

Purchasing Authority Annual Review Checklist

Department: _____

PAU Analyst: _____ Date: _____

GENERAL INFORMATION

| ITEM | ACTION REQUIRED |
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| 1. Did the department respond and resolve any deficiencies from last year's annual review? | Analyst to obtain information from the department file folder. |
| 2. Did the department submit their Policies and Procedures Manual? | Analyst to obtain information by verifying Policies & Procedures were submitted. |
| 3. Did the department submit their completed Policies and Procedures Manual Checklist? | Analyst to obtain information by verifying Policies & Procedures were submitted. |
| 4. Are all required components of the Policies and Procedures Manual included with sufficient detail? | Please refer to GSPD 13-005 Procurement Policies and Procedures Manual Checklist to verify the components are clearly explained. |

REPORTING REQUIREMENTS

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| 5. Did the department comply with the STD 810 reporting requirement by submitting the report to OSDS timely? | Analyst to verify by reviewing data supplied by OSDS. |
| 6. Did the department meet SB goals last fiscal year? | Analyst to verify by reviewing data supplied by OSDS. |
| 7. Did the department meet DVBE goals last fiscal year? | Analyst to verify by reviewing data supplied by OSDS. |
| 8. Did the department comply with SCPRS data entry requirement by entering transactions as required? | Analyst to verify by reviewing to see if transactions have been entered in FI\$Cal. If the department is not using FI\$Cal, compare transactions between PIN and SCPRS. |
| 9. Did the department comply with the Late Payment Penalty Reporting Requirement? | Analyst to verify by reviewing data supplied by OSDS. |
| 10. Did the department comply with the State Agency Buy Recycled Campaign (SABRC) reporting requirements by reporting purchases annually to the Department of Resources Recycling and Recovery (CalRecycle). | Analyst to verify by reviewing the SABRC compliance report provided by CalRecycle to the PAMS mailbox |
| 11. Did the department meet their SABRC goals? | Analyst to verify by reviewing the SABRC compliance report provided by CalRecycle to the PAMS mailbox |
| 12. Did the department comply with the Environmentally Preferred Purchasing (EPP) reporting? | Analyst to verify by reviewing the SABRC compliance report on the CalRecycle website. |

AUDITS

| ITEM | ACTION REQUIRED |
|---|---|
| 13. Was a DGS Office Audit Services audit conducted and is follow-up required? Compliant if no follow-up required. | Analyst to obtain most recent Audit Report from OAS. Non-Compliant if follow-up required. |
| 14. The Agency/Department must indicate whether there have been any reviews or audits of their procurement related activities. If yes, the Agency/Departments must provide copies of the pertinent pages of those review or audit reports and describe the actions it has taken to correct those findings. Review or audit reports includes, but is not limited to, reports prepared by DGS OAS, Bureau of State Audits, Department of Finance and departmental internal audits. | Analyst to call and obtain information from the PAC and OAS. If the department is determined to be low-risk by OAS, request a few sample procurements to review. |
| 15. <i>Federal Audits</i> – The BSA, under the direction of the State Auditor, performs an annual examination (single audit) of the State's general-purpose financial statements as prepared by the SCO. The federal government, as a condition of receiving federal funds, requires this audit. The single audit also includes a review of major federal programs for compliance with federal laws and regulations, and recommendations to improve the State's financial systems and internal control. Has the Agency/Department had any Federal Audit during the last renewal period? | Analyst to obtain information from the BSA web site below to review annual audit. http://www.bsa.ca.gov/ Federal Funds Accountability <ul style="list-style-type: none"> • Annual Single Audit Results • Annual Recurring Issues |

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| AUDITS | | |
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| | ITEM | ACTION REQUIRED |
| 16. | Did the department's response include any corrective action taken, including: additional internal or external training provided to procurement staff; internal directives or policy changes; and any revisions to the Procurement Policies & Procedures (P&P) Manual? Were these actions specific to the audit findings were page numbers noted for any P&P revisions? | Analyst to verify audit documents, P&P, procurement files, OAS, etc. and verify that corrections have been made. |
| 17. | The Department indicated that there has been an audit of the Department's activities that include procurement-related findings and provided copies of the audit report from the DGS Office of Audit Services. The report included details of the actions the Department has taken to correct those findings. Did the review of the Department's P&P and procurement files indicate that the stated corrective action has actually been implemented? | Analyst to check Audit documents, P&P, procurement files, OAS, etc. |

| ADDITIONAL REVIEW | | |
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| 18. | Did the department submit sample procurements for review? | Analyst to request various types of procurements for review. (High dollar & low dollar solicitations, solicitation addendums, cancelled solicitations, protests, etc.) |
| 19. | Were procurements compliant to all rules, regulations, policies, etc. and contain all required documentation? | Analyst to use Procurement File Checklist to verify information. |
| 20. | Do the procurements contain technical specifications as required? | Analyst to review procurement file for technical specification for commodities. |
| 21. | Is the department purchasing on behalf Secondary Department(s)? | If so, request sample procurements conducted on behalf of Secondary Departments. |