially useful function (CUF). In addition, the requirement to determine CUF is not affected by the applicability of the 5 percent SB and/or the DVBE participation preference program. There is no exception to this requirement. Consequently, certified SB and DVBE businesses must perform a CUF. Using the Bidder Declaration Form [GSPD 05-106](#), buyers must determine that a CUF will be performed prior to contract award. Refer to SCM Vol. 2 and SCM Vol. 3, Sections 3.2.6 through 3.2.12 for SB/DVBE information of Program Violations, and the details outlining CUF including but not limited to Broker/Agent Status for DVBE, Definition of Broker/Agency and Equipment Broker, Impacted DVBEs, Purchase Document Submission, Declaration Information.
- B. If you receive a completed DVBE Declarations ([STD. 843](#)) (See Appendix 1- Forms) and recognize that a DVBE is a broker or agent (in Section 2 of the form), or if rental equipment is to be provided, one or more of the DV owners or DV managers of the DVBE does not own at least 51% of the equipment to be rented (in Section 3 of the form), BSO will contact the DGS, OSDS, Compliance Unit (916-375-4940).
- C. DGS, OSDS' role is to review and certify DVBEs. To support the requirements of Military and Veterans Code Sections 999.2(b) through 999.9, the OSDS requires all DVBEs (both new applicants and those currently certified) to declare their status as a broker or agent, submit the business enterprise's federal tax returns and – for those who rent equipment to the State – to submit their personal tax returns. DVBEs who rent equipment to the State and who fail to submit their personal tax returns to OSDS automatically attain broker or agent status and will be considered non-certified for DVBE participation goal purposes.
- D. When using an LPA through DGS there is no need to obtain the CUF/Bidder Declaration; DGS obtained it prior to awarding the Master Agreement.

For further detail on CUF and Bidder Declaration, see [PCU 15A-2](#).

4.18 Freight

- A. In most cases, freight charges should be incorporated into the purchase price of the goods being purchased. Therefore, freight terms for DCA purchases should be "Free On Board (FOB) Destination, Freight Prepaid". This means the supplier is responsible for freight costs to the shipping location or office, and title for the goods does not transfer to the State until accepted at the destination. The freight is included as part of the cost of the commodity and is not itemized separately.
- B. The DGS Transportation Management Unit (TMU) must be contacted to determine the cost and routing of freight whenever the weight of the purchased item is 100-lbs or more and FOB Destination, Freight Prepaid is not used.

TMU can be contacted at:
P.O. Box 989052 – MS 2-202
West Sacramento, CA 95798-9052
Phone: 916-376-1888
Fax: 916-375-4553
Email: transportationmanagement@dgs.ca.gov
Website: <http://www.dgs.ca.gov/pd/Programs/Transportation.aspx>

- C. All freight bills exceeding 100 pounds must be audited by DGS Traffic Management Unit (TMU) prior to being scheduled for payment by the SCO. If a freight bill does not bear TMU'S audit stamp, the invoice will be removed from the claim schedule by SCO and returned to DCA.
- D. TMU must be contacted prior to using the following shipping methods:
 - F.O.B. Destination, Freight Prepaid/Add – Shipping charge is assessed from the originating shipping point to the point of delivery. Upon verification with the TMU, the purchase document must reflect “freight not to exceed cost per supplier quote stated on PO”
 - F.O.B. Origin, Freight Collect - TMU will determine the cost and routing of the freight. The following information must be provided to TMU:
 1. City, State and Zip Code of origin and destination
 2. Description of goods being shipped
 3. Estimated shipping weight
 4. Special handling requirements
 5. National Motor Freight Classification (NMFC) - up to 7 digits
- E. If F.O.B. Destination is not mandatory for a quotation, and one supplier offers “F.O.B. Destination” and the other supplier offers “F.O.B. Destination, Freight Prepaid/Add” or “F.O.B. Origin, Freight Collect” the freight charges must be added to the “F.O.B. Destination, Freight Prepaid & Add” or the “F.O.B. Origin, Freight Collect” to determine the actual lowest offer.
- F. Upon approval of the freight charges, the TMU provides “routing information”. This routing information must be included on the Acquisition Request for BSO to copy onto the Purchase Order. The date and person contacted at TMU should also be noted on the Purchase Order. In accordance with SAM Section 3851, additional shipping costs incurred by deviation from the above shipping instructions will not be allowed unless they are clearly listed on the contract or the Purchase Order.
- G. DCA’s Accounting Unit and the State Controller’s Office (SCO) require that any freight charges over \$50, the supplier’s invoice must be accompanied by the carrier’s actual freight bill.

4.19 Non-Competitively Bid Purchases

- A. Purchases with a dollar value of \$4,999.99 or less are exempt from NCB justification; however when only one (1) bid is obtained, the file must contain justification showing the process used to ensure price was fair and reasonable. Orders shall not be split to circumvent bidding requirements. When a justification is required, the [Non-Competitively Bid Justification Form](#) (See Appendix 1 - Forms) is

completed by the requestor, then attached and submitted to BSO along with the Acquisition Request.

- B. There are two methods for justifying an NCB acquisition as follows:
- Special Category NCB Request (SCR), where a department determines that a significant number of repeat NCB acquisition for a particular category of goods and/or services will occur during a specified period of time
 - NCB acquisitions executed on an individual basis

Once approvals are obtained, the requestor must submit documents to BSO to complete the acquisition and to retain in the official procurement file. Because DCA's delegated NCB limit is \$25,000, BSO shall acquire DGS Procurement's approval if the NCB exceeds this limit.

- C. These types of contracts should be used only when the department can fully justify the need. Requestors should establish mailing lists using a variety of means to locate potential suppliers.
- D. See SCM Vol. 2, Section 4.A2.0, SCM Vol. 3, Chapter 5, and PPPM Section [10.4](#) for detailed requirements.

4.20 Limit to Brand or Trade Name Purchases

- A. A competitively bid item limited to a single brand, trade name, model or manufacturer is defined as a Limit to Brand or Trade Name (LTB) purchase. This type of purchase occurs when an item must be purchased from a certain supplier/manufacturer in order to "inter-member", be compatible, to operate effectively, to connect, or to work with existing equipment. Examples are replacement parts, equipment adding to or complementing existing equipment or electronic equipment hardware/software.
- B. Refer to SCM Vol. 2 and SCM Vol. 3, Section 4.C3.0 et seq. before any LTB acquisition is started. DCA's LTB contract purchasing authority dollar threshold is authorized a maximum not to exceed \$25,000.00. Shipping charges are also excluded from the dollar threshold limits unless the shipping charge is included in the evaluation such as FOB Origin, Freight Collect, or FOB Destination.
- C. These types of contracts should be used only when the department can fully justify the need. Requestors should establish mailing lists using a variety of means to locate potential suppliers. See SCM Vol. 2, Section 4.A2.0, Chapter 5 (NCB) and SCM Vol. 3, Section 4.A1.7.

4.21 Amendments and Cancellations

- A. Requests to amend an existing Purchase Order should be directed to the buyer who created the Purchase Order. The amended Purchase Order number is the same original Purchase Order number with a numerical character added at the end.
- Purchase Order files contain an accurate history of the action requested and who requested the action
 - Requestor and supervisor approvals are on file for audit purposes
- B. Amendments must be entered into before the expiration of the original acquisition. If the

amendment has the effect of making the acquisition subject to any other requirements such as exceeding dollar approval thresholds, those requirements must then be complied with.

- C. Requests to cancel an existing Purchase Order should be directed to the buyer who created the Purchase Order.
- D. For Non-IT services only, DCA has received direction from the DGS Office of Legal Services stating that a competitively bid acquisition which does not include options to extend but permits amendments may be amended only once as follows:
 - Time not to exceed one year or
 - Dollars not to exceed 30% of the original acquisition value and the dollars added (not cumulative contract value)
- E. NOTE: An amendment is required when cancelling a Purchase Order. A cancellation Purchase Order must be issued to cancel the order. This will disencumber the funds for this purchase.
- F. Additional information is available at the following websites:
 - Non-IT Link: <http://www.pd.dgs.ca.gov/deleg/SCMchapter08.htm#topic7>
 - IT Link: <http://www.documents.dgs.ca.gov/pd/poliproc/Chapter07PurchaseDocs1-2007.doc>

4.22 State Contract and Procurement Registration System (SCPRS)

- A. The SCPRS, an Internet-based application, was developed as a contract tracking system to provide a centralized database on state contracting and purchasing transactions.
- B. Any and all purchase documents valued at \$5,000 are registered in SCPRS automatically, regardless of the contract type, when entered in the Fi\$cal program. This includes, but is not limited to grants, subvention contracts, and exempt contracts. Departments are encouraged to also enter information for lower dollar-value transactions.
 - The registration number assigned by the SCPRS must be entered on all purchase documents prior to issuing the order to the supplier.
 - If the transaction is within the department's approved purchasing authority, record the assigned registration number onto all the purchase document copies prior to releasing to the supplier and retain a copy of the purchase document with the recorded registration number in the procurement file.
 - If the transaction requires DGS' review and approval, record the assigned registration number onto all the purchase document copies ONLY AFTER obtaining the required DGS approval and prior to releasing to the supplier and retain a copy of the purchase document with the recorded registration number in the procurement file.
- C. The BSO Buyer must log in at https://iam.fiscal.ca.gov/oaam_server/loginpage.jsp
- D. New SCPRS Users: Contact BSO's System Administrator:

<http://www.documents.dgs.ca.gov/eprocure/DeptSysAdmins.pdf>

- E. The BSO Buyer is to complete the fields as applicable with the information from the PO (STD 65).
- F. The system generated SCPRS number must be noted on the Purchase Order in the Contract Registration Number box on the Purchase Order.
- G. The SCPRS number must be written on all copies of the Purchase Order.
- H. A department failing to record transactions in the SCPRS registration system will be considered non-compliant with purchasing authority requirements, which may adversely impact the department's purchasing authority. This requirement will be subject to the DGS audits.

CHAPTER 5 – EQUIPMENT PURCHASES

5.1 Expendable and Non-Expendable Equipment

- A. State Property/Equipment is classified as Expendable or Non-Expendable. SAM Section 8600 requires state agencies maintain accurate records for the acquisition, maintenance, control, and disposition of property. DCA requires that all tangible equipment, whether capitalized or expended, to be controlled, identified, and clearly tagged with State property identification tags. Tagging of equipment costing less than \$500 is required. In addition, equipment with a unit cost of \$5,000 or more is considered a fixed asset and must be recorded in DCA's Accounting Unit General Ledger Fixed Asset Reconciliation Report.
- B. Equipment is identified by the following object codes:
- 226.40/226.45/226.60/226.65 – Minor IT equipment under \$4,999.99
 - 453 – Major IT equipment over \$5,000.00
 - 226.50/226.55 – Minor Telecommunications Equipment under \$4,999.99
 - 468.01/488.01 – Major Telecommunications Equipment over \$5,000.00
- C. When purchasing equipment, the Acquisition Request (BSO-47) should clearly list all the necessary equipment including a supplier reference, bids, required justifications and approvals. OIS's established computer equipment approval procedures must be adhered to when purchasing IT equipment. Additional information is available at:
http://inside.dca.ca.gov/offices/ois/admin_services/itacquisitions.html
- D. The following justification forms are required as applicable:
- IT Acquisition Justification Form (ITAJ)

5.2 Property Control

When an Acquisition Request is processed in BSO, the Acquisition Request package is forwarded to the DCA Property and Asset Management Coordinator (PAMC) for review. If tangible property is included on the request, the PAMC will input the documentation into the property databases (Fi\$cal and DCA) in order to inventory it and create the Property Transaction Form to assign the corresponding property tags. The PAMC returns the Acquisition Request package with the Property Transaction Form and property tags to the BSO Buyer to be forwarded to the requestor upon execution of the purchase order. The requestor will receive a copy of the executed purchase order along with the assigned property tags attached to the Property Transaction Form. Once requestor receives the items, they are to check the condition of each item ordered to verify it's as-ordered and in good working condition. Then place the corresponding property tag onto the item and record the serial number, location, assigned employee and manager's information onto the respective fields on the Property Transaction form. Once the Property Transaction form is completed, sign and date, the client shall make a copy for their records and return the original to the BSO, attention to PAMC.

5.3 Filing/Imaging/Shredding

- A. When purchasing filing, imaging, or shredding equipment, the requestor is responsible for completing

the Records Management Authorization form ([AISD-041](#)). The DCA Record's Management Coordinator must review and approve the equipment request before an Acquisition Request is submitted to the BSO.

5.4 Acceptance

- A. Upon receipt of an order, the requestor is responsible for examining the equipment's quantity and condition. The requestor must note unacceptable damage on the invoice or packing slip and immediately send the items back to the supplier. Document the return by completing an Invoice Dispute and Returned Stock Report (STD. 108). If the requestor accepts the equipment, the PAMC is notified so that a State property identification tag can be attached to the equipment. The property tag and the equipment's serial number must be included on the PO and/or the appropriate receiving document before forwarding the documents to Accounting for payment. The requestor places the property tags, which they received from BSO, on the equipment. Once the equipment is tagged and placed into service, the requestor is responsible for its proper maintenance and control.

- B. In the case of purchase orders for services, the Contract Manager must verify services rendered immediately after the service is completed. In both cases, receiving documentation must be completed and forwarded the same day to Accounting Unit. If for any reason this does not happen, formal invoice dispute procedures must be initiated with the suppliers immediately before the 15 working- day time limit expires. There is a fifteen (15) working day limit to submit a completed payment package to DCA's Accounts Payable for processing. Timely payments are issued to suppliers when DCA Accounts Payable staff receives the appropriate receiving documentation in a timely manner.

5.5 Movement of Equipment

When equipment is moved to another location, the Property and Asset Management Coordinator must be notified. This requirement is satisfied by completing a Property Survey Request (AISD-033) form identifying the old and new locations, the property tag number, and the serial number of the item and submitting it to the DCA Property and Asset Management Coordinator for processing. Any employee found to have improperly secured equipment, misused State property, and/or caused loss or damage to State property due to negligence or unauthorized use is subject to disciplinary action pursuant to GC 19572(p) and SAM section 8643. DGS, the Office of State Audits and Evaluations, and DCA's Internal Audits Office each has the authority to conduct periodic and independent review of DCA programs to assess compliance with State and policy mandates concerning property and asset management. DCA is considered non-compliant when any one piece of equipment is not properly accounted for at any given time. Examples of non-compliance are when property is not tagged, when property or assets are transferred without being reported, or property is missing from the inventory record/tracking system.

CHAPTER 6 – RECEIVING AND ASSET MANAGEMENT

OVERVIEW

The DCA Property and Asset Management Coordinator (PAMC) is responsible for implementing the DCA Property and Asset Management Policy which accounts for the Department’s property and assets. This includes tagging and tracking property and assets, disposing of assets properly, conducting physical inventory, and reconciling property and assets. For anything related to vehicles contact the DCA Fleet Coordinator at (916) 574-7241.

6.1 STOCK RECEIVED

State Administrative Manual section 8422.20 requires staff receiving the goods to prepare a Stock Received Report to record receiving information when accepting the goods, including software licenses. Once BSO processes a Purchase Order, a Stock Received Certification Sticker is attached to the front of the Purchase Order and it is now called a Stock Received Purchase Order. The Stock Received Purchase Order is sent to the requestor to complete upon acceptance of the goods.

Upon receipt of goods (including electronic delivery items such as software licenses, electronic subscriptions, etc.), the receiving staff must:

1. Verify each item ordered has been received is in good working condition.
2. Verify the order is complete by placing a check mark next to each item on the Stock Received Purchase Order.
3. Complete the required Stock Received Certification Statement on the Stock Received Purchase Order with the following:
 - a. Signature of Receiving Person
 - b. Receiving Person’s Printed Name
 - c. Classification/Title of Receiving Person
 - d. Date the goods are received
 - e. Comments related to the receipt of goods
4. If the shipment is incomplete or not acceptable, indicate in the comments section of the Stock Received Certification Statement and any action taken.
5. Attach the packing slip to the Stock Received Purchase order
6. Submit one original and one copy of the Stock Received Purchase Order packet to Business Management Services (BMS) within five (5) working days of receipt of goods.
7. Retain a copy of the Stock Received Purchase Order for the office record. (The client should retain their copy for at least six months.)

Reference [Property and Asset Management Policy BSO 15-01](#) and State Contracting Manual (SCM), Vol. III, Chapter 10

6.2 PROPERTY TAGS

1. Upon receipt of goods, verify against the Purchase Order (PO) to ensure the product is what was ordered and is in good working condition.
2. When the product is determined to be what was ordered, affix the assigned property tag(s) to your item(s) as designated on the Property Transaction Form ([AISD-034](#)) (See Appendix 1- Forms).

Note:

- The Property Transaction Form is generated by the PAMC and is not available on the DCA Intranet. The Property Transaction Form and the property tags will accompany a copy of the executed PO.

3. Record the serial number, acquisition date, assigned employee and/or unit name, and supervisor's name onto the Property Transaction Form.
4. Signed and dated Property Transaction Forms shall be provided to the Property and Asset Management Coordinator by clients within the specified timeframe below:
 - 60 days for Non-IT items
 - 90 days for CAL-PIA
 - 120 days for IT equipment

Note:

- The client must turn in the Property Transaction Form by the specified due date in order for DCA to be in compliance with State Administrative Manual (SAM) Chapter 8600. If the client does not respond or return the completed Property Transaction Form within the allocated timeframes, the PAMC will notify the employee's manager via email of the delinquent Property Transaction Form.

6.3 DISPOSAL METHODS FOR SURVEYING STATE SURPLUS PROPERTY

Surplus state property shall be disposed of using the disposition methods defined below.

1. Trade-In: Use this when the vendor will be picking up the old equipment upon delivery of the new equipment.
2. Valueless: When an item is no longer valuable/working, to be legally/safely disposed of.
3. Donation to Eligible Non-Profit Organization: *Must* be an eligible public school/district in California. If assistance is required in obtaining a list of eligible schools, please contact the DCA PAMC at (916) 574-7265.

Note:

- State agencies are **not** permitted to donate state surplus property to regular non-profit organizations or charities.
4. Department of General Services Property Reuse Program: When an item is listed in fair condition and is still operable, once an approval email from the PAMC is received, contact the DGS Property Reuse Program at (916) 928-5851 to inquire if they would accept the items being

surveyed.

5. Universal Waste: When an item is in poor or junk condition and is considered salvageable or recyclable it can be given to a salvage dealer, certified recycler or E-waste facility.
6. Lost, Stolen or Destroyed Property: When property is lost, stolen or destroyed, the client will prepare a [Property Survey Request](#) (See Appendix 1 - Forms). Client must follow the responsibilities outlined in PPPM [Section 6.5](#).
7. Transfer: To be used when your item is still operable, in fair condition or better and another program or state agency can use it.
8. Recycle: non-serviceable surplus asset shall be:
 - a. Transferred to CalPIA designated facility for all CalPIA manufactured conventional furniture and Modular System Furniture (MSF);
 - b. Recycled by a licensed furniture recycler or public landfill for commercially manufactured furniture; and
 - c. Recycled by a certified electronic recycle vendor for electronic goods and IT equipment.

6.4 PROPERTY SURVEY/TRANSFER REQUESTS

1. The program decides on the disposal method for each request (see [PPPM Section 6.3](#)).
2. If assistance is required in selecting a disposal method, please contact the PAMC at (916) 574-7265.
3. Once the disposal method has been chosen, the client will complete the Property Survey Request ([AISD-033](#)) form in its entirety. (See Appendix 1 – Forms)
 - a. If the property survey request includes any IT equipment that holds internal memory, a [Certificate of Computing Media Sanitation](#) form (152 A) (See Appendix 1 - Forms) will need to be completed and submitted with the Property Survey Request, certifying that the memory or hard drive of that specific item has been “wiped”, “removed”, or “sanitized.” This form can be found at http://www.documents.dgs.ca.gov/osp/sam/memos/MM12_01.pdf

Notes:

- The program can have their Information Technology Unit perform this task or contact the OIS Help Desk to open a ticket. This procedure needs to be performed and certified before approval can be obtained for disposal.
 - Items that require sanitation include: printers, fax machines, computers, laptops, scanners, copiers, flash drives, cell/smart phones, servers, etc.
4. For replacement purchases, submit the completed Property Survey Request form along with the [Acquisition Request](#).
 5. If no purchase is being made, the client can send the Property Survey Request directly to the PAMC for processing.
 6. Upon receipt of the approved Property Survey Report (STD. 152) the identified equipment must be disposed of within 30 days of receiving the approval.
 7. After disposal has occurred, sign and date the “Certification of Disposition Box” on the Property Survey Report (STD. 152), or the “Property Custodian” box on the [Property Transfer](#)

[Report](#) (STD. 158) (See Appendix 1 - Forms).

Note:

- The Property Survey Report and the Property Transfer Report are generated by the PAMC upon receipt and review of a [Property Survey Request](#).

8. Forward the original to BSO, Attention: Property Asset Management Coordinator.

6.5 PROPERTY TAGS FOR PROPERTY TRANSFERS

1. Client will receive the approved [Property Transfer Report](#) (STD. 158) (See Appendix 1 - Forms) from the PAMC via e-mail.
2. Prior to transferring, remove all property tags from the equipment and destroy.
3. Within 30 days from receiving the approved Property Transfer Report, the equipment should be transferred as identified on the Property Transfer Report.
 - a. For equipment transferred within DCA, the new program will receive a [Property Transaction](#) Form (See Exhibit 1 - Forms) and new property tags from the DCA PAMC.
 - b. For equipment not transferred within DCA, please remove property tags before disposal occurs. No new tag(s) will be issued because the item(s) will not be housed within DCA or its entities. Proceed to Step 6, below.
4. The new program will affix the assigned property tags to the equipment and record the serial number, acquisition date, assigned employee/unit name and the supervisor over that piece of equipment, on the Property Transaction Form.
5. The new program will sign/date and return the Property Transaction Form to BSO, Attention: Property Asset Management Coordinator.
6. After transfer has occurred the original client will sign and date the "Property Custodian" box on the Property Transfer Report.
7. Forward the original Property Transfer Report to BSO, Attention: Property Asset Management Coordinator.

Note:

- The Property Transaction Form must be turned in by the specified due date, in order for DCA to be in compliance with the State Administrative Manual (SAM). If the client does not respond or return the completed Property Transaction Form within the allocated timeframes, the employee's manager will be notified via email of the delinquent Property Transaction Form.

6.6 LOST, STOLEN, or DESTROYED PROPERTY

1. The employee must notify their manager/supervisor immediately of the incident.
2. The employee must complete a [Property Survey Request form](#) (See [Exhibit 1 – Forms](#)). This form is located at http://inside.dca.ca.gov/forms/oas/aisd033_property.pdf.

3. The employee prepares an incident report that describes the event, a statement of how to prevent repeat situations, and a statement detailing the date and time.
4. The Manager will contact the Department of the California Highway Patrol to report missing or stolen assets, and obtain a written crime report, inform the DCA Information Security Office (ISO) of the lost or stolen property, and contact the Internal Audit Office.
5. The Manager will immediately submit the [Property Survey Request](#) form along with the incident reports listed in steps 3 and 4 to the (PAMC) for processing.
6. The program will receive an approved Property Survey Report via e-mail from the PAMC. The program signs the “Certification of Disposition” box and returns the original to BSO, Attention: Property Asset Management Coordinator. Keep a copy for your program’s records.

6.7 Invoice Disputes

- A. The payment processing timeline stops when an Invoice Dispute Notification ([STD. 209](#)) and Returned Stock Report form (STD. 108) is completed and sent to the supplier. When the corrected invoice is received, there are 15 working days to submit the completed payment package to DCA Accounts Payable for processing.
- B. DCA may dispute an invoice submitted by a supplier for reasonable cause if the supplier is notified within 15 working days from receipt of the invoice or delivery of the goods or services, whichever is later. An invoice shall not be disputed in order to avoid late penalties.
- C. An invoice may be disputed for any of the following reasons:
 - Goods/services not received
 - Non-compliance with contract
 - Incorrect billing information or amount due
 - Partial shipment received
 - Duplicate billing
 - Invoice is intended for another department
 - Damaged goods
 - Invoice not properly executed
 - [Payee Data Record](#) (STD 204) not on file with the Accounting Unit.
 - Accounting can dispute the invoice, if the invoice is received in the Accounting Unit directly from the supplier and if the invoice has no contract or Purchase Order documentation
- D. The Client in receipt of ordered goods or services is responsible for disputing an invoice received in the Client’s office.

6.8 Partial Shipments

- A. Payment may be authorized on partial shipments by sending a photocopy of the Stock Received Purchase Order to BSO, with the items received highlighted and clear instructions indicating “Partial shipment received (date), payment authorized in the amount of \$ ___ only for items received”. The exact total dollar amount to be paid should be specified along with the appropriate receiving documentation. When the balance of the order is received, additional receiving documentation must

be completed and forwarded to BSO. Write “F” or “Final” on this Stock Received Purchase Order copy.

- B. If the supplier fails to deliver some or all of the order, the requestor must contact the supplier to identify the reason(s) for non-delivery. The requestor must notify the BSO buyer who prepared the Purchase Order, so the buyer may take appropriate action (i.e., extend delivery time, cancel order, amendment).

6.9 California Prompt Payment Act

The [Prompt Payment Act](#) requires State agencies to pay properly submitted, undisputed invoices within 45 calendar days of initial receipt. To meet this timeline, both the Accounting Office and Requesting Client must date and time stamp the invoice upon receipt and process the invoice within fifteen (15) calendar days of the date/time stamp. This will allow the DCA Accounting Office and State Controller’s Office to process the invoice within the required time. If the requirement is not met, the Accounting Department and/or the Requesting Client must automatically calculate and pay the appropriate late payment penalties as specified in Government Code Section 927, et seq. Refer to SCM Vol. 2 and Vol. 3, Sections 9.B2.0 through 9.B2.1. Whichever unit held on to the invoice in excess (determined by date stamps) causing the delay in payment will be responsible for said penalties.

6.10 Contract Administration

- A. Contract administration is a post award responsibility between the Requester (includes Contract Managers when procuring any LPA Contract for IT/Non-IT Services) and the supplier from contract award to contract closeout ensuring the supplier (or Contractor [includes consultants]) delivers the product and/or service in conformance with the purchase document requirements. The Requester must completely understand all aspects of the purchase document. If any assistance is needed the Requester may contact BSO buyer who executed the contract for help.
- B. Requesters must have sufficient knowledge of contracting principles as it relates to their responsibilities in administering the contract, and maintain records or logs of all transactions through the completion of the contract.
- C. Contact the Accounting Unit throughout the term of the Contract, as necessary, to ensure the encumbrances have not expired, and sufficient funds are available for a given fiscal year to pay anticipated invoices. Also contact the Accounting Unit to ascertain fund availability before amending a Contract, if needed.
- D. Monitor the Contractor to assure compliance with applicable laws, Contract requirements, and all expenditures charged by the Contractor.
- E. Invoices:
- Date-stamp all invoices upon receipt. Begin the review and payment process immediately.
 - Review and approve the invoices for services according to the terms of the Contract.
 - Stamp the invoices as approved and have the authorized person to review and approve invoices sign off on them as approved and forward to the Accounting Unit in sufficient time to avoid late payment interest penalties.

- Issue an Invoice Dispute Notification form (STD. 209), when an invoice dispute cannot be resolved. Disputed portions of invoices should not be paid.

F. Closing out a Contract File:

- Approve final product/services required by the Contract.
- Contractor Evaluation form (STD. 4): This form must be completed for consulting services, either non-IT or IT and any category of purchase, competitive, LPAs, NCB., etc. The form must be prepared within 60-days of the service contract completion. The Contract Evaluation Report is not considered public record per SCM, Vol.1, 3.02.5 and should be maintained within a separate file from the purchase document file. Complete and return to the Business Services Office (BSO). This is required pursuant PCC 10367 and PCC 10369, for Consultant Contracts of five thousand dollars (\$5,000) or more.

G. Agreements cannot extend the terms of the Contract, change the scope of work, or allow any additional costs to be incurred that would exceed the limit set in the Contract without an approved contract amendment in place. Amendment(s) must be requested by the Contract Manager, and approved by BSO and appropriate entities prior to:

- The expiration date of the Contract.
- The expenditure of additional funds that exceed the total amount of the original Contract, or
- Authorizing any changes in the Contract's scope of work.

NOTE: Pre-approval by DGS/PD may be required for non- competitively bid (NCB) contract amendments, unless the Agency Secretary has granted an exemption to DCA.

CHAPTER 7 – PURCHASING FILES

7.1 Purchasing File Documentation

- A. Procurement files must include adequate documentation that clearly demonstrates sound business judgment was used in the purchasing process and that all of the applicable rules designed to protect the interests of the State and its taxpayers were strictly applied. The file should include documentation that supports the procurement from the identification of need through completion. The steps in the decision making and procurement processing are detailed in PPPM [Section 1.3](#) et seq. of this manual and can be used as a guide for some of the information and decisions that should be documented in the file. The degree of detail sufficient is dependent upon the value of the procurement, risk, and complexity of the purchasing activity. Buyers must maintain a diary of events and decisions that lead up to and complete the purchase transaction, by providing a timeline and history of the actions decisions made throughout the procurement process. Buyers must take good notes of meetings and phone correspondence, print pertinent emails, and signed approval and route slips, all of which shall be retained in the purchasing file.
- B. Procurement files must be consistent in content and organization in order to track the procurement process and to determine how the award was made. DCA is responsible for maintaining evidence in the procurement file that supports all activities related to the procurement and for making procurement files available during a compliance review or at any other time upon request by DGS/PD Division. DCA’s central procurement files are located on the 1st floor at 1625 N. Market Blvd, Ste. S-103 in Sacramento, CA 95834. Refer to PPPM Section [7.5](#) for document retention information.

7.2 Standard File Requirements

The following documents are required, as applicable, to your acquisition requirements:

- Signed STD 215 Agreement Summary
- Signed copy of the Contract Document (STD. 65, STD. 213, STD. 213A) (with the most recent amendment(s) on top), which includes the appropriate signatures of:
 - ▣ Budget Analyst (encumbrance)
 - ▣ BSO Buyer
 - ▣ BSO Manager
- Acquisition Request BSO-47 (includes acknowledgement of the COI and Confidentiality Statement).
- Contract Award Report (STD. 16) for acquisitions \$5,000 and above
- State Contract Registration System (SCPRS) certification screen print or the SCPRS number noted in the space provided on the PO or Contract Document. For additional information, see SCM Vol. 2 and Vol. 3 Sections 8.1.0 through 8.1.6
- CSCR Ad (if competitively bid)
- Darfur Certification
- Bidder Declaration
- STD. 204 Payee Data Record
- SB Preference and DVBE Incentive Documentation
- SB/DVBE Waiver

- CUF Certification
- Completed Bid Quote Worksheet for Acquisitions \$5,000 and above, including CMAS orders, and excluding CMAS consulting orders, other LPA, and PIA orders. If a SB/DVBE preference is given, please complete the appropriate fields and calculations.
- Copies of SB/DVBE certifications, if applicable
- Request for Quotation Solicitation
- Copy of Specifications
- Copies of Quotes received
- Fair and Reasonable documentation for acquisitions less than \$5,000 (except LPA and PIA orders). See SCM Vol. 2 and Vol. 3 Section 4.C2.0.
- Copy of Sellers Permit or Corporate Qualification Verification from Board of Equalization
- Copies of any required approvals and certifications, including but not limited to:
 - ▣ Signed Conflict of Interest (COI) form, if over \$100,000 (for goods and/or services)
 - ▣ CMAS, WSCA, and Master Agreements over \$250,000 (Directorate and/or Agency)
 - ▣ Non-Competitive Bid Justification (Directorate and Agency)
 - ▣ IT Acquisition Justification Form
 - ▣ IT Certification of Compliance
 - ▣ CalTech/ DCA Telecommunications Approvals (IT)
 - ▣ DGS Surplus Certifications (for furniture purchases)
 - ▣ PIA Waivers
 - ▣ Records Management
 - ▣ Facilities
 - ▣ Fleet
 - ▣ Recycled Content Certification
 - ▣ DCA Legal Approval
 - ▣ DCA OHR Approval
- All related correspondence (paper or electronic) and written record of verbal conversations, including documentation demonstrating compliance with the applicable laws, policies and procedures.

7.3 Additional File Requirements (For the following Acquisition Types)

- PIA - Price Pages
- Leveraged Procurement Agreements (LPAs)
(Statewide Contracts, State Price Schedules, Master Purchase Agreement, etc.)
 - ▣ Copy of contract cover page and relevant price pages (and/or quotes) from the contract that supports the acquisition.
- CMAS IT Goods/Services (\$500,000 dollar threshold)
 - ▣ Copy of CMAS contract and GSA price pages.

- ☐ Minimum of three offers from CMAS suppliers (can be a combination of one SB/DVBE, if available). If a CMAS supplier declines to propose an offer, the declination must be in writing.
- Copy of draft Solicitation/RFO.
- IT CMAS checklist
- CMAS Non-IT Goods (\$100,000 dollar threshold)
 - ☐ Copy of CMAS contract and GSA price pages.
 - ☐ Minimum of three offers from CMAS suppliers (can be a combination of one SB/DVBE, if available). If a CMAS supplier declines to propose an offer, the declination must be in writing.
 - ☐ Copy of Solicitation/RFO.
- CMAS Non-IT Services (\$250,000 dollar threshold)
- Non-Competitive Bid (NCB) Acquisitions require formal NCB Approval by DCA Director/Agency Secretary
- Equipment Purchases – A copy of the Purchase Order must be sent to the Property Controller (Once equipment is received, it must be tagged and accounted for in the Property Control System.)

7.4 Documentation of Fair and Reasonable Pricing

Competition is always the preferred method of acquisition. However, DCA may acquire IT and Non-IT goods and services valued at less \$5,000 if fair and reasonable pricing can be established without receiving alternate quotes. Acquisitions that include only one offer under this dollar threshold must also include documentation supporting that fair and reasonable pricing was obtained. See SCM, Vol. 2 and Vol. 3, Section 4D.1.4.

Examples of fair and reasonable pricing methods include:

Technique	Description
Price Comparison	A buyer has obtained and documented quotes or offers within the last 12 to 18 month period from other responsible suppliers, which provides evidence that a price obtained is deemed fair and reasonable.
Catalog or market pricing	The price offered is supported by an established and verifiable catalog or market pricing media issued by a responsible supplier and/or through an established reputable forum. In addition, the pricing structure provided is one that a prudent buyer would accept as a reasonable representation of existing market value.
Controlled pricing	The price offered is set by law or regulation; competitively bid master or statewide contracts, etc.

Historical pricing	<p>A buyer is able to demonstrate that other transactions occurring in the past (within a 12 – 18 month period) exist that shows that historical prices for similar acquisitions have yielded no material change in cost.</p> <p>Note: The definition of “material” for this technique is deemed greater than a 15% increased difference between current and historical pricing.</p>
Cost/benefit analysis	<p>A buyer can demonstrate that their level of experience in the procurement field provides a sufficient knowledge base, which clearly indicates that the acquisition cost is so low that the cost to the state of verifying the pricing fairness would most likely be more than any potential benefit that could be reasonably gained from searching the marketplace for lower price comparable acquisitions.</p>

When evaluating fair and reasonable pricing using price comparisons, catalog/market price and/or historical pricing, the comparisons must be based on identical situations or those with small variations which do not affect pricing.

7.5 Retention Period

The retention period on all purchasing documents is the current fiscal year, plus two (2) prior fiscal years in office, and five (5) additional prior fiscal years offsite at the State Records Center.

CHAPTER 8 – EMERGENCY PURCHASES

8.1 Emergency Definition

- A. Per SCM Vol. 2, Section 2.B5.0 et. seq and Vol. 3, Section 2.B8.0 et seq, Definition, an emergency as defined by PCC Section 1102 is “a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services.”
- B. An emergency is further divided into the following classifications which ultimately effects how the purchase activity will be processed:
 - An emergency purchase not in response to a natural disaster (refer to SCM, Vol. 2, Section 2.B5.4 , and Vol. 3, Section 2.B8.3)
 - An emergency purchase in response to a natural disaster, i.e. fire, flood, earthquake. (refer to SCM, Vol. 2, Section 2.B5.3 and Vol. 3, Section 2.B8.2)

8.2 State Declared Emergency Purchases

- A. Earthquakes, storms, floods, fires and other natural disasters of a significant magnitude, which endanger the health and lives of the traveling public and damage or threaten State facilities, require immediate response from the Department. If warranted, the Governor may declare a State of Emergency.
- B. Under these circumstances, there is little or no time to comply with normal purchasing requirements and constraints and providing immediate response takes precedence over process. In other words, during the emergency and until the immediate needs are met, purchases are made by doing whatever is needed to acquire the material in order to respond to the emergency.
- C. State-declared emergency purchases are a means of providing an immediate response to begin the recovery process from serious disasters. PCC Section 10340(a) (1) allows for emergency purchases of Non-IT goods without competitive bidding when the goods and services are necessary for the immediate preservation or protection of the public health, welfare, or safety.
- D. Example of emergency purchase: A mudslide, caused by a flood, occurs on a highway and the crew must make an immediate purchase for supplies to clean up the mud.
- E. Employees are still responsible to ensure that a post review does not reveal intentional disregard of statutes or non-compliance with the Department’s Conflict of Interest and Incompatible Activities Directive. Competitive bids are always desirable, but not mandatory when time is of the essence and such efforts would impede emergency response.

8.3 Documentation for State-Declared Emergency Purchases

- A. Documentation of the emergency purchase is required in accordance with the State Administrative Manual (SAM), Section 3511, which states:

“When an emergency involving public health, welfare, or safety requires the immediate purchase of supplies or equipment without the taking of bids, the requisitioning agency will attach to its requisition a statement regarding the emergency. The statement will be signed by

an officer of the agency. Acceptable statements will show that the emergency condition is one which would not have been avoided by reasonable care and diligence or that there is an immediate threat of substantial damage or injury to persons committed to the agency's care, to employees of the agency, to members of the general public, or to property for which the agency is responsible.”

- B. Per SCM, Vol. 2, Section 2.B5.2 and Vol. 3, Section 2.B8.1: Regardless of the classification of the emergency, departments must provide documentation of the following:
1. A description of the emergency
 2. Explanation of why the situation warranted the emergency purchase
 3. Explanation of the consequences of making the purchase through normal procurement processes
 4. A description of the goods and price
 5. The names and quotations of suppliers contacted

8.4 Confirming Estimates/Purchases

SAM Section 3511.1 states that Confirming Estimates/Purchases will not be processed, unless submitted in accordance with SAM Section 3511 and PCC Section 10302.

8.5 Purchases Exceeding Delegated Monetary Limits - Form 42

- A. Occasionally, an emergency situation arises which require an expeditious purchase (within hours or days) of non-contract material which exceeds the delegated purchase authority limits. When this situation occurs, BSO may request DGS/PD to issue a Form 42 authorization for the DCA to exceed the delegated purchase authority limit. The requestor submits an Acquisition Request BSO-47 with required approval signatures and cost coding information and the required supplier and bid information preferably in the Form 42 format as seen on the following pages as this speeds up the process. Requirements are as follows:
- At least two (2) written bids/quotes are required. If the required bids/quotes cannot be obtained after a reasonable effort; NCB Justification must be included.
 - A file copy of the Small Business Certification, if awarded the bid.
 - Justifications stating the nature of the emergency for the following:
 - a) Why the normal purchasing process can't be used
 - b) Time factors involved
 - c) Impact on the DCA or public safety if not approved
 - d) Why purchase is not avoidable
 - e) If the need is a result of a departmental process, what action has been taken to prevent future similar occurrences?
- B. The supplier is not authorized to furnish any material until notice is received from BSO that the Form 42 authorization has been issued by DGS/PD.
- C. The BSO Manager or Buyer notifies the Requester by phone once the DGS approval is received and a copy of the Purchase Order is immediately faxed to the supplier and requestor. Upon receipt of the

Form 42 Authorization form from DGS/PD, the Buyer distributes it to the Client and Accounting Unit.

- D. Form 42s must not exceed the dollar limit authorized by DGS/PD. If purchase of additional material becomes necessary, the requester must submit a written request outlining new quantities, dollar amount and justification, to the assigned BSO Buyer for preparation of an amended Purchase Order. The BSO Buyer will then submit the revised Purchase Order to DGS/PD requesting authorization for the increased amount.

8.6 CAL-Card for emergencies

Refer to PPPM [Chapter 8](#) for Emergency Purchases

CHAPTER 9 – RECYCLED AND ENVIRONMENTALLY PREFERRED PURCHASING

9.1 Recycled Content Program Requirement

A. The State Agency Buy Recycled Campaign (SABRC) mandates that each State agency purchase Recycled-Content Products (RCP) instead of non-recycled content products whenever price, quality, and availability are comparable. Each State agency must ensure that at least 50% of the dollars spent within each of the specified product categories must be purchases of Recycled-Content Products (RCP's). The eleven (11) reportable product categories are listed below.

SABRC Product Category
Antifreeze (AF) - (70% Min. PC)
Compost/Co-compost (CO) - (80% Min. PC)
Glass (GL) - (10% Min. PC)
Lubricating Oils (LO) - (70% Min. PC Base Oil)
Paint (PT) - (50% Min. PC, 10% exception)
Paper Products (PP) - (30% Min. PC)
Plastic Products (PL) - (10% Min. PC)
Printing and Writing Paper (PW) - (30% Min. PC)
Metal (MT) - (10% Min. PC)
Tires (TI)-(50% Min. PC, w/ approved used casing)
Tire-Derived Products (TD) - (50% Min. PC)

B. DCA is required annually (October 31 each year) to submit a report to the California Department of Resources Recycling and Recovery (CalRecycle) for the recycled content purchases made throughout the year for each of the eleven (11) reportable product categories. The report is based in part on the recycled content certification form submitted by product suppliers identifying the recycled content of the products being offered by the supplier. The Fi\$cal System automatically collects data for the State Contract and Procurement Registration System (SCPRS) on purchases over \$5,000. The most current information about the SABRC Program can be obtained from Public Contract Code Section 12150 or at DGS: <http://www.green.ca.gov/>

9.2 Certification Requirements

All DCA personnel who purchase products for use in the office have the responsibility to ensure that each bidder completes and submits the [Postconsumer-Content Certification form](http://www.calrecycle.ca.gov/buyrecycled/stateagency/Forms/CalRecycle074.pdf) (CIWMB-74) located at <http://www.calrecycle.ca.gov/buyrecycled/stateagency/Forms/CalRecycle074.pdf>. This certification is required for all products purchased within the eleven (11) reportable categories noted in section 9.1.A.

9.3 Environmentally Preferred Purchasing (EPP)

- A. The DCA Recycling Program facilitates the development, implementation, monitoring and promotion of cost effective Departmental recycling projects. DCA is partnering with other state agencies to develop, implement and maintain a statewide program to minimize materials going into landfills, and the promotion and development of new business opportunities within the State of California to the benefit of all.
- B. DCA shall purchase recycled-content products rather than non-recycled content products when the price, quality, and availability are comparable. DCA shall purchase the product with the greatest recycled content when faced with a choice of two or more recycled content products and shall promote "Buying Green" when in all cases where it is economically feasible. **DCA strives to meet the mandated State Agency Buy Recycled Campaign goals established each year by the Department of Resources and Recycle and Recovery (CalRecycle).**
- C. The California PCC Sections 12400 – 12404 encourages California State departments to purchase environmentally safe products, whenever comparable products are available that have a reduced impact on human health and the environment.
- D. To promote Environmentally Preferred Purchasing (EPP), the Department of General Services (DGS) developed a best practices manual called the Buying Green Guide. This guide provides information, tools and tips for buyers. There is also a guide for suppliers. The supplier guide will explain how the State views “green” products and businesses.
- E. The Buying Green website at DGS is full of exciting information and useful tips that help you “buy green”. **DCA Recycles!**
- F. In addition to buying green, DCA uses recycled products such as paper, toner, and other items. If you are a project manager, you are encouraged to visit the official CalRecycle Website and take a look at the interesting options available for utilizing recycled materials in your projects.
- G. DCA Recycling Activities:
- Employee recycling of white and mixed office paper waste diverts on average over 124,309.30 pounds per year.
 - Employee recycling of cardboard waste diverts on average over 13,921.10 pounds per year.
 - DCA recycles household, cellphone and laptop batteries.
 - DCA recycles fluorescent lamps.
 - DCA recycles aluminum cans, glass and plastic.
 - DCA recycles tires.
 - DCA uses Mulch (*green waste*) within landscaped areas, (this project also saves water).
 - Where feasible, DCA recycles scrap metal.
 - State surplus furniture and equipment is recycled through the Department of General Services.
 - DCA holds an annual Earth Day event to make employees aware of how they can protect and preserve the environment.
 - DCA posts recycle posters and bulletins throughout its offices to make employees aware

of the importance of recycling.

- DCA trains new employees on recycling and includes training on the buying of recycled goods in the procurement training.

CHAPTER 10 –PREPARATION OF PURCHASE DOCUMENTS AND SOLICITATION DESK PROCEDURES

10.1 Overview

DGS delegated expanded purchase authority to DCA for the procurement of non-IT goods and fleet equipment. Under the direction of the Non-IT Procurement Manager, buyers are responsible for procurements under the authority granted by this delegation. DCA procurement policies and procedures are based primarily on the purchasing authority delegated by the DGS/PD and the statewide procurement policies as required by PCC Section 10333 and DGS/PD Guidelines for Expanded Goods Delegation Purchasing Authority.

10.2 Training

Buyers utilizing this delegation must familiarize themselves with the policies and procedures of this section. Additionally, buyers using this delegation are required to attend classes given by the DGS/PD's [California Procurement and Contracting Academy](#) (Cal-PCA).

10.2.1 Monetary Authority

- A. The current expanded purchase authority granted by DGS allows for the acquisition of mobile fleet equipment and components with the following monetary limitations:
- B. Non-IT goods, Heavy Construction and Road Equipment and Components up to \$100,000.00.

10.2.2 Limitations

- A. Acquisitions valued at \$100,000 or less must be made under DCA Base Goods Purchasing Authority.
- B. This purchasing authority is not for the acquisitions of Information Technology (IT) goods and/or services. This purchasing authority is not for the acquisitions of non-IT services, unless those services are directly related to the goods being purchased and does not exceed \$4,999.99.
- C. Mobile equipment repairs are considered non-IT services and, therefore, may not be purchased under a department's purchasing authority (SCM, Vol. 2, Section 2.C1.3, Mobile equipment purchases and repairs).
- D. Refer to PPPM [Section 1.17](#) Purchasing Authority prior to developing the solicitation. Unless otherwise specified or exempt by law, all other procurement requirements apply.
- E. Purchasing Fleet Assets requires DGS, Office of Fleet and Asset Management (OFAM) approval:
 - Mobile equipment is defined in the OFAM:

The following motor vehicles and general use mobile equipment are subject to OFAM approval

Mobile Equipment Type	Description
Motor Vehicle	-A vehicle that is self-propelled and registered by the Department of Motor Vehicles (DMV) for street use.
General use mobile equipment	-Self-propelled mobile equipment -Self-propelled mobile equipment registered by the DMV for off-road use -Vessels registered by the DMV for use on water. -Vessels documented by the U.S. Coast Guard.
Surplus Mobile Equipment	-Motor Vehicles or general use mobile equipment that was previously owned or operated by any entity.

- The following fleet type assets do not require OFAM approval
 - ▣ Golf Cart (if rated below 35 mph)
 - ▣ Mower (self-propelled and 24hp or less)
 - ▣ Generator
 - ▣ Mobile home and/or office (if permanently parked)
 - ▣ Indoor Forklift
 - ▣ Pallet Jack
 - ▣ Personnel hoist or lift
 - ▣ Agriculture or construction equipment pulled by a vehicle
 - ▣ Other fleet-related equipment as determined by the OFAM
 - ▣ Trailer (2,999lbs GVWR or less)*

*Trailer pertains to small trailers only, and not the equipment mounted on trailers, e.g. generators, welders, signs, message boards, outhouse, etc. Assets carried on trailers such as: motorcycles, snowmobiles, ATVs, etc. are considered fleet assets and are referenced separately.

F. Mobile Equipment Purchases shall be processed in accordance with [Management Memo 13-01](#), (also refer to SCM Vol. 2, Section 2.C1.3-4 for additional details).

10.3 Solicitation Process

10.3.1 Advertising

All solicitations prepared under this purchasing authority must be advertised in the CSCR via eProcurement for a minimum of ten (10) working days. A copy of the published advertisement must be included in the procurement file (Also refer to PPPM [Chapter 4](#), How to Order).

- A. Create an advertisement in the California State Contracts Register (CSCR) via eProcurement at: <http://www.fiscal.ca.gov>
- B. Provide an electronic copy of the advertisement to Clerical Staff.
- C. The Buyer emails a solicitation notification to the appropriate vendor categories from the eProcurement Vendor Database.

D. Post a copy of CSCR advertisement in the solicitations glass case located in the lobby. This advertisement must remain posted until seven (7) days after the award.

E. Notes:

- File bid package in procurement file
- Date/time stamp all bids received. Bids must remain sealed until public bid opening
- Do not open or consider a bid that has been received after the bid due date/time
- Send notification to the bidders of rejected bids and place such notification in the solicitation file.

10.3.2 Bid Submission Requirements

The solicitation must state the location where bids will be publicly opened, date and time by which all bids must be received, date and time bids will be opened and a complete description of the item(s) being purchased, quantities needed, a protest filing period and protest instructions. Additionally, the specification used shall not be restricted to any specific product, brand, or model. Specific brand names and model numbers shall not be used, except for reference purposes.

10.3.3 Bidder's Instructions

- A. The most current version of the State's Bidder Instructions Form (GSPD-451 Revised 11/09/11) must be included or incorporated by reference in all competitive solicitations (written or verbal). The Bidder Instructions describe to potential bidders how to provide a responsive bid and are available on the at the DGS website: <http://www.documents.dgs.ca.gov/pd/modellang/gspd451-110911.pdf>
- B. SB/DVBE Option
- Refer to PPPM [Section 4.15](#) for the SB/DVBE Option process.
 - Additional instructions may be added if special needs are required for an individual transaction. However, deletion or alteration of any part of the Bidder Instructions is not permitted without DGS/PD approval.

10.3.4 General Provisions

- A. The most current version of the State's General Provisions (GSPD-401) must be included or incorporated by reference in all written solicitations prepared under this purchasing authority. The General Provisions are available on the web at: <http://www.documents.dgs.ca.gov/pd/modellang/GPnonIT060810.pdf>
- B. Additional provisions may be added if special needs are required for an individual transaction. However, deletion or alteration of any provision is not permitted without DGS/PD approval.

10.3.5 Goals and Preferences

- A. The solicitation must encourage bidding from certified SB and DVBE firms. Additionally, Economic Incentive Programs such as Target Area Contract Preference Act (TACPA) requirements and preferences shall also be considered in solicitations made under this delegation.

		<u>Goals</u>	<u>Preference</u>	<u>Reference Code</u>
a)	Small Business	25.00%	5.00%	GC 14835-14843
b)	DVBE	3.00%	0.00%	MVC 999-999.13
c)	TACPA		5-9%	GC 4530-4535.3

B. For TACPA, it is suggested that required language be included in solicitations valued at \$100,000 or greater. The DGS/PD recommends that departments include the solicitation language and preference forms in all competitive solicitations valued at \$85,000.00 or greater.

- **TACPA:** Additional information can be found on the web at:

<http://www.documents.dgs.ca.gov/pd/poliproc/tacpage.pdf>

C. The maximum potential preference that a bidder may receive for a single bidding preference is \$50,000. If a bidder qualifies for multiple preferences, the maximum combined preference allowed is fifteen (15) percent of the contract amount, not to exceed \$100,000 as stated in SCM, Vol. 2, Ch. 3.7.6 and SCM Vol. 3 Ch. 3.6.3.

10.3.6 Bid Opening and Evaluation

A. All bids must be submitted in a sealed envelope and sent to DCA by dates and times indicated in the IFB and must be plainly marked with the IFB number and title, firm name/address and must be marked with "DO NOT OPEN" on the envelope. Please refer to the example shown below.

Department of Consumer Affairs
Attention: Contracts Unit
IFB No.: XXXXX
DO NOT OPEN
Bid Opening Date: March 6, 2015

Mail or deliver bids to the following address:

Department of Consumer Affairs
Business Services Office - Contracts Unit
1625 N. Market Boulevard, Suite S-103
Sacramento, CA 95834
Attention: BSO Analyst

NOTE: This address applies to both U.S. Postal Service Deliveries and Hand Deliveries
(UPS, Express Mail, Federal Express, and Walk-ins)

Vendors shall submit one (1) bid marked **“ORIGINAL”** and one (1) copy of the bid in a sealed envelope marked on the outside. Bids not submitted under sealed envelope may be rejected.

Mail or deliver bids to the address shown above. Neither the postmark on the bid proposal envelope nor receipt in the California Department of Consumer Affairs mailroom will constitute timely delivery. Any bid received in the Contracts Unit after the date and time specified in the Key Action Dates will not be considered. It is DCA’s policy to make every effort to ensure that all bids have been received and properly time stamped; however, Bidders are ultimately responsible for ensuring timely receipt of their bid. Bidders may verify receipt of their bid by contacting the person identified in the cover letter of the IFB. DCA will not accept a faxed bid.

- B. Bids shall be opened publicly and read at the time/date set forth in the IFB, provided any person present desires the bids to be read in accordance with PCC 10304. Even if there is no bidder at the bid opening, bids must be opened with a bid reader and minimum of one (1) witness. The bid reader can be the buyer or other DCA individual fully trained on bid opening procedures. Bids received must be retained in the solicitation file. The Buyer must document the number of bids received, number of bids opened and the names of the parties present during the bid opening.
- C. At the time of bid opening, each bid will be checked for the presence or absence of required information in conformance with the submission requirements of this IFB. All bids must be evaluated exactly as the solicitation describes. To evaluate the bid, the Buyer must consider the following:
 - Verification of the math
 - Application of preferences in the order below
 - SB five (5) percent bidder’s preference cannot exceed \$50,000
 - TACPA preference is applicable only to bids greater than \$100,000
 - Combined preferences cannot exceed \$100,000 or be used to prevent a certified SB from obtaining award of the bid.
- D. Determine the lowest responsible bidder. In accordance with SCM Vol. 2, Chapter 4.C1.1, achieving competition is defined as receiving responsive bids from at least two responsible bidders, if the solicitation is not advertised. Advertised solicitations may result in only one bid response. If the sole bid response is responsible and responsive then the contract may be awarded. IT solicitations using the value effective evaluation for contract award require a separately sealed cost envelope and require evaluation and scoring of all submissions prior to opening the cost envelope to determine the overall score of the bid responses. Only the cost envelopes of responsive bids are opened.
- E. The buyer must document every procurement effort and reference it as a procurement summary. This will provide a summary of the significant facts, events and decisions that leads to the contract award. This information could include pricing, selected supplier checklists, bid/quote worksheets, and evaluation selection report.
- F. In the event of a tie in the bid amount, a tiebreaker will be decided by a coin toss observed by witnesses. Affected bidders will be invited to witness the coin toss.

- G. Forward bid results, recommendation of award and the bid matrix to DCA management for final evaluation and authorization to proceed with the award of bid.
- H. If the evaluation by the buyer and management determine that the lowest bidder is non-compliant or non-responsive to the IFB or specification requirements, and if the intent is to award the purchase order to other than the lowest bidder, an evaluation and selection report must be prepared.

10.3.7 Bid Award and Posting of Intent to Award

- A. In accordance with SCM Vol. 2, Section 4.D4.4, formal solicitations for non-IT goods (those exceeding \$100,000), departments are required upon receiving a written request from a bidder, or when the lowest bid is rejected, to notify the bidder of the proposed award 24 hours prior to award of the contract. Upon request by any Bidder who has submitted a bid, Notification of Intent to Award shall be posted in eProcurement at <http://www.fiscal.ca.gov> and in the DCA lobby for five (5) business days prior to the awarding of a purchase order.
- B. When purchasing mobile equipment, DCA must submit specified documents in accordance with SCM Vol. 2, Section 2.C1.3, Mobile equipment purchases and repairs prior to contract execution and/or as directed in the Purchasing Authority Approval's. (See PPPM Section [10.2.2.E](#))

10.3.8 Intent to Award to Other than Lowest Bidder

- A. If after the evaluation of bids for a non-IT acquisition, regardless of the dollar amount, the Buyer determines to award the PO to other than the lowest bidder, documentation of the selection rationale used to award must be documented in a memorandum in the form of an evaluation and selection report. The memorandum shall include a description of the requirement(s) not met by the lowest bidder and provide sufficient detail to justify the determination of the lowest bidder being non-compliant.
- B. Buyers are strongly encouraged to wait at least 24 hours prior to awarding to the next lowest bidder.
- C. Non-IT goods valued at more than \$100,000 are processed by DGS/PD, as this is above our delegated threshold.
- D. The above actions are unnecessary if a bidder submits a lower bid that is compliant, but will not receive the award because another bidder (i.e. small business) has a lower bid after application of a preference.

10.3.9 Bid Rejection Procedures

- A. Bids shall be rejected if any of the following scenarios occur:
 - Bid was submitted late
 - Bid not signed by the bidder
 - Bid is non-responsive with requirements of the IFB
 - Bid does not meet the administrative requirements of the IFB
 - Bid contains alternative agreement language from a prospective Contractor that is considered counter proposal, or
 - Bid contains terms and conditions that conflict with the IFB terms and conditions

- B. Rejected bidders must be given at least twenty-four (24) hours notification of their bid being rejected prior to award of the Purchase Order (STD 65). The clock begins when the bidder receives such notification either by fax or by certified mail. Rejected bidders may request a hearing.

10.3.10 Bid Protest Procedures

- A. Prior to Award, Bidders may file a protest against the awarding of the Agreement on the grounds that the bidder is the lowest responsible bidder and meets the specifications of the bid. If a protest is received, DCA shall not award the purchase until either the protest has been withdrawn or the DGS/PD has decided the matter.
- B. DCA Buyers shall include language in their solicitations informing bidders on how to protest. A competitive solicitation must provide key action dates that notify bidders of the last day to file a protest of the proposed contract award for non-IT goods valued over \$25,000.00. Sample language in a bid may include:

If, prior to the award, any bidder files a protest with the awarding agency against the awarding of the Agreement on the grounds that the bidder is the lowest responsible bidder meeting the specifications for the IFB, the Agreement shall not be awarded until either the protest has been withdrawn or the Department of General Services (DGS) has decided the matter.

Within five (5) business days after filing the initial protest, Protestants shall file with the DGS and the awarding agency a full and complete written statement specifying the grounds for the protest. The written protest must be sent to the Department of General Services, Office of Legal Services, 707 Third Street, West Sacramento, CA 95605. A copy of the written protest must be mailed to the Department of Consumer Affairs, Business Services Office, Contracts Unit, Attention: [BSO Analyst Name Here], 1625 N. Market Boulevard, Suite S-103, Sacramento, CA 95834. It's suggested that you submit any protest by certified or registered mail

Note: LPA's are not considered competitive solicitations, departments must not use the two-envelope evaluation process or include protest language.

- C. DCA must report all protests within 24 hours of receipt. Notice shall be provided by fax and followed up with hard copy by mail to the Department of General Services Procurement Division (DGS/PD).
- D. Within ten (10) calendar days after filing an initial protest by phone or fax, the protesting bidder must file in writing with DGS/PD and DCA, their intent to protest identifying the grounds for the protest to the addresses below:

Department of General Services
Office of Legal Services
Protest Coordinator, Dispute Resolution
707 Third Street
West Sacramento, CA 95605
Phone: (916) 375-4581
Fax: (916) 376-6226
Email: PDProtest@dgs.ca.gov

Department of Consumer Affairs
Business Services Office, Contracts Unit
Attention: [BSO Analysts Name]
1625 N. Market Blvd, Suite S-103
Sacramento, CA 95834

- E. The BSO Buyer will notify DCA Legal Affairs and facilitate the development, approval, and submission of a protest response. The Clients will actively participate with BSO in the development of the response to ensure the facts of the matter are accurately represented.
- F. A competitive solicitation must provide key action dates that notify bidders of the last day to file a protest of the proposed contract award for non-IT goods valued over \$25,000.00.
- G. Pursuant to Public Contract Code 12125, et seq. refers to the Alternative Protest Procedure. BSO Buyers should work with DGS Dispute Resolution Manager to add language to their Competitive Solicitations. This is to decrease the number of frivolous protests.
- H. After a purchase has been executed, post award disputes can occur. They may result on either party not having a clear understanding. The buyer must manage contract performance by monitoring compliance with the requirements. Whenever a dispute occurs, buyers will work with the Contractor to aim to resolve the conflict quickly and fairly.

10.4 Non-Competitively Bid Purchases

- A. Non-Competitively Bid (NCB) contracts are limited in statute in accordance with Public Contract Code section 10301 and 10302 for goods for emergencies and for goods and services where they are the only goods and service that meet the States need.
- B. The two methods of NCB contracts are as follows:
 - NCB contract justifications executed on an individual basis,
 - Special Category Request (SCR), where it is determined that a significant number of repeat NCB contracts for a particular IT goods and or services will occur during a specified period of time.
- C. NCB is used when the department needs to acquire a product from a specific supplier who is the only known source.
- D. Purchases with a dollar value of \$4,999.99 or less are exempt from the Non-Competitively Bid (NCB) process. DCA's delegated NCB limit is \$25,000. Any amount exceeding \$25,000 must be approved by DGS Procurement (in addition to BSO manager approval). DCA shall make every attempt to seek out

potential vendors and competition for all goods and services prior to moving forward with an NCB justification.

- E. If a purchase valued at \$5,000 or more cannot be competitively bid, the Buyer must prepare a Non-Competitively Bid Justification ([GSPD 09-007](#)) and submit it to DCA Management for review and processing for approval by the DCA Director. DCA Staff are encouraged to follow Chapter 5 in SCM Vol. 2 and Chapter 5 in SCM Vol. 3.
- If the purchase is within the DCA Non-IT Goods and Services Purchasing Authority for NCB contract approval, the DCA will retain the NCB Contract Justification Form in the file and DCA can execute the purchase.
 - If the purchase exceeds the Non-IT Goods and IT Services NCB contract approval threshold but is within the department's approval limits for the purchasing authority type and category, then the Buyer will submit the NCB Contract Justification form to DGS PD for review and approval and execute the purchase.
 - If the purchase exceeds both the departments' Non-IT Goods and IT Services NCB contract approval and approval limits for the Non-IT Goods then the Buyer will submit the NCB Contract Justification form and Purchase Estimate (STD 66) for review and approval.
 - Buyer will obtain direction, guidance, and approval from CalTech for all reportable projects in accordance with [SAM 4819.34](#) and [Management Memo 202-20](#).
- F. If the NCB is denied, the DGS PD staff will contact DCA, Business Services Office to discuss alternative options.
- G. LPA's do not require an NCB. The Buyer should always refer to the individual LPA user instructions and all LPA supplements prior to initiating a purchase and to determine if the LPA is exempt from competitive bidding.

10.5 Purchase Authority Purchase Order and Administrative Duties

10.5.1 Important Items for Inclusion on the Purchase Order

- General Provisions
 - Prompt Payment Discounts
 - Delivery terms to include F.O.B. destination and delivery location
 - Any special invoicing requirements and address/person to whom the invoice is to be sent
 - All pertinent line item information including brand/model offered

10.5.2 Administrative Duties

- Verify funds availability
- Obtain approval from DGS Fleet Administration, if required
- Maintain a tracking of deliveries
- Acceptance testing (if required in solicitation). If so, prepare and file an Acceptance Certificate for any equipment that has been successfully tested and accepted
- For Audit purposes, ensure that required documentation is maintained in the files

CHAPTER 11- CAL-CARD

11.1 Introduction

The Department of General Services (DGS), Procurement Division (PD) authorizes the use of the CAL-Card Program to agencies with current purchasing authority approval. The CAL-Card is a payment mechanism utilized by DCA for the acquisition of goods from suppliers when making purchases in accordance with one of the approved acquisition methods. Therefore, CAL-Card Cardholders must follow the established procurement laws, regulations, policies, procedures and best practices to purchase specified Non-Information Technology goods (commodities) and incidental Informational Technology goods (less than \$199.99).

11.2 Overview

The CAL-Card must only be used to pay for official state purchases. CAL-Card use for personal activities or items will not be tolerated. The name embossed on the CAL-Card is the only authorized user of the card. The Cardholder assumes the administrative responsibility for all CAL-Card transactions and must comply with all purchasing requirements.

Under no circumstances can purchases be split to:

- circumvent a Cardholder's daily or monthly purchase limit,
- avoid competitive bidding limits, or
- avoid purchasing authority limits.

Cardholders and CAL-Card Approving Officials must ensure CAL-Card purchases comply with all statewide and departmental policies and regulations as set forth in the State Contracting Manual, the Memorandum of Understanding (MOU), and this DCA Client Purchasing Handbook. Cardholders and CAL-Card Approving Officials may be held personally liable for prohibited purchases and misuse of the CAL-Card.

Additional information regarding the CAL-Card Program's policies and procedures is available via DCA's intranet site at <http://inside.dca.ca.gov/offices/oas/bsocalcard.html>. Staff may also contact the CAL-Card Coordinator at dcacal-cardprogram@dca.ca.gov.

In addition to the required CAL-Card Training, staff using CAL-Card is strongly encouraged to access <http://www.dgs.ca.gov/pd/Programs/CALCard.aspx> for information about the program and on line training for the program provided by DGS/PD.

11.2.1 How to Become an Authorized CAL-Card Holder

To obtain a CAL-Card, the prospective Cardholder must first attend the "DCA Purchasing Process: Putting the Pieces Together" Training Course. To sign up for the course complete a [Training Request](#) (99T-2) and submit to SOLID Training & Planning Solutions. The Training Request Form and training calendar are available on DCA's Intranet at http://inside.dca.ca.gov/solid/class_calendar.html.

After attending the training course, the Cardholder and Approving Official must complete, sign, and submit a [CAL-Card Request \(VISA\) Form](#) (AISD-030) (See Appendix 1 - Forms), and a [Memorandum of](#)

[Understanding](#) (MOU) (BSO-49) (See Appendix 1 – Forms) These forms can be found at http://inside.dca.ca.gov/forms/oas/cal_card.pdf and http://inside.dca.ca.gov/forms/oas/calcard_mou.pdf, respectively. The Approving Official must be a higher classification than the Cardholder.

The [MOU](#) defines what procedures must be followed when using the CAL-Card.

11.2.2 Purchasing Guidelines

Purchasing Limits

The single purchase limit for the CAL-Card (aka: VISA Card) is \$2,499.99 per transaction. The maximum per month varies per Cardholder depending on their Board, Bureau, Program or Division budget.

The CAL-Card purchase limits are requested on an authorized [CAL-Card Request \(VISA\) Form](#) (AISD-030) Purchase limits are decided by the Board/Bureau/Office/Division. The Board/Bureau/Office/Division should consult with the Budget Office to determine spending limits that will fit their needs.

Each CAL-Card is assigned:

- *Single purchase limit* - The maximum amount the Cardholder is authorized to charge in a single transaction, not to exceed \$2,499.99.
- *30 day limit* – The maximum amount the Cardholder can incur during the 30 day billing cycle.

11.2.3 Purchasing Requirements

Compliance with the MOU terms are directly related to, but not limited to, the requirements explained in this manual.

11.2.4 Allowable Products for Purchase

The MOU identifies the products approved for purchase. The product category examples listed below are authorized for purchase, however the lists are not all-inclusive. Contact the DCA CAL-Card Coordinators regarding purchasing items other than those listed below:

1. Office Supplies – Supplies and other consumable items needed for office operation (e.g. pencils, pens, staplers, calendars, file folders, paper, nameplates, rubber stamps, labels).
2. Publications and annual publication subscriptions – Reference material, law books and their supplements, newspapers, magazines, legislative bills, pamphlets, and maps.
3. Postage – Stamps.
4. Incidental IT-Goods (e.g. cables, mouse, DCA approved flash drives, wired keyboards [wireless keyboards require OIS approval], headsets, and toner) restricted to a total maximum purchase amount of \$199.99 (including tax). Please refer to the OIS Approval Exclusions list located at http://inside.dca.ca.gov/offices/ois/admin_services/exclusions.pdf for allowable IT purchases. This

excludes computer hardware, any equipment, or services. Incidental IT-Goods require the Cardholder to obtain approval from the DCA CAL-Card Coordinator prior to completing the purchase. **These requirements will be strictly enforced.**

11.2.5 Conditional Purchases

The CAL-Card can be used for the following types of purchases if all conditions are met:

- The DCA CAL-Card Coordinator will consider the purchase of goods not included in the Cardholder's MOU on a case-by-case basis. The Approving Official or Cardholder must contact the DCA CAL-Card Coordinator for assistance and approval prior to purchase. The DCA CAL-Card Coordinator will require the appropriate paperwork to meet the State and DCA purchasing guidelines prior to purchasing the goods for payment purposes.
- When life, health, property or essential public services (including building security, e.g., locksmith service, building alarm repair) necessitate immediate action, the Approving Official can consider CAL-Card use when the following protocol is followed:
 1. Before proceeding with a CAL-Card transaction, the Approving Official or Cardholder must contact the DCA CAL-Card Coordinator, when possible, for approval that CAL- Card use is appropriate for the emergency.
 2. If an emergency occurs after business hours and immediate action is necessary, the Approving Official has decision authority to authorize their Cardholder to use the CAL-Card for the emergency.
 3. In those instances where the Approving Official authorized the transaction, the Cardholder is required to notify the DCA CAL-Card Coordinator the following business day reporting an emergency occurred, which required CAL-Card use.
 4. The Cardholder must document the emergency for department records.
 - The written justification must explain the emergency and the need for the goods and/or services. Explain why no other procurement /contracting method could be used without adversely affecting Program operation. The justification must also state the consequences that could have occurred if the goods and/or services were not obtained with the CAL-Card. The Approving Official must sign, print their name, and date the justification. The justification must be included with the monthly Statement package.
 - Prepare the appropriate documentation (e.g., [Acquisition Request](#) Package, [BSO-47]) to meet State and DCA purchasing/contracting policies and procedures when submitting the monthly bank statement.

11.2.6 Prohibited Purchases

- Any travel and/or subsistence expense, including, but not limited to, airline tickets, ground transportation, bridge passes, restaurants, meals, hotel rooms and services, and/or vehicle rentals.
- Personal items such as food, beverages, Kleenex tissue, medication, paper towels, personal desk fans and cleaning products.
- Cash advances money orders and/or traveler's checks.
- Association/membership dues.
- Equipment and hardware, including computers, computer software, and any other non-

incidental IT related expense.

- Service expenses such as locksmith, equipment repair, shredding, printing, PO Boxes, etc.
- Furniture (e.g. chairs, desk, cabinets, keyboard trays, tables, shelves, etc.)
- Vehicle maintenance, vehicle repairs, tires, fuel, car washes, towing, DMV registration fees, and parking tickets.
- Rental or lease of rooms, equipment, land or buildings.
- Security deposits for room reservations site rentals, etc.
- Conference fees.
- Legal fees.
- Payment of past-due invoices or late penalties.
- Shipping fees.
- File or Storage Cabinets and/or Shredders – Use Acquisition Request BSO-47. Prior approval must be obtained from Records Management.
- Frames, awards, plaques and certificates.

11.2.7 Cost Comparison/Best Value Principles

The State and the Department of Consumer Affairs (DCA) promote responsible procurement; therefore, CAL-Card purchase decisions need to encourage open and competitive participation in the marketplace and promote business enterprise. Cost comparison encourages fair and reasonable pricing, helps prevent misuse of state funds, and promotes competitive bidding among suppliers. The second page of the [Acquisition Request](#) Package (Bid Quote Worksheet) was designed to capture the information needed to demonstrate cost justification for the award of a procurement.

The cost comparison requirement as it relates to the total CAL-Card purchase is:

- \$1-\$2,499 – Requires a justification of cost reasonableness or a cost comparison with a minimum of two (2) bids.

The Conflict of Interest statement on the [Transaction Information Form](#) (TIF) (See Appendix 1 – Forms) is a requirement and must be signed and submitted with each package.

11.3 SB/DVBE Participation Goals

The SB/DVBE requirements discussed in PPPM [Section 4.6.3](#), and [4.14](#) through [4.17](#) apply to CAL- Card purchases.

11.4 Recycled Product

The recycled product requirements discussed in [Chapter 9](#) apply to CAL-Card purchases. Refer to DCA Policy BSO-14-01 which can be found at http://inside.dca.ca.gov/services/policies/policy/bs0_1401.pdf for additional information.

11.5 Cardholder Responsibilities

The Cardholder's responsibilities include:

1. Observing and abiding by the State and DCA purchasing/contracting policies and procedures, the MOU and DCA Client Purchasing Handbook. (*State Purchasing and Contracting guidelines are located on the Internet at www.pd.dgs.ca.gov*).
2. Applying cost comparison and best value principles when using the CAL-Card.
3. Purchasing goods authorized in Section 5(A) of the MOU.
4. Obtaining and submitting all required procurement documentation with the BSO copy of the CAL-Card package each month.
5. Resolving and documenting billing disputes concerning credits and returned items directly with the vendor. Utilizing the [Cardholder Statement of Questioned Item](#) (CSQI) (See Appendix 1 - Forms) procedure when unable to resolve with the vendor.
6. Reconciling the Cardholder Statement of Account (Statement) and [Transaction Information Form](#) (TIF) (AISD-031). (Refer to Section 5.)
7. Submitting the Statement and TIF to the designated Approving Official for review and signature.
8. Following the guidelines for submitting the Statement to the DCA CAL-Card Coordinator by the 30th of each month.
9. Requesting all changes regarding their CAL-Card and/or MOU through the designated Approving Official. Requests must be submitted on the [CAL-Card VISA Request Form](#) (AISD-030) and approved by the DCA CAL-Card Coordinator.
10. Reporting lost or stolen cards to the bank contractor, Approving Official and DCA CAL-Card Coordinator.
11. Requesting guidance and approval for items not listed in Section 5(A) of the MOU *prior* to initiating the purchase.

11.6 Troubleshooting

The CAL-Card may be used at any merchant that accepts VISA cards for payment, subject to the purchasing policies of the MOU. Occasionally, a transaction may be declined at the merchant location. The merchant is not provided a reason on the terminal display, only a message to gather more information. When this happens consider the following:

1. Is the transaction amount within the single-purchase limit?
2. Will the transaction amount exceed the 30-day limit?
3. Has the Cardholder been authorized in the MOU to make purchases at this type of supplier?
4. If this is a telephone or mail order transaction, has the supplier used the correct expiration date, billing address and security code of the account?

U.S. Bank can be contacted by calling the 24 hour customer service number listed on the back of each CAL-Card, (800) 344-5696. Should further assistance be required, contact either of the CAL-Card Coordinators at (916) 574-7281 or (916) 574-7277 or by e-mail at dcacal-cardprogram@dca.ca.gov.

11.7 Cancellation of the CAL-Card

A CAL-Card must be cancelled by the approving official when a Cardholder leaves their current DCA position and transfers to a new position within DCA, leaves DCA, or when requested by his/her Approving Official or DCA CAL-Card Coordinator.

Changing units or Board/Bureau/Division/Program requires the Cardholder to cancel the current card by submitting a completed [CAL-Card VISA Request Form](#).

11.8 Gift of State Funds

The CAL-Card cannot be used to purchase items that are not authorized for State business. Each purchase must be supported with a justification documenting the reason for the purchase and benefit to the State. Items purchased for non-State business are considered a gift of public funds and are in violation of the California Constitution Article 16 Section 6.

11.8.1 Approving Official Responsibilities

The Approving Official responsibilities include:

1. Knowledge and understanding of the responsibilities of the Cardholder.
2. Knowledge and understanding of the State's procurement policies.
3. Knowledge of appropriate purchases.
4. CAL-Card signature authority which is established by the completion and submission of the CAL-Card Visa Request Form to the DCA CAL-Card Coordinator to approve the Statement for payment.
5. Ensure that all Cardholders observe and abide by the State and DCA purchasing/contracting policies and procedures, MOU, and the DCA Client Purchasing Handbook.
6. Ensure that each Cardholder has an approved MOU on file.
7. Ensure that the Statement is reconciled, approved and forwarded to DCA CAL-Card Coordinators by the 30th of each month.
8. Submit a [CAL-Card Request \(VISA\)](#) Form (See Appendix 1 - Forms) when CAL-Card accounts need to be set up, modified, or cancelled.

11.8.2 Assembling and Reconciling the Monthly Bank Statement (Statement)

Obtaining Monthly Bank Statements

At the end of each monthly billing cycle, the Cardholder receives a Cardholder Monthly Bank Statement (Statement) from the bank contractor (US Bank). The Statement will itemize each transaction that was posted to the account during the past billing cycle. The Statement is mailed to the Cardholder within five (5) days from the closing date of the billing cycle, or it can be retrieved via the internet the day after the billing cycle ends, at <https://access.usbank.com>. It is recommended that the Cardholder go on-line and retrieve their monthly bank statement as soon as it is available. The billing cycle begins on the 23rd and ends on the 22nd of each month. If the 22nd is a weekend or holiday, the closing cycle date will be the

closest business day preceding the weekend or holiday.

Note:

- *The Cardholder will not receive a Statement if there were no charges made during the billing cycle. If no Statement is received, the Cardholder should go on-line to verify no charges or credits have been applied to their account.*

Assembling and Reconciling the Statement

The **Cardholder** follows the steps below to assemble and reconcile the Statement:

1. Collect all invoices and supporting documentation as listed on the “3rd Set” on the [CAL- Card Checklist](#) (See Appendix 1 - Forms) to verify the purchases listed on the Monthly Bank Statement(s) are accurate against the invoices.
2. All invoices must be legible, complete and itemized with the following information:
 - a. Vendor Name
 - b. Description of purchase
 - c. Quantity of items purchased
 - d. Price per item
 - e. Sales tax
 - f. Total amount of purchase
 - g. Shipping charges, if any
 - h. Invoice must state “PAID BY VISA” or “PAID BY CREDIT CARD”
 - i. Invoices smaller than 8 ½” x 11” must be taped to an 8 ½” x 11” sheet of paper. The tape cannot cover the detailed information on the receipt. If tape covers the print, it will disappear. DO NOT STAPLE THE INVOICES.
3. Complete and sign the Transaction Information Form (TIF) (AISD-031).
 - a. The [Transaction Information Form](#), (AISD-031), is completed with the monthly bank statement each month for reporting purposes. This form is located at <http://inside.dca.ca.gov/offices/oas/bsopurchasing.html>.
 - b. The Cardholder is required to complete TIF to reflect all charges and/or credits in the order that they appear on the Statement.
4. Sign and date the Statement as authorized Cardholder approval. Print name below signature. The CAL-Card program requires original signatures on the Statement to properly request payment from the State Controller’s Office.
5. Assemble the original Statement packages in the order listed as outlined on the [CAL- Card Checklist](#) (See Appendix 1 - Forms) and submit to the Approving Official for review and approval.

The **Approving Official** follows the steps below to review and approve the Statement:

1. Verify that purchases listed on the Monthly Bank Statement(s) are appropriate.
2. Ensure Statement, [TIF \(See Exhibit 1 - Forms\)](#), invoices, procurement documentation and checklist are included in the monthly package.
3. Sign and date the Statement on the Approver line. Print name below signature. The CAL-Card

program requires original signatures on the Statement to properly request payment from the State Controller's Office.

4. Return the Statement and supporting package to the Cardholder by the 25th of each month.

Monthly Bank Statements Due Date to BSO

The Statement must be reconciled and submitted by the 30th of the month to the DCA CAL- Card Coordinator. If the 30th of the month falls on a holiday or weekend, the due date is the next State business day.

Returns or Exchanges

If an item is returned for credit, after the credit appears on the statement, attach the credit invoice to the Statement as you would a "regular" invoice.

11.8.3 Submitting the Statement Package

Cardholder Statement of Account Package for Payment

The client shall submit the original CAL-Card Statement with the required supporting documentation in the order listed and outlined on the [CAL-Card Checklist](#) (See Appendix 1 - Form). Make a copy of the "3rd Set" (defined on the CAL-Card Checklist) to be kept in the Cardholder's files for three years.

The three packages being submitted to the DCA CAL-Card Coordinator must be individually clipped and then rubber banded or binder clipped together and routed to the DCA CAL-Card Coordinator by the 30th of each month. The cardholder/client should not mark or write on the statements or invoices as you will be asked to resubmit.

Send CAL-Card packages to:

DCA/BSO/BMS
Attn: CAL-Card Coordinator
1625 N. Market Blvd., Suite S-103
Sacramento CA 95834

11.8.4 Disputed Transactions/Discrepancies

If the Cardholder discovers a transaction to dispute, the following steps must be taken:

1. Cardholder contacts the vendor to resolve the dispute,
 - a. If dispute is resolved with the vendor by the due date of your CAL-Card package to the DCA CAL-Card Coordinator, then include the credit memo with your package.
 - b. If dispute is not resolved with the vendor by the due date of your CAL-Card package, complete the Cardholder Statement of Questioned Items http://inside.dca.ca.gov/offices/oas/bsu/calcard_pcp.pdf (CSQI) Form, This form can be found at http://inside.dca.ca.gov/offices/oas/bsu/calcard_pcp.pdf.
 - c. Include the completed CSQI in the BSO package and keep a copy of the CSQI with your

records.

2. Fax the completed CSQI to the bank within 30 days of receiving statement. Common disputes:
 1. Unauthorized transaction
 2. Duplicate processing (charging twice for one order)
 3. Merchandise not received and vendor already charged CAL-Card
 4. Merchandise returned and vendor did not credit the CAL-Card
 5. Alteration of amount
 6. Item received not as described
 7. Defective products

When a Cardholder has a discrepancy, they should take the following steps:

Step	Action
1	Complete the CSQI Form. Note: Transactions not disputed within 30 days will be treated as authorized and the Program is responsible for payment
2	FAX the form and any supporting documentation to the Bank Contractor at (701) 461-3746 and provide fax receipt with the Statement.
3	Forward the Statement and all supporting documentation to the Approving Official for approval.
4	Make a duplicate copy of CSQI Form and any supporting documentation. Attach the duplicate to all copies of the Statement.
5	The Bank Contractor will mail a notification letter to the Cardholder regarding status of the dispute.
6	The Cardholder must notify the DCA CAL-Card Coordinator when resolution of the dispute results in a credit on the Statement.

11.8.5 Lost or Stolen Card

If a CAL-Card is...	Cardholder should...	Replacement Timeframe
Lost or Stolen	<ol style="list-style-type: none"> 1. Immediately notify the Bank Contractor (U.S. Bank) at (800) 2276736, the Approving Official and the DCA CAL-Card Coordinator. 2. U.S. Bank will order and replace the CAL-Card. 3. The DCA CAL-Card Coordinator will receive the replacement card and will forward to the Cardholder. 	Ten business days after the U.S. Bank has been notified.
Worn or Defective	<ol style="list-style-type: none"> 1. Cardholder or Approving Official submits a completed CAL-Card Request (VISA) Form to the DCA CAL-Card Coordinator. 2. The DCA CAL-Card Coordinator will receive the replacement card and will forward to the Cardholder. 3. Cardholder or Approving Official shreds the worn/defective CAL-Card. 	Ten business days after a complete form has been submitted by the DCA CAL-Card Coordinator and received by the U.S. Bank.
Fraud	<ol style="list-style-type: none"> 1. Cardholder contacts the U.S. Bank Fraud Unit at (800) 227-6736 and the DCA CAL-Card Coordinator to report the fraudulent charge(s), 2. The DCA CAL-Card Coordinator will receive the replacement card and will forward to the Cardholder. 	Ten business days after the U.S. Bank has been notified.

There is no charge to replace lost, stolen, or worn/defective CAL-Cards.

11.9 VISA Guidelines

Account Changes/Inquiries

Any changes to the account must be requested on the CAL-Card Request (Visa) Form (AISD- and approved by the DCA CAL-Card Coordinator. Additionally, any changes to the dollar limit or approving official also require a new MOU.

Cardholder's and Approver's may call the U.S. Bank's toll-free number [(800) 344-5696] 24- hours a day to access account information or speak to a customer service representative.

Inappropriate Use of the CAL-Card

If a Cardholder uses the CAL-Card inappropriately or submits the Statement late, the Cardholder and Approver will be notified immediately.

When determining whether a restriction, suspension or cancellation of CAL-Card privileges is appropriate, consideration will be given to the following:

State Purchasing Contracting Guidelines.

- The volume (quantity) and cost of inappropriate purchase(s).
- Previous history of noncompliance.

11.10 Order Splitting

- A. Public Contract Code (PCC) 10329 states that “No person shall willfully split a single transaction into a series of transactions for the purpose of evading the bidding requirements of this article.” Also the Department may not split an order to circumvent the limits of its delegated purchasing authority. Periodic replenishment of consumable supplies is not considered splitting an order.
- B. Orders shall not be split to circumvent competitive bidding, advertising, or the single purchase limit of the card. Examples of splitting include, but are not limited to, the following:
1. Splitting one purchase transaction into two or more card swipes because the purchase total exceeds the \$2499.99 single purchase limit.
 2. Using more than one purchasing method (i.e., Service Agreement Under \$2499.99, Purchase Order and CAL-Card) which in total will circumvent the single purchase limit.
 3. Multiple Cardholders in the same unit acquiring the same goods needed by the program for the same acquisition from one or more vendors.
 4. Using multiple Cardholders to obtain the same goods needed by a program from the same vendor.
 5. Acquiring the same goods for different locations by the Cardholder on separate transactions.
 6. Cardholder making purchases of the same goods from different vendors for the same single transaction.
 7. Cardholders in separate units procuring various aspects of an acquisition or project.
 8. Equipment rental: The practice of breaking up equipment rental invoices into \$2,499.99 (billings by post miles) constitutes splitting. Split equipment rental purchases will result in the finding of a prohibited purchase and intervention by the CAL-Card Coordinators.

C. Examples of Splits

The split example below, as displayed, can apply to any type of commodity.

Different Cardholders (CH) under the same Approving Official(s) or Program to get the work done for the same property or properties for the same or like services is prohibited.

Commodity: Exceeding the daily allowable for a Commodity if your daily limit for a commodity is \$5,000:

July 15: Order place for \$4,498	July 16: Order place for \$4,500	July 14: Order place for \$4,800
CH Julie Region1	CH Sam Region 2	CH John Region 3
Approving Official Bill	Approving Official Bill	Approving Official Bill
Total Amount: \$13,798.00		
All of these orders were delivered to San Diego Office on July 20		

Prohibited: Cardholders that work in the same or different geographical areas, ordering the same commodity and having it delivered to the same place on the same day. The sum of this order exceeded the daily maximum allowable.

Note: Scenarios for these types of situations can be ambiguous. It's probably a split if

- The Cardholder or Approving Official has to coordinate more than one Cardholder to order a single type of commodity and has it delivered to one place
- The Cardholder or Approving Official needs to place a large order for the same commodity and orders portions of it on one day and portions on another day.

Appendix 1 - FORMS

Darfur Contracting Act

Pursuant to Public Contract Code section 10478, if a bidder or proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a bid or proposal, please insert your company name and Federal ID Number and complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Printed Name and Title of Person Initialing (for Options 1 or 2)</i>	

1. _____
Initials We do not currently have, and have not had within the previous three years, business activities or other operations outside of the United States.

OR
2. _____
Initials We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

OR
3. _____
Initials We currently have, or we have had within the previous three years, business activities or other operations outside of the United States, certification but we certify below that we are not a scrutinized company below as defined in Public Contract Code section 10476.

CERTIFICATION For # 3.

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer/bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in the County and State of</i>

PURCHASE ESTIMATE

STD. 66 (REV. 10/2006) (REVERSE)

INSTRUCTIONS
(PLEASE READ CAREFULLY)

All Purchase Estimates must be submitted to the Procurement Division in typed form. Only one (1) copy of the Purchase Estimate is required. To avoid rejection, **DO NOT** list more than one (1) commodity group, as defined in the PIN Commodity Catalog, on the Purchase Estimate submitted. Each commodity group requires a separate Purchase Estimate.

Adherence to the following specific instructions for completing the Purchase Estimate form will promote timely processing of each purchasing document. Emphasis on neatness and accuracy of Purchase Estimate is most important.

- | | |
|--|---|
| 1. DATE PREPARED BY AGENCY | — Use the date the Purchase Estimate is typed. |
| 2. AGENCY BILLING CODE | — Enter your Agency Billing Code. (PRIOR to use, new Agency Billing Codes must be forwarded to the Department of General Services, Accounts Receivable, for addition to the PIN system.) |
| 3. PURCHASE ESTIMATE NUMBER | — The agency-assigned Purchase Estimate Number must be entered in this field and must not exceed 15 digits and can be either alphabetic, numeric or a combination of both. The Agency Purchase Estimate Number must be entered from left to right. |
| 4. DELIVERY AREA CODE | — Circle ONLY ONE (1) Delivery Area Code. Please list any additional delivery information either on this form if space is available, or as supplemental information. Delivery Area information is available on the Delivery Area Map in the PIN Commodity Catalog. |
| 5. CERTIFICATION OF REFERENCED VENDOR | — Government Code Section 14838.5 shall be utilized to contract with an eligible certified small business or an eligible certified disabled veteran business whenever practicable and possible. Check one or two boxes to identify the certification(s) of the referenced vendor. |
| 6. LINE NUMBER | — Each page of a Purchase Estimate is limited to a maximum of five (5) PIN Commodity Code numbers which must be numbered sequentially beginning with number one (1). (Please double space between each completed line.) |
| 7. UNIT | — Unit of measure must be shown EXACTLY as indicated in the PIN Commodity Catalog. |
| 8. COMMODITY CODE NUMBER | — The ENTIRE Commodity Code number must be shown EXACTLY as indicated in the PIN Commodity Catalog. |
| 9. DESCRIPTION | — Must be typed EXACTLY as shown in the PIN Commodity Catalog. Additionally, give an adequate description of the commodity to be purchased so that ANYONE reading the description can interpret what commodity is being purchased. |

Completion of all other information categories is self-explanatory. It should be noted that all approval signatures and accounting and fiscal data have been consolidated on the bottom of the form.

STATE OF CALIFORNIA



DEPARTMENT OF CONSUMER AFFAIRS

DCA Certification Requirement

This certification requirement is in response to the February 11, 2010 broadcast to Department Directors and Chief Deputy Directors providing notification that any and all discretionary spending should pertain solely to vital and mission-critical services and items.

Please complete and return this document with the signature of your board/bureau/program/division Executive Officer, Bureau/Program Chief, or Deputy Director.

Board/Bureau/Program/Division: _____
Contact Name: _____
Contact Number: _____
Contract/PO/Project #: _____
Vendor Name: _____

I certify that this purchase is vital and mission critical for the

Board/Bureau/Program/Division

Name: _____
Executive Officer, Bureau/Program Chief, or Deputy Director

Signature: _____

Date: _____

Title: _____

Please include a signed certification with all procurement request packages.

State of California 25-Year and Retirement Awards Ordering a "Non-Core" Award

NOTE: This form is for the purpose of the Employee which is paying for the excess amount. A COPY of this may be submitted or saved with State records/Purchase Orders.

Instructions regarding order "non-core" awards

In addition to the "core" award offerings available to eligible 25-Year and Retiring State of California employees additional "non-core" awards are also offered.

See our website: <http://awards.mtmrecognition.com/california>

However, unlike the "core" awards paid for by the State of California, "non-core" awards have a higher than \$90 (State-mandated maximum for 25-Year and Retirement Awards).

For employees selecting a "non-core" award, the State will pay \$90 (plus tax on \$90) and the employee will be responsible for balance payment can be made one of three ways:

- Personal check
- Money Order
- Credit Card payment via phone call to MTM Recognition

Make sure that you receive a confirmation number. **The confirmation number must be shown on the Purchase Order.**

Please complete information below and submit to MTM Recognition.

Payment Options

Method of payment:

Personal Check (U.S. Mail)

Money Order (U.S. Mail)

Personal Credit Card Payment (you must contact MTM Recognition Directly to use this option)

For payment on Department Purchase Order # (Agency Order Number): _____

Employee Name: _____

Amount Due: \$ _____

Confirmation Number: _____

MTM Recognition Contact Information

ORDER PLACEMENT INFORMATION		
U.S. Mail	Phone/Facsimile	Email
MTM Recognition Corporation Attn: Mary Ellen Nelson 615 South Sixth Street Princeton, IL 61356	Phone: (800) 443-4618 Ext. 2655	Maryellen.nelson@mtmrecognition.com

**IRAN CONTRACTING ACT
(Public Contract Code sections 2202-2208)**

Prior to bidding on, submitting a proposal or executing a contract or renewal for a State of California contract of \$1,000,000 or more, a vendor must either: a) certify it is **not** on the current list of persons engaged in investment activities in Iran created by the California Department of General Services (“DGS”) pursuant to Public Contract Code section 2203(b) and is not extending twenty million dollars (\$20,000,000) or more in credit to another person, for 45 days or more, if that other person will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by DGS; or b) demonstrate it has been exempted from the certification requirement for that solicitation or contract pursuant to Public Contract Code section 2203(c) or (d).

To comply with this requirement, please insert your vendor or financial institution name and Federal ID Number (if available) in one of the options below. Please note: California law establishes penalties for providing false certifications, including a fine of up to \$250,000 or greater of \$250,000 or twice the amount of the contract for which the false certification was made; contract termination; and ineligibility to bid on contracts. (Public Contract Code section 2205.)

OPTION #1 - CERTIFICATION

I, the official named below, certify I am duly authorized to execute this certification on behalf of the vendor/financial institution and the vendor/financial institution identified below is **not** on the current list of persons engaged in investment activities in Iran and is not a financial institution extending twenty million dollars (\$20,000,000) or more in credit to another person/vendor if that other person/vendor will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by DGS.

<i>Vendor Name/Financial Institution (Printed)</i>	<i>Federal ID Number (or n/a)</i>
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in</i>

OPTION #2 – EXEMPTION

Pursuant to Public Contract Code sections 2203(c) and (d), a public entity may permit a vendor/financial institution engaged in investment activities in Iran on a case-by-case basis, to be eligible for, or to bid on, submit a proposal for, or enters into or renews, a contract for goods and services in Iran.

If you have obtained an exemption from the certification requirement under the Iran Contracting Act, please fill out this form and attach documentation demonstrating the exemption approval.

<i>Vendor Name/Financial Institution (Printed)</i>	<i>Federal ID Number (or n/a)</i>
<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	<i>Date Executed</i>

Non-Competitively Bid (NCB) Contract Justification

Department of General Services
Procurement Division
GSPD-09-007 (New 11/09)

For PD Use only
NCB #:

NON-COMPETITIVELY BID (NCB) CONTRACT JUSTIFICATION

For use on all information technology (IT) and non-IT goods and services acquisitions.
Attach to Std. 65, Std. 66 or Std. 821, as applicable.

This justification document consists of two (2) pages. All information must be provided and all questions must be answered. The "Required Approvals" section must include a date for each signature, as appropriate for the transaction.

Requesting Department Information				
Agency:		Department:		
		(*Includes Boards, Commissions, and Associations)		
Institution (if applicable):				
Department Contact Information				
Contact/Buyers Name:		Street Address:		
Telephone: ()		Mailing Address:		
FAX: ()				
E-Mail:				
Technical Contact Name:		Telephone: ()	E-mail:	
Required Contract Information				
Contractor Name:				
Contractor Address:				
Original Contract Amount Excluding:**	Total Original Contract Amount:*	Amendment Amount:* (if applicable)	Amended Contract Amount:*	Has work commenced?
\$	\$	\$	\$	<input type="checkbox"/> Yes <input type="checkbox"/> No
(*Includes original contract and previously approved amendments)	(*Includes original contract and previously approved amendments)	(*Current amendment only)	(*Includes original contract and all amendments, including current amendment)	Have goods been acquired?
				<input type="checkbox"/> Yes <input type="checkbox"/> No
				Attach explanations for any "Yes" answers.
Provide a brief description of the acquisition, including all goods and/or services the contractor will provide:				
(Use additional pages as necessary)				
Contract Type and Term				
Contract Type: Select One: <input type="checkbox"/> Non-IT Goods <input type="checkbox"/> Non-IT Service <input type="checkbox"/> IT Goods <input type="checkbox"/> IT Service <input type="checkbox"/> IT Goods & Services	Contract Term: Begin: _____ End: _____ Explain late contract submittal (services only):	Type of Award: CMAS: <input type="checkbox"/> Master: <input type="checkbox"/> Competitive: <input type="checkbox"/> Form 42: <input type="checkbox"/>	Will this transaction be financed? No _____ Yes _____ If yes, attach the Statement of Compliance to the State Financial Marketplace to this form	
Required Approvals				
Department <input type="checkbox"/> Approved <input type="checkbox"/> Denied	Agency <input type="checkbox"/> Approved <input type="checkbox"/> Denied	Dept. of General Services <input type="checkbox"/> Approved <input type="checkbox"/> Denied		
_____ Signature of Director or Designee/Date	_____ Signature of Agency Secretary or Designee/Date	_____ Signature of Director or Designee/Date		
_____ Type Name of Director or See next page instructions	_____ Type Name of Agency Secretary or See next page instructions	_____ Type Name of Director or Designee		

**Excluding sales and use tax, finance charges, postage and handling.
Shipping charges are also excluded from the dollar threshold limits unless the shipping charge is included in the evaluation such as Free On Board (FOB) Origin, Freight Collect or FOB Destination

Remit completed form to: Procurement Division
Intake and Analysis Unit
707 Third Street, 2nd Floor, MS201
West Sacramento, CA 95605

Signature Instructions for Agencies with an Agency Secretary

This form requires approval by Agency Secretary or Agency Undersecretary and the department director or designee. The Agency Secretary may designate one person, in addition to Agency Undersecretary, to sign on his/her behalf, of cabinet officer level (e.g., Assistant Undersecretary, Deputy Secretary, etc., the actual title is dependent upon the Agency's organizational structure). The department director may delegate review and approval authority to his/her deputy directors and/or the Procurement and Contracting Officer. The director's designee shall send ratification notification to their director upon the designee's approval of the NCB transaction. The typed name and signature must match for both signatures.

Signature Instructions for Agencies that do not have an Agency Secretary

This form requires approval by the highest ranking executive officer or designee. The highest ranking officer may designate one person to sign on his/her behalf subject to DGS approval. The highest ranking officer may delegate review and approval authority to his/her deputy directors and/or the Procurement and Contracting Officer. The designee shall send ratification notification to their highest ranking executive officer upon their approval of the NCB. The typed name and signature must match.

Complete responses must be provided for all of the following items.

A. THE GOOD/SERVICE REQUESTED IS RESTRICTED TO ONE SUPPLIER FOR THE REASONS STATED BELOW:

- 1. Why is the acquisition restricted to this good/service/supplier?**
(Explain why the acquisition cannot be competitively bid. Explain if this is an emergency purchase or how the supplier is the only source for the acquisition and reference the PCC that applies, i.e., 12102, 10301/10302, or 10340.)

- 2. Provide the background of events leading to this acquisition.**

- 3. Describe the uniqueness of the acquisition (why was the good/service/supplier chosen?)**

- 4. What are the consequences of not purchasing the good/service or contracting with the proposed supplier?**

- 5. What market research was conducted to substantiate no competition, including evaluation of other items considered?**
(Provide a narrative of your efforts to identify other similar or appropriate goods/services, including a summary of how the department concluded that such alternatives are either inappropriate or unavailable. The names and addresses of suppliers contacted and the reasons for not considering them must be included OR an explanation of why the survey or effort to identify other goods/services was not performed.)

B. PRICE ANALYSIS

- 1. How was the price offered determined to be fair and reasonable?**
(Explain what the basis was for comparison and include cost analyses as applicable.)

- 2. Describe any cost savings realized or costs avoided by acquiring the goods/services from this supplier**

Non-Competitively Bid (NCB) Contract Justification Corrective Action Plan

This section must be completed for any NCB that could have been competitively bid but was not due to insufficient time to complete the competitive acquisition process. This does not apply to emergency procurements in accordance with PCC Sections 10302, 10340(b)(1) and 12102(a)(2).

Complete responses must be provided for all of the following questions:

- 1. Why is the submission of a NCB necessary and what are the determining factors that caused the problem?**
Explain why your department has not conducted a competitive bid. Provide the background of events (timeline) leading to the submission of this NCB. Identify any critical time delays or issues that prevented your department from completing this acquisition using a competitive process (i.e., budget, approvals, and/or appropriate analysis).

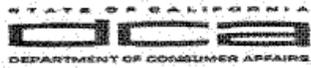
- 2. What are the consequences of not having this NCB approved?**
Describe in detail the impact to the department and to the program(s) if the NCB is not approved.

- 3. How will your department ensure adequate planning to prevent submittal of NCB's for goods or services that should have been competitively bid?**
Provide a detailed plan of your department's efforts to improve your acquisition planning to maximize the use of competition to meet your needs. This plan must include how the department will provide for a tracking system to ensure timely review of upcoming requirements. Departments acknowledge that submission of a corrective action plan is the basis for how the department will provide for sufficient time to use competition in the acquisition process. Failure to follow the Corrective Action Plan may result in the loss of your department's delegated procurement authority. This plan must be kept on file for future auditing purposes.

Property Survey Request (AISD-033)

BUSINESS, CONSUMER SERVICES, AND HOUSING AGENCY

GOVERNOR EDMUND G. BROWN JR



OFFICE OF ADMINISTRATIVE SERVICES
PROPERTY SURVEY REQUEST



PROGRAM NAME Board of Cat Groomers			UNIT/DIVISION Licensing			
ADDRESS 1234 Arena Blvd			CITY/ZIP CODE Sacramento, CA 95834			
CONTACT NAME Jane Doe		PHONE NUMBER 916-123-4567	EMAIL ADDRESS jane.doe@bcg.ca.gov			
QUANTITY	PROPERTY TAG #	ITEM DESCRIPTION	SERIAL NUMBER	CONDITION OF EQUIPMENT	HAS THE EQUIPMENT BEEN REPLACED? Yes or No	PURCHASE ORDER NUMBER (OPTIONAL)
1	029298	HP Color Printer 3600N	CNWDF33433	J	X	REQ0001234
1	028853	Muratec Printer F-300	DA735090048005	J	X	REQ0001234
1	029055	Muratec Printer F-300	DA735090216028	J	X	REQ0001234
REASON FOR SURVEY Printers are broken, being replaced			REQUESTED METHOD FOR DISPOSAL/DONEE NUMBER E-Waste			
*Note: If disposing of computer equipment (e.g. desktops, laptops, servers, etc.), contact your PC Support to ensure all stored content in the hard drive(s) is permanently deleted in accordance with department standards. The certification for computing media sanitation form (152 A) must be included with this request						
THE UNDERSIGNED HEREBY CERTIFIES THE LISTED ITEM(S) IS/ARE NO LONGER NEEDED FOR THE PURPOSES OF THE PROGRAM						
APPROVING SIGNATURE Manager's Signature			TITLE Manager		DATE 1/01/2015	

*CONDITION CODES: E=EXCELLENT OR NEW; N=NON WORKING; G=GOOD; F=FAIR; P=POOR; J=JUNK OR BROKEN; O=OTHER (explain in "Reason for Survey" box) AISD-33 (REV 9/2013)

Certificate of Computing Media Sanitation Form (152 A)

CSPS Generated

STATE OF CALIFORNIA

Page 1 of 1

152 A 12/2011

Certification for Computing Media Sanitation

DATE:

FROM (Department, Unit, or Office)

AGENCY DOCUMENT NUMBER

DGS DOCUMENT NUMBER

This document certifies the removal or destruction of data on computing devices with digital memory and storage capacity. Information systems capture, process, store, and transmit information using a wide variety of media such as, but not limited to, magnetic tapes, flash drives, personal computers, personal digital assistants (PDA), cell or smart phones, multifunction printers, workstations and laptops. These media may require special disposition in order to mitigate the risk of unauthorized disclosure and ensure the confidentiality of information.

ITEM	SERIAL NUMBER	OPERATION PERFORMED VERIFICATION
HP Color Laser Printer 3600N	CNWDF33433	Conducted by John Smith & Joe Black Verified by Black
Muratec Laser Printer F-300	DA735090048005	Conducted by John Smith & Joe Black Verified by Joe Black
Muratec Laser Printer F-300	DA735090216028	Conducted by John Smith & Joe Black Verified by Black
		Conducted by Verified by

The Department guarantees any information on the device is irretrievable and complies with State Administrative Manual Section 5100.

The DGS will audit the destruction of confidential information by review of items submitted for disposal to the Office of Surplus Property Reutilization. This surplus disposal process complies with State Administrative Manual Section 5300 in the managed protection of information assets and reporting incidents of inappropriate disclosure or access through the asset's life cycle.

CERTIFIED BY MANAGER	Manager's Signature	Title Address	SSM 1, 1234 Arona Blvd, Sacramento, CA 95834
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Instruction for Completing the Form

State agencies and employees are reminded to follow the formal disposal and surplus process and securely removed old data using a secure wipe program for information technology equipment BEFORE releasing state equipment to recycling. State policy, State Administrative Manual Section 5953, speaks to the agency's responsibility for disposal of IT supplies, paper goods, and magnetic media, specifically SAM 5320.5 and 5320.2.

If disposition code 8 is used, a copy of this form will accompany the delivery to the Surplus Property warehouse.

You may also want to refer to the following for additional information and guidance:

<http://www.cio.ca.gov/OIS/Government/policy.asp>

Property Survey Report (STD. 152)

STATE OF CALIFORNIA
PROPERTY SURVEY REPORT
 DGS Form 152 11/01/2001

Record as of disposition date (lost, stolen or destroyed property-record as of the date such determination was made).

Authority is requested to dispose of the following State property:
 10. Universal Waste - Salvage Dealer, Recycler (E-Waste)

RETURN TO: REPORTING DEPARTMENT/AGENCY CONSUMER AFFAIRS B-03 - AISD-DSD-BSO		AGENCY DOCUMENT E14-017	DGS DOCUMENT NUMBER S14-05013
ADDRESS 1625 NORTH MARKET BLVD. # S-103		LOCATION OF PROPERTY Sacramento	BILLING CODE 058417
CITY SACRAMENTO		ZIP CODE 95834	DATE 7/9/2014
E-MAIL ADDRESS: laura.loyola@dca.ca.gov		CONTACT PERSON Laura Loyola	TELEPHONE NUMBER 916-574-7282
			PAGE 1 of 4

	ITEM DETAILED DESCRIPTION MODEL YEAR / MANUFACTURER / MAKE SERIAL NUMBER	SANITIZATION REQ	QTY	QTY DLVRD	STATE IDENT. (TAG) NUMBER (1)	YEAR PURCHASED	ORIGINAL COST (IF KNOWN)	PRESENT COND ** (CODE)	TRADE-IN PRICE OFFERED (2)	PRICE RECEIVED (3)	RECEIPT NUMBER
1	 PRINTER, LASER 0 / HP COLOR / 3600N CNWDF33433	<input type="checkbox"/>	1		029298	0	0.00	J			
12	 PRINTER, LASER 0 / MURATEC / F-300 DA735090048005	<input type="checkbox"/>	1		028853	0	0.00	J			
19	 PRINTER, LASER 0 / MURATEC / F-300 DA735090216028	<input type="checkbox"/>	1		029055	0	0.00	J			

(1) PROPERTY TAB NUMBER OR E NUMBER FOR VEHICLE (2) DO NOT OBTAIN BIDS ON TRADE-INS. ESTIMATE PRICE OFFERED (3) AMOUNT ALLOWED IF TRADED IN OR SOLD

**PRESENT CONDITION CODES: E=EXCELLENT OR NEW; N=NON WORKING; G=GOOD; F=FAIR; P=POOR; J=JUNK OR BROKEN; O=OTHER (EXPLAIN)

<p>*DISPOSITION CODES (IF LOST, STOLEN OR DESTROYED, DGS REVIEW IS NOT REQUIRED)</p> <ol style="list-style-type: none"> TRADE-IN (SHOW TRADE-IN PRICE OFFERED) SALE (SEE SAM SECTION 3520) VALUELESS (TO BE LEGALLY/ SAFELY DISPOSED OF) LOST, STOLEN, OR DESTROYED (REFER TO SAM SECTION 8643 FOR INSTRUCTIONS) TO BE CANABALIZED (SALVAGED FOR PARTS) DONATION TO SCRAP / SALVAGE DEALER (TO BE RECYCLED) DONATION TO AN ELIGIBLE NON-PROFIT ORGANIZATION (SEE SAM SECTION 3520.5) PROPERTY REUSE PROGRAM-DEPT. OF GENERAL SERVICES DONATION TO COMPUTERS FOR SCHOOLS PROGRAM UNIVERSAL WASTE - SALVAGE DEALER, RECYCLER (E-WASTE) SB 493 - DISPOSITION OF TECHNOLOGY TO PUBLIC COMPUTER CENTER 	<p>EXPLANATION-REASONS FOR PROPOSED DISPOSITION OF EACH ITEM</p> <p>Valueless Printers are located at Board of Cat Groomers - 1234 Arena Blvd, Sacramento, CA 95834 Contact is Jane Doe (916) 123-4567</p> <p>DONATIONS MADE TO A NON-PROFIT ORGANIZATION MUST BE AN ORGANIZATION FROM THE SURPLUS PROPERTY COUNTY LISTINGS. FOR APPOINTMENTS TO DELIVER PROPERTY TO THE PROPERTY REUSE PROGRAM CALL: (916) 928-5851 (SACRAMENTO)</p>
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<p>DO NOT DISPOSE OF ANY ELECTRONIC EQUIPMENT IN A LANDFILL</p> <p>APPROVED BY PROPERTY DISPOSITION BOARD (A MINIMUM OF TWO APPROVING NAMES REQUIRED)</p> <p>The above statements regarding state property are true and correct, culpable negligence (check appropriate box)</p> <p><input type="checkbox"/> was <input type="checkbox"/> was not Involved in loss, theft, or damage: the disposition proposed is the best for the public interest.</p>	<p>CERTIFICATION OF DISPOSITION</p> <p>The above described property was disposed of as follows:</p>	<p>REVIEWED BY DEPT. OF GENERAL SERVICES</p> <p>FOR DGS REVIEW, TRANSMIT TO: Department of General Services State Agency for Surplus Property 1700 National Drive Sacramento, CA 95834 (916) 928-5800</p>
	<p>NAME: (SIGNATURE MUST BE ON FILE WITH AGENCY)</p> <p>1. JASON ROSS</p> <p>2. CARLA ESQUIVEL</p> <p>3.</p>	<p>DISPOSAL DATE / /</p> <p>NAME: (Officer Supervising Disposal of the Property)</p> <p>TITLE</p>

Property Transfer Report (STD. 158)

STATE OF CALIFORNIA
PROPERTY TRANSFER REPORT
 STD. 158 (REV. 7/2000)

ENTERED ON PROPERTY RECORDS BY (Signature)

FROM (Department, Unit, or Office)	LOCATION (Address)	DATE	DOCUMENT NUMBER
TO (Department, Unit, or Office)	LOCATION (Address)	CHECK TRANSFER TYPE <input type="checkbox"/> INTRA-DEPT. (SAME FUND) <input type="checkbox"/> INTER-DEPT. (SAME FUND) <input type="checkbox"/> BETWEEN FUNDS	
CONTACT PERSON	TELEPHONE NUMBER		

LINE	ARTICLE	EQUIPMENT NUMBER	ORIGINAL PURCHASE DATE	QUANTITY	TOTAL
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					

REASON FOR TRANSFER

APPROVED BY PROPERTY SURVEY BOARD (A MINIMUM OF TWO SIGNATURES IS REQUIRED)

APPROVED BY PROPERTY SURVEY BOARD (A MINIMUM OF TWO SIGNATURES IS REQUIRED)	SIGNATURES	DATE SIGNED
	1.	
	2.	
REVIEWED BY DEPARTMENT OF GENERAL SERVICES	3.	
	4.	
RECEIVED THE ABOVE ITEMS FOR DELIVERY AS DIRECTED HEREIN	TRUCK DRIVER	
I HAVE RECEIVED THE ITEMS ABOVE	5.	
	PROPERTY CUSTODIAN	UNIT OR OFFICE
	6.	

Original Purchase Date Line 10

Cal-Card Request (VISA) Form (AISD-030)



OFFICE OF ADMINISTRATIVE SERVICES
CAL-CARD REQUEST (VISA)



NAME OF BOARD/BUREAU/DIVISION/UNIT			REQUEST DATE
<input type="checkbox"/> NEW CARD	<input type="checkbox"/> CHANGE	<input type="checkbox"/> MEMORANDUM OF UNDERSTANDING	<input type="checkbox"/> CANCEL
<input type="checkbox"/> Attended Training Course (Requirement) <input type="checkbox"/> Certificate Attached Training Date: _____	<input type="checkbox"/> Approving Official <input type="checkbox"/> Monthly Limit <input type="checkbox"/> Single-Transaction Limit <input type="checkbox"/> Contact Information <input type="checkbox"/> MOU	<input type="checkbox"/> MOU (7 pages) <input type="checkbox"/> Amended MOU (requires justification) Effective Date: _____	Effective Date: _____

SECTION A - CARDHOLDER INFORMATION

EXISTING CARD NUMBER (LAST FOUR DIGITS ONLY) <small>(IF APPLICABLE)</small>	NAME OF CARDHOLDER			
ADDRESS	SUITE	CITY	STATE	ZIP CODE
PHONE NUMBER	FAX NUMBER	EMAIL ADDRESS		

SECTION B - APPROVING OFFICIAL INFORMATION (One Approving Official is required, two Approving Officials are recommended)

Approving Official No. 1 NAME	Approving Official No. 2 NAME
PHONE NUMBER	PHONE NUMBER
FAX NUMBER	FAX NUMBER
EMAIL ADDRESS	EMAIL ADDRESS

SECTION C - DOLLAR LIMITS AND BILLING CODES

REQUESTED SINGLE-TRANSACTION LIMIT <small>(This dollar limit cannot exceed \$2,499.99 (SCM, V2, 9.83.0))</small>	REQUESTED 30-DAY CREDIT LIMIT <small>(This dollar limit cannot exceed \$5,000.00)</small>	
\$ _____	\$ _____	
BILLING CODES		
INDEX	PCA	DGS
_____	_____	_____

DECLARATION

Program approval authority acknowledges that the cardholder and approving official are aware that this card is the property of the State of California and use will comply with State regulations.

CARDHOLDER <i>(Print or Type)</i>	CARDHOLDER SIGNATURE	DATE
APPROVING OFFICIAL No. 1 <i>(Print or Type)</i>	APPROVING OFFICIAL No. 1 SIGNATURE	DATE
APPROVING OFFICIAL No. 2 <i>(Print or Type)</i>	APPROVING OFFICIAL No. 2 SIGNATURE	DATE

THIS SECTION IS FOR BSO USE ONLY

CAL-CARD PROGRAM APPROVAL	DATE PROCESSED
AGENT: _____ COMPANY: _____ LEVEL: _____	
Training Received: YES/NO Date: _____	

Memorandum of Understanding (MOU) (BSO-49)

CAL-Card Program Memorandum of Understanding (MOU)

1. This MOU is entered into between the Cardholder, Approving Official(s), and the Agency Program Coordinator (APC) named below:		
Cardholder Name	Board/Bureau/Program/Division	
Approving Official Name (1)	Approving Official Name (2)	
APC Name	Index/PCA/DGS Code	CAL-Card Expiration Date
2. The term of this MOU is upon the Department of Consumer Affairs (DCA), Business Services Office (BSO) approval and shall remain in effect until the assigned CAL-Card expiration, revocation, termination, or if superseded by a later delegation of authority.		
3. The monthly dollar limit shall not exceed: \$		
4. The single dollar transaction limit shall not exceed: \$ (Note: this dollar limit may not exceed \$2,499.99 [SCM Volume 2, 9.B5.0])		
5. Changes to this MOU require a new written and approved MOU. The MOU is not transferrable to another Cardholder or Approving Official.		
6. This MOU consists of 7 pages and 0 attachments. The parties agree to comply with the terms and conditions described herein.		
Cardholder		
By signing this MOU, the Cardholder acknowledges responsibility for the security of the card and appropriate use of the card for State business purchases only as outlined within this MOU. No personal purchases are allowed. Furthermore, the Cardholder certifies they have completed the required DCA Procurement training course and agree to comply with DCA and State procurement and contracting policies and procedures and the CAL-Card Handbook. The Cardholder understands the card is valid only while employed by the DCA office listed above. Upon termination of employment or transfer to another agency/department/unit it is the Cardholder's responsibility to relinquish this card to the assigned DCA APC.		
Cardholder Name	Cardholder Signature	Date
Approving Officials		
The following Approving Officials, and Executive Officer (EO), Bureau Chief acknowledge and understand the Approving Official and Cardholder roles and responsibilities and agree to fully comply with the MOU.		
Approving Official Name (1)	Approving Official Signature (1)	Date
Approving Official Name (2)	Approving Official Signature (2)	Date
Executive Officer/Bureau Chief Name	Executive Officer/Bureau Chief Signature	Date
DCA, Business Services Office Approvals		
APC Name	APC Signature	Date
BMS Unit Manager Name	BMS Unit Manager Signature	Date
UPON SIGNED APPROVALS OF ALL PARTIES THIS AGREEMENT HAS BEEN EXECUTED		

1. PARTIES TO THE AGREEMENT

This is a Memorandum of Understanding (MOU) between the Department of Consumer Affairs and the Cardholder and Approving Official(s) identified on Page 1 of this MOU, which includes approval by the Board Executive Officer or Bureau Chief.

2. PURPOSE

The Department of General Services (DGS), Procurement Division (PD) authorizes the use of the CAL-Card Purchase Program to those agencies with current purchasing authority. DCA, BSO Business Management Services (BMS) Unit offers this program to its Clients through the DCA's current purchasing authority delegation. The CAL-Card is a payment mechanism and not a procurement approach and therefore, does not relieve departments/boards/bureaus from adhering to all procurement laws, regulations, policies, procedures and best practices, according to State Contracting Manual (SCM) V2, 9.B3.1. CAL-Cards are issued by DCA to designated staff with a specific dollar limit per month and per transaction. Each Cardholder and Approving Official(s) must sign an individual DCA CAL-Card Application and MOU. Each Cardholder must attend CAL-Card training prior to receiving a card. This MOU is to define the responsibilities of the Cardholder, Approving Official(s), and DCA with regard to the use of the CAL-Card.

3. DCA CAL-CARD ADMINISTRATORS

Agency Program Coordinator (APC) also referred to as CAL-Card Coordinator

Name: Gina Williams

Phone: (916) 574-7299

Email: Gina.Williams@dca.ca.gov

CAL-Card Coordinator

Name: Potoa'e Tupa'i

Phone: (916) 574-7277

Email: Potoa'e.Tupa'i@dca.ca.gov

BMS Unit Manager

Name: Gail L. White

Phone: (916) 574-7279

Email: Gail.White@dca.ca.gov

Please direct all email inquiries regarding the CAL-Card Program to the Program's central email in-box:

CAL-Card Program Email Address: dcacal-cardprogram@dca.ca.gov

4. PROGRAM RESPONSIBILITIES

A. Cardholder Responsibilities

1. Complete the DCA Purchasing Process: Putting the Pieces Together training course.
2. Request new CAL-Card – Complete and submit the CAL-Card VISA Request Form (AISD-030) and the MOU to the BSO, BMS Unit, CAL-Card Coordinator.

A. Cardholder Responsibilities (Continued)

3. Request changes to CAL-Card and/or MOU – Complete and submit the CAL-Card VISA Request Form (AISD-030) to the BSO, BMS Unit, CAL-Card Coordinator.
4. Observe and abide by the Client Purchasing Handbook, State Purchasing Guidelines, and State Contracting Guidelines (State Purchasing and Contracting Guidelines are located at www.pd.dgs.ca.gov).
5. Maintain possession and security of the card at all times.
6. Register CAL-Card online at <https://access.usbank.com> (Note: Activate online statement notification)
7. Purchase only goods authorized under Section 5 of this MOU.
8. **Request guidance and approval from the DCA CAL-Card Coordinator for the purchase of items not listed in Section 5 of this MOU prior to the purchase.**
9. Authorize the purchase with the assigned purchase card.
10. Ensure all transactions comply with purchasing authority requirements.
11. Apply cost comparison and best value principles when using the CAL-Card.
12. Upon termination of employment or transfer to another agency/department/unit, must relinquish the card to the assigned DCA APC.
13. Report lost or stolen cards to the U.S. Bank, CAL-Card Approving Official, and DCA CAL-Card Coordinator IMMEDIATELY.
14. Follow the guidelines for submitting the Cardholder Statement of Account (CSA) to the BSO, BMS Unit by the 30th of each month as outlined in the CAL-Card Handbook. If the 30th of the month falls on a holiday or weekend, the due date is the next state business day.
15. Reconcile the CSA with the transaction receipts and supporting documentation by ensuring the following:
 - a. Retrieve the CSA via the internet at <https://access.usbank.com> the day after the billing cycle ends. The CSA is also mailed to the Cardholder within 5 days from the closing date of the billing cycle.
 - b. Ensure both the Cardholder and Approving Official(s) sign, print name, and date the CSA. Note: If the Cardholder/Approving Official is not available to sign the CSA, submit a memo by a Manager I or above stating the reason. If a Cardholder/Approving Official is unavailable to sign, another Cardholder/Approving Official within the Program must sign in their absence.
 - c. Complete the Transaction Information Form (TIF), (AISD-031) including the Cardholder name, Approving Official(s) name, statement month, and account number.
 - d. Place original receipts in the order they appear on the statement. Note: Receipts smaller than 8 ½" x 11" should be taped on a 8 ½" x 11" sheet of paper. Receipts must indicate PAID either by: VISA or Credit Card (CC). Please do not tape over dollar amounts, vendor name or any other important information.
 - e. Complete and attach Missing Receipt Form if copies of payment invoice/receipt are unavailable. Note: This option should be used as a final resolution.
 - f. Submit State Bidder Instructions (GSPD-451) Proof Documentation. The DGS, PD publishes bidder instructions for vendors to follow when submitting a quote. The State Bidders Instructions shall be supplied to the vendor when requesting a quote (SCM V2, 4.B6.0). Acceptable proof documentation is a copy of the written solicitation which includes the Bidder Instructions and/or directs the vendor to the DGS Bidder Instructions link (i.e. email). State Bidder Instructions link: <http://www.documents.dgs.ca.gov/pd/modellang/BidderInstructions070110.pdf>
 - g. Submit General Provisions (GSPD-410 Non-IT Commodities) Proof Documentation. The DGS, PD publishes general provisions for vendors to follow when submitting a quote (SCM V2, 4.B6.1). The General Provisions shall be supplied to the vendor when

A. Cardholder Responsibilities (Continued)

- requesting a quote. Acceptable proof documentation includes a copy of the written solicitation which includes the General Provisions and/or directs the vendor to the DGS General Provisions link (i.e. email). General Provisions link: <http://www.documents.dgs.ca.gov/pd/modellang/gpnonit060810.pdf>
- h. Submit DVBE Program Requirements Proof Documentation. Departments must provide the DVBE Program Requirements to vendors when requesting a quote (SCM V2, 3.3.2). Acceptable proof documentation includes a copy of the written solicitation which includes the DVBE Program Requirements and/or directs the vendor to the DVBE Program Requirements link (i.e. email). DVBE Program Requirements link: <http://www.documents.dgs.ca.gov/pd/poliproc/master-dvbereqpack-goodsitfinalversion090909.pdf>
 - i. All purchases valued at less than \$2,500.00 require two bids. (SCM V2, 9.B6.0) DO NOT split orders. Per SCM V2, 9.B3.6 Departments will not split purchases to circumvent a cardholder's single transaction or monthly purchase limits. Also, cardholders will not split transactions to avoid competitive bidding limits or purchasing authority limits.
 - j. Submit SB/DVBE Certification Verification Form. Active certification status must be verified (SCM V2, 4.B5.3).
 - k. If unable to secure a SB/DVBE quote, submit SB/DVBE Exemption Form (99BSO-31). Approval must be obtained from SB/DVBE Advocate prior to purchase.
 - l. Submit Seller Permit. Copy of Sellers Permit must be maintained in the procurement file (SCM V2, 4.B6.3).
 - m. Submit Information Technology Acquisition Justification (ITAJ) Form, if applicable. CAL-Card Coordinator pre-approval is required prior to any IT purchases.
 - n. Submit Payee Data Record (STD. 204). A complete Payee Data Record must be obtained prior to transaction (SCM V2, 9.A4.0).
 - o. Submit Bidder Declaration Form (GSPD-05-106) (MVC Section 999 & GC Section 14837).
 - p. Submit Disabled Veteran Business Enterprise Declaration Form (STD. 843). Applicable to DVBE and DVBE subcontractor vendors only.
 - q. Submit Darfur Certification (PCC Section10478). Does not apply to IT Goods.
 - r. Submit Sole Source Letter, if applicable (MM 03-10).
 - s. Submit Postconsumer-Content Certification (SCM V2, 3.10.4). All purchases of products that fall within the targeted categories must include a written certification by the supplier.
 - t. Submit CALPIA Exemption request form for all binder purchases outside of PIA (Penal Code Section 2807; SCM V2, 2.C3.1). The CALPIA Exemption request form requires BSO and PIA approval prior to completing the transaction.
 - u. Submit the CAL-Card Checklist with the CSA. The CAL-Card Checklist must be signed by both the Cardholder and Approving Official(s).
16. Purchasing disputes should initially be resolved with the vendor. If further resolution is required follow the dispute process according to the Cardholder Statement of Questioned Item (CSQI) form process outlined in the CAL-Card Handbook.
 17. Submit three (3) CAL-Card packages to the BMS Unit (one original & two copies). CAL-Card packages should be reconciled as follows: (1) First Set, US Bank Statement with original signatures, Transaction Information Form, Original receipts/invoices; (2) Second Set, Copy of First Package; and (3) Third Set, Copy of First Package and all back up documentation (i.e. quotes, State Bidders Proof Documentation, SB/DVBE Certifications, etc.).

B. Approving Official(s) Responsibilities

1. Request for new CAL-Card – Complete and submit the CAL-Card VISA Request Form (AISD-030) and the MOU to the BSO, BMS Unit, CAL-Card Coordinator.
2. Request for changes to CAL-Card and/or MOU – Complete and submit the CAL-Card VISA Request Form (AISD-030) to the BSO, BMS Unit, CAL-Card Coordinator.
3. Ensure Cardholders observe and abide by the Client Purchasing Handbook, State and DCA purchasing/contracting policies and procedures, State Contracting Manual (SCM), government and public contract codes, and this MOU. (SCM V2, 9.B4.2)
4. Knowledge and understanding of the State's procurement policies and responsibilities of the Cardholder.
5. Ensure both the Cardholder and Approving Official maintain a copy of the approved MOU.
6. Authority to approve CSA for payment.
7. Timely submission of the certified CSA to the BMS Unit for reconciliation and payment (SCM V2, 9.B4.2). CSA is due to BMS Unit by the 30th of each month. If the 30th of the month falls on a holiday or weekend, the due date is the next state business day.
8. Submit the CAL-Card Checklist with the CSA. The CAL-Card Checklist must be signed by both the Cardholder and Approving Official(s).
9. Promote use of the CAL-Card to reduce or eliminate petty cash requirements, eliminate "stockpiling" of office supplies and equipment and purchase and pay for items outlined in Section 5 of this MOU.
10. Upon termination of employment or transfer to another agency/department/unit, must inform the assigned DCA APC so the cardholder's MOU can be updated or terminated.

C. DCA, Business Services Office, Business Management Services Unit Responsibilities

1. The DCA CAL-Card Coordinator oversees the Department CAL-Card Program (SCM V2, 9.B4.2).
2. Administrator for new and existing accounts, processing requests for new, modified or cancelled CAL-Cards (SCM V2, 9.B4.2).
3. Maintains records of all account set ups and/or updates (SCM V2, 9.B4.2).
4. Maintains audit file records (SCM V2, 9.B4.2).
5. Provides program procedures and training (SCM V2, 9.B4.2).
6. Provides the Cardholder and Approving Official(s) with a CAL-Card Handbook containing related policies, procedures, and regulations.
7. Provides assistance to Cardholder and Approving Official(s).
8. Review and monitor approved CSA upon receipt to ensure all purchases are in compliance with the Client Purchasing Handbook, State and DCA purchasing laws, rules, regulations, policies and procedures.
9. Process and submit CAL-Card CSA for the prior month to DCA Accounting Office by the 15th day of each month to avoid late payment penalties and card suspension.
10. Take appropriate action as outlined in Section 5 of this MOU when a wrongful or inappropriate use of CAL-Card occurs.

5. USE OF THE CAL-CARD

A. Allowable CAL-Card Purchasing Commodities

1. Office Supplies.
2. Publications and annual publication subscriptions.
3. Postage stamps including USPS and UPS shipment (excluding P.O. Box rentals and postage meters).
4. Incidental IT products may be purchased such as, mouse, wired keyboard, and cables if the total dollar limit remains under \$199.99. Note: CAL-Card Coordinator pre-approval is required prior to any IT purchases. This requirement will be strictly enforced.

B. Conditional CAL-Card Purchasing Commodities

1. When fire, life and safety emergencies necessitate immediate action, the Approving Official can consider CAL-Card use when the following protocol is followed:
 - a. The Approving Official or Cardholder must contact the BSO, BMS Unit, when possible, for prior approval for CAL-Card emergency use.
 - b. If an emergency occurs after business hours and immediate action is necessary, the Approver has decision authority to authorize the Cardholder to use the CAL-Card for the emergency.
 - c. In those instances where the Approving Official authorizes the transaction, the Cardholder is required to notify the BMS Unit the following business day of the emergency that required CAL-Card use.
2. Documentation to justify the emergency CAL-Card use must include:
 - a. A written and signed justification from the Approving Official explaining the emergency and need for the goods and/or services that could not be met by any other procurement/contracting method without adversely affecting business operations due to a fire, life or safety emergency. State the consequences that may have occurred if the goods or services were not obtained with the CAL-Card and concurrence that no regular pattern of CAL-Card use or requests exist for the goods or services.
 - b. Appropriate purchase document (i.e. purchase order or contract) to meet State and DCA purchasing policies and procedures.
 - c. Submission of documentation to the BMS Unit with the BSO file copy of the CSA to the CAL-Card Coordinator.

C. Prohibited CAL-Card Purchases

1. Awards (SCM V2, 2.A2.3)
2. Cash advances, money orders, and/or traveler's checks.
3. Travel and subsistence, including airline tickets, meals, travel, hotel rooms and services, car rentals, and any travel related expenses (SCM V2, 9.B3.7).
4. Equipment, hardware, including computers and computer software.
5. Association and membership dues.
6. Rental or lease of rooms, building or land.
7. Personal items such as food, beverages, tissue and medications (SCM V2, 9.B3.7).
8. Vehicle maintenance, vehicle repairs, fuel, car washes, towing, and DMV registrations.
9. Security deposits for room reservations, site rentals, etc.
10. Conference fees.
11. Legal Fees.
12. Circumventing the procurement bid process (SCM V2, 9.B3.5).
13. Purchasing binders outside of Prison Industry Authority (PIA) without an approved CALPIA Exemption request.
14. Printing services.
15. Past due invoices or late payment penalties (SCM V2, 9.B3.7).

D. Consequences for Non-Compliance with Procurement Laws, Regulations, Policies, Procedures, Best Practices, CAL-Card Program Memorandum of Understanding and/or the CAL-Card Procedure Handbook

1. Non-compliance is defined as one or more of the following:
 - a. Purchasing goods and/or services not identified in this MOU.
 - b. Obtaining services without prior approval of the BSO, BMS Unit Manager.
 - c. Personal use.
 - d. Failure to submit timely and complete CSA to the BSO, BMS Unit.

D. Consequences for Non-Compliance with Procurement Laws, Regulations, Policies, Procedures, Best Practices, CAL-Card Program Memorandum of Understanding and/or Client Purchasing Handbook (Continued)

2. Failure to comply with this MOU will result in the following actions being taken by the DCA CAL-Card Coordinator:

Non-Compliance	Action Taken
First Time	<ul style="list-style-type: none"> • CAL-Card Coordinator will send an email and/or memo to the Cardholder, Approving Official(s), EO/Bureau Chief and BMS Unit Manager identifying the issue. • Cardholder shall respond in writing acknowledging the issue and shall provide a corrective action plan within eight (8) business hours. • The BMS Unit Manager and CAL-Card Coordinator shall approve the corrective action plan and/or request additional information.
Second Time	Immediate reduction of the card limit to \$1.00 for six (6) months.
Third Time	Immediate reduction of the card limit to \$1.00 for one (1) year.
Personal Use	Immediate cancellation of the CAL-Card.
PER SCM V2, 9.B3.6, PARTICIPATING PROGRAMS THAT MAINTAIN DELINQUENT BALANCES OF 60 DAYS OR GREATER ARE SUBJECT TO ACCOUNT SUSPENSION.	

6. CHANGES TO THE MOU

To request a change to the terms and conditions of this MOU, please complete and submit a CAL-Card VISA Request Form and MOU to the BSO, BMS Unit. Any changes to this MOU require a copy of the original CAL-Card agreement along with the proposed changes and a justification to the BMS Unit. Proposed changes cannot be executed until the updated CAL-Card MOU has been approved.

Transaction Information Form (AISD-031)



Transaction Information Form

Statement Month & Year: _____

Last 4 Digits of Card Number: _____

Cardholder: _____

Program: _____

Approving Official: _____

Vendor Name	Charge to Index	PCA	Object Code	Charge Amount	Commodity/Service Description	Small Business Number
Total:				\$ 0.00		

Conflict of Interest Statement:

By signing below I certify that I have: (1) Conducted the bidding process as documented in this package; (2) No financial or personal relationship with any bidder that could cause bias in the evaluation of bids or present an appearance of impropriety; (3) Maintained strict confidentiality of the bids among the bidders during the bidding process; and (4) Given all bidders equal, impartial, and fair treatment.

Cardholder Signature: _____

Date: _____

Cardholder Statement of Questioned Item

U.S. Bank Government Service [®] PROGRAM
CARDHOLDER STATEMENT OF QUESTIONED ITEM
 (Please print or type in black ink.)

CARDHOLDER NAME (please print or type) _____ ACCOUNT NUMBER _____

CARDHOLDER SIGNATURE _____ DATE _____ (AREA CODE) TELEPHONE NUMBER _____

The transaction in question as shown on Statement of Account:
 Transaction Date _____ Reference Number _____ Merchant _____ Amount _____ Statement Date _____

Please read carefully each of the following situations and check the one most appropriate to your particular dispute. If you have any questions, please contact us at 888/994-6722. We will be more than happy to advise you in this matter.

1. **UNAUTHORIZED MAIL OR PHONE ORDER**
 I have not authorized this charge to my account. I have not ordered merchandise by phone or mail, or received any goods or services.
2. **DUPLICATE PROCESSING - THE DATE OF THE FIRST TRANSACTION WAS _____.**
 The transaction listed above represents a multiple billing to my account. I only authorized one charge from this merchant for this amount. My card was in my possession at all times.
3. **MERCHANDISE OR SERVICE NOT RECEIVED IN THE AMOUNT OF \$ _____.**
 My account has been charged for the above transaction, but I have not received the merchandise or service. I have contacted the merchant but the matter was not resolved. (Please provide a separate statement detailing the merchant contact, and the expected date to receive merchandise.)
 My account has been charged for the above listed transaction. I have contacted this merchant on _____ (date) and canceled the order. I will refuse delivery should the merchandise still be received.
4. **MERCHANDISE RETURNED IN THE AMOUNT OF \$ _____.**
 My account has been charged for the above listed transaction, but the merchandise has since been returned *Enclosed is a copy of my postal or UPS receipt.*
5. **CREDIT NOT RECEIVED**
 I have received a credit voucher for the above listed charge, but it has not yet appeared on my account. A copy of the credit voucher is enclosed. (Please provide a copy of this voucher with this correspondence.)
6. **ALTERATION OF AMOUNT**
 The amount of this charge has been altered since the time of purchase. Enclosed is a copy of my sales draft showing the amount for which I signed. The difference of amount is \$ _____.
7. **INADEQUATE DESCRIPTION/UNRECOGNIZED CHARGE**
 I do not recognize this charge. Please supply a copy of the sales draft for my review. I understand that when a valid copy is sent to me, a Statement of Questioned Item Form must be provided and will include the copy of the sales draft if a further dispute exists. If a copy of the sales draft cannot be obtained, a credit will appear in my account.
8. **COPY REQUEST**
 I recognize this charge, but need a copy of the sales draft for my records.
9. **SERVICES NOT RECEIVED**
 I have been billed for this transaction, however, the merchant was unable to provide the services.
 Paid for by another means. My card number was used to secure this purchase, however final payment was made by check, cash, another credit card, or purchase order. (Enclosed is my receipt, canceled check (front & back), copy of credit card statement, or applicable documentation demonstrating that payment was made by other means.)
10. **NOT AS DESCRIBED**
 (Cardholder must specify what goods, services, or other things of value were received.) The item(s) specified do not conform to what was agreed upon with the merchant. (The cardholder must have attempted to return the merchandise and state so in their complaint.)

11. If none of the above reasons apply - please describe the situation:

(Note: Provide a complete description of the problem, attempted resolution and outstanding issues. Use a separate sheet of paper, if necessary, and sign your description statement)

MAIL TO: U.S. Bank Government Services, P.O. Box 6346, Fargo, ND 58125-6347 FAX: 701-461-3736

CSQR0896

CAL-Card Checklist (BSO-50)

DEPARTMENT OF CONSUMER AFFAIRS BUSINESS MANAGEMENT SERVICES UNIT CAL-CARD CHECKLIST

CAL-Card Package (Submit 3 sets to BSO)

- 1st Set (Original, SCO Copy)
- Original Cardholder Statement of Account (CSA) [US Bank Statement]
Print names, provide original signatures and date.
 - Transaction Information Form (TIF) (AISD-031), including Conflict of Interest Statement
 - Original Receipts
Invoice/Receipt must indicate PAID either by: Visa, Credit Card, CAL-Card, or last 4 digits of Credit Card.
- 2nd Set (Copy of Original, Accounting Unit Copy)
- Copy of CSA [US Bank Statement]
 - Transaction Information Form (TIF) (AISD-031), including Conflict of Interest Statement
 - Copy of Receipts
- 3rd Set (Copy of Original plus the following documents, BSO File)
- Copy of CSA [US Bank Statement]
 - Transaction Information Form (TIF) (AISD-031), including Conflict of Interest Statement
 - Copy of Receipts
 - Exemptions (SB or PIA)
 - State Bidder's Instructions, Non-IT General Provisions, IT General Provisions, and DVBE Program Requirements
Proof Documentation *(For all vendors quoted)*
 - Quotes (2 quotes are required for all purchases under \$2,500) *(For all vendors quoted)*
 - DVBE/SB Certification Print-out *(For all vendors quoted)*
 - Postconsumer-Content Certification *(Awarding vendor only)*
 - Payee Data Record (STD. 204) *(Awarding vendor only)*
 - Seller's Permit Verification Print-out *(Awarding vendor only)*
 - Cost Comparison (BSO-47 page 2)
 - Bidder Declaration *(Awarding vendor only)*
 - DARFUR *(Awarding vendor only)*
 - Non-Competitive Bid (NCB) *(If applicable)*
 - Disabled Veteran Business Enterprise (DVBE) Declarations Form (STD. 843) *(Awarding vendor only)*
 - CAL-Card Checklist
- Special Documents (Check all that apply or indicate N/A)
- Specialized Amended MOU
 - If the Cardholder/Approver is not available to sign:
Provide a memo by Manager I Level or higher stating reason
 - Cardholder Statement of Questioned Item (CSQI)-Dispute Form (Request from CAL-Card Coordinator)
 - Missing Receipt Form (Request from CAL-Card Coordinator)
- Special Instructions (Required)
- Receipts smaller than 8.5" x 11" must be taped on an 8.5" x 11" sheet
Do not tape over the dollar amount on the thermal credit card receipts; the information will disappear
 - Receipts must be placed in the order they appear on the statement
 - Vendors on the TIF must be in the same order as they appear on the statement
Totals on the TIF and bank statement must match
 - Do not mark on any statements
 - Do not mark **Accounting Copy** on original statement
 - CSQI-Dispute form must be filled out if a discrepancy appears on statement within 60 days otherwise the Cardholder is responsible for the charge
The vendor should be first point of contact on any discrepancies if it can't be resolved then fill out CSQI-Dispute form and fax it to US Bank

****Do not fax CSQI to bank if credit has been issued by vendor****

INCLUDE THIS FORM WITH THE 3RD SET OF YOUR CAL-CARD PACKAGE

BSO-50 (Revised 03/2015)

Bidder Declaration (GSPD-05-106)

State of California—Department of General Services, Procurement Division
GSPD-05-106 (REV 08/09) Verbal Version

BIDDER DECLARATION

1. Prime bidder information (Review attached Bidder Declaration Instructions prior to completion of this form):

a. Identify current California certification(s) (MB, SB, NVSA, DVBE): _____ or None (If "None," go to Item #2)

b. Will subcontractors be used for this contract? Yes No (If yes, indicate the distinct element of work your firm will perform in this contract. e.g., list the proposed products produced by your firm, state if your firm owns the transportation vehicles that will deliver the products to the job site, identify which solicited services your firm will perform, etc.). Use additional sheets, as necessary.

c. If you are a California certified DVBE: (1) Are you a broker or agent? Yes No
(2) If the contract includes equipment rental, does your company own at least 51% of the equipment provided in this contract (quantity and value)? Yes No N/A

2. If no subcontractors will be used, skip to certification below. Otherwise, list all subcontractors for this contract. (Attach additional pages if necessary.)

Subcontractor Name, Contact Person, Phone Number & Fax Number	Subcontractor Address & Email Address	CA Certification (MB, SB, NVSA, DVBE or None)	Work performed or goods provided for this contract	Corresponding % of bid price	Good Standing?
					<input type="checkbox"/>
					<input type="checkbox"/>
					<input type="checkbox"/>

3. CERTIFICATION: By signing this form, I certify under penalty of perjury that the information provided is true and correct.

Printed Name: _____ Signature: _____ Date Signed: _____

Page

BIDDER DECLARATION Instructions

All prime bidders (the firm submitting the bid) must complete the Bidder Declaration.

- 1.a.** Identify all current certifications issued by the State of California. If the prime bidder has no California certification(s), check the line labeled "None" and proceed to Item #2. If the prime bidder possesses one or more of the following certifications, enter the applicable certification(s) on the line:
- Microbusiness (MB)
 - Small Business (SB)
 - Nonprofit Veteran Service Agency (NVSA)
 - Disabled Veteran Business Enterprise (DVBE)

- 1.b.** Mark either "Yes" or "No" to identify whether subcontractors will be used for the contract. If the response is "No," proceed to Item #1.c. If "Yes," enter on the line the distinct element of work contained in the contract to be performed or the goods to be provided by the prime bidder. Do not include goods or services to be provided by subcontractors.

Bidders certified as MB, SB, NVSA, and/or DVBE must provide a commercially useful function as defined in Military and Veterans Code Section 999 for DVBEs and Government Code Section 14837(d)(4)(A) for small/microbusinesses.

Bids must propose that certified bidders provide a commercially useful function for the resulting contract or the bid will be deemed non-responsive and rejected by the State. For questions regarding the solicitation, contact the procurement official identified in the solicitation.

Note: A subcontractor is any person, firm, corporation, or organization contracting to perform part of the prime's contract.

- 1.c.** This item is only to be completed by businesses certified by California as a DVBE.

- (1) Declare whether the prime bidder is a broker or agent by marking either "Yes" or "No". The Military and Veterans Code Section 999.2 (b) defines "broker" or "agent" as a certified DVBE contractor or subcontractor that does not have title, possession, control, and risk of loss of materials, supplies, services, or equipment provided to an awarding department, unless one or more of the disabled veteran owners has at least 51-percent ownership of the quantity and value of the materials, supplies, services, and of each piece of equipment provided under the contract.
- (2) If bidding rental equipment, mark either "Yes" or "No" to identify if the prime bidder owns at least 51% of the equipment provided (quantity and value). If **not** bidding rental equipment, mark "N/A" for "not applicable."

- 2.** If no subcontractors are proposed, do not complete the table. Read the certification at the bottom of the form and complete "Page ____ of ____" on the form.

If subcontractors will be used, complete the table listing all subcontractors. If necessary, attach additional pages and complete the "Page ____ of ____" accordingly.

2. (continued) Column Labels

Subcontractor Name, Contact Person, Phone Number & Fax Number—List each element for all subcontractors.

Subcontractor Address & Email Address—Enter the address and if available, an Email address.

CA Certification (MB, SB, NVSA, DVBE or None)—If the subcontractor possesses a current State of California certification(s), verify on this website (www.eprocure.dgs.ca.gov).

Work performed or goods provided for this contract—Identify the distinct element of work contained in the contract to be performed or the goods to be provided by each subcontractor. Certified subcontractors must provide a commercially useful function for the contract. (See paragraph 1.b above for code citations regarding the definition of commercially useful function.) If a certified subcontractor is further subcontracting a greater portion of the work or goods provided for the resulting contract than would be expected by normal industry practices, attach a separate sheet of paper explaining the situation.

Corresponding % of bid price—Enter the corresponding percentage of the total bid price for the goods and/or services to be provided by each subcontractor. Do not enter a dollar amount.

Good Standing?—Provide a response for each subcontractor listed. Enter either "Yes" or "No" to indicate that the prime bidder has verified that the subcontractor(s) is in good standing for all of the following:

- Possesses valid license(s) for any license(s) or permits required by the solicitation or by law
- If a corporation, the company is qualified to do business in California and designated by the State of California Secretary of State to be in good standing
- Possesses valid State of California certification(s) if claiming MB, SB, NVSA, and/or DVBE status

51% Rental?—This pertains to the applicability of rental equipment. Based on the following parameters, enter either "N/A" (not applicable), "Yes" or "No" for each subcontractor listed.

Enter "N/A" if the:

- Subcontractor is NOT a DVBE (regardless of whether or not rental equipment is provided by the subcontractor) or
- Subcontractor is NOT providing rental equipment (regardless of whether or not subcontractor is a DVBE)

Enter "Yes" if the subcontractor is a California certified DVBE providing rental equipment and the subcontractor owns at least 51% of the rental equipment (quantity and value) it will be providing for the contract.

Enter "No" if the subcontractor is a California certified DVBE providing rental equipment but the subcontractor does NOT own at least 51% of the rental equipment (quantity and value) it will be providing for the contract.

- 3. Read the certification at the bottom of the page. An individual that is authorized to bind the firm contractually is to print their name, sign and date the form. Also, complete the "Page ____ of ____" accordingly.**

DVBE Declaration (STD 843)

STATE OF CALIFORNIA – DEPARTMENT OF GENERAL SERVICES PROCUREMENT DIVISION

DISABLED VETERAN BUSINESS ENTERPRISE DECLARATIONS

STD. 843 (Rev. 5/2006)

Instructions: The disabled veteran (DV) owner(s) and DV manager(s) of the Disabled Veteran Business Enterprise (DVBE) must complete this declaration when a DVBE contractor or subcontractor will provide materials, supplies, services or equipment [Military and Veterans Code Section 999.2]. Violations are misdemeanors and punishable by imprisonment or fine and violators are liable for civil penalties. All signatures are made under penalty of perjury.

SECTION 1

Name of certified DVBE: _____ DVBE Ref. Number: _____

Description (materials/supplies/services/equipment proposed): _____

Solicitation/Contract Number: _____ SCPRS Ref. Number: _____

(FOR STATE USE ONLY)

SECTION 2

APPLIES TO ALL DVBEs. Check only one box in Section 2 and provide original signatures.

- I (we) declare that the DVBE is not a broker or agent, as defined in Military and Veterans Code Section 999.2 (b), of materials, supplies, services or equipment listed above. Also, complete Section 3 below if renting equipment.
- Pursuant to Military and Veterans Code Section 999.2 (f), I (we) declare that the DVBE is a broker or agent for the principal(s) listed below or on an attached sheet(s). (Pursuant to Military and Veterans Code 999.2 (e), State funds expended for equipment rented from equipment brokers pursuant to contracts awarded under this section shall not be credited toward the 3-percent DVBE participation goal.)

All DV owners and managers of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Owner/Manager) (Signature of DV Owner/ Manager) (Date Signed)

(Printed Name of DV Owner/Manager) (Signature of DV Owner/Manager) (Date Signed)

Firm/Principal for whom the DVBE is acting as a broker or agent: _____
(If more than one firm, list on extra sheets.) (Print or Type Name)

Firm/Principal Phone: _____ Address: _____

SECTION 3

APPLIES TO ALL DVBEs THAT RENT EQUIPMENT AND DECLARE THE DVBE IS NOT A BROKER.

- Pursuant to Military and Veterans Code Section 999.2 (c), (d) and (g), I am (we are) the DV(s) with at least 51% ownership of the DVBE, or a DV manager(s) of the DVBE. The DVBE maintains certification requirements in accordance with Military and Veterans Code Section 999 et. seq.
- The undersigned owner(s) own(s) at least 51% of the quantity and value of each piece of equipment that will be rented for use in the contract identified above. I (we), the DV owners of the equipment, have submitted to the administering agency my (our) personal federal tax return(s) at time of certification and annually thereafter as defined in *Military and Veterans Code 999.2, subsections (c) and (g)*. Failure by the disabled veteran equipment owner(s) to submit their personal federal tax return(s) to the administering agency as defined in *Military and Veterans Code 999.2, subsections (c) and (g)*, will result in the DVBE being deemed an equipment broker.

Disabled Veteran Owner(s) of the DVBE (attach additional pages with signature blocks for each person to sign):

(Printed Name) (Signature) (Date Signed)

(Address of Owner) (Telephone) (Tax Identification Number of Owner)

Disabled Veteran Manager(s) of the DVBE (attach additional pages with sufficient signature blocks for each person to sign):

(Printed Name of DV Manager) (Signature of DV Manager) (Date Signed)

DVBE Incentive Waiver (GSPD-07-04)

State of California—Department of General Services, Procurement Division
GSPD-07-04 (Rev. 09/09)

DVBE PROGRAM REQUIREMENTS AND DVBE INCENTIVE WAIVER

INSTRUCTIONS: Use this form to request approval to waive the Disabled Veteran Business Enterprise (DVBE) Program Requirements and/or Disabled Veteran Business Enterprise (DVBE) Incentive for information technology (IT) goods and/or services or non-IT goods solicitation. If the procurement is being conducted under the department's authority, this document must be retained in the solicitation file. If the procurement will be conducted by the Department of General Services (DGS), Procurement Division, send with the requisition to the DGS-PD.

Section 1—DEPARTMENT INFORMATION

DEPARTMENT *(Includes Boards, Commissions, and Associations)*

PROCUREMENT IDENTIFIER(S): *(e.g., Requisition Number, Estimated Amount, etc.)*

Section 2—DEPARTMENT CONTACT AND SOLICITATION INFORMATION

CONTACT NAME

STREET ADDRESS

MAILING ADDRESS *(if different from Street Address)*

TELEPHONE ()

FAX ()

E-MAIL

Section 3—DVBE PROGRAM REQUIREMENTS AND/OR DVBE INCENTIVE WAIVER *(Check only one box in this section)*

- The department elects to waive the DVBE Program Requirements in this solicitation, but opts to include the DVBE Incentive. The department must:
 - The reason for waiving the DVBE Program Requirements is provided in Section 4a on this form.
 - This waiver is signed by the department's director or his/her designee in Section 5a on this form or other proof of exemption must be provided.
 - The solicitation will indicate that the DVBE Program Requirements have been waived, but that the DVBE incentive does apply.
- The department elects to include the DVBE Program Requirements in this solicitation, but to waive the DVBE Incentive. The department must:
 - The department is on the DGS-Office of Small Business and Disabled Veteran Business Enterprise Services' (OSDS) DVBE Incentive Exemption List and the name of the DVBE Exemption List is identified in Section 4b on this form.
 - The DVBE Incentive waiver is signed by the department's highest ranking executive or his/her designee in Section 5b on this form.
 - The solicitation will indicate that the DVBE Incentive has been waived, but that the DVBE Program Requirements do apply.
- The department elects to waive the DVBE Program Requirements and does not opt to include the DVBE Incentive. The department must:
 - The reason for waiving the DVBE Program Requirements is provided in Section 4a on this form.
 - This waiver is signed by the department's director or his/her designee in Section 5a on this form or other proof of exemption must be provided.
 - The solicitation will indicate that the DVBE Program Requirements have been waived and that the DVBE incentive does not apply.

DVBE PROGRAM REQUIREMENTS AND DVBE INCENTIVE WAIVER

Section 4—EXEMPTION EXPLANATION

(a) DVBE PROGRAM REQUIREMENTS *(Explain the reason for excluding the DVBE Program Requirements for this solicitation)*

(b) DVBE INCENTIVE

To waive the DVBE incentive requirement, the department must be on the DGS-OSDS list of departments eligible for the incentive exemption. The list is available on the DGS website: <http://www.pd.dgs.ca.gov/dvbe/dvbeIncentvExmptLst.htm>

If the department is eligible for the DVBE incentive exemption because it has met or exceeded its annual DVBE 3 percent participation goal but is not on the list, please contact OSDS at (916) 375-4940.

Please identify the version of the list that verifies your department's eligibility for the DVBE incentive exemption. It is dated: _____

** California Code of Regulations, Title 2, Division 2, Chapter 3, Subchapter 10.6, section 1896.99.100(a)*

Section 5—SIGNATURE APPROVAL

(a) DVBE PROGRAM REQUIREMENTS *(Department Director or his/her designee only)*

PRINTED NAME:

SIGNATURE:

DATE:

(b) DVBE INCENTIVE *(Department's highest ranking designee)*

PRINTED NAME:

SIGNATURE:

DATE:

Contract Advertising Exemption Request (Std. 821)

Print **Clear**

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION
CONTRACT ADVERTISING EXEMPTION REQUEST
(IN CALIFORNIA STATE CONTRACTS REGISTER)

STD. 821 (REV. 10/2006)

Government Code Section 14825 (et seq.) requires that all agreements entered into by state agencies for services shall be published in the California State Contracts Register (CSCR), unless exempted. Agreements which have been exempted by Department of General Services shall be listed in the CSCR.

TYPE OF REQUEST <i>(Check one)</i> <input type="checkbox"/> NON-COMPETITIVELY BID (NCB) <input type="checkbox"/> CONTRACT JUSTIFICATION <i>(attach NCB)</i>		<input type="checkbox"/> EXEMPTION FROM ADVERTISING		SERVICE TYPE <input type="checkbox"/> NON-IT/TELECOM RELATED SERVICE <input type="checkbox"/> IT/TELECOM RELATED SERVICES		
DEPARTMENTAL CONTACT INFORMATION			AGENCY BILLING CODE			
PLEASE TYPE NAME: _____ IMS CODE: _____ DEPARTMENT: _____ DIVISION: _____ ADDRESS: _____ CITY, STATE, ZIP: _____			CONTRACT DESCRIPTION TELEPHONE NUMBER <i>(Not CALNET-Include Area Code)</i>			
CONTRACT NUMBER	AMENDMENT NUMBER <i>(if Applicable)</i>	CONTRACT AMOUNT	AMENDMENT AMOUNT <i>(if Applicable)</i>	CONTRACT PERIOD		
PROVIDE CONTRACTOR'S NAME AND ADDRESS ONLY IF A NON-COMPETITIVELY BID (NCB) CONTRACT IS PROPOSED			CONTRACTOR'S NAME		FEDERAL EMPLOYER IDENTIFICATION NUMBER	
			CONTRACTOR'S ADDRESS <i>(Number, Street)</i>			
			<i>(City, State, ZIP Code)</i>			
An exemption from advertising in the California State Contracts Register is not an exemption from Disabled Veteran Business Enterprise (DVBE) participation goal attainment.						
EXEMPTION JUSTIFICATION <i>(Attach additional sheets if necessary)</i>						

AUTHORIZED SIGNATURE 		PROCUREMENT DIVISION USE ONLY	
TELEPHONE NUMBER <input type="checkbox"/> CALNET	DATE SIGNED	ACTION TAKEN ON REQUEST <input type="checkbox"/> APPROVED <input type="checkbox"/> DENIED <i>(See Below)</i>	
SEND TO: NAME: _____ IMS CODE: Z-1 DEPARTMENT: DEPARTMENT OF GENERAL SERVICES DIVISION: PROCUREMENT DIVISION ADDRESS: 707 THIRD ST., Second Floor CITY, STATE, ZIP: WEST SACRAMENTO, CA 95605		AUTHORIZED SIGNATURE 	DATE SIGNED
COMMENTS			

Department: Retain Last Copy

STATE OF CALIFORNIA – GENERAL SERVICES PROCUREMENT DIVISION
CONTRACT ADVERTISING EXEMPTION REQUEST
(IN CALIFORNIA STATE CONTRACTS REGISTER)

STD. 821 (REV. 10/2006) REVERSE

INSTRUCTIONS

An exemption from advertising in the California State Contracts Register is not an exemption from Disabled Veteran Business Enterprise (DVBE) participation goal attainment.

1. Submit the original and one copy of the completed form and all supporting documents to the Department of General Services, Procurement Division for review and action. (Attach completed, NCB Contract Justification form as applicable.)
2. All applicable elements of the Justification form must be completed or the request may be denied.
3. Do not provide the name and address of the proposed contractor unless the request is to enter into a contract on a non-competitively bid basis.
4. All requests must include comprehensive justification.
5. Non-competitively bid contract justifications must include a narrative of the efforts made to secure similar services from other sources. Refer to the State Contracting Manual Section 5.70.

GENERAL INFORMATION

It is required by statute that State agencies advertise and bid all contracts for services over \$5,000. It is the agency's responsibility to develop and adopt contracting procedures which maximize competition and effect timely and proper contract award and execution.

The STD. 821, Contract Advertising Exemption Request, allows the Department of General Services to exempt agencies from these requirements when such action is justified.

Exemption is granted by either an approved request to be exempt from advertising in the California State Contracts Register or by an approved request to enter into a contract on a non-competitively bid basis.

Definitions of Requests:

REQUEST TO BE EXEMPT FROM ADVERTISING - A bid is going to be conducted. Request is made to be exempt from the requirement of advertising in the California State Contracts Register, which is required by Government Code Section 14827 et seq. The request is made because: (1) the exemption is necessary to preserve life or state property, or (2) there is an interest to the State that is so compelling that the agency believes an exemption is warranted.

REQUEST FOR NCB CONTRACT - Request is made to be exempt from competitive bidding because: (1) there is only one supplier that can perform the service, or (2) there is an interest to the State that is so compelling that the agency believes it warrants forgoing the competitive process per Public Contract Code Sections 10348 and 10380.

Refer to the State Contracting Manual for additional information.

Appendix 2 - ACRONYMS

AF	Antifreeze
BSO	Business Services Office
CAL-PCA	CAL-Procurement and Contracts Academy
CalTech	California Department of Technology
CIWMB	California Integrated Waste Management Board
CMAS	California Multiple Award Schedule
CO	Compost/Co-Compost
COI	Conflict of Interest
CPO	Chief Procurement Officer
CSCR	California State Contracts Register (aka: eProcurement)
DCA	Department of Consumer Affairs
DGS/PD	Department of General Services, Procurement Division
DOF	Department of Finance
DOT	Department of Transportation
DVBE	Disabled Veteran Business Enterprise
FMU	Facilities Management Unit
FOB	Free on Board
GC	Government Code
GL	Glass
GSA	General Services Administration
HQ	Headquarters
HVAC	Heating, Ventilation, and Air-Conditioning
IFB	Invitation for Bid
IT	Information Technology
ITAJ	Information Technology Acquisition Justification
ITPP	Information Technology Procurement Plan
LDA	Library Distribution Act
LO	Lubricating Oil
LPA	Leveraged Purchase Agreements
MM	Department of General Services Management Memo
MAR	Material Adjustment Report
MGAX	Miscellaneous General Accounting Expenditure
MOU	Memorandum of Understanding
MPA	Master Purchase Agreement
MT	Metal
MTD	Material Transaction Document
NASPO	National Association of State Procurement Officials

ACRONYMS (Continued)

NCB	Non-Competitive Bid
NMFC	National Motor Freight Classification
Non-IT	Non-Information Technology
OHR	Office of Human Resources
OSP	Office of State Publishing
OSDS	Office of Small Business and Disabled Veteran Services
PC	Post Consumer
PE	Purchase Estimate (STD 066)
PER	Purchase Estimate Request
PIA	Prison Industry Authority
PCC	Public Contract Code
PCO	Procurement and Contracting Officer
PL	Plastic Products
PO	Purchase Order
PP	Paper Products
PT	Paint
PQ	Printing and Writing Paper
QRG	Quick Reference Guide
RC	Receiver
RCP	Recycled Content Products
RFO	Request for Offer
RFP	Request for Proposal
RFQ	Request for Quote
RQS	Requisition
SABRC	State Agency Buy Recycled Campaign
SAM	State Administrative Manual
SB	Small Business
SCM	State Contracting Manual
SCO	State Controller's Office
SCPRS	State Contract and Procurement Registration System (eProcurement)
SCR	Special Category Request
SLP	Software Licensing Program
STD	Standard State Form
STMM	State Telecommunications Management Manual
SVS	Material Management System
TACPA	Target Area Contract Preference Act
TD	Tire-Derived Products
TEC	Travel Expense Claim
TI	Tires
TMU	Transportation Management Unit
UPM	Unit Procedures Memorandum
WSCA	Western State Contracting Alliance
WSVS	Web-Based Services and Supply System

RESOURCES

State Contracting Manual (SCM) Volume 2

<http://www.dgs.ca.gov/pd/Resources/publications/SCM2.aspx>

State Contracting Manual (SCM) Volume 3

<http://www.documents.dgs.ca.gov/pd/poliproc/pdfCompleteSCMv3/pdfCompleteSCMv3.pdf>

DCA Client Purchasing Handbook: http://inside.dca.ca.gov/offices/oas/bso/purchasing_handbook.pdf

DGS Transportation Management: <http://www.dgs.ca.gov/pd/Programs/Transportation.aspx>

DGS Procurement Division: <http://www.dgs.ca.gov/pd/home.aspx>

State Administrative Manual (SAM): <http://sam.dgs.ca.gov/default.htm>

CA Department of Resources Recycling and Recovery: <http://www.calrecycle.ca.gov/StateAgency/>

Public Contract Code: <http://www.leginfo.ca.gov/calaw.html>

Prison Industry Authority: <http://catalog.pia.ca.gov/>