

Procurement Policies and Procedures Manual and Desktop Procedure Manual Checklist

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

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

Please submit only one checklist for your department to include responses for both Non-Information (IT) and IT P&P and Desktop Procedures Manual.

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

MANUAL GENERAL INFORMATION REQUIREMENTS

#	Manual Component	DGS USE ONLY Compliant
1.	Title Page	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Table of Contents Numbering System – chapter, section, page numbers, and revision date. All pages must be numbered and include the latest revision date. Page numbers listed below <u>must</u> correspond to the related topic.	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Introduction to Manual a. purpose of manual b. intended audience c. Location of manual (intranet, hardcopy, etc.) and its availability to employees.	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Manual Updates Identify how and when updates to the desktop manual will occur.	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Acronym List	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	P&P has been spellchecked and proofed for spelling, grammatical errors, and content	<input type="checkbox"/> Yes <input type="checkbox"/> N
7.	All referenced documents are included as attachments and have web links that work	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.	P&P Language Written by Department to Intended Audience and Not a Replication of SCM	<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

#	Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
1.	<p>SCOPE OF PURCHASING AUTHORITY AND EXCLUSIONS List approved purchasing authority categories, sub-categories, and dollar threshold limits per the Department's current Purchasing Authority Approval Letter (PAAL) and a list of exclusions from purchasing authority. Note: Exclusions do not apply to IT Purchasing Authority. References: SCM Vol. 2, Ch. 1, 1.A2.0-3, SCM Vol. 3, Ch. 1, 1.A2.0-3, and SCM F, Ch. 1.A2.02</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	<p>PROCUREMENTS EXCEEDING PURCHASING AUTHORITY THRESHOLDS Explain: when a Purchase Estimate (STD. 66) is required; the process to complete the form; what documents to attach; where to submit, i.e. DGS/PD or CDT; and when to submit a Purchasing Authority Increase Request (PAIR) to DGS/PD. Please include a web link in your P&P and a copy of the STD. 66 as an attachment. References: SCM Vol. 2, Ch. 1, 1.A2.4 & Ch. 2, 2.C6.0-3, SCM Vol. 3, Ch. 1, 1.A2.4 and Ch. 2, 2.C6.03, and SCM F, Ch. 1, 1.A2.3</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	<p>ORDER SPLITTING Explain the department's policy prohibiting the splitting of orders to evade the bidding or advertising requirements or to circumvent the approved purchasing authority thresholds. References: SCM Vol. 2, Ch. 1, 1.A2.5, SCM Vol. 3, Ch. 1, 1.A2.5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	<p>PROCURING FOR ANOTHER DEPARTMENT(S) (PRIMARY & SECONDARY) (IF APPLICABLE) If the department (Primary) is procuring for another department(s) (Secondary), explain the procedures for the Secondary department(s) to request and coordinate procurements with the Primary department. References: SCM Vol. 2, Ch. 1, Ch. 1, 1.B2.0-1.B2.9, and SCM F, Ch. 1, 1.9A.0-1.9A.2</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	<p>DELEGATING PURCHASING AUTHORITY WITHIN THE DEPARTMENT & SUB-DELEGATIONS (IF APPLICABLE) Explain the department's policy/criteria for determining staff assignments in the procurement unit and in other offices/units outside of the procurement unit that have sub-delegated purchasing authority. Identify staff positions, their assigned purchasing categories (i.e. LPA, competitive, IT, non-IT), and their dollar limits. References: SCM Vol. 2, Ch. 1, 1.A3, SCM Vol. 3, Ch. 1, 1.A3.0, and SCM F, Ch. 1, 1.A4.5, and 1.A3.7</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	<p>SIGNATURE AUTHORITY List what positions (titles/civil service classifications) are authorized to approve and sign procurement documents, as well as approve in the FI\$Cal system, the procurement categories authorized, and their authorized dollar thresholds.</p> <p>FI\$Cal: List what positions (titles/civil service classifications) are authorized to approve and sign procurement documents and approve procurement activities in FI\$Cal, the procurement categories authorized, and their authorized dollar thresholds. References: SCM Vol. 2, Ch. 1, 1.A3.0 and Ch. 8, 8.2.3, SCM Vol. 3, 1.A3.0 and Ch. 8, 8.33, and SCM F, Ch. 9, 9A.1.5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
7.	<p>TRAINING POLICY/PROGRAM In accordance with the training policy requirement in Public Contract Code Sect. 10333, describe the department's policy to provide procurement-related training opportunities for staff involved in the procurement process.</p> <p>a. Include requirement for all staff involved in the procurement process to be trained at the appropriate levels for the types, categories, and dollar thresholds of the procurements each staff conducts.</p> <p>b. List the procurement-related resources the department requires its procurement staff be familiar with.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

#	<i>Manual Component</i>	<i>Non-IT Page(s)</i>	<i>DGS USE ONLY Non-IT Compliant</i>	<i>IT Page(s)</i>	<i>DGS USE ONLY IT Compliant</i>
	<p>c. Include requirement for all procurement staff to complete DGS/PD California Procurement and Contracting Academy (Cal-PCA) Basic Acquisitions Certification Program (BACP) training classes and the other Cal-PCA acquisitions training classes available that would be helpful to procurement staff.</p> <p>d. Include requirement for all procurement staff to complete FI\$Cal User Productivity Kit (UPK) Trainings as well as the other FI\$Cal acquisitions training classes available that would be helpful to procurement staff.</p> <p>e. Describe the internal and/or external training provided/required by the department for procurement staff.</p> <p>f. Include requirement for the Cal-Card Administrator and anyone issued a Cal-Card to complete Cal-Card training.</p> <p>ACQUISITION REQUEST PROCESS Explain the department's requisition process for centralized and decentralized purchases, including: a copy of the requisition document as an attachment and procedures on completing the form; levels of approval; and required support documentation (i.e. justification, reviews/approvals, funding, specifications, and SOW)</p> <p>CONDUCTING PROCUREMENT ACTIVITIES Provide detailed step-by-step instructions on how to conduct a purchasing activity for the requested or current approved dollar threshold. Procedures must reflect dollar thresholds of each category requested or currently approved.</p> <p><i>Tip: Look at each purchasing authority type/category. Organize the information, use a flow chart to establish the sequence of work and integrate SCM requirements to support the procedure</i></p> <p>FI\$Cal: Explain the training required and available to department procurement staff for FI\$Cal processes. References: SCM Vol. 2, Ch. 1, 1.A3.0, 1.A4.1, 1.C1.3, Ch.9, 9.B4.2, SCM Vol. 3, 1.A3.0, Ch.8, 8.33, Ch. 9, 9.B4.2, and SCM F, Ch. 1, 1.A3.5, 1.A3.7, 1.A3.13, 1.A4.5, Ch. 8, 8.B3.2 and Ch. 9, 9.A1.5</p>				
8.	<p>CONTROLLING AND REVIEWING PURCHASING PRACTICES Explain how department staff controls and reviews purchasing practices and monitors the department's progress in meeting and/or exceeding purchasing authority standards and continuous improvement of the department's purchasing program. (e.g. management oversight, review and approval of requisitions, solicitations and awards, database (SCPRS) tracking inside and outside of the FI\$Cal system, and audits, training, procurement log, documentation checklists, and ethics training)</p> <p>FI\$Cal: Explain the workflow approval processes in FI\$Cal including: management oversight, review and approval of requisitions, solicitations and awards, procurement log, documentation checklists, and database (SCPRS) tracking. References: SCM Vol. 2, Ch. 1, 2 & 4, SCM Vol. 2, Ch. 1, 1.A3.0, SCM Vol. 3, Ch. 1, 1.A3.0, and SCM F, Ch. 1, 1.A3.5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
9.	<p>INTERNAL AUDITING OF PURCHASING ACTIVITIES Identify the departmental staff responsible to perform audits, frequency of audits, focus of the audits, criteria used to determine compliancy (checklists), requirements of a corrective action plan, etc. Include the audit forms used as attachments to the P&P. If the department doesn't have auditing capabilities, then specify entity responsible for internal auditing of purchasing activities (e.g. department, other than DGS/OAS).</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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	<p>FI\$Cal: Explain how FI\$Cal is used as an internal audit tool; frequency of audits, focus of the audits, criteria used to determine compliancy (checklists), requirements of a corrective action plan. References: SCM Vol. 2, Ch.1, 1.B4.6, 1.C1.3, SCM Vol. 3, Ch. 1, 1.A3.0, and SCM F, Ch. 1, 1.A3.5</p>				
10.	<p>CONFLICT OF INTEREST (COI)/INCOMPATIBLE ACTIVITIES (IA) POLICY & STATEMENT AND ACCEPTING GIFTS AND GRATUITIES Explain the policy requiring every staff person involved in the procurement process to sign a COI/IA at least once during their tenure with the department, including those who prepare requisition requests, receive goods and approve payment. Department must either use the sample COI statement provided in the SCM or develop their own (department's own form must be submitted to DGS/PD for approval). The P&P must include: policy requiring all procurement staff to be aware of possible conflicts and sign a COI/IA; a copy of the COI statement included as an attachment; where form is located (hardcopy & web link); and where completed statements are maintained. Copies of signed COI/IA's should be maintained in the procurement office.</p> <p>References: SCM Vol. 2, Ch. 1, 1A3.0 and Ch. 1, 1.B4.5; Ch. 2, 2.A2.0; Ch. 11, 11.3.0-2, SCM Vol. 3, Ch. 1, 1.A3.0, Ch.1, 1.B4.5, Ch. 2, 2.A2.0-4; Ch. 11, 11.3.0-2, and SCM-F, Ch. 1, 1.A3.11; Ch. 2, 2.A2.0</p> <p>Note: The COI and IA are not to be confused with #11 Confidentiality Policy & Statement. The COI/IA Statements need to be maintained in a central location, preferably in the procurement office, for audit purposes.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
11.	<p>CONFIDENTIALITY POLICY AND STATEMENT The department must have a Confidentiality Policy and a Confidentiality Statement to ensure department staff maintains confidentiality in all procurement activities. The department must either use the sample confidentiality policy & statement provided in the SCM or develop their own. The P&P must include: policy requiring all procurement staff to maintain confidentiality in all procurement activities and sign a Confidentiality Statement for each procurement; a copy of the statement as an attachment; where form is located (hardcopy & web link); who needs to sign; and where completed statements are maintained. Confidentiality Statements should be maintained in each individual procurement file. References: SCM Vol.2, Ch.4, 4, 4.A1.3-5, and SCM-F, Ch. 4, Resources</p> <p>Note: The Confidentiality Policy & Statement is not to be confused with COI/IA. The Confidentiality Policy & Statement should be completed for each competitive solicitation by the buyer and all those involved with that particular project, including the bidders. The signed Confidentiality Statements should be maintained in each procurement file.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
12.	<p>ETHICS & CONFLICTS Department personnel involved in procurement activities are either directly or indirectly spending public funds and are subject to public scrutiny. Explain how the department ensures that personnel involved in procurement activities:</p> <ol style="list-style-type: none"> a. Act responsibly. b. Conduct business honestly. c. Avoid wasteful and impractical purchasing practices. d. Avoid real or perceived conflicts when conducting business on the State's behalf. e. Advise departmental personnel of expected standards of ethical and moral behavior during any procurement activities involving their participation. <p>Click here to access the Fair Political Practices Commission's web page for additional information.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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#	Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
	Reference: SCM Vol. 2 and Vol. 3, Ch. 1, 1.A3.0, 1.A4.1 and 3, Ch.2, 2.A1.1; Ch. 11, 11.3.0, and SCM-F, Ch. 1, 1.A3.6				
13.	<p>SEPARATION OF DUTIES Explain the department's policy to maintain sufficient separation of duties in order to reduce the risk of error or fraud in the department's purchasing program and list the key duties and the staff person(s) responsible for each duty. Key duties and responsibilities should be segregated to separate the responsibilities for: conducting procurements; approving purchase documents; acknowledging and receiving goods and services; approving invoices; and preparing payments. Note: No one person shall control more than one of the key aspects of procurement activities listed above.</p> <p>Fi\$Cal: The Fi\$Cal system enforces separation of duties based on user roles. Refer to SCM-F, Ch.1, Topic 5 of this Section C, Role Mapping, for more information. References SCM Vol.3, Ch. 1, 1.A4.4, Ch. 9, 9.A5.5, Ch. 10, 10.1.1, and SCM-F, Ch. 1, 1.A3.7; Ch. 1, Topic 5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
14.	<p>ADDITIONAL PRE-PROCUREMENT REVIEWS AND APPROVAL REQUIREMENTS Explain the department's requirement and procedures for buyers to obtain other approvals as may be required from: Prison Industry Authority (PIA), DGS Surplus Property, DGS Office of Records & Information Management (CalRIM), DGS/PD, DGS/OLS, DGS/RESD, DGS/OFAM (Fleet), DGS/OSP, CDT STPD, CDT Telecom, State Personnel Board, represented employee organizations, and Department of Conservation. References SCM Vol. 2, Ch. 2, Section C), SCM Vol. 3, Ch. 2, Section C. and SCM F, Ch. 2, Section C</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
15.	<p>GIFT OF PUBLIC FUNDS Explain the department's understanding and compliance, and prohibitions. References SCM Vol. 2, Ch. 2, 2.A2.3, SCM Vol. 3, Ch. 2, 2.A2.0, and SCM F, Ch. 2, 2.A2.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
16.	<p>CLASSIFYING THE PURCHASE Explain importance of properly classifying purchases, how to determine main purpose of purchase, Non-IT vs. IT, Goods vs. Services. References SCM Vol. 2 Ch. 2, 2.B1.0– 2.B1.8, SCM Vol. 3, Ch. 2, 2.B1.0 – 2.B1.7, and SCM F, Ch. 2, Topic 1 and Topic 2</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
17.	<p>PROCUREMENT PLANNING, BUYER REVIEW, AND INTERNAL/EXTERNAL REVIEWS Explain the procedures for buyer to review/approve requisition documents and conduct the procurement, approval criteria, internal reviews, process for in-house legal review, and required external reviews. References SCM Vol. 2, Ch. 2, Section B, SCM Vol. 3, Ch. 2, Section B, and SCM F, Ch. 2, Topic 1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
18.	<p>DETERMINING THE APPROPRIATE PROCUREMENT APPROACH Explain the procedures and factors to be considered in determining the appropriate procurement approach: PIA; SB/DVBE Option; Competitive, Non-Competitive; Informal/Formal; LPA. References SCM Vol. 2, Ch. 2, 2.B2.3, SCM Vol. 3, Ch. 2, 2.B3.3, and SCM F, Ch. 2, Topic 1, 2 and 3</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
19.	<p>SPECIFICATION DEVELOPMENT For the procurement of goods, departments must have policies and procedures to develop a technical specification clearly detailing the necessary qualities and functions of the goods without being restrictive to competition. The DGS/PD Engineering Services is available to assist departments in providing technical knowledge and assistance in planning efforts and specification preparation. Include links below in your P&P. Refer to SCM F, Ch. 2, Section G, Resources at the end of the chapter for DGS/PD Engineering Services web page. References SCM Vol. 2, Ch. 2, 2.B2.4, and SCM Vol. 3, Ch. 2, 2.B3.5 - 2.B3.6, and SCM F, Ch. 2, 2.B9.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

#	Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
20.	<p>CONTRACTED PERSONAL SERVICES Explain what to consider and justification for contracting for personal services, include required notification and approval of the SPB and/or represented employee organizations. References SCM Vol. 2, Ch. 2, 2.B3.3 and 2.C5.2 SCM Vol. 3, Ch. 2, 2.B4.3, and SCM F, Ch. 2, 2.B3.3</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
21.	<p>BLANKET PURCHASE ORDERS Explain the department's policy and procedures for issuing a blanket purchase order including: the department must document why it is in the State's best interest to execute a blanket purchase; in no case may a blanket purchase exceed \$4,999.99 per transaction, unless the blanket purchase is issued under an LPA; and copies orders placed against the blanket purchase document must be kept in the procurement file. References: SCM Vol. 2, Ch. 2, 2.B3.5, and SCM F, Ch.2, 2.B3.9</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
22.	<p>SHIPPING CHARGES & TRANSPORTATION MANAGEMENT UNIT (TMU) Explain the policy and procedures: types of shipping methods; preferred method; and when to contact TMU to determine freight costs. Requirement for freight bill audit and TMU audit stamp. Add TMU contact information: address; phone number; fax, email, and web link. References: SCM Vol. 2, Ch. 2, 2.B3.6, Ch. 8, 8.5.0-8.5.2 and Ch. 9, 9.A6.1, and SCM F, Ch. 2, Topic 5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
23.	<p>TERM PURCHASES Explain the department's policy on establishing Term Purchases. Include criteria for a term purchase: a specified time period – not to exceed 36 months; a specified list of products and quantities; and routinely acquired items. Also include solicitation requirements and specific language to be included in solicitations. References: SCM Vol. 2, Ch. 2, 2.B3.7, and SCM F, Ch. 2, 2.B3.10</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
24.	<p>NON-DISCRIMINATION INELIGIBILITY AND EXCEPTION Explain the department policy to determine contractor eligibility before award; contractors that do not meet the provisions of GC 12990 are not eligible to contract with the State for non-IT and IT goods; include link in P&P to find ineligible contractors in the California Regulatory Notice Register: http://www.oal.ca.gov/Notice_Register.htm. Please also state the exception to GC 12990 when using Cal-Card and the department is to monitor the use of this exemption and adhere to the restrictions on these purchases. Include documentation of eligibility in procurement file. References: SCM Vol. 2, Ch.2, 2.B3.10-2.B3.11, SCM Vol. 3, Ch.2, 2.B4.12, and SCM F, Ch.2, 2.B4.3</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
25.	<p>DARFUR CONTRACTING ACT Explain the requirements of the Act, policy requiring suppliers to certify, applies to all Non-IT acquisitions regardless of procurement approach, method, or solicitation format except for LPA's, etc. The P&P must include a sample certification as an attachment and identify where document is located (hardcopy or web link), and file documentation. References: SCM Vol. 2, Ch. 2, 2.B3, and SCM F, Ch.2, 2.B4.6</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No	N/A	
26.	<p>LOSS LEADER Required statement to be included in all solicitations and list excluded acquisitions. References: SCM Vol. 2, Ch.2, 2.B3.13 –2.B3.14, SCM Vol. 3, Ch.2, 2.B4.10– 2.B4.11, and SCM F, Ch. 2, 2.B4.2</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
27.	<p>MISSION CRITICAL CERTIFICATION Required certification for all work, documents, or contracts to be initiated by or reviewed by DGS and who signs the certification. Include a copy of the certification as an attachment References: SCM Vol. 2 Ch.2, 2.B3.15, and SCM Vol. 3, Ch. 2, 2.B4.14</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

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28.	IRAN CONTRACTING ACT Policy requiring buyers to check list of ineligible vendors during bid evaluation, applies to all acquisitions of \$1,000,000 or more regardless of procurement approach, method, or solicitation format except for LPA's. P&P must include a copy of the document as an attachment to be used for suppliers to satisfy certification requirements. References: SCM Vol. 2, Ch.2, 2.B3.16, SCM Vol. 3, Ch. 2, 2.B4.15, and SCM F, Ch. 2, 2.B4.4		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
29.	TAX DELINQUENTS PROHIBITION POLICY Include language prohibiting tax delinquent persons or companies from bidding and file documentation requirements. Add the following links for verification: https://www.ftb.ca.gov/aboutFTB/Delinquent_Taxpayers.shtml http://www.boe.ca.gov/cgi-bin/delinq.cgi References: SCM Vol. 2, Ch. 2, 2.B3.18, and SCM F, Ch.2, 2.B4.5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
30.	STATEMENT OF WORK (SOW) Provide department policy and procedures for developing a SOW to document the details of the work to be performed, what to include in the SOW, etc. References: SCM Vol. 2, Ch. 2, 2.B4.0-2.B4.1 and SCM Vol. 3, Ch. 2, 2.B5.0-2, and SCM F, Ch. 2, 2.B8.14		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
31.	EMERGENCY PURCHASES Define the emergency and the process for the emergency in the response to the natural disaster vs. other than natural disaster. Describe the process when the department does not need to contact DGS and when the department needs to contact DGS. If the purchase is within/not within NCB contract purchasing authority, then the Form 42 is required for file documentation. References: SCM Vol. 2, Ch. 2, 2.B5.0-2.B5.5, and SCM F, Ch. 2, 2.B10.0-4		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
32.	OFFICE OF FLEET AND ASSET MANAGEMENT (OFAM) Explain procedures for the purchase of mobile equipment (vehicles), obtaining Fleet approval, and equipment excluded from Fleet oversight. References: SCM Vol. 2, Ch. 2, 2.C1.0-4, SCM Vol. 3, Ch. 2.B5.0-2, and SCM F Ch. 2, Topic 5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
33.	SURPLUS PROPERTY PROGRAM Explain program, available products, and required reports. References: SCM Vol. 2, Ch. 2, 2.C2.0-4, SCM Vol.3, Ch. 2, 2.C1.0-3, and SCM F, Ch. 2.C1.0-6		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
34.	PRISON INDUSTRY AUTHORITY (PIA) PROCUREMENT PROCEDURES Explain program requirements, available products, exemption process, ordering procedures; use of Cal-Card. References: SCM Vol. 2, Ch. 2, 2C3.0-7, and SCM F, Ch. 2, 2.D2.0-4		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
35.	COMMUNITY REHABILITATION PROGRAM (CRP) PROCUREMENTS Explain CRP, these purchases exempt from advertising requirements, competitive bidding, dollar threshold limits, and NCB requirements, and pricing must be documented as Fair and Reasonable. References: SCM Vol. 2, Ch. 2, 2.C4.0, and SCM F, Ch.2, 2.C2.0		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
36.	DOCUMENTING DECISIONS Explain procedure to fully document each procurement: beginning with identifying the need to purchase through the completed purchase transaction. References: SCM Vol. 2, Ch. 2, Sects. 2. D1.0-4, SCM Vol. 3, Sects. 2.D1.0-4 and SCM F, Ch. 2, 2.F1.0-4		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
37.	AMERICANS WITH DISABILITIES ACT/REASONABLE ACCOMMODATION Explain department's policy and procedures that ensure that the procurement process is available to all persons including those with disabilities. Identify your department's ADA Coordinator. References: SCM Vol. 2, Ch. 3, SCM Vol. 3, Ch. 3, 3.1.0-2, and SCM F, Ch. 3, 3.A1.0		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

#	Manual Component	Non-IT Page(s)	DGS USE ONLY Non-IT Compliant	IT Page(s)	DGS USE ONLY IT Compliant
38.	<p>SMALL BUSINESS PROCUREMENT AND CONTRACTING ACT AND DVBE PARTICIPATION Explain the department's policies ensuring commitment to complying with Small Business Procurement and Contract Act and DVBE Participation Program requirements, contracting with SB/DVBE's, and meeting annual participation goals. Define the goals and the available procurement approaches to achieve goals. References: SCM Vol. 2 & 3, Ch. 1 & 3, and SCM F, Ch. 3, 3.A2.1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
39.	<p>SB/DVBE ADVOCATE Identify the SB/DVBE Advocate and how to contact them, describe their roles and responsibilities and how they will be involved in the department's procurement process. References: SCM Vol. 2, Ch. 3, SCM Vol. 3, Ch. 3, 3.2.2, and SCM F, Ch. 3, 3.A2.2</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
40.	<p>SB/DVBE OPTION Explain this purchasing option: dollar thresholds; department's commitment to utilizing the option; advertising requirement is eliminated; establishing mailing lists; how to process a procurement using the Option; verification of SB/DVBE certification; file documentation. References: SCM Vol. 2, Ch. 3, 3.2.4 & Ch. 4, 4.B5.0-3; SCM Vol. 3 Ch. 3, 3.2.4 & 4.B7.0-1, and SCM F, Ch. 3, 3.A2.4</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
41.	<p>SB/DVBE OFF-RAMP Explain policy and procedures to use the Off-ramp. Explain requirements: only used for Mandatory Statewide contracts; equivalent products; equal to or less than contract price; transactions must be less than \$250,000; documentation for transactions less than \$5,000; documentation for transactions \$5,000 to maximum (for transactions \$5,000 to \$249,999.99 departments must obtain price quotations from two or more California certified SBs or DVBEs (and must be the same certification type); verification of SB/DVBE certification; file documentation. Note: If these rules cannot be applied departments may not use the SB/DVBE Off-Ramp provision to buy outside of the Mandatory Statewide contract. References: SCM Vol. 2, Ch. 6 6.C1.4-5, SCM Vol. 3 Ch. 6, 6.D1.5-6, and SCM F, Ch. 5, 5.B1.5</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
42.	<p>VERIFICATION OF SB/DVBE CERTIFICATION STATUS Explain policy and procedures for verification prior to award regardless of procurement approach. The certification data (SB/DVBE reference number, status, term, and business type) provided from an inquiry, when applicable, must be maintained within the procurement file. Include web link to SB/DVBE Services web page. http://www.dgs.ca.gov/pd/Programs/OSDS.aspx References: SCM Vol. 2, Ch. 3, 3.2.5, SCM Vol. 3, Ch. 3, 3.2.5, and SCM F, Ch. 3, 3.A2.5.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
43.	<p>COMMERCIALLY USEFUL FUNCTION (CUF) Explain policy and procedures on how to determine CUF in all procurements with SB/DVBE participation and requirement for Bidder Declaration and DVBE Declaration (STD. 843) to be included in solicitations, with or without exceptions, and completed by bidders. Include copies of the declarations as attachments and add web links. References: SCM Vol. 2, Ch. 3, 3.2.6-7, SCM Vol. 3, Ch. 3, 3.2.6-7; SCM Vol.2, Ch. 3, 3.5.8-9, and SCM-F, Ch. 3, Sect. 3.A2.6-7</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
44.	<p>DVBE PROGRAM REQUIREMENTS AND INCENTIVE Explain the department's policies and procedures to comply with DVBE Program Requirements, how to apply the DVBE Incentive to competitive procurements with DVBE participation, how to calculate the incentive, and how to document procurement file. References: SCM Vol. 2, Ch. 3, 3.5.0 – 3.5.13, SCM Vol. 3, Ch. 4, 4.B2.8, Ch. 3 Topic 4, and SCM-F, Ch. 3, 3.A3.1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

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45.	WAIVING THE DVBE PARTICIPATION/INCENTIVE REQUIREMENT Explain the department understands that the department's executive officer (i.e. director or designee) has discretion to waive the DVBE participation requirement from individual solicitations, however, the 3% annual goal still applies, and the department buying staff's requirement to complete the DVBE Incentive Waiver and approval by the department's executive officer, and document the procurement file whenever the requirement is being waived. Include a copy of the waiver as an attachment and add web link. References: SCM Vol. 2, Ch. 3, 3.3.1, and SCM 3, Ch. 3, 3.4.4, and SCM-F, Ch. 3, 3.A4.4		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
46.	SB AND NON-SB SUBCONTRACTOR PREFERENCE Explain the department's policy and procedures to apply preference to competitive procurements with SB and non-SB participation, exceptions, preference amount and maximum amount, how to calculate preference, use of Bidder Declaration, CUF evaluation, and include a copy as an attachment, and how to document procurement file. References: SCM Vol. 2, Ch.3, 3.60-5 & 3.7.0-7; SCM Vol. 3, Ch. 3, 3.6.1, and SCM-F, Ch. 3, 3.A4.5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
47.	TARGET AREA CONTRACT PREFERENCE ACT (TACPA) PREFERENCE PROGRAM Explain the policy and procedures on the what, how and when to apply the TACPA preference to competitive solicitations more than \$100,000 (include in solicitations over \$85k), preference amount and maximum preference, documentation and required approvals. References: SCM Vol. 2, Ch. 3, 3.9.0-7; SCM Vol. 3, Ch. 3, 3.9.0, and SCM F, Ch. 3, 3.A9.0		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
48.	STATE AGENCY BUY RECYCLED CAMPAIGN (SABRC) PROGRAM Explain the policy and procedures on the what and how to comply with SABRC program requirements including, but not limited to: recycled content product purchasing; recycled preference; non-compliant trash bag manufacturer ineligibility for State contracts; requirement for supplier certification of recycled content (PCRC CIWMB Form 74) to be included in solicitations and a copy of the certification as an attachment and web link; and recycled tire preference. Include links below in your P&P. References: SCM Vols. 2 & 3, Ch. 3, 3.10.0-10, and SCM-F, Ch. 3, 3.B1.1 http://www.calrecycle.ca.gov/BuyRecycled/StateAgency/Buying.htm SABRC@CalRecycle.ca.gov CalRecycle's website		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
49.	ENVIRONMENTALLY PREFERRED PURCHASING (EPP) Explain EPP program requirements, policy to commit to compliance, required commodities to be purchased, EPP Best Practices, add links to the DGS Buying Green website and the Buying Green Guide for Buyers website, and describe the department's commitment to purchase products that meet the Federal Energy Management Program recommended standards. References: SCM Vols. 2 Ch. 3, 3.11.0-3 and SCM Vol. 3, Ch. 3, 3.11.0-3, and SCM-F, Ch. 3, 3.B2.2 http://www.dgs.ca.gov/buyinggreen/Home.aspx http://www.dgs.ca.gov/buyinggreen/Home/BuyersMain.aspx		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
50.	INFRASTRUCTURE-RELATED BOND ACT OF 2006 (IF APPLICABLE) Explain policies and procedures if the department awards infrastructure contracts with proceeds from the I-Bonds. References: SCM Vol. 2, Ch.3, 3.12.0-9, and SCM F, Ch. 3, 3.B3.0-9		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
51.	DEVELOPING SUPPLIER RESOURCES Explain policy and procedures to broaden supplier base, increase competition, and solicit SB/DVBE suppliers whenever possible by establishing supplier mailing lists, using Request for Interest (RFI). References: SCM Vol. 2, Ch. 4, 4.A2.0-4, and SCM F, Ch. 4, 4.D1.3		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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52.	<p>ADVERTISING REQUIREMENTS - CALIFORNIA STATE CONTRACTS REGISTER (CSCR) State the CSCR advertising requirements, dollar thresholds for Non-IT & IT, exemptions and exemption process, advertising requirement is eliminated when using the SB/DVBE Option, required file documentation, etc. Include link to the Contract Advertising Exemption Request (STD.821) and a copy as an attachment. References: SCM Vol. 2, 4.A3.1, SCM Vol. 3, 4.A2.1, and SCM F, Ch. 4.A2</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
53.	<p>INFORMAL VS. FORMAL SOLICITATIONS Define Informal and Formal, types of solicitation documents used, and dollar thresholds. References: SCM Vol. 2, Ch.4, 4.B1.0, SCM Vol. 3, Ch. 4, 4.B1.0, and SCM F, Ch. 4, 4.D1.0 and 4.E1.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
54.	<p>PHONE QUOTES Explain the policy, including dollar thresholds, and procedures for conducting a phone quote including requirement for buyers to develop and use a 'script' with appropriate language to ensure that each bidder is being equally informed, referring bidders to PD web page for Bidder's Instructions and General Provisions, and documenting the quote using the Bid/Quote Worksheets. Include a copy of the Bid/Quote Worksheet and a copy of a Phone Quote script as attachments. Both the phone script and bid/quote worksheet need to be included in the procurement file. References: SCM Vol. 2 Ch. 4, 4.B1.1, SCM Vol. 3, Ch. 4, 4.B1.1, and SCM F, Ch. 4, 4.D1.1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
55.	<p>COMPETITIVE WRITTEN SOLICITATIONS Explain the policies and procedures for using written solicitations including: written solicitation formats (RFO, RFQ, IFB, RFP); when you may/must use; advertising requirement; distribution methods; supplier signature requirements; solicitations should be clear and concise; avoid restrictive requirements; required language; common elements of a written solicitation; faxed bid response language; preference program requirements; solicitation addenda procedure requirements; documenting results; etc. The P&P must include sample solicitations as attachments and identify where they are located (hardcopy & web link). <u>Do not use sample solicitations from the SCM.</u> References: SCM Vol. 2, Ch. 4, Section B, SCM Vol. 3, Ch. 4, Section B and, and SCM- F, Ch. 4, Section B, Topic 1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
56.	<p>OBTAINING SELLER'S PERMIT Explain the policy requiring seller's permit for all purchases of goods, language in solicitations requiring bidder to submit permit and procedures for buyers to always verify that the seller's permit is active by going to the Board of Equalization (BOE) website provided at the link below and print the validation page to include in the procurement file documentation. https://efile.boe.ca.gov/boewebservices/verification.jsp References: SCM Vol. 2, Ch. 4, 4.B6.3; Vol. 3, Ch. 4, 4.B8.6, and SCM F, Ch. 4, 4.B3.3</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
57.	<p>BIDDER INSTRUCTIONS & GENERAL PROVISIONS Provide the policy requiring use in all solicitations and add current revision dates for Bidders Instructions (11/09/11) and General Provisions (GP) for Non-IT, (06/08/2010) and IT (09/05/14). Include the eight (8) non-IT and nine (9) IT required provisions in solicitations under \$5,000 if the GP's are not used. Bidder Instructions are required in all competitive solicitations except for IT solicitations over \$1,000,000. Include website link for these documents in the P&P: https://www.dgs.ca.gov/pd/Resources/ModelLanguage.aspx Note: IT Special Provisions have been incorporated into the IT General Provisions (Rev. 11/27/13).</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

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	References: SCM Vol. 2 , Ch. 4, 4.B1.1, 4.B3.2, 4.B6.0-4.B6.2, Ch. 5, 5.6.1 SCM Vol. 3, Ch. 4, 4.B1.1, 4.B3.2, 4.B4.1, 4.B8.0-4.B8.4, Ch. 5, 5.7.1, and SCM F, Ch.4, 4.B2.1, 4.B3.0, 4.D1.1, 4.D2.2, 4.D4.0, and Ch. 6, 6.6.1				
58.	FAIR AND REASONABLE PRICING PROCEDURES Explain the policy and procedures on purchases under \$5,000, techniques buyers use to determine fair and reasonable pricing and how to document fair and reasonable. Also add the following language on Fair and Reasonable: GC 14838.5 (c) states: "if the estimated value of a transaction is under \$5,000.00, a state agency shall obtain at least two (2) price quotations from responsible suppliers whenever there is reason to believe a response from a single source is not a fair and reasonable price." References: SCM Vol. 2, Ch. 4, 4.C1.0 , 4.C2.0 - 4.C2.2, 4.D1.4, Ch. 5, 5.5.3, SCM Vol. 3, Ch. 4, 4.C1.0, 4.C2.0, 4.C2.1, 4.D6.1 and Ch. 5, 5.A1.2 and 5.A4.2, and SCM-F, Ch. 4, 4.D5.0		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
59.	SUPPLIER ASSESSMENT/EVALUATION AND SELECTION Explain the policy and procedures: evaluator's responsibility; confidentiality; assessment/evaluation documentation; assessment/evaluation and selection team procedures; assessment/evaluation documents (Bid/Quote Worksheet, Assessment/Evaluation & Selection Report, etc.); public record availability; bid response/award availability. References: SCM Vol. 2, Ch. 4, Section D, Topic 1, SCM Vol. 3, Ch. 4, Section D, Topic 1, and SCM F, Ch. 4, 4.B2.0-4.B2.6, 4.C1.0-4.C1.3, 4.C4.0-4.C4.1, 4.C5.0-4.C5.2, 4.D6.0-4.D6.1, 4.E2.5-4.E2.8, 4.E3.0, 4.E4.0		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
60.	DETERMINING RESPONSIVE BID AND RESPONSIBLE BIDDER Explain the policy and procedures: define responsive and responsible; how to determine effective competition; options to take if competition is not achieved; and file documentation. References: SCM Vol. 2, Ch.4, Section D, Topic 2, SCM. Vol. 3, Ch. 4, Section D, Topic 2, and SCM F, Ch. 4, Section C, Topic 2, Ch. 4, 4.C2.0-4.C2.5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
61.	AWARD TO OTHER THAN LOW BIDDER Explain the policy and procedures in determining low bidder's non-compliance; informal vs. formal solicitation documentation and process; documenting file in sufficient detail; does not apply to SB/DVBE awards due to preference/incentive. References: SCM Vol. 2, Ch. 4, 4.D2.5, SCM Vol. 3, Ch. 4, 4.D2.5, Ch. 4, 4.D.6, and SCM F, Ch. 4, 4.C2.5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
62.	MATERIAL/IMMATERIAL DEVIATIONS Explain the policy and procedures: "requirement or condition" vs. "desirable attribute or condition"; "material" vs. "immaterial" deviations; determining responsiveness; add Deviation Worksheet as an attachment; and file documentation. References: SCM Vol. 2, Ch. 4, Section D, Topic 4, Ch. 4, 4.D4.0-4.D4.5, SCM Vol. 3, Ch. 4, 4.D4.0-4.D4.5, 4.B4.4, 4.B5.2, 4.D2.2, and SCM F, Ch. 4, 4.C3.0-5.C3.5, 4.B2.4, and 4.C2.2		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
63.	ASSESSMENT/EVALUATION AND AWARD Explain policy and procedures: bid submission; fax bids; Procurement Summary; Bid/Quote Worksheet; Assessment/Evaluation & Selection Report; Intent to Award; Notice of Intent to Award; policies for awarding tie bids; IT Value Effective methodology; two-envelope evaluation; Cost Proposal Certificate; and file documentation. References: SCM Vol. 2, Ch. 4, 4, 4.D5.0-4.D5.5, SCM Vol. 3, Ch. 4, 4,D5.0-4.D5.5, 4.D6.0-4.D5.3, and SCM F, Ch. 4, 4.C4.0, 4.C4.1 4.C5.0-4.C5.2 and 4.E4.0-4.E4.1		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
64.	NON-COMPETITIVELY BID (NCB) & SPECIAL CATEGORY REQUEST NCB (SCR) CONTRACTS Cite NCB legal authority per PCC 10301 & 10302. Explain the policies and procedures for conducting NCB purchases: these types of contracts should be used only when fully justified; establish mailing lists using a variety of means to locate potential suppliers; state your department's NCB delegated amount (Non-IT & IT) per your current PAAL; NCB's above this amount		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

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	need either DGS/PD or CDT approval; and for conducting purchases exempt from NCB process. SCR's have no delegated authority; all SCR's need DGS/PD approval. Include links to the NCB Contract Justification (GSPD-09-007), SCR (GSPD-09-008), and Exemption from Advertising (STD. 821) and add as attachments to the P&P. References: SCM Vol. 2, Ch. 5, SCM Vol. 3, Ch. 5, and SCM Vol. F, Ch. 6				
65.	LIMIT TO BRAND (LTB) Explain the policies and procedures for conducting LTB purchases: determining the need to acquire a specific brand or trade name, department's LTB delegated amount (Non-IT & IT) , all LTB's above delegated amount need DGS/PD or CDT approval; include link to Limit to Brand Statement (GSPD-08-001) and add as an attachment to the P&P References: SCM Vol. 2, Ch. 4, Topic 3, SCM Vol.3, Ch.4, C, Topic 3, and SCM F, Ch. 2, 2.B6.0-2.B6.7		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
66.	EXEMPT CONTRACTS PROCEDURES – BASED ON STATUTE OR POLICY Procedures should include how to: a. Conduct a purchase that is exempt from competitive bidding and/or NCB justification processing when the transaction is exempt by statute or policy b. Develop the solicitation and obtain the price quote from the supplier c. Provide sufficient detail in the procurement file to identify the rationale to exempt the purchase from competitive bidding or advertising by stating specific statute or policy. d. Document procurement file identifying how the purchase cost reasonableness was established. References: SCM Vol.2, Ch. 5, Topics 5 & 6 and SCM Vol. 3, Ch. 5, Topics 6 & 7, and SCM F, Ch. 6, Topic 5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
67.	LEVERAGED PROCUREMENT AGREEMENTS PROCUREMENTS Procedures for each type of LPA should include but not limited to the following areas: a. Use the State Contracts Index Listing to find LPA's. Add link to P&P: http://www.documents.dgs.ca.gov/pd/contracts/contractindexlisting.htm b. Review contract, user instructions and supplements on Bid Sync/FI\$Cal c. Use of LPA's not exempt from procurement policies and laws d. Contact State Contract Administrator with questions e. Mandatory vs. Non-Mandatory use f. SB/DVBE Off-ramp policy g. Minimum/Maximum order quantities and dollar amounts h. Requesting exemptions from LPA delegated dollar thresholds i. Appropriate documents to obtain pricing (RFO) and to execute orders (STD. 65 or 213) j. No protest language shall be included in LPA solicitations k. Obtaining multiple offers including SB/DVBE (if required) and documenting less than 3 offers. l. Verify contract pricing (Bid Sync, CMAS, GSA, etc.) to support the pricing offered m. Best Value – Criteria included in solicitation used to assess supplier offers and determine Best Value n. Where copies of LPA's are maintained in the department o. Validation of SB and/or DVBE status and validating participation p. The P&P must include a copy of the solicitation (RFO) as an attachment and identify where they are located (hardcopy & web link). <u>Do not use sample RFO from the SCM.</u> References: SCM Vol. 2, Ch. 6, and SCM F, Ch. 5		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
68.	PROTESTS AND POST AWARD DISPUTES Explain the process for a Protest of Proposed Award, the Alternative Protest Process (APP), and a Post-Award Dispute. Add requirements for when to include protest in competitive solicitation and language to be included, protest language not included in LPA transactions, when to contact DGS		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

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	and contact information. References: SCM Vol. 2, Ch. 6 & 7, and SCM F, Ch. 7				
69.	<p>PURCHASE DOCUMENT PROCEDURES Explain your department's procedures to complete and execute purchase documents including, but not limited to:</p> <ul style="list-style-type: none"> a. What, when and how to use purchase documents- References: i.e. STD. 65, 213, 215. b. Instructions on how to properly complete purchase documents c. Explain the purchase document numbering system and who assigns the numbers d. How and when to use purchase documents for CAL-Card transactions e. CAL-PIA Orders f. Avoid price bundling g. Consider Transportation Management Unit (TMU) terms and costs h. Amending or cancelling a purchase document i. Explain routing for both internal and external signatures/approvals and where a current signature authority list can be obtained and provide the list within the P&P. <p>References: SCM Vol. 2, Ch. 8, and SCM F, Ch.8</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
70.	<p>STATE CONTRACT AND PROCUREMENT REGISTRATION SYSTEM (SCPRS) Explain the department's policies and procedures for registration and tracking state contracting and purchasing transactions including, but not limited to:</p> <ul style="list-style-type: none"> a. How, when and who is responsible for registering the document b. Explain policy on whether department buyers are to register all purchase documents regardless of value (as of July 1, 2016) c. Step by step to register into the Cal-eProcure website link : <p>https://caleprocure.ca.gov/pages/index.as http://www.documents.dgs.ca.gov/pd/delegations/broadcastbulletins/2015/pac010416_F-01-16.pdf</p> <p>References: SCM Vol. 2, Ch. 8, 8.1.0–6; SCM 3, Ch. 8, 8.1.1, and SCM-F, Ch. 9, Section E, Topic 1</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
71.	<p>STATE SALES TAX AND MAINTENANCE SALES TAX Explain the policy on payment of state sale or use tax on purchases to include, but not limited to: 1) The State does not pay federal taxes on purchases, 2) only state sales tax and/or use tax; 3) taxes are assessed based upon where the products are physically received; 4) use the latest California Sales and Use Tax rate chart by county found on the Board of Equalization (BOE) web site; 5) Departments are reminded when using CalCard as a payment method that all states sales and use tax laws, rules and policies are applicable; and 6) for information regarding maintenance sales tax, refer to Regulation 1502 of the Sales and Use Tax Regulations of the Business Taxes Law Guide, or contact the BOE.</p> <p>References: SCM Vol. 2, Ch. 9, 9.A1.5-7; SCM Vol. 3, Ch. 9, 9.A1.5-6, and SCM-F, Ch. 8 , 8.A1.5-6</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
72.	<p>PAYEE DATA RECORD (STD. 204) Explain the policy including: regardless of the procurement approach (competitive, NCB, LPA, etc.), a Payee Data Record (STD.204) must be obtained from a supplier prior to executing a purchase document whenever a department engages in an activity leading to a payment to an entity other than a government entity; the completed STD.204 must be provided to the department's accounting office or business services unit and must be attached to the purchase document; it is the buyer's responsibility when obtaining a copy of a supplier's LPA contract to ensure a completed STD.204 is included or the buyer must obtain a completed STD.204 from the supplier.</p> <p>References: SCM Vol. 2, Ch. 9, 9.A4.0-2; SCM Vol. 3, 9.A4.0, and SCM F, Ch. 8, 8.A4.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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73.	<p>PAYMENT OF INVOICES Explain the department's policy including: remind suppliers of the importance of submitting accurate and correct invoices; department must not pay for anything that is not in the purchase document (pallets, shipping, travel costs, etc.); components of an accurate invoice; tracking payment timeliness (Prompt Payment Act); prompt payment discounts; completing the Invoice Dispute Notification (STD. 209); and a reminder to maintain a separation of duties. References: SCM Vol. 2, Ch. 9, 9.A5.0; SCM 3, Ch. 9, 9.A5.0-4, and SCM-F, Ch. 8, 8.A5.0-4</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
74.	<p>PROMPT PAYMENT ACT Explain the policy and procedures in compliance with the Prompt Payment Act: include date stamping invoices upon receipt; disputing incorrect invoices within 15 days after receipt; use of the Invoice Dispute Notification (STD. 209); automatic authorization and payment of late payment penalties; and late payment penalty reporting. References: SCM Vol. 2 Ch. 1, 1.A3.0 & 9.B20-1, Ch. 12; SCM 3, Ch. 9, 9.B2.0, and SCM-F, Ch. 9, 9.E3.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
75.	<p>CAL-CARD PROGRAM Identify the Cal-Card Coordinator, their roles and responsibilities, DGS/PD on-line training required for the Coordinator and all staff issued a Cal-Card, and how the department ensures that cardholders adhere to purchasing authority requirements. Include: payment mechanism only; prohibition of splitting purchases; what Cal-Card can be used for and what it can't be used for; staff roles and responsibilities; executing purchases valued \$2,500 and over and purchases less than \$2,500; required purchase and supporting documents; and file documentation. Include the link below for information about the program and on-line training. Cal-Card Training: http://www.dgs.ca.gov/pd/Programs/CALCard.aspx References: SCM Vol. 2, Ch. 9, B; SCM 3, Ch. 9,; 9.B3.0-9, and SCM-F Ch. 8, 8.B3.0</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
76.	<p>RECEIVING, INSPECTION, ACCEPTANCE TESTING AND ACCEPTANCE OR REJECTION Explain the procedures for taking possession of purchased goods and accepting service deliverables including: receiving; inspection; acceptance and/or rejecting stock; following up on open purchase documents; substitution of goods; supplier performance evaluations; asset management; and reporting lost, stolen, or destroyed property. Include the processes for completion of the Stock Received Report (STD. 106), Returned Stock Report (STD. 108), Supplier Performance Report (web link or sample), Property Survey Report (STD. 152); and the Contract Evaluation Report (STD. 4). References: SCM Vol. 2, Ch. 10; SCM Vol. 3, Ch. 10, and SCM-F, Ch. 9, Sect B</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
77.	<p>OFFICIAL PROCUREMENT FILE PROCEDURES Explain the policy and/or/procedures regarding proper documentation of all procurement files, location of files and access to files. Identify exceptions from file requirements (i.e. If the STD.204 is not in the file where it is located). Each procurement file should have within it a File Documentation Checklist. Create File Documentation Checklists for each type/dollar amount of procurement and add checklists as attachments & web links to your P&P. Do not use or reference the checklists in the SCM. They may not be current. Checklists need to include but are not limited to:</p> <ol style="list-style-type: none"> All correspondence, written, electronic, and record of verbal Department specific procurement documents Purchase request/requisition and justification All required approval documents with signatures Mission Critical Certification PIA Waiver Surplus property consideration DVBE Waiver 		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

MANUAL POLICY & PROCEDURE REQUIREMENTS

#	<i>Manual Component</i>	<i>Non-IT Page(s)</i>	<i>DGS USE ONLY Non-IT Compliant</i>	<i>IT Page(s)</i>	<i>DGS USE ONLY IT Compliant</i>
	i. Conflict of Interest/Incompatible Activities Statements (note where COI/IA's are located if not in file) j. Confidentiality Statements k. Copy of Request for Information (RFI) l. Exemption by statute or DGS policy documentation m. Approved NCB/LTB justification n. Solicitation (RFO, RFQ, IFB, RFP, etc.) and all addenda o. All solicitation attachments (cost worksheets, technical specifications, SOW, general provisions, bidder instructions, etc.) p. List of solicited suppliers and contact information q. Documentation of supplier non-response r. All solicitation responses s. Fair & reasonable evaluation t. Phone quote worksheet u. Bid/Quote worksheet v. Evaluation and selection documents w. Material Deviation Worksheets x. Documentation of award to other than low bidder y. Award/purchase/contract documents (STD. 65, 213, 215, etc.), all Attachments and Amendments z. Protest documents aa. Payee Data Record (STD 204) bb. Seller's Permit, BOE Validation, and SOS Corporate Qualification Verification cc. Post-Consumer Recycled Content (PCRC) Certification dd. Copy of CSCR advertisement ee. Certificate of Compliance with State IT Policies ff. DMCP justification gg. Verification Supplier is Not Tax Delinquent hh. Darfur Certification ii. Bidder Declaration, DVBE Declaration jj. SB/DVBE Certifications kk. SB Preference and DVBE Incentive calculation documentation ll. CUF Certification mm. Copy of entire LPA (as required) to include the price pages nn. SCPRS registration oo. Copy of Notice of Contract Award (STD. 16) pp. Copy of Stock Received Report (STD. 106) qq. Copy of Stock Returned Report (STD. 108) rr. Procurement Summary, Evaluation & Selection Report (ESR) References: SCM Vol. 2, Ch. 4, 4.C2.2.; SCM Vol. 3, Ch. 11, 11.4.0-1, and SCM-F, Ch. 9, 9.D5.0				
78.	CONTRACT ADMINISTRATION Explain the policies and procedures for post-award activities including: contract administrator roles and responsibilities; post-award buyer involvement; post-award orientations; monitoring the performance of the contract; completion of the Contractor Evaluation Report (STD. 4); maintaining ethical standards; proper documentation; record retention; and establishing procurement files. References: SCM Vol. 2, Ch. 2 & 11; SCM Vol. 3, Ch. 11 and SCM F, Ch. 9, D		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No
79.	REPORTING REQUIREMENTS Provide the policy on what reports are required, report due dates, and where (department and address) to submit. If applicable: a. Purchasing Authority Activity Reporting (i.e. STD. 65, 213, 215) b. Annual Contracting Activity Report (STD. 810) c. Late Payment Penalty Reporting d. Contract Award Report (STD. 16) e. Report of Independent Contractors (DE 542) f. State Agency Buy Recycled Campaign (SABRC) Report References: SCM Vol. 2, Ch. 12, and SCM F, Ch.9, E		<input type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Yes <input type="checkbox"/> No

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

PROCEDURE DESKTOP MANUAL POLICY & PROCEDURE REQUIREMENTS IT ONLY

#	Procedure Desktop Manual Component	Page(s)	DGS USE ONLY Compliant
1.	DEFINING AN IT PROCUREMENT Explain the differences and give examples of: IT goods, IT supplies, IT goods not considered supplies, and IT services. References: SCM Vol. 3, Ch. B, Topic 2, and SCM F, Ch. 2, E		<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	LEASING EQUIPMENT Providing the policy and procedures for department to perform a lease vs. purchase cost analysis; factors to be considered; lease versus purchase analysis form; purchase option credits; lease purchases via GS \$Mart or Lease \$Mart. References: SCM Vol. 3, Ch. 2, 2.B4.4–7, and SCM F, Ch. 2 2.B3.4		<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	DESKTOP MOBILE COMPUTING POLICY AND COORDINATOR (DMCP) Provide procedure on how the department will comply with the Desktop Mobile Computing policy, allowed/excluded purchases; identify DMCP Coordinator and their roles & responsibilities, and procurement file documentation requirements. References: SCM Vol. 3, Sects. 2.B7.0-2, and SCM- F, Ch. 2, 2.E4.0-3		<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	CERTIFICATE OF COMPLIANCE WITH STATE IT POLICY Explain policy and procedures for compliancy with this requirement including: when is a Certification of Compliance required (IT purchase over \$100,000); when the certification will be authorized and by who; the signed certificate will be retained in the procurement file; how the buyer will document the procurement file when the IT expenditure is exempt from SAM 4819 – specifically how the exclusions identified in SAM 4819.32 will be supported in the procurement file. Add copy of certificate to P&P as an attachment. References: SCM Vol. 3, Sects. 2.C6.0–2, and SCM-F Ch. 2, 2.E5.0-2		<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	PROCUREMENT ACTIVITY REVIEW AND APPROVALS Identifies when and how to obtain approvals (both departmental and/or outside the department) prior to conduction the procurement activity. <u>Procedure should include:</u> <ol style="list-style-type: none"> a. What information is required for submission to the procurement office to justify and support the IT expenditure b. Initial buyer review of purchase requisition to ensure: <ol style="list-style-type: none"> 1. All approvals/signatures are obtained; 2. It is in compliance with equipment standards; 3. It includes justification to support the procurement; 4. Any special requirements are met; 5. It includes funding authority; 6. It addresses any budgetary and timing constraints; 7. All external reviews/waivers/approvals are obtained; and 8. The project is coordinated with all department program areas, and in-house legal participation as needed. c. How buyers obtain other approvals as may be required: CDT; Project Approval; Project Approval Life Cycle (PAL) formerly known as the Feasibility Study Reports (FSR); Special Project Report (SPR); Post Implementation Evaluation Report (PIER); Telecommunications approval; Voice and Data Services; Personal Communications Devices (PCD); etc. d. IT Project Authority: If the department has been granted, or is requesting, IT purchasing authority, explain the difference between CDT IT project authority v. DGS/PD IT purchasing authority and state the CDT IT Project Authority level. References: SCM Vol. 3, Ch. 2, 2.C3.0 – C4.07, and SCM-F, Ch. 2, 2.B1.1		<input type="checkbox"/> Yes <input type="checkbox"/> No