



M E M O R A N D U M

Date:

To:

From: Department of General Services
 Procurement Division, Acquisition Quality Assurance Program

Subject: **PURCHASING PROGRAM COMPLIANCE REVIEW**
Review Period:
Review Conducted:

In accordance with Public Contract Code Sections 10333(b) and/or 12101 and State Administrative Manual Section 5210.1, the Procurement Division (PD) conducted a purchasing program compliance review of the Department of _____ (XXX). The review was conducted to determine the extent of adherence to statutory, policy, and/or guideline requirements. The review also considered acquisition quality issues and aspects of good business management. The review findings and recommendations are included in this document. If you have any questions or need additional information, please call the Acquisition Quality Assurance Program staff person (reviewer) indicated below.

Delegation Type: Commodity	Base []	Expanded []	Special []
Delegation Number(s):			
Delegation Type: Information Technology	Base []		
Delegation Number(s):			
<u>Delegated Commodity Transactions</u> Total Reported: Total Reviewed:	<u>Delegated IT Transactions</u> Total Reported: Total Reviewed:		<u>Other Program Transactions</u>
Total # < \$5,000	Total # < \$5,000		Total # CMAS Commodity/IT Orders Reviewed
Total # \$5,000 - \$25,000	Total # \$5,000 - \$500,000		Total # Master Agreement Orders Reviewed
Total # > \$25,000	Total # > \$500,000		Total # Statewide Contract Orders Reviewed
Total Small Business > \$5,000 - < \$100,000	Total Small Business \$2,500 - \$50,000		Total # State Price Schedule Orders Reviewed
Total # Sole Source	Total # Sole Source		Total # CAL-Card Statements/ Transactions Reviewed
			Total # Invoices Reviewed

Scope of Review:

- Transactions from the following programs were reviewed as applicable to XXX's purchasing program:
 - Commodity Delegated Purchasing Authority
 - Information Technology Delegated Purchasing Authority
 - CMAS
 - Master Agreements
 - Statewide Contracts
 - State Price Schedules
 - CAL-Card
- Invoices were reviewed for payment processing compliance.
- The current review encompassed purchase transactions for the period [date] through [date].
- The last compliance review of XXX's purchasing activities was conducted in [month & year].
- The findings and recommendations contained in this report are based on those transactions reviewed during the current review.

Findings/Recommendations Summary:

1. **General.** Insert Summary Text. See Appendix A, attached.
2. **Commodity Delegated Purchasing Authority.** Insert Summary Text. See Appendix B, attached.
3. **Information Technology Delegated Purchasing Authority.** Insert Summary Text. See Appendix C, attached.
4. **CMAS Orders.** Insert Summary Text. See Appendix D, attached.
5. **Master Agreement Orders.** Insert Summary Text. See Appendix E, attached.
6. **Statewide Contract Orders.** Insert Summary Text. See Appendix F, attached.
7. **State Price Schedule Orders.** Insert Summary Text. Appendix G is not applicable.
8. **CAL-Card Transactions.** Insert Summary Text. See Appendix H, attached.

Conclusion:

Insert Conclusion.

The Acquisition Quality Assurance Program anticipates compiling your department's results into a comparison document that will be used to assess the success of our program. If you would like to receive a copy when it becomes available, let us know and we will be happy to share it with you. As always, the staff of the AQAP is available to provide advice on acquisition laws, policies, and procedures and can put you in touch with the Procurement Division's California Acquisition and Materials Management Institute (CAMMI) for procurement training classes.

Review Conducted By:	Unit and Phone Number	Date
Reviewer Name, Acquisition Specialist	Acquisition Quality Assurance Program Procurement Division (916) XXX-XXXX	
Agency Officer:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Delegation Contact:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Additional Participants:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	

GENERAL				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Agency Order Number.</u>		
2.		<u>DVBE Consideration.</u>		
3.		<u>File Documentation, Structure, and Access.</u>		
4.		<u>Payee Data Record.</u>		
5.		<u>Payment.</u>		
6.		<u>Small Business Consideration.</u>		
7.		<u>Small Business Purchases Under GC Section 14838.5.</u>		
8.		<u>Stock Received Report.</u>		
9.		<u>Transaction Reporting.</u>		

COMMODITY BASE DELEGATED PURCHASING AUTHORITY				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Bid Lists.</u>		
4.		<u>Bidders Instructions.</u>		
5.		<u>Bids.</u>		
6.		<u>Contract/Delegation No.</u>		
7.		<u>General Provisions/Clauses.</u>		
8.		<u>Small Business Preference.</u>		
9.		<u>Sole Source Documentation/Agency Secretary Approval.</u>		
10.		<u>Split Orders.</u>		
11.		<u>Transaction Forms.</u>		

INFORMATION TECHNOLOGY BASE DELEGATED PURCHASING AUTHORITY				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Advertising.</u>		
2.		<u>Approvals.</u>		
3.		<u>Authority.</u>		
4.		<u>Bid Lists .</u>		
5.		<u>Bidders Instructions .</u>		
6.		<u>Bids .</u>		
7.		<u>Certificate of Compliance.</u>		
8.		<u>Contract/Delegation No.</u>		
9.		<u>Enterprise Zone Act.</u>		
10.		<u>General Provisions/Clauses .</u>		
11.		<u>Local Agency Military Base Recovery Act.</u>		
12.		<u>Model Contract Language.</u>		
13.		<u>Small Business Preference.</u>		
14.		<u>Sole Source Documentation/Agency Secretary Approval.</u>		
15.		<u>Solicitation Method.</u>		
16.		<u>Split Orders .</u>		
17.		<u>Statement of Work.</u>		
18.		<u>Target Area Contract Preference Act.</u>		
19.		<u>Transaction Forms.</u>		

CMAS Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Best Value.</u>		
3.		<u>Bundled Pricing.</u>		
4.		<u>Certificate of Compliance.</u>		
5.		<u>Contract/Delegation No.</u>		
6.		<u>Contract Documentation.</u>		
7.		<u>Multiple Contracts.</u>		
8.		<u>Order Limits.</u>		
9.		<u>Split Orders.</u>		
10.		<u>Statement of Work.</u>		

Master Agreement Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Best Value.</u>		
3.		<u>Contract Documentation.</u>		
4.		<u>Contract/Delegation No.</u>		
5.		<u>Split Orders.</u>		

Statewide Contract Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Contract Documentation.</u>		
4.		<u>Contract/Delegation No.</u>		

State Price Schedule Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Contract Documentation.</u>		
3.		<u>Contract/Delegation No.</u>		
4.		<u>Split Orders.</u>		

CAL-Card Transactions				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Order Limits.</u>		
3.		<u>Purchase Approval.</u>		
4.		<u>Receipt.</u>		
5.		<u>Split Orders.</u>		