

**SAM – REVISION SUMMARY 424**

Revision bars are not inserted for format changes, non-substantial technical changes, and fully rewritten chapters. Revision bars appear on the right sides of all pages. Vertical (addition) bars indicate added and rewritten matter, and horizontal (deletion) bars indicate deleted matter.

ITEM	SUMMARY
<b>ENTIRE CHAPTER 100 and its corresponding section #'s</b>	
<b>Chapter 100</b>	Corrected usage of “State” vs. “state”
<b>100</b>	Reviewed the section; no changes
<b>101</b>	Corrected CalHR name
<b>110</b>	Reviewed the section; no changes
<b>180</b>	Updated Information about office hours
<b>190</b>	Several changes in the paragraph that follows bullet #7 under <u>Employees</u> . The suggested changes are meant to provide greater clarity with regard to the medical treatment of injured employees.
<b>191</b>	<p><b>Employee Physical Exams:</b> Changes in Paragraphs 4 to delete “State Personnel Board and replace it with “California Department of Human Resources” in the initial reference and “CalHR” replaces “SPB” in subsequent references. AB 1068; Jones-Sawyer (Chapter 427, Statutes of 2013) will take effect in January, 2014. This bill moves the responsibility for the Medical and Psychological Screening programs from SPB to CalHR as denoted in the Governor’s Reorganization Plan #1 for Human Resources functions.</p> <p>Change in 5<sup>th</sup> paragraph reference to “DHS” to “DHCS” to reflect the correct acronym for the California Department of Health Care Services.</p> <p>Change in paragraph 5 to update a reference to “DPA” – the Department of Personnel Administration, which has now been changed to CalHR through Governor Brown’s GRP 1 and AB 1062 which was the technical clean-up bill.</p> <p>Remove 2<sup>nd</sup> and 3<sup>rd</sup> paragraphs. They are outdated.</p> <p>Remove specific amount in statute which appears to be outdated information and is set in MOUs by DHCS.</p>
<b>192</b>	Change in the last 3 paragraphs references to “DHS” to “DHCS” to reflect the correct acronym for the California Department of Health Care Services.
<b>ENTIRE CHAPTER 200 and its corresponding sections #'s</b>	
<b>200</b>	Updated uniform action from all agencies
<b>211</b>	Eliminated
<b>ENTIRE CHAPTER 400 and its corresponding section #'s</b>	
<b>400</b>	Updated Department Name
<b>422.1</b>	Updated Department Name and Added Exempt Classification Changes

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<b>Section 0580</b>	Complete Re-write
<b>1450</b>	Comprehensive Re-write
<b>ENTIRE CHAPTER 1600 and its corresponding section #'s</b>	
<b>1601</b>	Last sentence deleted.
<b>1602</b>	Correction to unit name in 2 <sup>nd</sup> paragraph.
<b>1603</b>	Content rewritten/updated.
<b>1604 (was 1611)</b>	Reworded/added to content. Renumbered.
<b>1605 (was 1612)</b>	Reworded/added to content. Renumbered.
<b>1606 (was 1613)</b>	Corrected title and updated/deleted bullets. Renumbered.
<b>1607 (was 1614)</b>	Renumbered.
<b>1608 (was 1615)</b>	Capitalized “S” in secretary in 1 <sup>st</sup> line of text. Renumbered.
<b>1650</b>	Section deleted entirely.
<b>1653</b>	Section deleted entirely.
<b>1654</b>	Section deleted entirely.
<b>1660</b>	Section deleted entirely.
<b>1609 (was 1661)</b>	Renumbered.
<b>1610 (was 1663)</b>	Reworded/added to content. Renumbered.
<b>1611 (was 1665)</b>	Reworded 2 <sup>nd</sup> sentence.
<b>1612 (was 1666)</b>	Renumbered.
<b>1613 (was 1667)</b>	Renumbered.
<b>1614 (was 1668)</b>	New heading. Reworded/added to content. Renumbered.
<b>1669</b>	Deleted number. Added content as part of section 1615.
<b>1615 (was 1670)</b>	Reworded/added to content. Renumbered.
<b>1616 (was 1671)</b>	Reworded/added to content. Renumbered.
<b>1617 (was 1672)</b>	Reworded/added to content. Renumbered.
<b>1618 (was 1680)</b>	Reworded/added to content. Renumbered.
<b>1619 (was 1682)</b>	Reworded/added to content. Renumbered.
<b>1620 (was 1683)</b>	Reworded/added to content. Renumbered.
<b>1621 (was 1684)</b>	Reworded/added to content. Renumbered.
<b>1622 (was 1685)</b>	Capitalized “State” in first line of text.
<b>1623 (was 1686)</b>	Renumbered.
<b>1624 (was 1687)</b>	Reworded/added to content. Renumbered.
<b>1625 (was 1690)</b>	Reworded/added to content. Renumbered.
<b>1693</b>	Deleted number. Added content as part of section 1626.
<b>1626 (was 1695)</b>	Reworded/added to content. Renumbered.
<b>ENTIRE CHAPTER 1700 and its corresponding section #'s</b>	
<b>1700</b>	Correct and verify links to Government Code Sections
	Make changes to grammatical style
	Fix punctuation errors

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1701	Correct and verify links to Government Code Sections
	Fix punctuation errors and typos
1705	Correct and verify links to Government Code Sections
	Change ‘each agency head’ to ‘the head of each agency’ in the first paragraph
	Make corrections to Style
	Fix punctuation errors and typos
1710	Fix punctuation errors
	Correct and verify links to Government Code Sections
1715	Correct and verify links to Government Code Section
	Correct format
	Fix typos
	Make changes to grammatical style
1720	Fix punctuation errors and typos
1730	Fix typos
	Correct and verify links
	Make corrections to Style
1735	Correct and verify links to Government Code Sections
	Fix typos
	Change ‘etc’ to ‘or an individual’ in the second paragraph
	Add ‘An agency with less than 21 Business-Use forms shall review its entire inventory each year.’ to the end of the fourth paragraph
1740	Correct and verify links to Government Code Section
	Change ‘Agencies’ to ‘Forms Management Representatives’ in the third paragraph
	Change ‘to identify all forms used by the public and maintaining a current index and inventory of forms.’ To ‘to identify and maintain a current index and inventory of all forms created by their agency which are used by the public.’
1745	Correct and verify links to Government Code Sections
1750	Fix punctuation error
	Change ‘responsible for handling or accounting for’ to ‘responsible for the handling or accounting of’
<b>ENTIRE CHAPTER 1900 and its corresponding section #'s</b>	
1900	Corrected agency’s name and website to <a href="http://www.calrecycle.ca.gov">www.calrecycle.ca.gov</a>
1901	<b>Deleted section</b>
1910	<b>Complete re-write, added link to website for terms</b>
1920	<b>Complete rewrite to be in accordance with current legislation.</b>
1921	<b>Complete re-write to bring up to date with current EO</b>
1930	<b>Re-write and re-named “Recycling of Materials”</b>
1930.1	<b>Moved to Section 1930.9, Replaced with revised former section 1930.3 “California Redemption Value Beverage Containers (CRV)”.</b>
1930.2	<b>Moved to Section 1930.13. Replaced with new section 1930.2 “Carpet”.</b>
1930.3	Moved to Section 1930.1. Replaced with new Section 1930.3 “Construction and Demolition (C&D)”
1930.4	Existing language deleted, added new section 1930.4 “Electronic Waste”.
1930.5	Added new Section, “Food Waste”.
1930.6	Added new section, “Mattresses”.

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<b>1930.7</b>	Added new section, “Motor Oil”.
<b>1930.8</b>	Added new section, “Paint”.
<b>1930.9</b>	Language re-written formerly Section 1930.1, now “Paper”.
<b>1930.10</b>	Added new section, “Scrap Metal”.
<b>1930.12</b>	Added new section, “Sharps”.
<b>1930.13</b>	Added new section, “Tires”.
<b>1930.14</b>	Previously 1930.2, renamed “Toner Cartridges”, and updated.
<b>1930.15</b>	Added new section, “Universal Wastes...”.
<b>1940</b>	Complete rewrite for clarity.
<b>1941</b>	Renumbered 1950. Complete rewrite to be in accordance with current legislation.
<b>1950</b>	Moved to 1980. Now former 1941, Complete rewrite for clarity.
<b>1960</b>	Moved to 1990. Now new section “State Agency Buy Recycled Campaign (SABRC).”.
<b>1970</b>	New Section, Reduce and Reuse: Closing the Loop”.
<b>1980</b>	<b>Former section 1950, Re-written to update current situation</b>
<b>1990</b>	Former 1960, Complete re-write
<b>1995</b>	<b>New section, “Materials Banned from Disposal”.</b>
<b>A-1</b>	Forms deleted
<b>Section 2482</b>	Corrected Department name and SAM reference
<b>Section 2580</b>	Revised
<b>Section 2580.1</b>	Revised
<b>Section 2580.2</b>	Revised
<b>Section 2580.3</b>	Revised
<b>Section 2581</b>	Revised
<b>Section 2581.1</b>	Revised
<b>Section 2581.2</b>	Revised
<b>Section 2581.3</b>	Incorporated into 2581.2
<b>Section 2581.4</b>	Revised and Renumbered (2581.4 to 2581.3)
<b>Section 2581.5</b>	Revised and Renumbered (2581.5 to 2581.4)
<b>Section 2581.6</b>	Rewrite and Renumbered (2581.62 to 2581.5)
<b>Section 2581.62</b>	Eliminated
<b>Section 2581.9</b>	Revised and Renumbered (2581.9 to 2581.6) – STD. 618 and 619 obsolete
<b>Section 2582</b>	Revised (STD. 621 discontinued)
<b>Section 2582.2</b>	Revised – added MPN information
<b>Section 2582.3</b>	Revised
<b>Section 2582.4</b>	Eliminated
<b>Section 2582.5</b>	Eliminated (STD. 621 discontinued)
<b>Section 2583.1</b>	Revised
<b>Section 2583.10</b>	Eliminated
<b>Section 2583.11</b>	Revised
<b>Section 2583.12</b>	Revised
<b>Section 2583.20</b>	Revised
<b>Section 2584</b>	Revised (deleted reference to 8780.2)

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<b>ENTIRE CHAPTER 2800 and its corresponding section #'s</b>	
<b>2800</b>	Complete Re-write
<b>2805</b>	Complete Re-write
<b>2810</b>	Complete Re-write
<b>2820</b>	Complete Re-write
<b>2825</b>	Updated the contact information for the advertising manager
<b>2850</b>	Corrected Name; Updated Contact Information
<b>2855</b>	Corrected Name; Updated Contact Information
<b>2860</b>	Corrected Name; CALNET deleted; Updated Contact Information
<b>2865</b>	Corrected Name; Updated Contact Information
<b>3123</b>	State Agencies should now send two copies (formerly one copy) of non-Library Distribution Act publications to the State Library
<b>3124 &amp; 3125</b>	Dropped the Council of State Governments from the list of agencies which are to receive Library Distribution Act materials from the Office of State Publishing, as well as publications distributed by state agencies themselves.
<b>3125</b>	State agencies should now send only two copies (formerly three copies of monographic reports) of self-distributed publications to the State Library.
<b>Attachment AT-1</b>	Revised the attachment listing state depository libraries so that it points to the current list found at <a href="http://www.library.ca.gov/gps/docs/DepositoryLibrary-Current.pdf">http://www.library.ca.gov/gps/docs/DepositoryLibrary-Current.pdf</a>
<b>Section 4904</b>	Per TL 13-05, this policy was updated to clarify the purpose of the IT Capital Plan and responsibilities of Agencies/state entities.
<b>Section 4925</b>	Per TL 13-05, this policy was updated to consistently reference Agency/state entities and reflect the name change of the California Department of Technology.
<b>Chapter 5300</b>	<b>COMPLETE CHAPTER REWRITE</b>
<b>Sections 6700-6780</b>	Budgeting: Revised to change references to the CA Technology Agency to the CA Department of Technology
<b>Section 7930</b>	Revised to add a new requirement to submit bank statements for certain accounts outside the state treasury to State Treasurer's Office. Deletes requirement to submit a copy of Report 14 to Finance FSCU. Minor edits as appropriate.
<b>Section 7975</b>	Revised to add requirement to include tax identification number on Report 14. Clarifies certification requirement for Report 14 and a copy of Report 14 shall be submitted to the State Controller's Office. Deletes requirement to submit a copy of Report 14 to Finance FSCU. Minor edits as appropriate.

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<b>Section 8002.1</b>	Minor edits and added a link to FSCU Website FAQ 12.
<b>Section 8471.1</b>	Deleted “liquidation of the advance” and added “Departments may submit a request to DGS to reduce or return the advance for year-end cash flow problems”. Also made technical correction and added clarifying language.
<b>Section 8471.3</b>	Changed the statement regarding DGS Notice of Transfer journal entry to “transfers money from the departments’ appropriation to DGS”.
<b>8471 &amp; 8471.2 Illustrations</b>	Updated
<b>Section 8536</b>	Revised
<b>Section 8537</b>	Revised
<b>Section 8776.6</b>	Changed discharge application amounts from \$7,500 to \$10,000 and minor edits.
<b>Section 10507</b>	Corrected footnote reference for 9000 Appropriation Expenditures and 9892 Prior-Year Revenue Adjustments. Updated “State Board of Control” to “California Victim Compensation and Government Claims Board”.
<b>10507 Illustration</b>	Added
<b>Section 19462</b>	Revised to add requirement to submit bank statements for certain accounts outside the state treasury to State Treasurer’s Office. Deletes requirement to submit a copy of Report 14 to Finance FSCU.
<b>Section 19463</b>	Revised to add requirement to submit bank statements for certain accounts outside the state treasury to State Treasurer’s Office. Deletes requirement to submit a copy of Report 14 to Finance FSCU.
<b>Subject Index</b>	Updated for enclosed sections

**REVISION SEQUENCE INSTRUCTIONS**

*Please note.....*

*While only certain sections were revised in this revision (424); the entire chapters should be replaced to maintain consistency with The State Administrative Manual (SAM). Click the chapter number to download.*

<b>Sections/ Chapters</b>	<b>Remove Consecutive Number of Sheets</b>	<b>Insert Consecutive Number Of Page (s)</b>
<a href="#">Chapter 100</a>	5	Same
<a href="#">Chapter 200</a>	2	Same
<a href="#">Chapter 400</a>	2	Same
<a href="#">Chapter 500</a>	2	Same
<a href="#">Chapter 1450</a>	5	4
<a href="#">Chapter 1600</a>	4	Same
<a href="#">Chapter 1700</a>	5	Same
<a href="#">Chapter 1900</a>	6	7
<b>ADDENDUM TO CHAPTER 1700 OF THE STATE ADMINISTRATIVE MANUAL (SAM) SHOULD BE RETAINED</b>		
<a href="#">Chapter 2400</a>	4	Same
<a href="#">Chapter 2800</a>	3	Same
<a href="#">Chapter 3100</a>	8	4
<a href="#">Chapter 4900</a>	12	23
<a href="#">Chapter 5300</a>	12	17
<a href="#">Chapter 6000</a>	82	88
<a href="#">Chapter 8000</a>	28	24
<a href="#">Chapter 8400</a>	45	40
<a href="#">Chapter 8700</a>	30	27
<a href="#">Chapter 10500</a>	28	26
<a href="#">Chapter 19000</a>	8	11
<a href="#">Subject Index</a>	Only Pages 1-2, 4-10, 12-17	

## SAM—GENERAL

### **GENERAL POLICY** (Reviewed 12/13)

**0100**

This chapter defines general policy concerning the authority of the departments of Finance and General Services, the ability of directors to reorganize their departments, general statewide office hours, and medical services provided to employees and visitors at State institutions.

### **TERMS AND DEFINITIONS** (Revised 12/13)

**0101**

DHS. The Department of Health Services.

CalHR. California Department of Human Resources.

DGS. The Department of General Services.

DOF. The Department of Finance.

Staggered work hours. Where employees arrive and leave the work place at different times, by an approved fixed schedule.

Flex-time. Where employees can arrive and leave the work place at different times, but not by an approved schedule, as long as they work their full assigned number of hours.

Panel physician. A physician with whom the employee is preregistered.

### **DEVELOPMENT AND ENFORCEMENT OF POLICY** (Reviewed 12/13)

**0110**

DGS develops policies and procedures to ensure effective departmental operations. DGS also enforces its policies, investigates and holds proceedings as it deems necessary to conserve the rights and interests of the State. See Government Code Section 14600.

### **APPROVAL OF PROPOSALS FOR REORGANIZING A DEPARTMENT**

**0130**

(Revised and Renumbered from 0101 8/92)

The director of each department may reorganize the department. This includes arranging and classifying the work of the department and consolidating, abolishing or creating divisions.

Except as provided by law, all organizational plans and changes at the division level or higher require the approval of the Governor. These plans and changes must be submitted through the agency Secretary and DOF. They will make their comments and recommendations to the Governor. It is best to have DOF review a reorganizational proposal as early as possible. In this way problems can be spotted and addressed promptly.

All reorganizations that may change the level of expenditures, including those below the division level, must be reflected in the Governor's budget. They must also be compatible with the programs authorized by the Legislature and with legislative intent. If new or revised programs are proposed, the Legislature must be informed. This can be done by a revised presentation in the Governor's budget, a DOF Letter, or a Section 28 Letter.

This SAM Section covers only reorganizations initiated by the director of a department. Other types of reorganizations are Executive Reorganizations pursuant to Government Code Sections 12080 through 12081.2, and those resulting from changes in laws.

## SAM—GENERAL

### **REPORTS TO DEPARTMENT OF FINANCE AND/OR DEPARTMENT OF GENERAL SERVICES** (Revised 8/92)

**0150**

DOF and DGS are authorized to require State agencies to submit operating reports. The reports required, forms used, and time and method of submittal are discussed in other sections of this manual. See Government Code Sections 13291, 13292, 14618 and 14746.

### **REQUESTS FOR APPROVAL** (Revised 8/92)

**0170**

DOF and DGS are responsible for generally supervising all matters concerning the financial and business policies of the State. Unless exempted, all State agencies must have their contracts and agreements approved by DGS. Changes in financial and business policies must be approved before negotiations are started. See SAM Section 1200.

### **OFFICE HOURS** (Revised 12/13)

**0180**

[Government Code Section 11020](#) requires all state agencies to be "open for the transaction of business" from 8:00 a.m. to 5:00 p.m. every day except Saturdays, Sundays, and legal holidays. The legal holidays are listed in Government Code Sections 6700 through 6709.

Any state agency or administrative unit may stay open at other times, as long as the rules and laws and labor agreements about employee hours of work are not broken.

### **MEDICAL AND HOSPITAL SERVICES PROVIDED BY STATE INSTITUTIONS** (Revised 12/13)

**0190**

State agencies are responsible for carrying out the policies of this SAM Section.

Extensive medical and hospital services should only be provided to the inmates, wards, patients, members or students for whom the State-operated medical facilities were established. This is because of physical and policy limitations.

Employees. Limited care and treatment of employee injuries and illness is permitted. In this case the medical staff, equipment, materials, and hospital services may be used. The illness or injury must be reported to arise out of and occur during the course of State employment. They also must be within the scope of the State's liability as defined by Workers' Compensation and Safety Laws. The following are considered to be reasonable services:

1. First aid treatment.
2. First medical treatment of a work injury.
3. Diagnosis and prognosis of conditions connected with work.

(Continued)

(Continued)

**MEDICAL AND HOSPITAL SERVICES PROVIDED BY STATE INSTITUTIONS**  
(Revised 12/13)

**0190**

4. Arrangement for further treatment.
5. Evaluation of the physical ability of an injured employee to return to work.
6. Pre-employment and periodic physical exams for fitness and ability to safely perform arduous and hazardous tasks.
7. Preventive measures such as chest x-rays, lab tests, immunization and other measures that will minimize hazards of exposure to contagious diseases while at work.

Medical treatment of industrial injuries should be limited to the initial visit and any follow-up visit that would be considered first aid. Additional visits should be handled according to the applicable workers compensation guidelines. In the case of an injury that will result in temporary disability or a permanent disability, or will require hospitalization, employees should be directed to an appropriate physician in accordance with applicable workers' compensation guidelines. See SAM Sections 2581.4 through 2581.6 for procedures on reporting employee work injuries.

Visitors. First aid is the only medical service that should be given to visitors who become ill or are injured while on state property. Medical personnel must be certain that one of the following has occurred before the visitor is discharged:

1. The visitor has been transferred to another physician.
2. A friend or relative has accepted responsibility for further care.
3. The visitor can properly take care of himself or herself if no further medical attention is needed.

When outside physicians or ambulances are called, it should be made clear to the visitor that the visitor, and not the state, is responsible for the costs of all medical care, treatment, and other provided services.

When the visitor alleges injury or was involved in an accident on state property, Accident Report form, STD. 268 *must* be filled out. See Appendix A-1. SAM Section 2460 explains the reporting procedures.

Records. Complete records must be kept of all first aid services rendered at state medical facilities. The records must fully identify:

1. The person treated.
2. The date of the injury or illness.
3. The full diagnosis.
4. The reason the treatment was needed; i.e., a description of the accident, etc.
5. The services rendered, including drugs and supplies used.

**EMPLOYEE PHYSICAL EXAMS****0191**

(Revised 12/13)

When physical examinations are required for pre-employment or as a condition of employment, the state will provide or pay for them. The applicant must pay for any more studies or exams beyond the approved level.

State agencies that have an occupational medical clinic must perform the exams except when it costs less to have them done by an outside service.

Agencies that do not have a medical clinic should have the exams done by a state facility if possible, or by an outside service. In either case, the agency must pay for the exam.

The California Department of Human Resources (CalHR) is responsible for ensuring the uniformity of health questionnaires and exam forms. CalHR's Medical Officer must approve any job classification's requirement for all tests or procedures. The description of all special or extensive tests or procedures must also be approved by the Medical Officer.

The DHCS sets the dollar amount that the State will pay for all exams and related medical services. The most allowed for a general physical exam (including routine, complete urinalysis) is \$70.15. This amount may be changed by a Memoranda of Understanding applicable to rank and file employees or by CalHR regulations that apply to employees excluded from collective bargaining. The State will also pay for required diagnostic services or special tests when they are not commonly performed as part of the general physical exam. Reimbursement for physician services will be based on the proper unit value listed in the "1974 California Relative Value Studies".

A copy of the 1974 California Relative Value Studies is kept by the DHCS's Rate Development Branch, (916) 657-1566 or CALNET 437-1566.

**FEE SCHEDULES, MEDICAL AND RELATED SERVICES****0192**

(Reviewed 12/13)

Fee schedules. Fee schedules include, but are not necessarily limited to, the following:

1. Medical.
2. Dental.
3. Optical.
4. Hospital.
5. Nursing home.
6. Related services.
7. Drugs.
8. Medical appliances.

(Continued)

(Continued)

**FEE SCHEDULES, MEDICAL AND RELATED SERVICES**

**0192 (Cont. 1)**

(Reviewed 12/13)

These fees are binding on the programs of all agencies except those financed under an insurance principle as in the case of the State Compensation Insurance Fund and the Disability Insurance Program.

DHS has the primary responsibility for developing fee schedules for medical, dental, and related services. Policy related to priorities, expansion, or contraction of medical care programs is the responsibility of the program agency.

Sections of the schedules of maximum allowances for medical and related services are published and periodically revised by the DHS. If you need a copy, contact the department.

Advisory Committees. Advisory Committees selected for the administrative and technical staffs of program agencies concerned with medical care will be established. These committees will be created as needed to advise DHS on a particular problem or group of problems. They will serve until a solution for the problem or issue is developed.

**SAM—GOVERNOR'S OFFICE**

**GENERAL** (Revised 12/13)

**0200**

The Governor's Office policies and procedures for the purpose of obtaining uniform action from all agencies, including the transmittal of correspondence, are transmitted from the Cabinet Secretary to agency secretaries.

Questions about current policies and procedures should be directed to the appropriate agency or to the Cabinet Office.

**SAM—EXEMPT PERSONNEL**

**EXEMPT CLASSIFICATION AND PAY** (Revised 12/13)

**0400**

Policies and procedures governing the pay and classification for positions exempt from civil service are contained in the Exempt Pay Schedule published by the California Department of Human Resources.

**EXEMPT PAY LETTERS** (Revised 12/13)

**0422.1**

Changes in, or additions to, the Exempt Pay Scales are published in the form of Exempt Pay Letters. These constitute the official notice of approval by California Department of Human Resources of agencies' requests for establishments or change of exempt salaries, or changes to existing or establishment of new exempt classifications.

## SAM - ADVERTISING

### ADVERTISING PUBLIC WORKS CONTRACTS

0540

(Revised 9/04)

For information about advertising small or minor public works contracts, please see the "State Contracting Manual" on the Internet at: <http://www.dgs.ca.gov/ols/Home.aspx>. You may also request a manual through the DGS Office of Legal Services at: (916) 376-5080.

### CONTRACTS FOR ADVERTISEMENTS

0550

(Revised and Renumbered 9/93)

Contracts for advertising space do not require DGS approval unless they exceed \$15,000 or the amount specified in SAM Section 1215.

### ADVERTISING IN STATE PUBLICATIONS

0580

(Revised 12/13)

Statutory Authority Government Code 14851 authorizes the Office of State Publishing (OSP), a.k.a. Office of State Printing, to accept paid advertisements in state publications except that OSP may not accept or publish paid political advertising. This legislation specifically authorizes OSP to provide this service; it does not allow for the printing of paid advertising by other service providers without an agreement with OSP.

Advertising Media, The variety of advertising media available to OSP includes traditional printing of publications and mailings, CD-ROM, and internet on-line publications.

Information Resources Contact the OSP Advertising Manager at (916) 327-5867,  
e-mail: [danelle.hamilton@dgs.ca.gov](mailto:danelle.hamilton@dgs.ca.gov) for information regarding the OSP Advertising Program.

<b>INTRODUCTION</b>	<b>1450</b>
<b>DESIGN AND CONSTRUCTION OVERSIGHT</b>	<b>1451</b>
<b>CODE DEVELOPMENT</b>	<b>1452</b>
<b>ACCESSIBILITY STANDARDS</b>	<b>1452.1</b>
<b>STRUCTURAL SAFETY</b>	<b>1452.2</b>
<b>HISTORICAL BUILDING CODE</b>	<b>1452.3</b>

**INTRODUCTION**

**1450**

(Revised 12/13)

The Division of the State Architect (DSA) provides design and construction oversight for K–12 public schools, community colleges and various state-owned and leased facilities. The Division also develops accessibility, structural safety, and historical building codes and standards utilized in various public and private buildings throughout the State of California.

The DSA operates from a Headquarters office in Sacramento and four Regional Offices located in Oakland, Sacramento, Los Angeles and San Diego. The State Architect is appointed by the governor and serves a four-year term. The State Architect reports to the Director of General Services and leads the DSA.

**DESIGN AND CONSTRUCTION OVERSIGHT**

**1451**

(New 12/13)

The DSA reviews construction projects for compliance with the California Building Standards Code, as contained in Title 24 of the California Code of Regulations (CCR). The review consists of design review (construction plans, specifications and other documents) and oversight of project construction and applies to:

- K-12 public schools
- Community colleges
- State-owned and leased essential services buildings

The DSA also provides design review for compliance with accessibility standards of the California Building Standards Code, as contained in Title 24 of the CCR, for the following:

- State facilities
- California State University facilities
- University of California facilities

The DSA charges fees for its review and oversight, which are statutorily based as a percentage of the estimated cost of the project. The fees are payable at the time of submittal of application for plan review; subsequent changes during plan review or construction may be subject to additional review fees.

For detailed information on DSA construction oversight services, including forms and publications, refer to the DSA web site at [www.dgs.ca.gov/dsa](http://www.dgs.ca.gov/dsa).

**CODE DEVELOPMENT**

**1452**

(New 12/13)

The DSA is one of several state agencies that propose changes to the California Building Standards Code, as contained in Title 24 of the CCR, through the Building Standard Commission's rulemaking process. Regulations and building standards proposed by DSA are approved and adopted by the California Building Standards Commission, which maintains the California Building Standards Code. The Commission's web site (<http://www.bsc.ca.gov/Home.aspx>) contains information on the code adoption process, proposed amendments and code publications.

**ACCESSIBILITY STANDARDS**

**1452.1**

(New 12/13)

The DSA develops access-related building code amendments for both government facilities and privately owned public accommodations and commercial facilities. These amendments are contained in Chapter 11B of Part 2 of Title 24, CCR. The DSA coordinates its amendments with the requirements of federal Americans with Disabilities Act Standards and also maintains reference resources to assist clients in meeting accessibility standards.

(Continued)

## SAM—DIVISION OF STATE ARCHITECT

(Continued)

### **ACCESSIBILITY STANDARDS**

**1452.1 (Cont. 1)**

(New 12/13)

The DSA Access Compliance Section assists in the administration of Certified Access Specialist program (CAsp). This program certifies individuals who can render opinions as to the compliance of buildings and sites with the accessibility building standards.

For additional information on DSA services for accessibility standards refer to the DSA web site at <http://www.dgs.ca.gov/dsa/Programs/progAccess.aspx#1>.

### **STRUCTURAL SAFETY**

**1452.2**

(New 12/13)

The DSA proposes Title 24 building regulations for structural safety applicable to California's K-12 public schools, community colleges and state essential services facilities. In proposing these regulations, the DSA amends model building codes to meet the seismic performance objectives and administrative requirements of state law for these facilities. The DSA administrative regulations are contained in Part 1 of Title 24, CCR, also known as the California Administrative Code. Structural safety building requirements are contained in Part 2 of Title 24, CCR.

In addition to its code proposals, the DSA also issues interpretations of code, as well as policies and procedures necessary for stakeholder understanding and coordination of enforcement among the DSA Regional Offices. For a list of DSA publications refer to the DSA web site at <http://www.dgs.ca.gov/dsa/Resources/pubs.aspx>.

### **HISTORICAL BUILDING CODE**

**1452.3**

(New 12/13)

The State Historical Building Code (SHBC) is adopted by the State Historical Building Safety Board, which is established as a unit within the DSA. The SHBC provides regulations and standards for the rehabilitation, preservation, restoration (including related reconstruction) or relocation, as applicable, to all historical buildings, structures and properties deemed of importance to the history, architecture, or culture of an area by an appropriate local or state governmental jurisdiction.

**The SHBC is contained in Part 8 of Title 24, CCR. For detailed information about the SHBC and the State Historical Building Safety Board refer to the DSA web site at <http://www.dgs.ca.gov/dsa/AboutUs/shbsb.aspx>.**

**PROGRAM PURPOSE** **1600**  
 (Reviewed 12/13)

The State of California Records Management Program (RMP) was established to apply efficient and economical methods to create, use, maintain, retain, preserve, and dispose of state records, including those on electronic media. Required procedures and processes and other useful information are contained in supplemental state records management handbooks, guidelines and factsheets made available to ensure the statutory requirements and objectives of the state’s RMP are met.

**TERMS AND DEFINITIONS** **1601**  
 (Revised 12/13)

Terms that define a type-of- record are listed under the heading “Record.” Terms that define the type of equipment are listed under the heading “Equipment.”

**STATUTORY AUTHORITY** **1602**  
 (Revised 12/13)

The State of California Records Management Program. The State Records Management Act contained in Government Code Sections 14740-14774 requires the Director of the Department of General Services (DGS) to:

"Establish and administer, in the executive branch of government, a records management program which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records."

The Director of DGS has assigned the development and implementation of the state’s RMP to the Interagency Support -Division (ISD), California Records and Information Management (CalRIM). The program covers the complete life cycle of the recording of state business.

Agency Records Management Program. Government Code 14750 requires the head of each state agency to establish and maintain an active, continuing program for the economical and efficient management of the records and information practices of the agency.

Disposal of Records. Government Code 14755(a) requires that no record shall be destroyed or otherwise disposed of by any agency of the state, unless it is determined by the Director of DGS, that the record has no further administrative, legal, or fiscal value and the Secretary of State has determined that the record is inappropriate for the preservation in the state archives.

Government Code 14755(b) requires the Director of DGS, shall not authorize the destruction of any record subject to audit until the Director has determined that the audit has been performed.

See Government Code Section 11126.1 regarding Public Records.

**ANNUAL REPORT TO THE GOVERNOR** **1603**  
 (Revised 12/13)

Effective September 28, 2012, the Annual Report to the Governor was abolished per [SB 71](#).

*[SEC. 67. Article 5 (commencing with Section 14760) of Chapter 5 of Part 5.5 of Division 3 of Title 2 of the Government Code is repealed.]*

**AGENCY RESPONSIBILITIES****1604**

(Revised 12/13)

Although not all inclusive, some of the more pertinent responsibilities are:

1. Send all requested reports to CalRIM.
2. Dispose of, or recycle obsolete records in accordance with approved and current Records Retention Schedules.
3. Transfer the custody of records appropriately when a program or function is discontinued, by updating or revising the records retention schedule.

**RECORDS MANAGEMENT ANALYST OR MANAGER****1605**

(Revised 12/13)

It is the job of each agency's Records Management Analyst to work with CalRIM, and the State Records Center (SRC).

The agency's Records Management Analyst must:

1. Coordinate the agency's records management program.
2. Certify that the agency is complying with the Records Management Act and Section 16111 of SAM.
3. Answer questions from CalRIM.
4. Act as liaison between your agency and CalRIM.
5. Schedule CalRIM training for people who have records management duties.
6. Review and approve agency records retention schedules prior to submission to CalRIM.
7. Review and approve agency destruction of records stored at the SRC, or those records transported to the SRC.
8. Review and approve purchase or rental of filing equipment, or shredders.
9. Be responsible for the reports required by ISD.
10. Distribute announcements of records management activities.

**ROLE OF THE INTERAGENCY SUPPORT DIVISION****1606**

(Revised 12/13)

The State Records Management Act identified in SAM Section 1602 requires ISD to:

1. Establish standards and procedures to carry out the records management program.
2. Help agencies to:
  - a. Develop programs to manage forms, reports, correspondence, directives, files, and other forms of electronic media.
  - b. Develop programs to manage retention, transfer, and disposal of records.
3. Develop general retention guidelines for records that are common to most state agencies.
4. Review and approve records retention schedules submitted by agencies.
5. Provide storage sites for the storage and handling of semi-active and inactive records.

(Continued)

(Continued)

**ROLE OF THE INTERAGENCY SUPPORT DIVISION**

**1606 (Cont. 1)**

(Revised 12/13)

6. Oversee the transfer of custody of records when a function or program ends.
7. Provide records management training and instruction.
8. Receive reports from agencies to evaluate their records management programs and progress.
9. Provide guidance and assistance to agencies on requests to purchase or rent destruction, filing, or imaging equipment.
10. Perform periodic on-site reviews of agency records management programs as requested

**ROLE OF THE AUDIT SECTION, DGS**

**1607**

(Reviewed 12/13)

The Audit Section of DGS conducts periodic audits of state agencies' records management practices. These audit reports are provided, with recommendations, to the agency and to CalRIM.

**ROLE OF THE SECRETARY OF STATE**

**1608**

(Revised 12/13)

The Secretary of State shall:

1. Review records retention schedules to identify records which have historical and research value.
2. Keep these historical records and make them available to agencies and the public for reference and research under the provisions of the California Public Records Act and Information Practices Act.

**FILING EQUIPMENT**

**1609**

(Reviewed and Renumbered 12/13)

Vertical Shelf Files, Office Type (Open Shelf). Vertical shelf filing is the most efficient type and is the state's standard. Records are stored on shelves in rows, instead of in drawers. When planning a file system determine if it is feasible and economical to replace current files with shelf file systems.

**SUPPLIES**

**1610**

(Revised 12/13)

**Records Storage Containers:**

Clean cardboard cartons are required for the storage of inactive records shipped to and stored in the SRC.

Box dimensions: height – 10”, width – 12”, depth – 15” (Accommodates letter and legal size files)

Only clean unused boxes will be accepted for the storage of inactive records.

**RECORDS RETENTION SCHEDULE PROGRAM**

**1611**

(Revised 12/13)

Each agency must establish a Records Retention Schedule Program consistent with state and agency statutory requirements. The Records Retention Handbook implements statutory requirements and supplements information in SAM 1600. The Handbook covers specific procedures and areas necessary to ensure that all records produced, maintained, or disposed of by the agency are properly and timely acted upon.

**RECORDS INVENTORY**

**1612**

(Reviewed & Renumbered 12/13)

Each agency must inventory its records at least once every five years using Records Inventory Worksheet form, STD. 70. See the Records Retention Handbook for specific guidelines on how to prepare and conduct the inventory.

**RECORDS APPRAISAL AND SCHEDULING**

**1613**

(Reviewed & Renumbered 12/13)

Federal Programs. If an agency is involved in a federal program, it must also follow any federal rules and guidelines when reviewing, appraising, or scheduling records.

Significant California Government and Civil Codes that affect records:

1. The Information Practices Act of 1977, beginning at Civil Code Section 1798, places specific requirements on state agencies when they collect, use, maintain, and disseminate information about individuals. This Act also comes into play when determining retention periods and disposal methods. In particular, consider the following sections of the Act:
  - a. Civil Code Section 1798.14. This section requires agencies to maintain information about individuals in terms of relevance and necessity.
  - b. Civil Code Section 1798.24. This section sets conditions under which information about individuals can be disclosed to third parties.
2. The California Public Records Act, Government Code 6250 details what information is available to the public and what are not, public records open to inspection, response time guidelines, and regulations governing procedure.

**RECOMMENDED RETENTION PERIODS**

**1614**

(Revised 12/13)

CalRIM provides recommended retention periods for: Records Management, Personnel and Payroll, Delegated Testing, Fiscal, Information Technology, Administrative, e-mail and records that are common to most offices. Use them when setting up your Records Retention Schedules form, STD 73. For the recommended retention periods, visit the section “Recommended General Records Retention” on the CalRIM Website at: <http://www.dgs.ca.gov/osp/Programs/CalRIM.aspx>.

**PERSONNEL RECORDS**

**1614**

(Revised 12/13)

Most of the general retention periods for personnel records were developed by the Personnel Officers Council or the Personnel Assistance Association. They are based upon the experience of many agencies, and take into account the length of time copies of these documents are kept by the State Personnel Board. You are encouraged to notify CalRIM about any laws, policies, or regulations that may impact the retention of personnel records.

**FISCAL RECORDS**

**1614**

(Revised 12/13)

The general retention periods for fiscal records are based upon the experience of many agencies, and take into account the length of time copies of these documents are kept by the State Controller, the State Treasurer, and the Department of Finance. These agency records are available for your use.

It is not practical to establish general retention periods for such records as General Journal, General Ledger, and various trust documents including cash trust checks. Although these are widely used, each agency must evaluate their retention periods in terms of its own needs. When doing so, consider any statutes of limitations.

**INFORMATION TECHNOLOGY** **1614**  
 (Revised 12/13)

These guidelines were developed using the knowledge and background of subject matter experts and Records Management professionals. They are presented for your reference in establishing retention standards for your program records. These guidelines need to be considered in context with advice from your agency counsel. Should you decide that a different retention is necessary for your program, please communicate these changes to the CalRIM Program staff. In any event, your records retention strategy needs to be well documented, closely followed and available for examination should the opportunity for litigation occur.

**RECORDS RETENTION SCHEDULES** **1615**  
 (Revised 12/13)

After you complete the Records Inventory (STD 70), you must list your records on a Records Retention Schedule, STD. 73. This form is used as a basis for the designation of records to be retained, transferred, or destroyed in a particular records series. It also serves to identify vital, confidential, and public records.

**APPROVING THE RECORDS RETENTION SCHEDULE** **1616**  
 (Revised 12/13)

The schedule is approved by CalRIM and reviewed by the State Archives. You can dispose of your records according to your schedule without any additional approval from CalRIM for five years, or until you make revisions to your schedule, whichever occurs first. Reviewing and approval authority and amending records retention schedules procedures are further outlined in the Records Retention Handbook.

**UPDATING AND AMENDING THE RECORDS RETENTION SCHEDULE** **1617**  
 (Revised 12/13)

Always update retention schedules when changes impact keeping or disposing of agency records. Records retention schedules must be revised and updated at least once every five years after the required inventory and appraisal process.

To amend or delete items from records retention schedules, follow the procedures reflected in the Records Retention Handbook. Amendments made during the five-year retention schedule cycle are not classified as revisions and the original Approval Number/Expiration Date is retained.

**RECORDS STORAGE AND SERVICES** **1618**  
 (Revised 12/13)

State Records Center (SRC) Services. SRC can provide yearly savings to agencies that deposit inactive records as an extension of their files. Refer to the Records Retention Handbook for further guidance and information.

The **SHIPPING** address for sending records to the SRC is:  
 3240 Industrial Boulevard  
 West Sacramento, CA 95691

The **MAILING** address for correspondence, requests, re-files, etc. is:  
 1501 Cebrian Street  
 West Sacramento, CA 95691

Departmental Record Storage Facilities. Agencies may not establish and/or create new places to store their records unless written approval by CalRIM is first obtained.

**TRANSFER****1619**

(Revised 12/13)

To transfer of your records to the SRC you must first fill out a Records Transfer List, STD. 71. Send the original to the SRC. You must have their approval before you send the records.

In order for an agency to transfer records to State Archives all the following criteria must be met:

1. The State Archives has flagged records on your records retention schedule.
2. The flagged records are in your office or departmental storage.
3. The records have reached the end of their retention period.

**RECORDS REQUEST****1620**

(Revised 12/13)

An agency may withdraw their own records from the SRC at any time. If you want to view a record that has been placed in storage by a different agency, you must first get the other agency's permission.

To check out a stored record, fill out a SRC Reference Request STD. FORM 76, and send it to the SRC. To make an emergency request, call the SRC.

When you no longer need the record, return it to the SRC with one copy of the STD. 76 still attached to the record.

**VAULT STORAGE OF VITAL (ESSENTIAL) RECORDS****1621**

(Revised 12/13)

The State Records Center will store microfilm, CD's, or other electronic media for state agencies in a climate controlled vital records protection vault. If any agency needs to store microfilm records longer than 10 years, silver halide film must be used. Records to be kept fewer than 10 years may be on diazo, vesicular, or dry silver film. Do not store silver film with any other type of film. After microfilm has been stored in the vault for over two years, agencies should inspect it annually. Other media should be inspected and migrated as necessary. Contact the State Records Center for procedures on how to transfer, store, inspect, or retrieve records from the vault. Vault storage does not include viewing equipment. Deliveries to/from the vault are handled by the SRC. All vital records must be listed on a current and approved records retention schedule.

**STATE ARCHIVES****1622**

(Revised 12/13)

The State Archives keeps historical records permanently for reference and research. Archival analysts evaluate agency records and consult with the agencies to determine which records met the State's long-term information needs.

**DEPARTMENTAL RECORDS STORAGE FACILITIES****1623**

(Reviewed and Renumbered 12/13)

Agencies may not establish and/or create new places to store their records without prior written approval by CalRIM.

**RECORDS OF A DISBANDED FUNCTION OR PROGRAM**

1624

(Revised 12/13)

When a program or function ends, the agency must transfer the custody of the program's records. Normally the custody is transferred to another group within the department, board, commission, or council. The agency must also send a copy of a revised records retention schedule to CalRIM. This will notify CalRIM that records have been transferred.

If an entire organization within one of the agencies is abolished, custody of the records must be reassigned by the Agency. Send a notice of the transfer of custody to CalRIM. The notice must be signed by staff that represents both the transferring and the receiving organizations. It must include the name, title, address, and telephone number of the person who will be responsible for making decisions about the records. When the records are sent to the new organization, they must be accompanied by the revised records retention schedules, transfer lists, and any other documentation dealing with the management of the records being transferred.

When an entire organization is abolished by legislation, custody for the records should be assigned in the "sunset" legislation.

When an abolished program is not part of a larger department or Agency and no plan for the records was made in the "sunset" legislation, call CalRIM for assistance.

**DESTRUCTION OF RECORDS**

1625

(Revised 12/13)

**Confidential Records** - The Document Destruction Center (DDC) provides for the destruction of confidential records. However, each state agency must still make sure their obsolete records are disposed of in accordance with laws, rules, and State policies. In Sacramento, DDC staff will be used to witness the destruction of confidential records. If an agency needs to destroy accountable forms, arrangements must be made with the DDC to ensure witnessing by appropriate agency personnel.

Agencies must send a State employee to witness confidential destruction when using the services of private contractors.

**Non-confidential Records**- To destroy your non-confidential records, contact the-DDC.

If you use the DDC to destroy your obsolete records, you do not need to fill out a Property Survey Report, STD. 152.

**RECORDS MANAGEMENT INFORMATION, POINT OF CONTACT & ADDRESS**

(Revised 12/13)

Available Records Management Guidance and Assistance. CalRIM has written helpful records management program guidelines, factsheets, and/or handbooks to assist agencies to administer their program. Copies may be obtained from the agency's Records Management Coordinator or from CalRIM.

- |  |   |
|--|---|
| 1. Records Retention Handbook                          | 4. Vital Records Protection and Disaster Recovery                           |
| 2. Records Retention Schedule<br>Detailed Instructions | 5. Electronic Records Management Handbook                                   |
| 3. Perpetual Retention Type Records                    | 6. Guidelines for Conducting a “Preliminary File Purge”<br>of Paper Records |

The following are contacts for additional assistance in the areas of Records and Integrated Document Management information or literature.

Ramona Gutierrez, CalRIM	<a href="mailto:ramona.gutierrez@dgs.ca.gov">ramona.gutierrez@dgs.ca.gov</a>	(916) 322-1728
Javier C. Sanchez, CalRIM	<a href="mailto:javier.sanchez@dgs.ca.gov">javier.sanchez@dgs.ca.gov</a>	(916) 322-1729
Jenny Chakonova, CalRIM	<a href="mailto:jenny.chakonova@dgs.ca.gov">jenny.chakonova@dgs.ca.gov</a>	(916) 324-1830
Roman Zeltvay, SRC	<a href="mailto:roman.zeltvay@dgs.ca.gov">roman.zeltvay@dgs.ca.gov</a>	(916) 375-7427

You may also visit the CalRIM Website: <http://www.dgs.ca.gov/osp/Programs/CalRIM.aspx>

**Department of General Services  
California Records and Information Management  
344 North 7<sup>th</sup> Street  
Sacramento, California 95814**

**PROGRAM SUMMARY, RESOURCES, AND CONTACTS**

1700

(Revised 12/13)

The State Forms Management Program (FMP) is mandated and governed by [Government Code Sections 14770-14775](#).

The Forms Management Program is administered by the Forms Management Center (FMC) which is located within the Department of General Services, Office of State Publishing at 344 North 7th Street (IMS P-06), Sacramento, California 95811. For inquiries, telephone the FMC at (916) 323-0311, or fax (916) 376-6340.

This chapter provides major policy for the State FMP. The State FMP includes, but is not limited to, criteria for forms design, purchasing, printing specifications, delivery, and inventory control systems. Procedures for complying with this policy are contained in handbooks available from the FMC. An Addendum to SAM Chapter 1700 is also available. The Addendum contains additional information such as the responsibilities of the Departmental Forms Coordinator (DFC). To access the Addendum, please go to: [http://www.documents.dgs.ca.gov/osp/pdf/SAM\\_Addendum\\_Chapter\\_1700.pdf](http://www.documents.dgs.ca.gov/osp/pdf/SAM_Addendum_Chapter_1700.pdf)

The Forms Management and Forms Design handbooks and Addendum to SAM Chapter 1700, are part of the FMC's resource documents and are based on 'best business practices' for forms programs. They contain guidelines, procedures, instructions, terms and definitions, recommended readings, and other detailed information relating to the State FMP. For additional information please refer to the handbooks, SAM Section 1715, Forms Management Training and Guidelines and the Addendum to SAM Chapter 1700.

A DFC and/or other staff involved in the State FMP responsibilities should contact the FMC for detailed information relating to the State FMP. See SAM Section 0030 for contact names and telephone numbers.

**STATUTORY AUTHORITY**

1701

(Revised 12/13)

[Government Code Section 14770](#) requires the Director of the Department of General Services (DGS) to “. . . establish and staff an activity within the department to be known as the”forms management center“ for the orderly design, implementation and maintenance of a statewide forms management program.” This activity includes the study, development, coordination, and initiation of State Standard (STD.) forms (forms of interagency and common administrative usage) which is required by [Government Code Section 14771\(a\)\(2\)](#).

[Government Code Section 14771\(a\)\(9\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC) to “. . .Develop and promulgate rules and standards to implement the [State Forms Management Program].” These rules and standards include responsibilities of the FMC, State agencies, and Departmental Forms Coordinators (DFCs).

[Government Code Section 14771\(a\)\(14\)](#) requires the Director of the Department of General Services (DGS), through the FMC, to “. . . provide notice to state agencies, forms management representatives, and departmental forms coordinators, that in the usual course of reviewing and revising all public-use forms that refer to or use the terms spouse, husband, wife, father, mother, marriage, or marital status, that appropriate references to state-registered domestic partner, parent, or state-registered domestic partnership are to be included.”

The term 'agency' refers to appropriate departments, offices, boards, commissions, etc.

**ESTABLISHING THE AGENCY PROGRAM**

1705

(Revised 12/13)

[Government Code Section 14750\(a\)](#) requires each agency head to “Establish and maintain an active, continuing program for the economical and efficient management of the records and information collection practices of the agency. The program shall ensure that the information needed by the agency shall be obtained with a minimum burden upon individuals and businesses...”

[Government Code Section 14771\(a\)\(4\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC), to “Provide assistance, training, and instruction in forms management techniques to state agencies, forms management representatives, and departmental forms coordinators . . .”

[Government Code Section 14772](#) requires the director of each State agency to “. . . appoint a forms management representative and provide necessary assistance to implement the State Forms Management Program within the agency.” The Forms Management Representative (FMR) usually has a level of responsibility equivalent to a staff services manager position.

The FMR appoints and works with the Departmental Forms Coordinator (DFC) to manage and maintain the Forms Management Program (FMP) within the agency. The primary responsibility of the DFC is to serve as liaison between the agency and the FMC. The DFC usually has a level of responsibility equivalent to that of a staff services analyst position.

These appointments are made using the form FMC 105 – *State Forms Management Program Appointments*, signed by the department director, and submitted to the Forms Management Center (FMC). You may access a copy of the FMC 105 via the following website address:

<http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter/FormsCoordinators.aspx>

Agencies may also staff their FMP with forms program managers, forms analysts, forms designers, forms authors, forms programmers, and proofreaders to assist their Forms Management Representative (FMR) and Departmental Forms Coordinator (DFC) in carrying out the forms management responsibilities of the agency.

Classifications commonly used to staff the FMP have been staff services managers, associate governmental program analysts, staff services analysts, digital composers, information officers, and information systems analysts. Staff assigned to the FMP should possess the skills, knowledge, and abilities to carry out the duties detailed in SAM Chapter 1700, the [Addendum to SAM Chapter 1700](#), and the FMC’s handbooks.

[Government Code Sections 14771\(a\)](#) and [14775](#) require the director of each State agency to fulfill legislative requirements needed to effectively implement the State Forms Management Program (FMP). Such requirements may involve submitting various reports to the DGS FMC.

**TERMS AND DEFINITIONS**

1710

(Revised 12/13)

**Business-Use Forms/Reports** – State forms and/or reports used to collect and/or solicit information from businesses. See [Government Code Sections 14771\(c\)](#) and [14775](#).

**Public-Use Forms** – State forms used to obtain or solicit facts, opinions, or other information from the public or private citizens, etc. See [Government Code Section 14741\(1\)](#).

**State Standard (STD.) Forms** – State forms developed for use by all agencies to carry out common statewide administrative functions. See [Government Code Sections 14771\(a\)\(2-6\)](#).

**Agency / Departmental Forms** – State forms created and used specifically by an agency to carry out the agency’s administrative functions. The term ‘agency’ refers to appropriate departments, offices, boards, commissions, etc.

**Forms Management Representative (FMR)** – An individual appointed by the department’s director to implement the agency’s FMP. See [Government Code Section 14772](#).

**Departmental Forms Coordinator (DFC)** – An individual appointed by the department’s FMR to serve as liaison between the agency and the FMC.

## SAM—FORMSMANAGEMENT

### FORMS MANAGEMENT TRAINING AND GUIDELINES

1715

(Revised 12/13)

As required by [Government Code Section 14771\(a\)\(4\)](#), the Forms Management Center (FMC) provides training and assistance in all aspects of establishing and implementing the State Forms Management Program (FMP). The training consists of three classes, Forms Management, Forms Analysis and Design, and Introduction to Electronic Forms. These classes are available to any State employee who has forms management, analysis, and/or design responsibilities. Departmental Forms Coordinators (DFCs) are strongly encouraged to attend these classes.

State agencies may contact the FMC to coordinate and schedule training sessions.

All agencies must implement an effective FMP as detailed in the Forms Management Handbook, SAM Chapter 1700, and the [Addendum to SAM Chapter 1700](#). The Handbook and Addendum contain guidelines for the program and are used in the FMC's classes. The Forms Design Handbook, which is used in the Forms Analysis and Design class, explains the basic techniques and criteria of proper forms design for the State of California.

State agencies may contact the FMC to request copies of the Forms Management and Forms Design handbooks.

### FORMS DESIGN STANDARDS

1720

(Revised 12/13)

Forms can be filled out and designed on paper or by electronic media. Agencies should follow the forms design standards, criteria, and techniques presented in the Forms Design Handbook. All agency forms and all STD. forms must contain the term 'State of California', the authoring department's name, a form title, a form number, and a form creation or revision date. Contact the Forms Management Center (FMC) for information about forms design standards and forms design software.

Refer to SAM Section 1710 for Agency Forms and STD. Forms definitions.

Forms not included in the STD. Forms Program may not carry 'STD.' or any variation of that designation as a prefix to the form number. If a form is removed from coordination as an STD. form and returned to management of the generating agency, the agency must change the number and identification at the next printing. These forms may carry a statement such as 'Formerly STD. XXX'.

It is not advisable to preprint names of employees on forms unless there are compelling reasons to do so. An exception may be made for names of elected or appointed officials. Please refer to the [Addendum to SAM Chapter 1700](#).

### FORMS REVIEW PROCESSES

1725

(Revised 12/13)

Proposed changes to paper and electronic forms should be reviewed for legal impact, workflow processes and routed for review by the appropriate departmental staff. Coordinating this review and approval process is the responsibility of the Departmental Forms Coordinator (DFC).

### STATE STANDARD (STD.) FORMS

1730

(Revised 12/13)

All agencies must use STD. forms instead of creating their own agency forms whenever feasible. A list of STD. Forms is available online at: <http://www.dgs.ca.gov/osp/Forms/Search/paperPriceList.aspx> Most STD. forms are available online as Fill-and-Print pdfs at: <http://www.dgs.ca.gov/osp/Forms/Search.aspx> Savable versions of these forms for use on your local networking systems may be purchased using an FMC 14 - Electronic STD. Forms Product Order located at: <http://www.documents.dgs.ca.gov/osp/pdf/fmc14.pdf>.

Procedures for requesting modified, overprinted, or electronic STD. forms are in the [Addendum to SAM Chapter 1700](#). The Addendum also includes procedures for submitting a form for inclusion as an STD. form.

**BUSINESS-USE INVENTORY**

1735

(Revised 12/13)

[Government Code Sections 14771\(c\)](#) and [14775](#) require the development, maintenance, and review of a statewide inventory of non-tax business-use forms and reports used by State agencies to collect and/or solicit information from businesses.

This inventory is known as the Business-Use Inventory which is comprised of the forms your department has created in order to conduct its daily business and reports that it requests of businesses. For the purpose of this inventory, a business is defined as a non-governmental entity such as a corporation, organization, partnership, business trust, etc. The procedures for satisfying the responsibilities for the Business-Use Inventory are contained in the [Addendum to SAM Chapter 1700](#).

[Government Code Section 14771\(c\)](#) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC), to develop and maintain the statewide Business-Use Inventory, and notify State agencies of their annual review requirements.

[Government Code Section 14775\(b\)](#) requires each State agency commencing December 31, 1995, to review one-third of its Business-Use Inventory on an annual basis.

As part of the annual review requirements, each State agency is to eliminate those forms and/or reports that are not mandated by statute. However, an agency head may certify the continued use of a form and/or report if the information provided on the form and/or report meet specific requirements detailed in [Government Code Section 14775\(b\)](#).

[Government Code Section 14775\(c\)](#) states that a business may contest an agency head's certification of the continued use of a form and/or report.

**PUBLIC-USE FORMS INVENTORY**

1740

(Revised 12/13)

[Government Code Section 14771\(a\)\(12\)](#) requires that forms to be used by the public (including businesses) have assigned control numbers. The agency form number serves this purpose and must appear on the form as part of the identification. See SAM Section 1720.

An agency may not ask for or require members of the public to supply information to the State on a form not so identified. This applies whether the information is submitted voluntarily, required to gain or retain a benefit or service, or mandatory (a penalty will be assessed for failure to provide the information).

Agencies have been given the responsibility by the Forms Management Center (FMC) to identify all forms used by the public and maintaining a current index and inventory of forms. Upon request, agencies must report changes to their inventory to the FMC.

**PRIVACY AND DISCLOSURE**

(Revised 12/13)

State and Federal laws protect people's privacy and confidential information. An agency must obey these laws when gathering or disclosing information about an individual. These laws include requirements concerning:

1. The kind of information a form can request;
2. The information that is provided by the individual;
3. How to store the forms and their information; and
4. Disclosing the data on the forms.

You can find out more about the privacy and disclosure laws and regulations from the following:

1. Federal Privacy Act, Public Law 93-579;
2. Freedom of Information Act, 5 U.S.C. 552(b)(6);
3. [Information Practices Act, California Civil Code Section 1798 et seq.](#); and
4. [California Public Records Act, Government Code Section 6250 et seq.](#)

**DISPOSAL OF UNUSED ACCOUNTABLE FORMS**

1750

(Revised 12/13)

Each agency is responsible for the appropriate disposal of unused (blank) accountable forms. Accountable forms are unused pre-numbered forms used to record or transfer money. Examples are checks, receipts, meal tickets, and licenses.

Destruction of accountable forms should be witnessed by a member of your agency's internal audit unit. If there is no such unit, it must be witnessed by an agency employee who is not directly responsible for handling or accounting for the documents or the fees for which the documents are issued.

Procedures for certification of destruction are contained in the [Addendum to SAM Chapter 1700](#).

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**GENERAL POLICY**

**1900**

(Revised 12/13)

The Department of Resources, Recycling and Recovery (CalRecycle) is committed to reducing the amount of solid waste entering landfills, and to assist state agencies and facilities in meeting required waste diversion goals, and to enact programs for all recyclable materials where feasible. CalRecycle's Internet location is <http://www.calrecycle.ca.gov/>.

For information on state agency requirements and assistance: <http://www.calrecycle.ca.gov/StateAgency/>.

**TERMS AND DEFINITIONS**

**1910**

(Revised 12/13)

To access CalRecycle's terms and definitions relating to recycling and waste prevention <http://www.calrecycle.ca.gov/laws/Regulations/Title14/ch9a3.htm>.

For and index of programs and services: <http://www.calrecycle.ca.gov/Index/>

**STATUTORY AUTHORITY**

**1920**

(New 12/13)

On and after January 1, 2004, each state agency and each large state facility shall divert at least 50 percent of all solid waste through source reduction, recycling, and composting activities. Each state agency and large state facility is also required to designate at least one solid waste reduction and recycling coordinator to oversee the implementation of waste management programs. Commencing January 1, 2007, pursuant to PRC 42921.5, the 50 percent diversion requirement is measured by comparing the per capita disposal rate in subsequent years with the equivalent per capita disposal rate that would have been necessary for the state agency or large state facility to comply with the 50 percent diversion requirement (for additional information about the measurement system see [State Agency Laws and Regulations](#).) Also, beginning in 2012, each state agency and large state facility is to annually submit a state agency waste management report to CalRecycle by May 1.

For more information on state agency waste management report:

<http://www.calrecycle.ca.gov/StateAgency/WMReport/>

Additionally, Public Contract Code Sections 12200-12217, the State Agency Buy Recycled Campaign (SABRC), and related PCC Sections 12180-12184, include purchasing and reporting requirements for state agencies regarding products purchased by the State of California, in specific product categories. The requirements state that if fitness and quality are equal, each state agency shall purchase recycled products instead of non-recycled products whenever recycled products are available at the same or lesser total cost than non-recycled products.

For more information on SABRC reporting:

<http://www.calrecycle.ca.gov/BuyRecycled/StateAgency/Requires.htm>

**EXECUTIVE MANDATE**

**1921**

(Revised 12/13)

The Governor's Executive Order [EO-B-18-12](#), requires the Department of General Services to work with other state agencies to develop by July 1, 2013, policies and guidelines for the operation and maintenance of State buildings to achieve operating efficiency improvements and water and resource conservation, and to continually update and incorporate these into the State Administrative Manual.

## SAM—WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

### RECYCLING OF MATERIALS

1930

(Revised 12/13)

The following subsections provide guidance to state agencies in managing these material wastes: California Redemption Value (CRV) beverage containers, carpet, construction and demolition material (C&D), electronic waste (e-waste), food waste, mattresses, organic landscape waste, oil, paint, paper, scrap metal, sharps, tires, toner cartridges and universal waste (u-waste). U-wastes are: batteries, lamps/ light bulbs, mercury-containing equipment and thermostats, and non-empty aerosol cans.

For more information on implementation of waste prevention, reuse, and recycling programs:  
<http://www.calrecycle.ca.gov/StateAgency/Assistance/>.

### CALIFORNIA REDEMPTION VALUE BEVERAGE CONTAINERS (CRV)

1930.1

(Revised 12/13)

Until placed in a recycling bin, a CRV beverage container is the property of the person who purchased it. CRV beverage containers placed in state-owned recycling bins are the property of the state. CRV beverage containers placed in recycling bins furnished by a contracted recycling service provider are the property of that contracting organization. Unauthorized removal of CRV beverage containers from a CRV recycling bin is a misdemeanor criminal offense.

For agencies needing information on locating a CRV beverage container recycling center:  
<http://www.calrecycle.ca.gov/BevContainer/Recyclers/Directory/Default.aspx?lang=en-US>.

### CARPET

1930.2

(Revised 12/13)

California is the first state in the nation to establish a statewide Carpet Stewardship Program which helps ensure that discarded carpet becomes a resource for new products. A non-profit carpet stewardship organization designs and implements the statewide carpet stewardship program.

Information on carpet stewardship is at: <http://www.calrecycle.ca.gov/Carpet/>. This website has information on the carpet stewardship program, the stewardship organization running the statewide program, and associated laws, regulations, plans and guidance.

To best reuse or recycle old carpet, it needs to be dry and not contaminated with other debris.

Reuse is a preferred method for managing carpet, if feasible, however it tends to be limited to carpet tiles. Some manufacturers of the carpet tile take it back so check if this is feasible.

Recycling is a preferred option over landfilling because it saves resources, reduces green house gas emissions, and saves landfill space. When purchasing and installing new flooring that requires the removal of old carpet, ask your contractor/vendor to recycle the old carpet.

To locate a carpet collector and/or processor near you to recycle or dispose of old carpet, check the resources on this page: <http://www.calrecycle.ca.gov/ConDemo/Carpet/Facilities.htm>

## SAM—WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

### CONSTRUCTION AND DEMOLITION (C&D)

1930.3

(Revised 12/13)

Historically, construction and demolition waste such as concrete, lumber, and carpet has comprised nearly a third of all materials disposed in California landfills annually.

Title 24, Part 11, California Green Building Standards Code (CALGreen) requires all permitted new construction to divert at least 50% of the construction and demolition wastes generated as part of the project. CALGreen also requires the diversion of 50% of the C&D waste generated resulting from alterations with a permit value  $\geq$ \$200,000 or additions adding  $\geq$ 1,000 ft<sup>2</sup> of conditioned space. Executive Order B-18-12 requires all State buildings greater than 50,000 square feet to meet the Leadership in Energy and Environmental Design (LEED) for Existing Buildings.

State agencies shall meet the following requirements, as they apply: Meet the construction and demolition waste diversion requirements of California Green Building Standards Code (CALGreen) for all applicable new and existing buildings; or for existing buildings greater than 50,000 square feet, meet the C&D diversion credit requirements of LEED for Existing Buildings where feasible; or for building projects not covered under CALGreen, the agency should divert as much material from the project as is feasible and consistent with the requirements of Public Resources Code Sections 42920 et seq.

For more information on C&D recycling: <http://www.calrecycle.ca.gov/ConDemo/>

For information on CALGreen: <http://www.bsc.ca.gov/home/calgreen.aspx>

### OTHER RECYCLABLE MATERIALS

1930.4

(Revised 12/13)

Electronic waste (e-waste) is presumed hazardous when disposed and may not be disposed with municipal solid waste. Functional or refurbishable surplus electronic equipment must be managed pursuant to [SAM 3520](#) and [SAM 5900](#). Pursuant to [SAM 3520.9](#), state agencies must recycle irreparable e-waste using an authorized recycler. Management Memo 12-02 ([http://www.documents.dgs.ca.gov/osp/sam/memos/MM12\\_02.pdf](http://www.documents.dgs.ca.gov/osp/sam/memos/MM12_02.pdf)) encourages state agencies to consider redirecting functional computers and associated peripherals toward educational reutilization.

To find an E-waste recycler: <http://www.calrecycle.ca.gov/Electronics/Collection/>

### FOOD WASTE

1930.5

(Revised 12/13)

Food waste is one of the largest single disposed materials in California's landfills.

All state agencies with food preparation/dining service (either state or contractor operated), shall explore options that reduce or prevent the landfill disposal of food waste. Reducing the generation of food waste is always preferable. In regions where programs exist, state agencies can participate in local or regional efforts to separate food waste and divert it to facilities where it can be composted, digested or otherwise processed. Because food waste degrades quickly and can produce odors or attract vectors, state agencies should consult with CalRecycle staff to explore available source reduction and recycling options, how to comply with regulations concerning food waste handling, as well as any permits which may be required if the option selected includes on-site food waste reduction solutions.

For more information on food waste recovery: <http://www.calrecycle.ca.gov/Organics/Food/>

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**MATTRESS**  
(Revised 12/13)

**1930.6**

Although mattresses are bulky, hard-to-manage products, many of their components can be recycled. In fact, according to a 2012 CalRecycle-commissioned mattress case study recycling mattresses saves landfill space and is estimated to offset 45% of GHG emissions associated with the production and landfilling of these products.

State agencies shall check with vendors of new mattresses to see if they can pick up old mattresses for recycling or disposal.

Check current state laws for additional requirements, if applicable. See <http://www.calrecycle.ca.gov/Recycle/>.

**MOTOR OIL**  
(Revised 12/13)

**1930.7**

Used motor oil is a hazardous waste that must be properly managed. It is against the law to pour used oil onto the ground or into storm drains, or place into trash cans (even in a sealed container) as it can contaminate and pollute the soil, groundwater, streams, and rivers. Recycling used motor oil reduces this pollution threat and allows a waste material to be recycled, cleaned, and used again.

Certified used oil collection centers will accept used oil from the public at no charge, and can be found via the Certified Collection Center search tool. Certified collection centers will not accept used motor oil that has been contaminated with other fluids such as antifreeze, solvents, gasoline, or water. If used oil is suspected of being contaminated, local agencies can be contacted for information on management options.

More information on used oil management can be found on the Used Oil Recycling Home Page (<http://www.calrecycle.ca.gov/UsedOil/>)

To find a certified used oil recycling center:

<http://www.calrecycle.ca.gov/UsedOil/Reports/CenterSearch/Default.aspx?lang=en-US>

**ORGANIC LANDSCAPE WASTE**  
(Revised 12/13)

**1930.8**

For all state owned or operated facilities with landscaping: agencies shall reduce the generation of organic waste materials through sustainable practices such as climate-appropriate plantings, reduced plant densities, and grasscycling; and divert from disposal as much as feasible of all organic landscape materials through composting, mulching, anaerobic digestion, or other acceptable organic materials management activity.

For more information on recycling green and organic waste materials: <http://www.calrecycle.ca.gov/Organics/>

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**PAINT**

**1930.9**

(Revised 12/13)

Existing law prohibits the disposal of paint in the land or waters of the state and authorizes certain entities to accept latex paint for recycling. Paint represents almost one-third of the material collected at local household hazardous waste facilities and costs local government millions of dollars to manage. The California Architectural Paint Recovery Program, established by AB 1343, requires manufacturers of architectural paint to develop and implement a recovery program to manage the reuse, recycling, and proper disposal of leftover paint. This program allows state agencies to return leftover paint to drop-off locations at certain paint retailers, hardware stores, transfer stations, and household hazardous waste facilities throughout the state at no charge. If a state agency generates over 300 gallons of leftover paint, direct pick-ups may also be arranged.

In order to reduce the generation of leftover paint, only buy an appropriate amount of paint for each project. If paint is purchased in greater quantities than needed, it can be reused or reprocessed to make a high-quality, economical, recycled paint for use in place of standard latex paint. Leftover paint should be taken to a drop-off site for reuse, recycling, or proper management.

For more information on paint product management, including recycling leftover paint:

<http://www.calrecycle.ca.gov/Paint/>

**PAPER**

**1930.10**

(Revised 12/13)

Paper and paperboard products make up around 20% of office or business disposal in California. Many State agencies already have paper and cardboard recycling programs, because paper products comprise the greatest volume of recyclables for the typical office. The most common paper types generated in state offices are: white ledger (copier and printer paper), colored paper, newsprint, magazines, phone books and directories, paper bags, and cardboard. Mixed paper is what occurs when these commodities are not sorted. Sorting white paper from other types could produce revenue depending on the amount generated, market prices, and how well it is sorted. Some facilities mix paper and other recyclables into a single bin that is sorted at a material recovery facility. The single bin concept creates convenience for staff, but produces a lower grade of recycled paper that will produce little or no revenue. Recycling paper, even mixed paper, avoids disposal costs and helps agencies meet their 50% diversion requirement. These recycling programs also support the State of California's 75% statewide waste diversion goal, in accordance with the provisions of AB 341. For recycling non-confidential records, the shredded paper should be bagged to avoid litter.

For more information on paper recycling <http://www.calrecycle.ca.gov/Paper/>

CalRecycle manages a paper and beverage container recycling contract that provides free service to participating state agencies in the Sacramento area. For more information on CalRecycle's recycling contracts:

<http://www.calrecycle.ca.gov/StateAgency/Assistance/Contracts.htm>

For Information On Confidential Records Destruction, See The [State Administrative Manual \(Sam\) 1693](#).

## SAM—WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

### SCRAP METAL

1930.11

(Revised 12/13)

Scrap metal recycling is common and has a mature, extensive infrastructure. Depending on the quantity and quality of scrap metal generated, state agencies may receive revenue from recycling ferrous (sticks to a magnet, like steel & iron) and non-ferrous (aluminum, copper, brass, etc.) metal. Types of common scrap metal include: used wire, pipes, signs, posts, appliances, tin (steel) cans, empty aerosol and paint cans, rails and fencing, and some types of furniture. Agencies that generate significant amounts of scrap metal may choose to either sort out the most valuable types, or to commingle all types into one bin before sale to a scrap metal recycler. Metals are among the most valuable recycled commodities and they should be protected from theft.

CalRecycle manages two scrap metal contracts in Southern California that are available to state facilities in Los Angeles, Ventura, Orange, Riverside and San Bernardino counties. To reference these contracts:

<http://www.calrecycle.ca.gov/StateAgency/Assistance/Contracts.htm>

When it is recycled, scrap metal is generally exempt from hazardous waste regulations under both federal and state law. Scrap metal is not exempt from regulations under either federal or State Law when disposed, especially if it exhibits a characteristic of hazardous waste or is contaminated with a listed hazardous waste. Such situations may include metals covered with old, leaded paint, or motor parts covered with oil and grease. In these cases, metal may need to be managed as a hazardous waste under federal law 40 CFR 261.6(a) (3)(ii) and state law 22 CCR 66261.6(a)(3)(B)

### SHARPS

1930.12

(Revised 12/13)

Although only pertaining to home-generated sharps, beginning in 2008 state law ([Section 118286](#) of the California Health and Safety Code) made it illegal to dispose of those sharps in household trash or recycling containers. Thus, state employees who often must self-inject during work hours, must follow similar requirements at home as those described below. Ultimately, decreasing the number of sharps disposed in standard trash receptacles will help prevent potential health risks to janitorial staff and other waste and recycling workers.

Buildings with full-time state employees (excluding contractors) shall make a sharps container available in at least one of each male and female restroom. The sharps container shall meet the standards and receive approval from the federal Food and Drug Administration as a medical device for use as a sharps container (search for “sharps” in the search box at the following link: <http://www.accessdata.fda.gov/scripts/cdrh/cfdocs/cfPMN/PMNSimpleSearch.cfm>). Signage near any restroom trash receptacle lacking a nearby sharps container should reference the location of the sharps container(s) that is/are available for employees. Disposal should be arranged for by the building management and/or by state agency agreement.

For more information on handling sharps: <http://www.calrecycle.ca.gov/HomeHazWaste/Sharps/>

## SAM—WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

### TIRES

1930.13

(Revised 12/13)

CalRecycle is mandated to regulate and manage waste tires generated within the state. The Legislature recognized the need for waste tire management and passed the California Tire Recycling Act in 1989. To further strengthen waste tire management, the Legislature passed Senate Bill (SB) 876 in 2000 to augment the California Tire Recycling Act

California is faced with the challenge of diverting or safely managing more than 45 million reusable and waste tires generated annually in the state. Any state agency transporting 10 or more used or waste tires must be a registered waste tire hauler with CalRecycle and track tire transactions on a manifest form. Any state agency who stores or stockpiles more than 500 waste tires at a specific location are required to acquire a major or minor waste tire facility (WTF) permit and comply with technical standards for the safe storage of waste tires. Information regarding CalRecycle's enforcement program can be found at: <http://www.calrecycle.ca.gov/Tires/Enforcement/default.htm>

For more information on recycling tires, including tire haulers and recyclers: <http://www.calrecycle.ca.gov/Tires/>

### TONER CARTRIDGES

1930.14

(Revised 12/13)

In accordance with Public Contract Code (PCC), Section 12156 (c), it is unlawful to prohibit a printer or duplication cartridge that is sold to the State from being recycled or remanufactured, except as specified in subdivision (b). Department of General Services (DGS)'s toner cartridge purchasing contracts require the vendor to provide recycling boxes for toner cartridges to each State agency once they place an order. Once the box is full, the ordering agency should seal the box and contact the contractor's take back contact person to arrange for pickup replacement with an empty recycling box. For remote locations, the contractor will provide a recycling box with a prepaid shipping label. Ordering agencies may contact the contractor's take back contact person to arrange for a shipping pick-up. To purchase high quality low-cost remanufactured toner cartridges, obtain a copy of the current contract available from DGS.

For more information on recycling toner cartridges:

<http://www.dgs.ca.gov/buyinggreen/Home/BuyersMain/OfficeSupplies/InkAndTonerCartridges.aspx>

### UNIVERSAL WASTE (BATTERIES, MERCURY THERMOSTATS AND PRODUCTS NON-EMPTY AEROSOL CANS)

1930.15

(Revised 12/13)

"Universal waste" is a designation that includes certain commonly generated hazardous wastes. Because they pose a relatively lower risk to people and the environment than other hazardous wastes, universal wastes are regulated based on a relaxed set of standards which is more appropriate for the specific hazards they pose. California's Universal Waste Rule requires large and small quantity handlers to ship their universal waste to either another handler, a universal waste transfer station, a recycling facility, or a disposal facility.

See these references for more information on the following individual U-wastes.

- Batteries: <http://www.calrecycle.ca.gov/ReduceWaste/Batteries/>;
- Lamps: <http://www.calrecycle.ca.gov/ReduceWaste/FluoresLamps/>;
- Mercury-containing thermostats: [http://www.dtsc.ca.gov/HazardousWaste/upload/HVAC\\_Tech\\_flyer.pdf](http://www.dtsc.ca.gov/HazardousWaste/upload/HVAC_Tech_flyer.pdf);
- Other mercury-containing products: <http://www.dtsc.ca.gov/HazardousWaste/Mercury/Index.cfm>;
- Non-empty aerosol cans:  
[http://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/upload/HWM\\_FS\\_SB1158.pdf](http://www.dtsc.ca.gov/HazardousWaste/UniversalWaste/upload/HWM_FS_SB1158.pdf).

For more information on U-waste <http://www.calrecycle.ca.gov/HomeHazWaste/UWaste/>

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**CALIFORNIA INTEGRATED WASTE MANAGEMENT BOARD  
RESPONSIBILITIES**

(Revised 12/13)

**1940**

For new agencies/departments, CalRecycle approves the integrated waste management plan and creates the electronic annual reporting system. For existing agencies/departments, CalRecycle does the following:

1. Assist agencies to implement programs to source reduce, separate and collect recyclable materials and compost, as applicable, purchase recycled-content products. CalRecycle can provide the following:
  - a. Promotional and educational materials.
  - b. Information on entities that collect recyclables.
  - c. Recycling coordinator and general staff training.
2. Consider requests to implement recycling programs at state facilities when those facilities are located in an area already served by an existing CalRecycle contract (see “Recycling Contract Approval” above). For a list of these contracts view this link: <http://www.calrecycle.ca.gov/StateAgency/Assistance/Contracts.htm>
3. Conduct site assessments to determine:
  - a. Equipment needs,
  - b. Training needs,
  - c. The appropriate recyclable material collector,
  - d. Annual reporting requirements,
  - e. Promotional material needs,
  - f. Purchasing recycled-content products, and
  - g. Potential materials to be collected.
4. Conduct compliance reviews.

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**STATE AGENCY RESPONSIBILITIES**

**1950**

(New 12/13)

These activities are the primary operational components of a state agency's program to comply with the requirements of AB 75 (see above). Each state agency shall:

1. Designate a Recycling Coordinator for each facility and provide the name and phone number of that person to CalRecycle. The facility/office Recycling Coordinator is responsible for ensuring that all discarded materials generated in sufficient quantity are source separated and collected for recycling to the extent feasible, and facilitates waste prevention practices such as double sided printing and copying or use of electronic files when possible.
2. For new state agencies, request CalRecycle approval to establish a recycling program on a site-by-site basis.
3. Secure a site management agreement before implementing a recycling program.
4. Provide for collection of office paper, corrugated cardboard, newsprint, beverage containers, plastics, glass, used oil, metals, toner cartridges, paint, carpet, mattresses, sharps, electronic and universal waste, compost, construction and demolition, and other materials as applicable and where feasible.
5. Determine persons at the site that will collect recyclables and ensure that they will collect the recyclables on a regular basis.
6. Purchase recycling equipment to facilitate the collection and recycling of materials. Set up collection bins, deskside containers, and a collection schedule.
7. Place recycling containers in work and common areas that meet approval by the State Fire Marshal.
8. Encourage all employees to use recycling containers to collect recyclables.
9. When initiating a new recycling program issue a "kick-off memo" to all staff announcing a new recycling effort, materials that will be recycled, management support for it, and the time and place of orientation meetings. Utilize various forms of outreach i.e. internal internet, newsletters, and billboards (electronic/physical).
10. Work with CalRecycle Local Assistance and Market Development staff assigned to your agency/department/facility to implement an employee information and education program to ensure their continued participation and cooperation in separating recyclables. A recycling education program should be part of a new employee orientation and should be periodically reviewed and updated for employees.
11. For state-owned and leased facilities, each respective state entity responsible for the planning and development of facilities to house state operations shall consider providing adequate, accessible, and convenient areas for collecting, storing, and loading recyclable materials.

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

(Continued)

**STATE AGENCY RESPONSIBILITIES**

**1950** (Cont. 1)

(New 12/13)

12. Request CalRecycle's approval to establish a recycling program in an area serviced by a CalRecycle contract:  
<http://www.calrecycle.ca.gov/StateAgency/Assistance/Contracts.htm>
13. At least annually, review the adequacy and condition of recycling containers, and associated signage.
14. Ensure that CalRecycle receives annual reports summarizing its progress in reducing solid waste as required in PPC Section 12167.1 at each facility, including information on annual disposal, explain changes in waste generated or disposed, a status of diversion programs. Also, ensure CalRecycle receives annual reports for State Agency Buy Recycled Campaign (SABRC) and their requirement to comply with PCC Section 12200-12217.
15. Utilize surplus property. See Mamangement Memo 11-01.

**STATE AGENCY BUY RECYCLED CAMPAIGN (SABRC)**

**1960**

(Revised 12/13)

Purchasing is a key component in any comprehensive waste management program including buying recycled content products. All state agencies are required to comply with the purchase requirements of the State Agency Buy Recycled Campaign

The State Agency Buy Recycled Campaign (SABRC), pursuant to Public Contract Code (PCC) Sections 12200-12217, was created to promote the increase of state purchases of recycled content products, particularly to encourage the expansion of businesses located in California that manufacture and/or distribute recycled content products, and to encourage the purchase of products that utilize recycled resources. Pursuant to SABRC requirements, state agencies and the Legislature are required to purchase products made with post-consumer recycled content and to report annually to the Department of Resources Recycling and Recovery (CalRecycle) on product purchases within the eleven categories of material types. Please refer to CalRecycle's website for the most up to date information on the SABRC program annual reporting requirements, and product categories:  
(<http://www.calrecycle.ca.gov/BuyRecycled/StateAgency/>).

Please refer to the State Contracting Manual (SCM) on how the SABRC program relates to the contracting process. SABRC information is included in Volume 2, Chapters 3 and 12 and SCM Volume 3, Chapters 3 and 12.

**SAM—WASTE PREVENTION AND RECYCLING OF  
NON-HAZARDOUS WASTE**

**REDUCE AND REUSE**

(Revised 12/13)

**1970**

The Integrated Waste Management Act of 1989 (AB 939, Sher) declared that the state's hierarchy for waste management is: first, Source Reduction; second, Recycling and Composting; and finally, environmentally safe transformation and disposal.

According to the hierarchy, before considering recycling or disposal, one should first seek opportunities to reduce the generation of waste. Source reduction includes purchasing strategies that help to eliminate waste or packaging. The best example of source reduction is the use of duplex rather than single sided printing. Source reduction also includes reuse. Reutilization of surplus properties are an example of reuse, as are "last chance" areas. Last chance areas are places designated to store extra or surplus office supplies and equipment that staff can access rather than purchasing new materials.

For more information on Waste Reduction: <http://www.calrecycle.ca.gov/ReduceWaste/>

**CONTRACTS FOR COLLECTION OF GARBAGE**

(Revised 12/13)

**1980**

State facility contracts for the collection of garbage must provide for the greatest diversion of discarded materials from landfilling. All garbage collection and hauling contracts with the State should allow flexibility to reduce container size, the number of containers, or pickup frequency to avoid unnecessary costs for excess or unused garbage container capacity.

**THEFT OF RECYCLABLE MATERIALS**

(Revised 12/13)

**1990**

No person, other than the authorized recycling agent shall remove CRV beverage containers, paper, glass, cardboard, plastic, used motor oil, metal, or other recyclable materials which have been segregated from other waste materials and placed in a designated collection location for the purposes of collection and recycling.

**MATERIALS BANNED FROM DISPOSAL**

(New 12/13)

**1995**

Several materials, including many of those listed above, are forbidden from being disposed. For a list of those materials: <http://www.calrecycle.ca.gov/HomeHazWaste/Info/default.htm>.

**SAM – INSURANCE SURETY BONDS**

**ACCIDENTS NOT TO BE REPORTED ON ACCIDENT REPORT, STD. 268** **2460.1**  
(Revised 4/01)

Do not report the following on STD. 268:

1. Accidents resulting from operating motor vehicles by officers, agents, and employees of the state which are reported on Report of Vehicle Accident, STD. 270. See SAM Section 2430.
2. Accidents and occurrences arising from the activities of the Department of Transportation. These incidents are handled according to Department of Transportation procedure.

**RECEIPT OF LEGAL PAPERS** **2461**  
(Revised 4/01)

All departments/agencies will have written procedures to follow in the event legal papers are delivered/served.

The employee will immediately prepare a memo to the department/agency's legal office stating (1) the date of receipt and (2) the method of receiving the papers (i.e. personal/mail/etc.).

This memo will be attached to the original papers and forwarded immediately to the legal office. The legal office will contact the Office of the Attorney General.

Employees are instructed to not (1) sign or return any legal papers concerning the accident/incident and/or (2) discuss or speak to any individual concerning the accident/incident other than their legal office or a representative of the Office of the Attorney General.

**COOPERATION WITH THE ATTORNEY GENERAL'S OFFICE** **2462**  
(Revised 4/01)

Upon request of the Office of the Attorney General departments/agencies and employees will cooperate fully during investigations, settlements, hearings and trial or in any other manner of assistance that may be required.

**INQUIRIES FOR FILING CLAIMS AGAINST THE STATE OF CALIFORNIA** **2464**  
(Revised 12/11)

Any inquiry or claim against the State of California, departments or employees will be directed to:

Victims Compensation and Government Claims Board  
P.O. Box 3035, Sacramento, CA 95812-3035 (800) 955-0045

Additional information and services may be accessed from Victim Compensation and Government Claims Board home page located at <http://www.vcgcb.ca.gov>.

**REPORTING REQUIREMENTS** **2482**  
(Revised 12/13)

Property or money losses due to employee infidelity or dishonesty must be reported in writing to Department of Finance, Office of State Audits and Evaluations and the California State Auditor. See SAM Section 20080.

## SAM—WORKERS' COMPENSATION

### WORKERS' COMPENSATION AND INJURY PREVENTION

2580

(Revised 12/13)

The purpose of this section is to help Departments meet their responsibilities as employers by: establishing uniform policies to report workers' compensation injuries\* timely, to pay benefits promptly, and to return employees to work as soon as possible. Department(s) is defined as departments, agencies, boards, commissions, or other subdivisions of the California State Government

\*Injury is described as any injury or disease arising out of employment (Labor Code 3208) which causes disability or need for medical treatment (Labor Code 3208.1).

### STATE WORKERS' COMPENSATION

2580.1

(Revised 12/13)

The State Workers' Compensation Program (WCP) in the California Department of Human Resources is responsible for the management of the Master Agreement for workers' compensation claims between State Compensation Insurance Fund (State Fund) and all legally uninsured State Departments. The WCP also provides training and publications, offers guidance and consultation, and reviews legislation.

### DEPARTMENT RESPONSIBILITY

2580.2

(Revised 12/13)

Departments shall:

Appoint (at least one) Return to Work Coordinator (RTWC) who will be primarily responsible for managing the department's workers' compensation claims and ensuring injured employees are returned to work as soon as medically feasible.

Choose a medical provider that is part of the State Fund Medical Provider Network (MPN) and can provide immediate treatment in the event of a work-related illness or injury.

Post the chosen provider along with other appropriate notices in conspicuous place(s).

Provide every employee at time of hire or by the end of the first pay period written notice of their rights under the workers' compensation system an opportunity to pre-designate their personal physician to treat the employee in case of a work-related illness or injury.

Establish, implement and maintain written policies for prompt response to and reporting of a work-related illness or injury.

Train all supervisors and managers of their responsibilities in the event of a work-related illness or injury.

Provide the *Workers' Compensation Claim Form (DWC 1)* & the *Notice of Potential Eligibility (e3301)* to the employee within one working day of knowledge of a potential work-related illness or injury.

Submit the *Employers' Report of Occupational Injury or Illness (e3067)* to State Fund within five calendar days of knowledge of an illness or injury.

Authorize first medical treatment at the posted facility or pre-designated physician within one day of receipt of the completed *Claim Form (DWC 1)* or within three days of knowledge of the illness or injury.

Provide transportation or accompany the employee to the first medical appointment.

Ensure payroll is processed properly so the ill or injured employee receives all required benefits timely; see section E300 and E400 of the State Controller's Payroll Procedures Manual (PPM).

Maintain contact with the injured employee and facilitate return to work as soon as possible

## **SAM—WORKERS' COMPENSATION**

### **VOLUNTEERS**

**2580.3**

(Revised 12/13)

Workers' compensation benefits for volunteers are not required. A volunteer who does not receive compensation for his or her work is not entitled to workers' compensation benefits, unless the agency for which the volunteer works chooses to provide these benefits (See Labor Code Section 3363.5).

If workers' compensation benefits are not provided, an injured volunteer may file a tort claim against the State. If workers' compensation coverage is provided, it becomes the injured volunteer's "exclusive remedy," and the volunteer may not make a tort claim against the State.

Departments should contact their State Fund office annually to discuss the status of their volunteers.

### **BASIC SAFETY TRAINING FOR AGENCY SAFETY COORDINATORS**

**2580.4**

(Revised and renumbered from 2580.2 6/90)

In accordance with Labor Code Section 6400 et seq., and Title 8 of the California Code of Regulations, General Industry Safety Order #3203, the Department of General Services, Office of Insurance and Risk Management, has developed a Basic Safety Training course and has been assigned the responsibility for conducting that course. In accordance with the above Labor and Administrative Codes, successful completion of this course is mandatory for all State Safety Coordinators. Those Safety Coordinators with prior training or experience who wish to challenge this course in lieu of actual participation, may do so by submitting a written application to the Department of General Services, Office of Insurance and Risk Management.

The departmental director is responsible for ensuring that the departmental Safety Coordinator completes the Basic Safety Training Course within one year of the Coordinator's appointment.

### **STATE EMPLOYEE WORK INJURIES**

**2581**

(Revised 12/13)

Assigned responsibility is necessary for effective procedures for care and treatment of work-related injuries and injury prevention. The responsibility-action assignment presented here forms the basis for departmental procedures.

**SAM—WORKERS' COMPENSATION**

**RESPONSIBILITY OF INJURED EMPLOYEE**

**2581.1**

(Revised 12/13)

The employee shall:

Read and understand the workers' compensation posters, pamphlets, brochures, and forms provided by the department.

Report all incidents, illnesses, and accidents promptly.

Complete the State Fund e3301-and return to the department to pursue a workers' compensation claim.

Obtain first aid for minor injury.

Seek medical treatment at the posted provider unless a personal physician has been pre-designated in writing (and the physician agreed) before the date of illness or injury.

Provide State Fund and the department with copies of medical notes or reports received from the treating physician. These notes/reports contain information regarding the employee's ability to work including any restrictions which must be considered by the department.

Maintain contact with the department and return to work as soon as it is medically feasible.

Submit medical substantiation for all time lost due to the work-related illness or injury.

## SAM—WORKERS' COMPENSATION

### RESPONSIBILITY OF EMPLOYER

2581.2

(Revised 12/13)

The employer is responsible for carrying out state and departmental injury prevention policies. In case of injury this responsibility includes initiating action to obtain prompt medical treatment for injured employees. Employer includes every person having direction, management, control, or custody of any employment, place of employment, or any employee.

The employer shall:

Assure that first aid is administered for minor injuries or arrange medical treatment by an employer selected physician or the employee's pre-designated physician when necessary. For extreme emergency get the injured to any available doctor, hospital, or public medical service.

Arrange for treatment with the employer selected physician or medical facility within the Medical Provider Network (MPN) or with the employee's pre-designated personal physician or medical group.

Arrange for transportation to doctor's office or to hospital. Use state vehicle, ambulance, taxi, or whatever is appropriate at the time.

(Note: The employer or designated representative can accompany the employee to get medical treatment.)

Provide the ill/injured employee with the Workers' Compensation Claim Form & Notice of Potential Eligibility form (DWC 1 /e3301) if medical treatment other than first aid was required or the illness or injury results in lost time. The SCIF e3301 must be provided to the injured employee within one working day of the department's notification an illness or injury has occurred.

Make a report of action taken and the facts about the accident by completing both sides of Employer's Report of Occupational Injury or Illness form, SCIF e3067 (STATE).

Submit SCIF e3067 (STATE) to State Fund.

The employer shall:

Maintain contact with injured employee.

Arrange for completion of Absence and Additional Time Worked Report STD. 634 or equivalent form, for payroll purposes.

Discuss return to work with employee, physician, State Compensation Insurance Fund Claims Adjuster, and departmental Return-to-Work Coordinator.

Forward all medical documentation to the departmental Return-to-Work Coordinator.

(Continued)

## SAM—WORKERS' COMPENSATION

(Continued)

### RESPONSIBILITY OF EMPLOYER

2581.2 (Cont. 1)

(Revised 12/13)

The employer shall:

Go to the scene of the accident and collect data to reconstruct the circumstance of the accident, if appropriate.

Question witnesses and others who have knowledge of the injury.

Review the Supervisors Section of SCIF e3067 (STATE), to:

Assure adequate information has been recorded for injury prevention.

Make initial determination if injury is work-related or not.

Identify responsibilities for training-instructions and supervisory follow-up.

Reconcile questions and problems raised by either the supervisor or the employee.

Initiate injury prevention changes that will minimize the potential of recurrence of a similar accident.

Process the form in accordance with agency safety plan.

Review SCIF e3067 (STATE) for completeness of data.

Submit SCIF e3067 (STATE) and SCIF e3301 as soon as possible, but no later than five (5) days after notification of employees work injury or death. If there is a question or doubt about the injury or illness being job-related, the supervisor shall attach a memorandum to SCIF e3067 (STATE) outlining the facts as they are known and request further investigation by State Compensation Insurance Fund.

### EMPLOYER'S REPORT OF OCCUPATIONAL INJURY OR ILLNESS

#### SCIF E3067 (STATE) FORM

2581.3

(Revised 12/13)

State Fund must receive the employer's report within five calendar days of the employer's knowledge or notification that a work-related injury or illness has occurred. The form must be submitted in the following situations:

- A work-related injury or illness results in lost time beyond the date of injury or medical treatment beyond first aid;
  - An employee presents a doctor's note stating an injury or illness is or may be work related;
- or
- A completed *Claim Form* (DWC 1) is received from either the employee, their doctor, their attorney or State Fund

For instructions on how to complete and submit this report, please see the publication Workers' Compensation Claim Kit, Instructions for Completing the Forms Required to Report a Work-Related Injury or Illness on the California Department of Human Resources website: <http://www.calhr.ca.gov/Documents/claim-kit.pdf>

### WHERE TO SEND SCIF E3067 AND E3301 (STATE) FORMS

2581.4

(Revised 12/13)

Departments shall submit the Employer's Report of Occupational Injury of Illness form, SCIF e3067 (STATE) to State Fund within five calendar days of the employer's date of knowledge of the illness, injury or death. First reports of injury may be submitted via the Electronic First Report of Injury (EFROI) which is accessed through State Fund Online. EFROI is preferred however faxes to the customer service center are also acceptable. If the injury is serious, the Department may call the assigned State Contract Services office directly.

## SAM—WORKERS' COMPENSATION

### OTHER REPORTING REQUIREMENTS FOR JOB-RELATED INJURIES, ILLNESSES AND DEATHS

#### **CALIFORNIA OCCUPATIONAL SAFETY AND HEALTH ACT** **2581.5** (Revised 12/13)

Additional work injury and illness reporting and recording is required by the California Occupational Safety and Health Act (CAL/OSHA). Information may be found at the Division of Occupational Safety and Health (Cal/OSHA), Department of Industrial Relations website at <http://www.dir.ca.gov/>.

#### **NOTICES TO INJURED EMPLOYEES REGARDING THEIR CHOICE TO SUPPLEMENT** **2581.6** (Revised 12/13)

In order to assist employees in selecting the proper disability benefit, state departmental personnel offices shall provide the employees with the Industrial Disability Leave with Supplementation Benefits Information and Option Selection form (STD 618S). Departments must complete the STD. 618S, and send to the employee within 15 days of the date SCIF accepts the claim.

#### **MEDICAL TREATMENT** **2582** (Revised 12/13)

It is state policy to provide all necessary and reasonable medical treatment to an employee who suffers an injury or illness on the job. Each department by law, must post in a conspicuous location frequented by employees a Notice to Employees poster (English e13913) (Spanish e13914). This notice informs an employee of his or her right to receive medical treatment in the event of a work-related illness or injury and of his or her right to pre-designate a personal physician. The notice shall list the contact information for the hospital and physician the department has selected to provide treatment in the event of a work-related illness or injury.

Departments must also post the Guide to the State Fund Medical Provider Network (MPN) for State of California Employees brochure (e13174) in close proximity to this notice. The State Fund MPN is a selected network of physicians and other medical service providers who provide treatment to workers injured on the job.

## SAM—WORKERS' COMPENSATION

### FIRST AID KITS (REVISED 3/96)

2582.1

First aid kits must be provided and readily available to all employees.

The ~~Department of Personnel Administration~~ California Department of Human Resources defines and identifies first aid supplies and requests compliance with the guidelines presented.

First Aid: That assistance provided the sick or injured before medical help is available but only with the express purposes of controlling loss of blood, sustaining breathing, and reducing the effects of shock. Suitably trained personnel are highly recommended. Medical diagnosis, treatment, and provision of medicines or drugs (aspirin included) are not appropriate.

These supplies have been approved by a consulting physician, as required by General Industry Safety Orders, Section 3400:

Item

- Sterile gauze pads 4"
- Roller gauze 1"
- Paper of adhesive tape 1/2"
- Triangular bandage
- Sterile package of band-aids 1"
- Sterile compress bandage 3"
- Elastic bandage 3"
- Sting swabs
- Soap cloths
- Container (sealable plastic bag with fairly heavy wall, metal or plastic box.)

All other first aid supplies determined by agencies to be necessary for their operations, will need to be approved by a consulting physician.

(Code reference: Section 3400, Title 8, Chapter 4, California Code of Regulations. Although there may be other codes involved, the above list of supplies was developed in conjunction with Department of Industrial Relations and the Department of Health Services and are considered appropriate for standardized kits.)

Agencies may contact the Office of Risk & Insurance Management's first Aid/CPR Coordinator for assistance in training personnel in first aid/cardiopulmonary resuscitation.

### TREATMENT BY A PHYSICIAN

2582.2

(Revised 12/13)

Notice to State Employee form, e13913, provides the name of the chosen medical provider who is in the Medical Provider Network (MPN) for the department. The department is required to post the notice in a place accessible to employees. The name of the MPN for your department will be listed on the bottom of the poster). The MPN is a group of health care providers which includes a mix of doctors specializing in work-related injuries and doctors with expertise in general areas of medicine. Employees covered by an MPN will have their workers' compensation medical needs taken care of by doctors in the network unless they pre-designated their personal doctor and did so before their injury happened. State Compensation Insurance Fund (State Fund) will assist in locating these physicians.

Departments are responsible for getting the injured person to a physician for the first treatment. The medical report must have the physician's estimate of the employee's limitations, an estimate of when the employee can return to work, and the schedule of treatment for the recovery period. After the first treatment by a physician, State Fund will follow-up on further treatment and recovery of the injured.

## SAM—WORKERS' COMPENSATION

### CHANGING PHYSICIANS

2582.3

(Revised 12/13)

If an employee has not notified the department that he/she wishes to be treated by a personal physician, the department has the right to direct the employee's medical treatment. After the initial medical evaluation with an MPN doctor an employee has the right to choose another primary treating physician or subsequent physician from the State Fund MPN.

### TEMPORARY DISABILITY

2583.1

(Revised 12/13)

Employees who are unable to work due to the effects of their work related illness or injury are entitled to a temporary disability (TD) benefit. Any time lost on the date of injury is paid as \*Administrative Time Off (ATO). TD benefits commence after the employee has served a three day waiting period. The waiting period is waived if the employee is temporarily disabled for more than 14 days, is hospitalized, or the injury was a criminal act of violence against the employee.

TD benefits are paid directly to the injured employee by State Fund. The TD benefit is 2/3 of the employee's average weekly wage, subject to the minimum and maximum benefit amounts in place for the date of injury.

Employees may choose to supplement their TD payments with available leave credits to make up the difference between the TD benefit and their normal take home salary. TD payments are not taxable, but supplementation is taxed at the employee's normal rate. The employee continues to receive full service credit, leave accruals, and merit salary adjustments. No contributions to CalPERS/CalSTRS are made from TD payments.

TD benefits cease when the employee is no longer temporarily totally disabled or the statutory limit is reached.

Industrial Disability Leave will be paid in lieu of temporary disability for all eligible employees. See SAM Section 2583.11.

\*ATO is a form of paid administrative leave status initiated by appointing authorities.

## **SAM—WORKERS' COMPENSATION**

### **INDUSTRIAL DISABILITY LEAVE**

**2583.11**

(Revised 12/13)

Industrial Disability Leave (IDL) is paid in lieu of Temporary Disability (TD) to State employees who are members of the Public Employees' Retirement System (PERS) or the State Teachers' Retirement System (STRS).

Like TD, IDL is subject to a three-day waiting period which is waived if the employee is hospitalized, disabled as a result of a criminal act of violence, or disabled more than 14 calendar days. Only one waiting period is served per claim.

IDL benefits are payable for a maximum of 52 weeks of payments within a two-year period beginning on the first day of disability. Time lost on the date of injury is paid as ATO.

IDL payments are based on the employee's current wages. For the first 22 work days, the employee receives the full net salary, thereafter IDL payments are 2/3 of the gross salary. Employees may choose to supplement their reduced IDL payments with available leave credits up to their normal take home salary.

### **TEMPORARY PARTIAL DISABILITY**

**2583.12**

(Revised 12/13)

Employees released by their treating physician to part-time work qualify for temporary partial disability payments under certain conditions. The payments are calculated by State Fund on a weekly basis under the concept of "wage loss" (Labor Code 4654). The employee is entitled to two-thirds of a weekly loss of wages if the gross wage (based upon the actual hours worked) is less than the normal gross wage and falls below the maximum rate set by law in any calendar week. Contact your local State Fund office for assistance.

### **PERMANENT DISABILITY**

**2583.20**

(Revised 12/13)

When the insured's condition has stabilized (the treating physician says it will get no better nor worse), the employee may be entitled to permanent disability payments.

Permanent disability payments are due if there are lasting effects from the job-related injury or illness. Permanent disability payments are not supplemented with leave credits.

If an employee is released from temporary disability compensation and starts receiving permanent disability compensation, then he/she may still be able to return to work at his/her prior position. This decision is based upon the medical restrictions placed upon the individual by the treating physician in the final report. If an employee receiving permanent disability is not able to return to work, the department is required to initiate one of the actions outlined in Government Code 19991.4.

### **AUDITS—WORKERS' COMPENSATION BENEFITS**

**2584**

(Revised 12/13)

Departments will reconcile billings submitted by the State Compensation Insurance Fund for proper charges against funds or policies of insurance, as well as credits and debits of temporary disability benefits. By memorandum, State agencies will keep State Compensation Insurance Fund informed of discrepancies. See SAM Sections 8780 and 8780.1.

## SAM-PUBLISHING/PRINTING

### OFFICE OF STATE PUBLISHING (OSP)

#### OSP PROGRAM SUMMARY, RESOURCES, AND CONTACTS

2800

(Revised 12/13)

This chapter provides policy for the state's Printing and Communication Program. The Department of General Services, Office of State Publishing (OSP) provides printing and communication services for California state agencies, universities, the Legislature, the administration, and other public governmental bodies. The OSP offers a variety of products and services which are summarized in section 2820. OSP is located at 344 North 7th Street, Sacramento, CA 95814-0212.

Due to Management Memo 07-06 issued on June 21, 2007, state agencies must now procure printing services through the OSP or through service contracts. Justifications for the contracting out of printing services must be made under the provisions of Government Code 19130. Sales tax must be applied and itemized separately on procurement documents per Revenue and Taxation Code 6006.

Paid advertisements can now be included in state publications printed by OSP. Paid political advertisements are not acceptable.

For additional information on printing and communication services from OSP, call (916) 322-1031.

#### OSP STATUTORY AUTHORITY

2805

(Revised 12/13)

**Enabling Legislation.** Govt Code 14612.2, allows OSP to provide printing services to state and other public agencies, including cities, counties, special districts, community college districts, the California State University, the University of California, the agencies of the United States government.

Government Code 14850 requires all state printing shall be done at the Office of State Publishing. Government Code Section 14865 requires all printed matter for state agencies shall be prepared at the expense of the requesting agency. Government Code Section 14871 requires orders for printing to show that sufficient funds have been encumbered to cover the costs.

**Library Distribution Act (LDA) Responsibilities.** If the material being printed qualifies for distribution under the LDA, additional copies must be printed and distributed as outlined in Government Code Sections 14901 and 14904. All printing done by private vendors is subject to the LDA as outlined in Government Code Section 14904.

#### HOW TO ORDER OSP SERVICES

2810

(Reviewed 12/13)

**Ordering Form.** The requisitioning of printing and mailing is initiated by the use of a Printing/Support Service Order form, STD. 67. Facsimile or Internet transmissions are acceptable. The reverse side of STD. 67 provides instructions on how to complete the form. The STD 67 must have the name or signature of the person authorizing the expenditure. Effective February 11, 2010, no work will be initiated, no documents will be reviewed, and no contracts will be approved by the Department of General Services (DGS) that would result in the expenditure of funds unless the certification by the Agency's Secretary or Department's Director, or their designees, that the purchase is vital and mission critical for the agency or department making the purchase. For additional information, call (916) 322-1031.

**Estimates.** Upon request, OSP will provide cost estimates based upon the information available for budgeting or other purposes. Firm prices will be made only when all information and specifications are complete, or materials for printing or reproduction have been examined. All estimates and firm prices are valid for thirty calendar days. OSP is subject to yearly rate changes.

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## SAM-PUBLISING/PRINTING

### HOW TO ORDER OSP SERVICES

2810 (Cont. 1)

(Reviewed 12/13)

**Scheduling.** The Printing Operations Unit will assist in working out non-standard schedules that are reasonable and attainable. Dependent upon material and labor resources available, a satisfactory solution or alternative may be worked out.

### OSP PRINTING AND COMMUNICATION SERVICES

2820

(Revised 12/13)

The following describes the printing and communication services that OSP provides. For additional information, call (916) 322-1031

OSP can print for Federal, State and Local Agencies

**Design Services.** Assist federal, state and local government organizations in improving communication by combining comprehensive marketing principles, relevant aesthetics and cutting-edge technology. Provides effective designs to objectively develop communication solutions across print, screen and online mediums.

**Offset Printing.** Produces single and multiple color printing projects including bound publications, loose leaf, brochures, presentation folders, envelopes, posters and single or multipart forms. Bindery services include stitching, perfect binding, cutting, folding, drilling, banding, shrink-wrapping and padding.

**Digital Printing.** Providing swift turnaround of digital printing services within a secure facility. Services include single and full color printing, variable data publishing, document tracking and reporting, cutting, stitching, perfect binding, folding, shrink-wrapping, drilling, comb binding and tape binding. Electronic ordering of business cards is also available.

**Mass Mailing.** Provides multiple types of mailing services including full rate 1<sup>st</sup> class, presorted 1<sup>st</sup> class, standard presort, parcel mailing, as well as inserting and sorting of letters and flats. CASS, NCOA and presorting services of address lists prior to processing your mail are available. Walk Sequence sorting is available for large mailings. Mass Mail can inkjet your address lists onto labels, envelopes, brochures and newsletters.

**Addressing.** Mailing lists can be maintained in the Addressing Services database. Addresses can be added, deleted or amended, and address labels can be prepared.

**Electronic Prepress Publishing.** Provides prepress solutions supporting Mac and Windows operating systems with PDF as the preferred format. Provided services include client consulting, composition, proofreading, fill-able form creation, scanning/color correction, File Transfer Protocol (FTP) site for file uploading, preflighting, cross-media production, PDF linking, page & color correction of hard-copy proofs profiled for G7 color accuracy.

**Legislative Printing and Distribution.** Legislative bills and publications are printed at OSP and distributed through the Legislative Bill Room located in the basement of the State Capitol. For more information about obtaining copies or purchasing a subscription of Legislative bills and publications, call (916) 445-2323.

**Forms Printing.** Various sizes of snap out, continuous multipart and roll to roll forms can be prepared using NCR, bond or OCR papers. Forms can also be numbered and perforated.

**Interagency Mail Service (Courier Service).** Provides interagency mail service and delivery to most state agencies in the Sacramento area. For additional information, call (916) 327-5203.

**Print Buying.** With a network of over 300 vendors statewide, OSP Printing Procurement Section can purchase printing from commercial printers at the best value for agencies for purchases under \$50,000.

**SAM-PUBLISING/PRINTING**

**OSP ADVERTISING SERVICES** **2825**  
(Revised 12/13)

Contact the OSP Advertising Manager at (916) 327-5867, Danelle Hamilton ([danelle.hamilton@dgs.ca.gov](mailto:danelle.hamilton@dgs.ca.gov)) for information regarding the OSP Advertising Program or see SAM Section 0580 for additional information.

**CALIFORNIA PRISON INDUSTRY AUTHORITY (CALPIA)**

**CALPIA PROGRAM SUMMARY** **2850**  
(Revised 12/13)

Printing and reproduction services may also be obtained from CALPIA.

**CALPIA STATUTORY AUTHORITY** **2855**  
(Revised 12/13)

Penal Code Section 2807 authorizes CALPIA to provide printing services to state and local government entities.

**HOW TO ORDER CALPIA SERVICES** **2860**  
(Revised 12/13)

Printing and reproduction services may be obtained from CALPIA by submitting a purchase order or Reproduction Order form, STD. 54, to Customer Services, 560 East Natoma Street, Folsom, CA 95630-2200 or by faxing the purchase order to (916) 358-2660. Customers needing information or assistance may call (916) 323-2419.

**CALPIA SERVICES** **2865**  
(Revised 12/13)

The following describes printing and reproduction services provided by the California Prison Industry Authority (CALPIA). For additional information call Customer Services at (916) 323-2419.

1. Preparing and planning print jobs.
2. Typesetting for booklets, reports, newsletters, forms, etc.
3. Preparation of camera ready copy for printing or reproduction.
4. Copying and duplication work.
5. Presswork that includes offset printing of forms, envelops, publications, etc. This includes sheet fed or web fed to a maximum of 18" x 24" finished sheets.
6. Two color printing from mechanical separation or multiple color process printing.
7. All bindery operations such as cutting, folding, stitching, drilling, etc.
8. Special services that include labels mounted on a carrier base produced in rolls or flat fold configuration; screen printed labels, signs, and posters; ticket and script books; inventory tags; decals; OCR forms; bar-coding; and sequential numbering up to 8" x 10" stock.

## SAM—PUBLICATIONS AND DOCUMENTS

### **GENERAL POLICY** (Reviewed 12/13) **3100**

It is the policy of the State to make copies of an agency's documents and publications available to the public. The Library Distribution Act was passed to facilitate this process. This Section of SAM describes the Act and the policies and procedures of distributing Agency publications to the public.

### **TERMS AND DEFINITIONS** (Reviewed 12/13) **3101**

DGS. The Department of General Services.

Complete Depository Libraries. The libraries listed in Table 1 of the Appendix.

Exclusive use documents. Documents that are used only by one group or agency.

Publication. Anything made in multiple copies. See Government Code Section 14902.

Selective Depository Libraries. Libraries other than the Complete Depository Libraries, which have requested to receive publications from your agency.

### **LIBRARY DISTRIBUTION ACT** (Reviewed 12/13) **3120**

The Library Distribution Act set up a means of sending copies of agency publications to libraries. The purpose of this Act is to make State publications available to the public. All agencies must help make their publications available through this program. See Government Code Sections 14900–14911.

### **DEFINED STANDARDS** **3121** (Reviewed 12/13)

The guidelines in this Section have been set up to help you determine if your publications fall under the Library Distribution Act. These same guidelines can help your agency's Publications Representative develop policies that will aid understanding of the requirements of the Library Distribution Act. These guidelines will also help your Publications Representative establish publications procedures.

All Agency publications fall under the Library Distribution Act, except for:

1. Publications that are specifically excused by law.
2. Publications that are specifically excused elsewhere in SAM.
3. All forms.
4. Letters.
5. Memorandums.
6. Exclusive use documents.
7. Legally restricted items.
8. Organizational and procedural manuals.
9. Publications for use only within the State administration.

(Continued)

## SAM—PUBLICATIONS AND DOCUMENTS

(Continued)

### **DEFINED STANDARDS**

**3121(Cont. 1)**

(Revised & Renumbered from 3121.1 2/93)

You may choose to have some of your publications be issued under the Library Distribution Act, that otherwise would not. The types of publications that you may so designate, include:

1. Local interest circulars and publications.
2. Specialized publications of primary use to a select group.
3. Reports on minor reorganizations and policy changes dealing with State administration.
4. Market reports and weeklies that are tied to critical dates.

Typical publications that fall under the Library Distribution Act include publications:

1. That are of lasting interest and use to the public.
2. That are of general interest.
3. That are of interest only to a few people that are spread over a wide geographic area.
4. That are of interest only to a few people, but when the State is the only source of the information and the information can be used for other purposes.
5. That are a group of periodicals compiled once a year. These periodicals would otherwise not qualify, but because of their calendar nature, their content becomes important.

### **STANDARDS CERTIFICATION AND ASSISTANCE** (Reviewed 12/13)

**3122**

If you need help understanding which publications fall under the Library Distribution Act, call the Government Publications Section of the State Library. They will also review and approve your Library Distribution Act policy guidelines and any proposed changes to your approved guidelines.

### **A COPY OF ALL PUBLICATIONS MUST BE SENT TO THE STATE LIBRARY**

**3123**

(Revised 12/13)

Send two copies of your publications that do not fall under the Library Distribution Act or that are otherwise excluded by SAM Section 3121 to the State Library, Government Publications Section. This is because the State Library is expected to store all State documents and lend them to other public libraries. The State Library also must make all State publications of note available to State employees.

### **DISTRIBUTION OF PUBLICATIONS PRODUCED BY THE STATE PRINTING PLANT**

**3124**

(Revised 12/13)

The Office of State Publishing (OSP) will distribute all Library Distribution Act materials that it prints. OSP will send this material to:

1. All Complete Depository Libraries.
2. All Selective Depository Libraries.

(Continued)

## SAM—PUBLICATIONS AND DOCUMENTS

(Continued)

### **DISTRIBUTION OF PUBLICATIONS PRODUCED BY THE STATE PRINTING PLANT** 3124 (Cont. 1) (Revised 12/13)

3. The State Archivist.
4. The Library of Congress.

The cost of your agency's printing includes the cost for these extra copies. You are charged an extra flat amount for their handling and mailing.

Your organization may want to distribute its own publications that are printed by the Office of State Publishing. If so, the director of your department, board, or commission must first send a request to the State Printer.

### **DISTRIBUTION OF PUBLICATIONS PRODUCED BY COPYING** 3125 (Revised 12/13)

Each agency, except the University of California, must distribute publications that it produces or are produced for the agency by the central copying service. You must prepare 100 extra copies and distribute them as follows:

1. Two copies to: The State Library, Government Publications Section. These copies are needed right away so that the State Library can prepare its monthly list of new State publications without delay.
2. One copy to: the other Complete Depository Libraries listed in Table 1 of this Chapter's Tables Appendix.
3. One copy to: each Selective Depository Library that asks for the publication. Your agency must keep a mailing list of all interested Selective Depository Libraries and other interested parties.
4. Two copies to: the State Archivist.
5. Two copies to: the Exchange and Gift Division, Monthly Checklist Section, Library of Congress, Washington, D.C. 20540.
6. Copies to any other libraries that request them, until you exhaust the supply of copies.

If you get more requests for copies than you can supply, you should make sure that the Selective Depository Libraries receive their copies first. If you have extra copies left over, you must keep them on hand for one year.

### **DISTRIBUTION OF PUBLICATIONS PRODUCED UNDER CONTRACT** 3126 (Reviewed 12/13)

When your agency awards a contract for any publications that fall under the Library Distribution Act, you must have that contractor print and distribute the extra 100 copies described above in SAM Section 3125. The extra 100 copies should be part of the original printing contract.

SAM – PUBLICATIONS AND DOCUMENTS

\*\* CALIFORNIA STATE DOCUMENT DEPOSITORY LIBRARIES \*\*

Under the provisions of the Library Distribution Act (Government Code sections 14905, 14906, and 14907), the libraries listed have contracted with the Department of General Services to serve as complete or selective depositories. They agree to provide adequate facilities for the shelving and use of the publications deposited with them, render reasonable service without charge to qualified patrons, and retain all publications received until authorized to dispose of them.

There are 108 depository libraries: 16 complete depositories and 92 selective depositories.

Click the link for the [Complete Depository Libraries](#) listing.

**SAM – INFORMATION TECHNOLOGY  
(California Department of Technology)**

**EXHIBITS AND SUPPORTING DOCUMENTS** **4903**  
(Reviewed 03/11)

The documents required in SAM Sections 4903.1-4903.4 supplement the information in the agency's AIMS by providing details about the organization or information management within the agency and the resources available to the agency.

**INFORMATION MANAGEMENT ORGANIZATION** **4903.1**  
(Revised 03/11)

By June of each year, or as instructed by the Technology Agency, each agency must submit to the Technology Agency organization charts showing:

1. The relationship between the organizational unit or units responsible for information management functions (including telecommunications) and other units within the agency; and
2. The internal organization of the unit or units responsible for information management functions, including telecommunications. The internal organization chart should indicate numbers of positions by classification.

**INFORMATION MANAGEMENT COSTS** **4903.2**  
(Revised 03/12)

By February 1 of each year, or on an annual basis, as instructed by the Technology Agency, each agency is required to summarize its actual and projected information technology costs for the past year, and current year. The format and instructions for submittal required by the Technology Agency are specified in Section 55 of the SIMM.

**INFORMATION TECHNOLOGY FIVE-YEAR CAPITAL PLAN** **4904**  
(Revised 12/13)

To forge the necessary integration of the business and IT functions in California state government, Agencies/state entities are required to maintain and annually update an IT Capital Plan (ITCP) for review by the California Department of Technology (Department of Technology). The information provided by the Agencies/state entities is combined to generate the Statewide ITCP, which represents the Executive Branch's plan for IT investments in support of the California IT Strategic Plan. The information in the Statewide ITCP is used to:

- Ensure that IT investments drive program efficiency and effectiveness and improve the quality of government services for Californians.
- Facilitate improvements in internal business processes and financial management through IT investments.
- Link IT investments to Agency/state entity priorities and business direction.
- Promote the alignment of IT investments with the Agency/state entity's enterprise architecture (Technology, Standards, and Infrastructure).
- Enhance and promote enterprise data sharing through IT investments.
- Facilitate consideration and conceptual approval to pursue selected IT investments.

Refer to SIMM Section 57 for directions on the submission procedures.

**ENTERPRISE ARCHITECTURE** **4906**  
(Revised 03/11)

The statewide Enterprise Architecture (EA) is developed in a cooperative, managed, and coordinated effort facilitated by the California Technology Agency. The National Association of State Chief Information Officers methodology and the Federal Enterprise Architecture framework included in SIMM Section 58A are adopted as the state's standards to develop and maintain the statewide EA.

Accordingly, state agencies shall implement EA in accordance with SIMM Section 58D. In addition, state agencies shall, to the extent practical, utilize the EA Practices included in SIMM Section 158.

**SAM – INFORMATION TECHNOLOGY  
(California Department of Technology)**

**FEASIBILITY STUDY BASIC POLICY**  
(Reviewed 03/11)

**4921**

A feasibility study must be conducted prior to the encumbrance or expenditure of funds on any information technology project. For most projects, the feasibility study must be conducted in conformance with SAM Sections 4922 through 4927. The only exception to this requirement is the acquisition of desktop and mobile computing commodities under the Desktop and Mobile Computing Policy. (See SAM Section 4989.) In addition, a Feasibility Study Report (FSR), which documents the feasibility study, must be approved prior to the encumbrance or expenditure of funds, including the use of staff resources, on any information technology project beyond the feasibility study stage. For most projects, the FSR must be prepared in accordance with SAM Section 4928. For projects that have been delegated to the agency director and whose costs fall below a specified level, the feasibility study may be documented by means of a Project Summary Package. See SAM Section 4930 and SIMM Section 20.

The FSR must be reviewed and approved in accordance with the general requirements of SAM Sections 4819.3-4819.42 (State Information Management Authority and Responsibility), as well as the specific requirements of Sections 4926-4930.1. See SIMM Section 20 for FSR Preparation Instructions.

**FEASIBILITY STUDY SCOPE**  
(Reviewed 03/11)

**4922**

The scope of the feasibility study must be commensurate with the nature, complexity, risk, and expected cost of the proposed use of information technology.

The study must provide sufficient information to assure agency program management that the proposed response meets program requirements. The study also must provide sufficient information to allow agency executive management to make a sound decision as to the merits of the proposed response as an investment of public resources.

**FEASIBILITY STUDY PARTICIPATION**  
(Reviewed 03/11)

**4923**

The feasibility study must be based on an understanding of the needs, priorities, and capabilities of: (1) the users of the information that is to be provided; and (2) the agency unit or program that will have operational responsibility for the information technology application. Representatives of program management and staff must participate in the feasibility study process.

**FEASIBILITY STUDY DOCUMENTATION**  
(Revised 03/11)

**4924**

The SAM Section 4928 and instructions and guidelines published by the Technology Agency (see SIMM Section 20) specify the content of the FSR, which must provide a complete summary of the results of the feasibility study. In addition to the FSR, the agency must maintain sufficient documentation of each study to ensure that project participants, agency management, and control agency personnel can resolve any questions that arise with respect to the intent, justification, nature, and scope of the project.

**CONSISTENCY WITH AGENCY INFORMATION MANAGEMENT STRATEGY  
AND IT FIVE-YEAR CAPITAL PLAN**  
(Reviewed 12/13)

**4925**

Each proposed project must be consistent with the Agency/state entity's overall strategy for the use of information technology, as expressed in its current Agency Information Management Strategy (see SAM Sections 4900.2-4900.6.) and IT Capital Plan (see SAM Section 4904).

## SAM—BUDGETING

(Continued)

### **ESTIMATES WHICH REQUIRE DEPARTMENT OF FINANCE ACTION**

**6615 (Cont. 1)**

(Revised and renumbered from 6660 on 03/09)

Requests for the DOF's concurrence in or approval of a cost estimate for a proposed regulation must be forwarded to the DOF Principal Program Budget Analyst assigned to the issuing state agency at least 30 days prior to the date on which the "notice of proposed adoption" is to be issued. The completed STD. 399 must be submitted to the DOF along with copies of the calculations and assumptions leading to dollar estimates. Those calculations and assumptions must address the proposed regulation's fiscal impact in the current fiscal year and in the two subsequent fiscal years. A copy of the local mandate determination and any attachments thereto must be retained by the issuing state agency in the rulemaking file required by Government Code Section 11347.3. Questions regarding any technical aspects of the state mandate law should be directed to that DOF analyst or other governmental agencies that may be affected by the proposed regulation.

### **INPUT FROM OTHER GOVERNMENTAL AGENCIES IN THE DEVELOPMENT OF FISCAL ESTIMATES**

**6616**

(Revised and renumbered from 6670 on 03/09)

State agencies that propose to issue regulations must allow for input from any and all other governmental agencies which express concern about the potential fiscal impact of the regulation on them. Such input must be solicited by the issuing state agency by practical means such as holding public hearings, publishing a notice in the California Regulatory Notice Register, and offering any other appropriate means.

Although the DOF's concurrence is required only for those circumstances set forth in SAM Section 6615, such concurrence may be requested for any other circumstances as well. When the DOF has concurred in the fiscal estimate, the DOF will, if requested, be primarily responsible for providing evidence and testimony to the Commission on State Mandates on any claim from a local government that the regulation results in increased costs. Conversely, the issuing state agency will be primarily responsible in instances where the DOF's concurrence was not obtained.

### **INFORMATION TECHNOLOGY EXPENDITURES**

**6700**

(Revised 12/13)

In accordance with Government Code (GC) Section 13070, the Department of Finance (Finance) has general powers of supervision over all matters concerning the financial and business policies of the State. In addition, GC Section 11547 states that Finance shall determine availability of information technology (IT) project funding from appropriate sources and project consistency with state fiscal policy.

Established within Finance is the Information Technology Consulting Unit (ITCU). The ITCU performs fiscal analysis of statewide IT policies and enterprise initiatives proposed by the California Department of Technology, as well as fiscal oversight of Finance-identified critical IT projects. The Department of Technology coordinates review of IT proposals with Finance to streamline the review process and produce one decision for the Administration.

### **DEFINITIONS**

**6710**

(Reviewed 12/13)

For the purposes of this section:

1. An information technology (IT) activity is classified as either new or existing, and is defined as: (a) an IT project, comprised of one-time development and continuing operations/maintenance components, or (b) an ongoing IT effort, such as technical, production, or user support services.
2. Budgetary authority refers to the funds appropriated, expenditure authorizations granted, and expenditure limits/conditions imposed on a department through the provisions of a budget act or other superseding authorization.

**EXCLUSIONS**  
(Reviewed 12/13)

6720

See SAM Section 4819.32

**REQUIREMENTS**  
(Revised 12/13)

6730

The California Department of Technology may impose conditions on information technology (IT) activity expenditures for individual departments or for specific IT activities. Such conditions must be met to gain or continue receiving Department of Finance (Finance) support for the IT activity expenditures.

Department of Technology approval is required prior to the commitment of resources to procure, develop, or implement a new IT activity and/or modify an existing IT activity that:

1. Has estimated total development and acquisition costs above a Department of Technology-established delegated cost threshold and does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM Sections 4989 through 4989.3);
2. Is a new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation;
3. Involves a Finance budget action to fund all or part of the IT activity expenditures; or
4. Meets conditions previously imposed by the Department of Technology.

Note that all formal IT solicitations, as defined in SAM 4819.31(8), must be submitted to the Department of Technology for review prior to release to the public. In addition, departments are responsible for reporting to the Department of Technology the completion of an IT activity that meets one or more of the criteria listed above and the expenditures associated with that activity (see SAM Section 4947).

Splitting an IT activity into smaller components to avoid fiscal reporting requirements and controls is prohibited.

See SAM Sections 4800 through 5180 and Sections 5300 through 5365.3, and the Statewide Information Management Manual (SIMM), for statewide policy and process instructions for IT activities.

**EXPENDITURE SUPPORT**  
(Revised 12/13)

6750

The Department of Finance (Finance) reviews and makes recommendations regarding funding and/or expenditure requests associated with proposed information technology (IT) expenditures through the budgetary process. In addition to business and fiscal factors, considerations to determine whether proposed IT expenditures are supportable include compliance with SAM. Contact your departmental budget analyst or your Finance Budget Analyst for information concerning the various budget request documents available, their intended purpose, and the appropriate use of each. Funding requests associated with IT projects require California Department of Technology approval of a Feasibility Study Report, Special Project Report, or equivalent document.

Finance, at its discretion, may impose expectations and/or conditions for approving a department's proposed IT expenditures when such expectations and/or conditions are in the best interest of the State. Departments will be notified of any such expectations and/or conditions Finance may impose on a department's IT expenditures.

**INFORMATION TECHNOLOGY AUDITS**  
(Reviewed 12/13)

6760

All information technology expenditures are subject to audit at the discretion of the Department of Finance.

## SAM—BUDGETING

### COST ALLOCATION

6770

(Reviewed 12/13)

Each department shall adopt policies and establish procedures for assignment of information technology (IT) costs by program or operational unit within the department, as well as for the assignment and recovery of IT costs for services.

### DATA CENTER FINANCIAL MANAGEMENT

6780

(Revised 12/13)

This financial management policy applies to the Office of Technology Services (OTech), an office within the California Department of Technology.

The data center is to operate on a breakeven cost basis by fiscal year (within any Government Code (GC) provision for carryover of operating surpluses or deficits), charging customer departments for its services according to an approved published service rate schedule. OTech will maintain a formal rate methodology approved by the Department of Finance (Finance). The approved rate methodology will be used to develop and adjust rates as necessary. Rate changes are proposed as circumstances warrant, often annually, and sometimes more frequently.

OTech will submit proposed rates to Finance. Consistent with GC Section 11540, Finance will review and approve the proposed rates based on the reasonableness of the rates and any significant budget impacts to customer departments. Rate changes that result in cost decreases for customer departments will be effective as soon as is reasonably possible. Changes to the rate schedule that result in cost increases to customer departments will be announced at least 30 days in advance of the effective date. All details necessitating such change shall be available to customer departments for review. The approved rate schedule will be published on the OTech website.

To assist customer departments in their planning and budget preparation process, OTech will annually develop a statement for inclusion in a Budget Letter issued by Finance.

### OVERVIEW OF CAPITALIZED ASSETS

6801

(Revised 5/98)

The Capitalized Assets sections of SAM reference policies and procedures on budgeting and financial administration of capital outlay projects and—more broadly—on programs for capitalized asset financing. These sections are divided into five parts:

1. An **overview of capital outlay and capitalized asset financing** (SAM Sections 680–6809);
2. **Budgeting** capital projects (SAM Sections 6810–6839);
3. The administrative approval process for **implementing** acquisition, planning, design, construction, and equipping of capital projects (SAM Sections 6840–6868);
4. **Long-term financing** of capitalized assets (SAM Sections 6870–6888); and
5. **Glossary** and cross-index of capital outlay terminology, acronyms, and forms (SAM Section 6899).

The Department of Water Resources for the State Water Project and the Department of Transportation for highway-related projects are not subject to the instructions contained in this chapter. In addition, this chapter does not address projects undertaken with funds not subject to legislative appropriation, such as higher education's housing, student union programs, and other auxiliary organizations.

As used in this chapter, the term *capitalized assets* refers to all processes which may result in the acquisition, new construction, alteration, renovation or betterment of real assets, regardless of character of appropriation for the expenditure. This includes capital outlay projects and budget change proposals, certain leases that meet the definition of a capitalized lease, long-range plans for infrastructure, and financing of projects and capitalized leases.

The term *capital outlay* refers to a subset of these activities, funded specifically under the capital outlay character of appropriation. See Section 6806 for a discussion of characters of appropriation.

**SAM—RECONCILIATION AND REPORTS**

**CALENDAR OF REPORTS AND ACTIONS**

**7930** |

(Revised 12/13)

Departments must submit various financial reports and forms to control agencies and other departments. The following calendar will assist departments plan to meet reporting requirements. Reports listed in the calendar are limited to reports referenced in the SAM sections under the responsibility of Department of Finance (Finance), Fiscal Systems and Consulting Unit (FSCU) (SAM sections 7110-8535; 8538-8778; 8785-19464).

**CALENDAR OF REPORTS AND ACTIONS**

<b>Due Date</b>	<b>Name of Report or Action</b>	<b>Department or Other Government Requiring Report</b>	<b>SAM Section(s) Reference</b>
January 31	Nonresident Withholding Tax Statement, FTB Form 592-B	Franchise Tax Board (FTB)	8422.196
February 1	Bank Statements for Accounts Outside the State Treasury with Balances as of December 31	State Treasurer's Office (STO), Collateral Management Section	19462, 19463
(non-CALSTARS departments) First week of January 1/ February 28 2/	Annual information returns (Form 1099)	1/ FTB and 2/Internal Revenue Service	8422.191
July 31	Year-end financial reports (General Fund, Feeder Funds, and Economic Uncertainty Funds)	State Controller's Office (SCO), Division of Accounting and Reporting (DAR)	7952-7967 7976-7977 7979
August 20	Year-end financial reports (all other funds) excluding Report 13	SCO, DAR	7952-7967 7976-7977 7979
August 20	Report 13, Report of Expenditures of Federal Funds	Finance, FSCU; SCO, DAR	7974
August 20	Report 14, Report of Accounts Outside the State Treasury, STD. 445	STO, Collateral Management Section; SCO, DAR	7975
August 20	Bank Statements for Accounts Outside the State Treasury with Balances as of June 30	STO, Collateral Management Section	19462, 19463
August 20	Report 19, Statement of Capital Assets Group of Accounts and Report 22, Statement of Contingent Liabilities	SCO, DAR	7978, 7980
September 30	Annual Late Payment Penalties Report on vendor payments for goods and services	General Services, Procurement Division	8474.1
September 30	Report of Office Revolving Fund Claims for Reimbursement	Finance, Office of State Audits and Evaluations (OSAE)	8072
Before November 1	Report and remit certain abandoned personal property (on hand as of June 30) of escaped, discharged, or paroled inmates	SCO, DAR	19425.2

(Continued)

**SAM—RECONCILIATION AND REPORTS**

(Continued)

**CALENDAR OF REPORTS AND ACTIONS**  
(Revised 12/13)

**7930** (Cont. 1) |

Within 20 days of event	Submit Report of Independent Contractor(s) form, DE 542	Employment Development Department	8422.116
October 1	Reporting Changes in Accruals- Subsequent Events	SCO, DAR	7981
At the time of occurrence	Report of Cash Shortage	Finance, OSAE	8072
At least annually	File Gasoline Tax Refund Claim, Form SCGR-1	SCO, Tax Administration Section	8745.3
At least annually	File sales and use tax returns	Board of Equalization	8720, 8730
At least quarterly if taxes are withheld	Resident and Nonresident Withholding Statement, FTB Form 592	FTB	8422.196
	Payment Voucher for Resident and Nonresident Withholding, FTB Form 592-V		

## SAM—RECONCILIATION AND REPORTS

### YEAR-END REPORT NO. 14, REPORT OF BANK/SAVINGS AND LOAN ASSOCIATION ACCOUNT OUTSIDE THE TREASURY SYSTEM (Revised 12/13)

7975

At year-end, departments (including agencies) must prepare a Report No. 14, Report of Accounts Outside the State Treasury, form STD. 445. The Report No. 14 must include any account outside the centralized State Treasury System (CTS) in which state money is deposited or must indicate that there are no accounts to report. Department of Finance (Finance), Fiscal Systems and Consulting Unit (FSCU) approval (See SAM section 8002) or statutory authority is required to maintain accounts outside of the CTS.

Each Report 14 shall include the tax identification number(s) under which the accounts were or could be established, department name, address, organization code, fiscal year-end date, signature, name and title of officer signing the report, contact telephone number and date signed. Only one Report No. 14 per department shall be submitted.

If no accounts exist outside the CTS, indicate “No accounts outside State Treasury” on the Report 14.

When there are accounts outside of the CTS, the Report No. 14 shall include the following:

- Account title and number appearing on bank/savings and loan/other depository statement.
- Type of account (savings, checking, ZBA, certificate of deposits, investment, etc.).
- Brief description and purpose of account. Must be consistent with the purpose approved by Finance, FSCU or authorized by law.
- Name and address of depository and branch.
- “Finance approval” and date or specific statutory authority.
- Book balance of account as of June 30. If the account was closed during the reporting period, include “N/A” and the date when the account was closed.
- Indicate whether the account is collateralized or if collateral is not required.

Accounts outside the CTS shall be reviewed periodically to ensure compliance with Finance approval and/or legal authority. If the account was approved by Finance and there is a need to update any conditions of the approval, including the purpose of the account or the banking information, a new request for approval must be submitted to Finance FSCU.

The department head or designee that is at least one level above both legal and administrative functions is required to certify under penalty of perjury all information stated on the Report No. 14 is true and correct and the use of the account(s) is consistent with Finance approval or as authorized by law. A designee shall only be allowed to certify Report No. 14 in the absence of the department head. The certification also affirms the deposited funds will be adequately collateralized throughout the year in accordance with law. For additional information regarding the security and collateral requirements, consult with the State Treasurer’s Office (STO).

The original Report No. 14 must be sent to the STO and a copy must be sent to the State Controller’s Office by August 20.

A sample of Report No. 14 is shown in the [7975 Illustration](#).

**SAM—CASH**

(Continued)

**ACCOUNTS OUTSIDE OF THE CENTRALIZED STATE TREASURY SYSTEM**

**8002 (Cont.1)**

(Revised 06/13)

**Savings and Loan Association and Credit Union Accounts**

GC section 16610 – Security is not required for that portion of deposited funds insured under any law of the United States.

GC section 16611 – Requires savings and loan associations and credit unions to deposit securities as collateral with the State Treasurer valued at least 110 percent of the uninsured portion of the collected funds deposited with the savings and loan associations and credit unions.

GC section 16612 – Specifies the types of securities that savings and loan associations and credit unions may deposit as collateral with the State Treasurer.

To provide collateral as required by law, departments shall instruct financial institutions to submit form STO-TD-011B to the STO, Centralized Treasury and Securities Management Division and ensure that the appropriate Safekeeping Agreement is in place with the STO, Collateral Management Section. To obtain form STO-TD-011B, refer to the STO website at:

<http://www.treasurer.ca.gov/publications/forms.asp>

For additional information regarding the security and collateral requirements, consult with the STO.

**FISCAL AGENTS**

**8002.1**

(Revised 12/13)

Fiscal agents are financial institutions or other third parties receiving remittances and/or making disbursements on behalf of the state. The state's normal procedures for receipts and disbursements should be used whenever possible to minimize the use of fiscal agents.

If unusual conditions exist requiring the use of fiscal agents, requests for approval should be submitted to the Department of Finance (Finance), Fiscal Systems and Consulting Unit (FSCU) prior to finalizing the contract. All requests shall include the following information:

1. Justification for the fiscal agent.
2. Name and location of the fiscal agent.
3. Description of all functions to be performed by the fiscal agent.
4. Description of the internal control procedures between the state department and the fiscal agent.

The fiscal agent may maintain separate bank or savings and loan association accounts for any money under its control. The same approval procedures and reporting requirements apply as to any account outside the centralized State Treasury System. See SAM sections 8002 and 7975.

Information on how to obtain FSCU approval can be found on the Finance website at:

[http://www.dof.ca.gov/FISA/FSCU/fscu\\_FAQs.htm#12](http://www.dof.ca.gov/FISA/FSCU/fscu_FAQs.htm#12).

**NON-STATE MONEY**

**8002.5**

(From MM 78–7 New in SAM 5/81)

Employees involved in activities which are not an integral part of State programs or operations must be involved only on their own time and without the use of State equipment or supplies. Any funds which are collected or controlled by State employees for such non-State activities are not to be accounted in the State Treasury. Non-State monies are to be collected, controlled, and expended in a manner that will prevent any implication that the State is a sponsor or participant in those activities.

## SAM—DISBURSEMENTS

### SERVICES PROVIDED BY THE DEPARTMENT OF GENERAL SERVICES

#### **ADVANCES TO THE DEPARTMENT OF GENERAL SERVICES FOR SERVICES PROVIDED** 8471 (Revised 09/13 and renumbered from 8471.1)

Departments using services provided by the Department of General Services (DGS) will make advances from their operating funds and appropriations to assist in financing these services. DGS will calculate the advance amount based on an approved percentage of the annual cost of services rendered to departments. (See Government Code sections 11256 - 11263, 11290, and 11370.4). No advances or portions thereof will be returned until the following fiscal year budget has been passed and all prior year's invoices have been paid.

The normal flow of transactions for advances to the DGS is shown in the 8471 Illustration.

#### **RECORDING SERVICE ESTIMATES AND ADVANCES** 8471.1 (Revised 12/13)

When the State Controller's Office (SCO) issues the journal entry, Notice of Reserved Appropriation Advance, for the advance, it will be recorded as of the SCO's date on the journal entry. Departments will keep a subsidiary file by fund, agency, and appropriation to record the amount of the original advance and the subsequent return of the advance. No advances or portion thereof will be returned until the following fiscal year's budget has passed and all prior year's invoices have been paid. Departments may submit a request to DGS to reduce or return the advance for year-end cash flow problems.

#### **ELECTRONIC FUND TRANSFER FOR DEPARTMENT OF GENERAL SERVICES' INVOICES** 8471.2 (Revised 09/13 and renumbered from 8471.13)

DGS has implemented the Electronic Fund Transfer (EFT) system to streamline the payment of invoices and to eliminate the need for departments to prepare and submit claim schedules to SCO.

Under the EFT system, DGS continues to produce individual invoices for services and products provided to departments. The Notices of EFT are compiled into one electronic file by the end of the month and submitted to the SCO on the 2<sup>nd</sup> workday of the following month for processing. Approximately 8 working days are required by the SCO to process the EFT requests and to post the journal entries.

A copy of the individual invoices is available to view and print on the DGS-OFS website by the 5<sup>th</sup> calendar day of the following month at: [www.ofs.dgs.ca.gov](http://www.ofs.dgs.ca.gov).

An access account is needed to retrieve this information. To set up an access account, the departments will need to contact: [SRFFiscalServices@dgs.ca.gov](mailto:SRFFiscalServices@dgs.ca.gov).

For information regarding the EFT program contact:

Department of General Services  
Office of Fiscal Services - SRF  
707 Third Street, 10<sup>th</sup> Floor  
West Sacramento, CA 95605

FAX: (916) 376-5165

E-Mail: [SRFFiscalServices@dgs.ca.gov](mailto:SRFFiscalServices@dgs.ca.gov)

The normal flow of transactions for the EFT System is provided in 8471.2 Illustration.

## SAM—DISBURSEMENTS

### **RECORDING STATE CONTROLLER'S DOCUMENTS FOR ELECTRONIC FUND TRANSFER 8471.3** (Revised 12/13)

The SCO will issue a Notice of Transfer journal entry for the DGS charges received via the EFT; departments will record the transaction as of the SCO's date on the journal entry. This EFT transaction transfers money from the departments' appropriation to DGS.

### **DELINQUENT DEPARTMENT OF GENERAL SERVICES' INVOICES 8471.4** (Revised 09/13 and renumbered from 8471.51)

DGS will collect delinquent invoices in accordance with Government Code section 11291 which states: "If a state agency refuses to pay the charges fixed by the Department of General Services pursuant to this article, the department may file a claim for such charges against any appropriations made for the support or maintenance of all or any part of the work and affairs of the state agency." Allowing invoices to become delinquent will be considered a refusal to pay.

An invoice will be considered delinquent if it is not scheduled by the department within 60 days from the date of the invoice unless the total amount due is less than \$10. DGS may submit an EFT with the SCO when a department allows invoices to become delinquent and the SCO will transfer the payment from the department's appropriation.

### **CONTESTED DEPARTMENT OF GENERAL SERVICES' INVOICES 8471.5** (Revised 09/13 and renumbered from 8471.52)

If a department is billed by DGS for (1) services that were not performed, or (2) services that are not in accordance with an interagency agreement (IA), the department should notify DGS within 60 days of the invoice date. The department shall submit a STD. 209, Invoice Dispute Notification form directly to the contact information indicated on the invoice. The absence of an IA does not preclude the payment of valid invoices.

This form is available at: [http://www.dgs.ca.gov/osp/Forms/Search/pdf\\_fillPrint.aspx](http://www.dgs.ca.gov/osp/Forms/Search/pdf_fillPrint.aspx)

### **GENERAL SERVICES BILLING INFORMATION 8471.6** (Revised 09/13 and renumbered from 8471.71)

DGS assigns a six digit numeric code to state departments referred to as a Customer Account Number (CAN) in billing for services provided. To request a new CAN or to revise an existing CAN (e.g., update billing address), departments must properly fill out AFS-94A, CUSTOMER ACCOUNT NUMBER (CAN) REQUEST form available on DGS's website at: <http://www.documents.dgs.ca.gov/ofs/Afs94a.pdf>

The completed form AFS-94A, approved by the department fiscal officer, should be submitted to:

Department of General Services  
Office of Fiscal Services - SRF (IMS Code Z-1)  
707 Third Street, 10<sup>th</sup> Floor  
West Sacramento, CA 95605

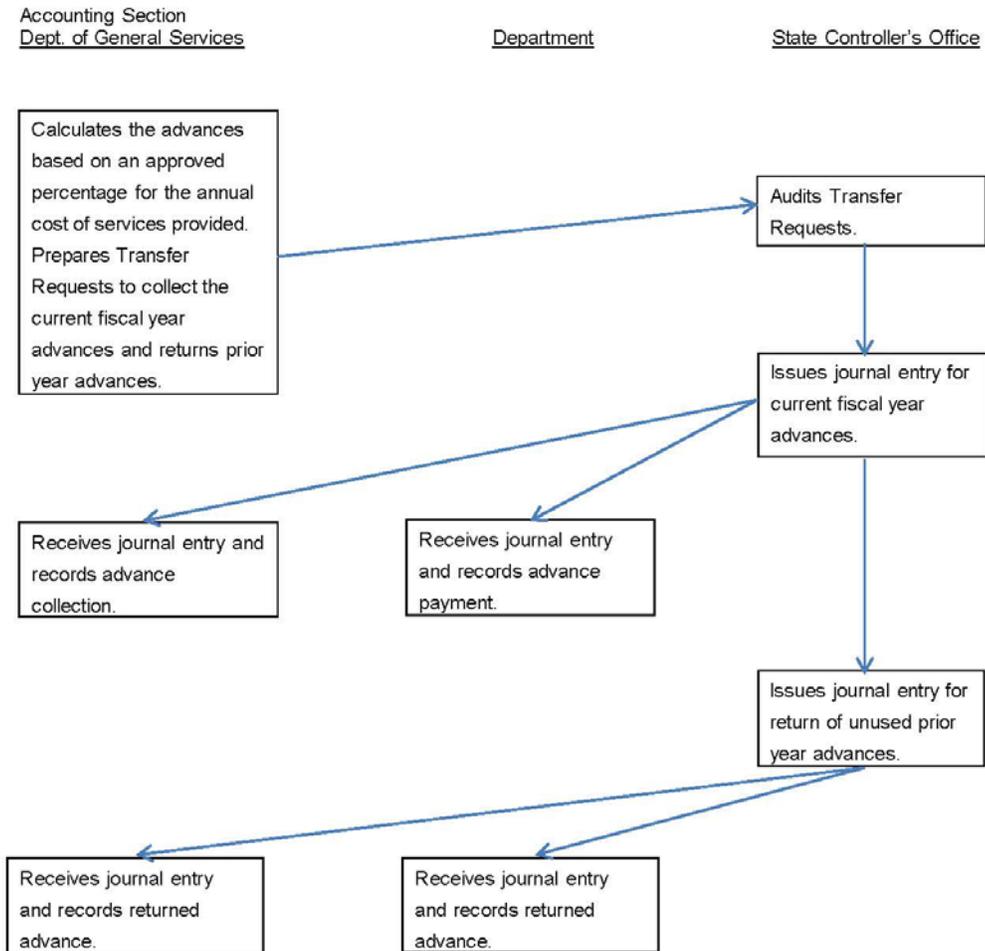
FAX to: (916) 376-5165  
E-mail to: [SRFFiscalServices@dgs.ca.gov](mailto:SRFFiscalServices@dgs.ca.gov)

# SAM—DISBURSEMENTS

(Revised 12/13)

## ADVANCES TO THE DEPARTMENT OF GENERAL SERVICES FOR SERVICES PROVIDED

### NORMAL FLOW OF TRANSACTIONS



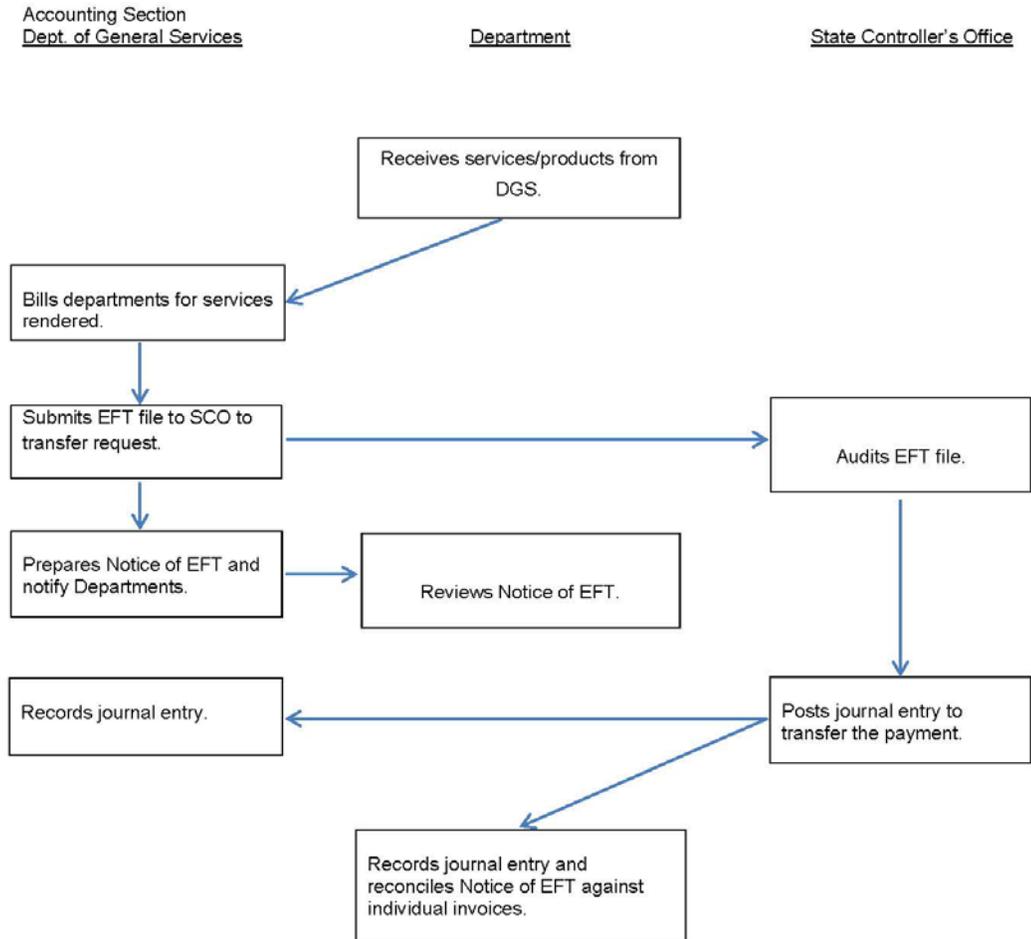
8471 Illustration

# SAM—DISBURSEMENTS

(Revised 12/13)

## ELECTRONIC FUND TRANSFER (EFT) FOR DEPARTMENT OF GENERAL SERVICES' INVOICES

### NORMAL FLOW OF TRANSACTIONS



Note: If any department discovers an invoice discrepancy, the department should notify Department of General Services who will issue an adjustment or credit that will automatically be recorded in the following EFT.

8471.2 Illustration

## SAM—PAYROLLS

### WORKERS' COMPENSATION INSURANCE

#### DISABILITY PAYMENTS

8536

(Revised 12/13)

The purpose of this Section is to provide some background on job-related disability payments and to prescribe accounting procedures relating to Temporary Disability (TD) checks issued by the State Compensation Insurance Fund (State Fund). For instructions concerning the payroll process relating to Temporary Disability Compensation and Industrial Leave, see Sections E300 and E400 of the State Controller's Payroll Procedures Manual (PPM).

Most departments are legally uninsured and participate in the Master Agreement with State Fund; only about 30 departments actually purchase an insurance policy from State Fund. State Fund processes disability claims for all State departments.

Additionally, State Fund issues all TD checks which are sent directly to the claimant. TD benefits are paid when an employee is not eligible for or has exhausted their eligibility for Industrial Disability (IDL) or Enhanced Industrial Disability Leave (EIDL), or 4800/4800.5 time. If a claimant receives TD and the employing organization is self-insured State Fund will bill the employing organization for the compensation payment and associated administrative costs. If the organization is insured, it is entitled to the service and support without charge.

When a claimant receives IDL, State Fund will send the department a Notification of Approval indicating periods of disability accepted as work related. This can be done via a Form 3290 or via email. Once the department receives approval they document and key a Miscellaneous Payroll/Leave Actions form (STD 671) into SCO's PIP Miscellaneous Detail screen. See Sections E006 and E007 of the State Controller's PPM for exceptions and form completion instructions.

Government Code Section 19863 prohibits payment in excess of an employee's full salary. If at any time the amount of the temporary disability payment plus the amount of salary paid to the employee exceeds the employee's regular full salary, the excess amount must be recovered by the employing organization from the employee.

#### ACCOUNTING FOR THIRD PARTY RECOVERIES

8537

(Revised 12/13)

The State Compensation Insurance Fund (State Fund) shall notify a department in writing when a subrogation case has been settled; the department will be notified regarding the amount of recovery (cash or credit) and the manner in which the recovery is to be applied. If there are any questions, contact the Office of Risk and Insurance Management, Department of General Services, or the Staff Fund office which handled the claim. See SAM Section 8775.

## SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

### NONEMPLOYEE ACCOUNTS RECEIVABLE

8776.6

(Revised 12/13)

Each department will develop collection procedures that will assure prompt follow-up on receivables. Following are procedures and guidelines that departments will use for the collection of amounts owed to the state from nonemployees. These procedures are in accordance with the Accounts Receivable Management Act as provided in Government Code (GC) sections 16580-16586.

#### Locating Debtor

When the address of the debtor is unknown, departments shall attempt to obtain a current address. Departments may utilize Internet search engines and/or a data research service. Departments should perform a cost benefit analysis to determine if procuring services to locate debtors would be cost beneficial. Another alternative is to request the debtor's address from the Department of Motor Vehicles by completing a Gov't Agency Request for Driver License/Identification Record Information form, INF 254. In order to use this alternative, the date of birth or driver's license/identification number of the debtor is required.

#### Collection Letters

Once the address of the debtor is known, the accounting office will send a sequence of three collection letters at 30 day intervals. If a reply or payment is not received within 30 days after sending the first letter, the accounting office will send a second letter. This follow-up letter will reference the original request for payment letter and will be stated in a stronger tone. If a response is still not received from the debtor, a third letter will be sent 30 days later. This last letter will include references to prior letters and will state what further actions, including collection fees, may be taken in the collection process.

#### Collection Fee

GC section 16583.1 allows departments to charge a reasonable fee, not to exceed the actual costs incurred by the department, to recover the department's collection costs on past due ARs.

If a department plans to recover costs pursuant to this section, departments should consider actual costs incurred, including, but not limited to, staff time to send out collection letters, postage, equipment costs, and contingency fees for private collectors.

Departments will record this fee as revenue, Source Code 162100, Delinquent Receivables – Cost Recoveries.

#### Collection Actions Review

If the three collection letters are unsuccessful, departments will prepare an analysis to determine what additional collection efforts should be made. The analysis should include a cost/benefit analysis of the collection actions listed below. Departments should initiate one or more of the following actions:

1. Offset Procedures—An offset, as the term indicates, is the interception and collection from amounts owed by other state departments to the debtor. For more offset information, see SAM section 8790.
2. Court Settlements—There may be instances where it would be cost effective for departments to seek court judgments against debtors. Departments should consider the possibility of filing action in small claims courts. For larger sums, department counsel should be consulted for advice.

(Continued)

## SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

(Continued)

### **NONEMPLOYEE ACCOUNTS RECEIVABLE**

**8776.6 (Cont. 1)**

(Revised 12/13)

3. Collection Agencies—Departments may consider contracting with another department that has a collection unit or with an outside collection agency.

The State Contracting Manual, the Public Contract Code section applicable to contracts for services, and GC section 19130 should be consulted when a department is considering contracting with a collection agency. Any contract made with a collection agency must specify that all funds collected on behalf of a department will be remitted to that department. The collection agency can then be paid in one of several ways for its services - by a set fee per collection, on an hourly basis, or on a percentage basis, in arrears, based on services rendered.

Prior to assigning the debt to a collection agency, departments are required by law to notify the debtor in writing at the address of record that the alleged AR debt will be turned over for private collection unless the debt is paid or appealed within a specified time period.

4. Sale of ARs—Departments are authorized to sell ARs to private persons or entities. Departments will record the net income from the sale in their accounting records. Specific accounting entries for the sale of ARs are detailed in SAM section 10536, Standard Entry No. 36.

Prior to selling the debt, departments are required by law to notify the debtor in writing, at the address of record, that the alleged AR debt will be turned over for private collection unless the debt is paid or appealed within a specified time period.

Departments will select the collection actions that are likely to generate the highest net income and do not compromise future state income collections. In addition, departments should consult with the Franchise Tax Board or any other state department that has successfully established an effective AR collection system to develop methods for improving their collection rate.

#### **Discharge from Accountability**

If all reasonable collection procedures do not result in payment, departments may request discharge from accountability of uncollectable amounts due from private entities. Departments will review their AR, no less than quarterly, to identify receivables for discharge. If departments have identified receivables for discharge, departments will file an Application for Discharge from Accountability form, STD. 27, with the SCO, Division of Accounting and Reporting. Applications for Discharge from Accountability of uncollectable amounts of more than \$10,000 will be filed separately from applications for amounts of \$10,000 or less. The \$10,000 amount applies to the total of all amounts owed by the debtor, not to each invoice. The application for discharge shall include:

1. Statement of the nature of the amount due
2. Name(s) of the person(s) liable
3. Estimated cost of collection
4. Any other fact(s) supporting the request, including offset attempts (See SAM section 8790)
5. If the discharge from accountability is due to bankruptcy, the supporting documentation must include a copy of the court's final discharge of the debtor and evidence that the specific department is included in the petition for bankruptcy.
6. Signature, phone number, printed name, and title of person completing the STD. 27
7. Signature, printed name, and title of manager authorizing the STD. 27

The individual authorizing the Application for Discharge from Accountability should be at a level at least equivalent to that of manager of the accounting office.

(Continued)

## SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

(Continued)

### **NONEMPLOYEE ACCOUNTS RECEIVABLE**

**8776.6 (Cont. 2)**

(Revised 12/13)

GC section 13943.2 provides that upon written authorization by the California Victim Compensation and Government Claims Board (VCGCB), state departments may refrain from collecting amounts of \$500 or less. The \$500 limitation applies to the total of all amounts owed by the debtor, not to each invoice.

Questions regarding this authorization should be directed to the VCGCB, Government Claims Program, at (916) 491-3700 or toll free (800) 955-0045. Departments who do not obtain approval from the VCGCB shall apply for discharge from accountability with the SCO, as indicated above.

The California State Universities must refer to Education Code section 89750.5 for application limitations

**SAM—STANDARD ENTRIES**

**ENTRY NO. 7**  
(Revised 12/13)

**10507**

**Nature of Transaction:**

General Cash is received by the department for deposit in the department's general checking account maintained with the State Treasurer. Such receipts consist of abatements, reimbursements and revenue not previously billed; collections applicable to accounts receivable for items previously billed; and items whose identity or accounting cannot readily be determined.

**Journal Entry for General Ledger Accounts:**

Debit:

1110	General Cash	a/
1316	Accounts Receivable—Cash Shortages	b/
1600	Provision for Deferred Receivables	c/

Credit:

1311	Accounts Receivable—Abatements	d/
1312	Accounts Receivable—Reimbursements	e/
1313	Accounts Receivable—Revenue	f/
1315	Accounts Receivable—Dishonored Checks	g/
1316	Accounts Receivable—Cash Shortages	h/
1319	Accounts Receivable—Other	i/
3110	Due to Other Funds or Appropriations	j/
3410	Revenue Collected in Advance	k/
3420	Reimbursements Collected in Advance	l/
3710	Cash Overages	m/
3730	Uncleared Collections	n/
8000	Revenue	o/
8100	Reimbursements	p/
9000	Appropriation Expenditures	q/
9892	Prior-Year Revenue Adjustments	r/
9893	Prior-Year Appropriation Adjustments	s/

a/ total cash received for deposit in the General Cash account.

b/ amount of cash shortages occurring during the month for which cashiers are held accountable.

c/ amount of cash received applicable to receivables accounted during the year on a fully-reserved basis and applied when collected to the appropriate revenue account.

(Continued)

## SAM—STANDARD ENTRIES

(Continued)

**ENTRY NO. 7**  
(Revised 12/13)

**10507 (Cont. 1)**

d/ amount of cash receipts applicable to expenditure abatements receivables (excluding collections from employees for salary overpayments).

e/ amount of cash receipts applicable to reimbursement receivables.

f/ amount of cash receipts applicable to revenue receivables.

g/ amount of cash received in payment of dishonored checks (unless alternate procedure is used).

h/ amount of cash received from cashiers in payment of cash shortages.

i/ amount of cash received in payment of other accounts receivable.

j/ amount of cash received applicable to revenue collected for other funds earned in the current fiscal year plus cash received applicable to revenue collected for other funds but not identifiable to the fiscal year in which it was earned.

k/ amount of cash received which will be accounted as revenue of a succeeding fiscal year.

l/ amount of cash received which will be accounted as a reimbursement to a current or subsequent fiscal year's appropriation when earned.

m/ amount of cash received representing cash overages.

n/ amount of cash received for items whose identity or accounting cannot be readily determined; amount of cash received applicable to reimbursements (billed or unbilled) which, according to law, can be applied only at the time the cash is ordered into the treasury; or salary overpayments collected from employees by the department.

o/ amount of cash received applicable to revenue earned in the current fiscal year plus cash received applicable to revenue but not identifiable to the fiscal year in which it was earned.

p/ amount of cash received applicable to (1) billed reimbursements which, according to law, can be applied only at the time cash is received and (2) all unbilled reimbursements except those applicable to prior fiscal years and those that can be applied only at the time cash is ordered into the treasury.

q/ amount of cash receipts applicable to current year expenditure abatements not billed or accrued previously.

r/ amount of cash received applicable to revenue (except reimbursements) which was identified as being earned as of the preceding June 30.

s/ amount of cash received in excess of amounts accrued in prior fiscal years as expenditure abatements or reimbursements. If the amount of cash received is less than amounts accrued in prior fiscal years, Account No. 9893 will be debited.

**Source:**

Document:

General Cash Receipt

Register:

General Cash Receipts Register

(Continued)

## SAM—STANDARD ENTRIES

(Continued)

**ENTRY NO. 7**  
(Revised 12/13)

**10507 (Cont. 2)**

**Explanation:**

The recording of cash receipts deposited in the general cash account is shown in Illustration 10507. The General Cash Receipts Register will show both the date of receipt and the date of deposit of all cash receipts. All cash collections must be deposited in approved depositories (see SAM Section 8031) and are later either (1) refunded if determined to be unacceptable or (2) remitted to the State Treasury at least once each month. Current collections are used also to satisfy bank demands for reimbursement for dishonored checks until ultimate collection is made from the drawers or relief from accountability is granted by the California Victim Compensation and Government Claims Board.

Accounts Receivable—Revenue and Accounts Receivable—Other are deferred when recorded. They must, therefore, be applied as revenue when collected.

Reimbursements may be of one of the following categories depending upon specific laws governing the accounting of such transactions: (1) receipts which accrue to the year in which the transaction occurred, (2) receipts which accrue to the year in which cash is collected by the department, and (3) receipts which accrue to the year in which cash is ordered into the treasury. Transactions in the third category, when collected are credited to a suspense account (Uncleared Collections) pending receipt of notice from the State Controller's Office that cash has been ordered into the treasury (see SAM Section 10510). Items in category 1 (if not billed or accrued previously) and in category 2 are applied at the time cash is collected by the department.

SAM—STANDARD ENTRIES

Date of Receipt	Receipt or Voucher Number	Date of Deposit	Total Amount of Receipts	Accts. Rec. - Cash Shortage	Accounts Receivable						Revenue	Reimbursements	Approp. Expenditures	Prior Year Revenue Adjustments	Prior Year Approp. Adj.	Sundry Accts.	
					Abate-ments	To be Applied	To be De-ferred	Other	Revenue	Cash Shortage						Un-declared Col-lections	10.
1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.	12.	13.	14.	15.			
4/21	127-142		140		100	15	25										
	143		380					390									
	144	4/21	50					50									
4/22	145		10				10										
	146	4/22	1,700				1,700										
4/23	147-153	4/23	850														
	154		450		350												
	155		3,100														
4/25	156-160	4/25	2,900														
	161		375				375										
4/28	162-165	4/28	385	5													
	166		150						400								
	167	4/29	120		120												
4/29	167	4/29	7,120				7,120										
			17,750	5	470	100	15	400	14,810	10	440	350	200	150	200	150	210
			DR 1110	DR 1316	CR 1311	DR 1600	DR 6000	CR 1319	DR 1600	CR 1316	CR 3730	CR 8100	CR 9000	CR 9892	CR 9893	CR 9892	CR 9893
					CR 1312	CR 1312	CR 1313	CR 8000									
					CR 8100	CR 3730	CR 8000										

\* This column needed only by those departments that collect reimbursements which according to law, can be applied only at the time the cash is ordered into the treasury.

## SAM—TRUST AND AGENCY FUNDS—NON-TREASURY

### DOCUMENTATION

19440.1

(Revised 5/87)

Each trust account established shall be supported by documentation as to the type of trust, donor or source of trust moneys, purpose of the trust, time constraints, persons authorized to withdraw or expend funds, specimen signatures, reporting requirements, instructions for closing the account, disposition of any unexpended balance, and restrictions on the use of moneys for administrative or overhead costs. This documentation will be retained until the trust is dissolved.

### TRUST INVESTMENT

19460

(Revised 03/13)

Government Code section 11012 requires any state department with some exceptions, authorized to deposit funds in bank accounts or to invest trust funds in securities to obtain prior approval from the Department of Finance (Finance). However, Finance approval is required only on transactions exceeding \$25,000 for securities and balances exceeding the Federal Deposit Insurance Corporation (FDIC) limit for each bank account. Therefore, if any one transaction or the balance in an account exceeds these limits, the state department must obtain Finance approval. Finance approval is not required for the state departments listed in Government Code section 11012 or exempted by other statutes.

Generally, trust money not under the control of the State Treasurer should be deposited or invested only if the interest earnings (1) will accrue to the individual accounts of or directly benefit a group of wards, patients, students, or inmates, or (2) will accrue to a trust account or fund established for gifts and donations that is dedicated to assisting wards, patients, students, or inmates, or (3) will affect the charges for auxiliary nonprofit and nonstate supported activities and services furnished to wards, patients, students, or inmates.

In any circumstance, it is the state department's responsibility to ensure that the bank or savings and loan association is insured by the FDIC or Federal Savings and Loan Insurance Corporation, respectively. Additionally, the state departments may deposit in excess of the FDIC limit in any one bank or savings and loan association, if the state department notifies the State Treasurer that the collateral requirement has been met. See SAM section 8002 for collateral requirements.

### BANK ACCOUNTS

19462

(Revised 12/13)

Departments may be authorized either by statute or by approval from the Department of Finance (Finance), Fiscal Systems and Consulting Unit, (FSCU) to deposit moneys not under the control of the State Treasurer (Treasurer) in banks outside of the centralized State Treasury System (CTS).

Departments that have statutory authority to deposit state moneys in banks outside the CTS without Finance approval should adhere to the conditions prescribed by the Director of Finance and must notify the Treasurer by letter stating the name and location of the bank, amount, source, and purpose of the funds to be deposited, and the type and term of the deposit arrangement. In addition, departments that have statutory authority to deposit outside the CTS without Finance approval must submit the report required by Condition 4 of this section.

Departments without such statutory authority will request approval from Finance, FSCU by letter to deposit state moneys in bank accounts outside the CTS. See SAM section 8002.

The following conditions are prescribed by the Director of Finance for depositing moneys in bank accounts outside the CTS:

1. Unless otherwise exempted by statute, a department must have approval from Finance, FSCU to maintain the account outside the CTS.
2. Except as otherwise provided by law, General Fund money will not be deposited with banks by any state officer other than the Treasurer.

## SAM—TRUST AND AGENCY FUNDS—NON-TREASURY

(Continued)

### **BANK ACCOUNTS** (Revised 12/13)

**19462** (Cont. 1)

3. Deposits shall not exceed the Federal Deposit Insurance Corporation (FDIC) limit in any one bank, including all of its branches. However, departments may deposit in excess of the FDIC limit in any one bank if the department notifies the Treasurer that deposit collateral requirements have been met. See SAM section 8002 for collateral requirements.
4. The Report of Accounts Outside the State Treasury form, STD. 445 stating the balance as of June 30, the purpose and the authority for each account shall be submitted annually to STO and SCO by August 20 or the following Monday if August 20 falls on a weekend. If the account has been closed during the reporting period, departments must specify the date the account was closed. See SAM sections 7930, 7951, and 7975.
5. Bank statements for each account indicating collateralization on Report 14 shall be submitted semi-annually to STO, Collateral Management Section, by February 1 (monthly bank statement stating bank balances as of December 31) and August 20 (monthly bank statement stating bank balances as of June 30).
6. No person shall make withdrawals until a bank signature card has been properly completed. The same statement shown in SAM section 8001.2 pertaining to the necessity of two authorized signatures for withdrawals in excess of \$15,000 is required.

Any department that maintains account balances close to the FDIC limit should periodically review its bank account balances to make certain that the maximum insured amount will not be exceeded when interest earnings are added to the accounts. Departments are responsible for making arrangements with the bank to allow interest payments to be sent directly to the department when such payments would increase the balance of an account in excess of the maximum insurable amount. These excess amounts may be deposited in another bank (upon approval by Finance, FSCU) or within the CTS.

The deposit of state moneys in bank accounts should permit the maximum earnings of interest and the ready access to a reasonable amount of cash to meet unusual demands, in addition to cash held in the CTS account to meet ordinary withdrawal demands.

Departments should assure that time or interest-bearing term deposits are held until expiration of the certificate or certificate of deposit to avoid early withdrawal penalties. Federal regulations require a substantial interest penalty for early withdrawals of principal. Generally, no interest is earned for 90 days immediately preceding the withdrawal and any applicable interest earning are calculated at the current rate on regular accounts.

### **SAVINGS AND LOAN ASSOCIATION AND CREDIT UNION ACCOUNTS** (Revised 12/13)

**19463**

Departments may be authorized either by statute or by approval from the Department of Finance (Finance), Fiscal Systems and Consulting Unit (FSCU), to deposit moneys not under the control of the State Treasurer (Treasurer) in savings and loan associations outside of the centralized State Treasury System (CTS).

Departments that have statutory authority to deposit state moneys in savings and loan associations or credit unions without Finance approval should adhere to the conditions prescribed by the Director of Finance and must notify the Treasurer by letter stating the name and location of the savings and loan association or credit union, amount, source, and purpose of the funds to be deposited, and the type and term of the deposit arrangement. In addition, departments that have statutory authority to deposit outside the CTS without Finance approval must submit the report required by Condition 4 of this section.

Departments without such statutory authority will request approval from the Finance, FSCU, by letter to deposit state moneys in savings and loan associations or credit unions. See SAM section 8002.

(Continued)

## SAM—TRUST AND AGENCY FUNDS—NON-TREASURY

(Continued)

### SAVINGS AND LOAN ASSOCIATION AND CREDIT UNION ACCOUNTS

19463 (Cont. 1)

(Revised 12/13)

The following conditions are prescribed by the Director of Finance for depositing moneys with savings and loan associations or credit unions:

1. Unless otherwise exempted by statute, a department must have written approval from the Finance, FSCU, to maintain the account outside the CTS.
2. Except as otherwise provided by law, General Fund money will not be deposited with savings and loan associations or credit unions by any state officer other than the Treasurer.
3. Deposits shall not exceed the FDIC or NCUA limit in any one savings and loan association or credit union, including all of its branches. However, a department may deposit in excess of the maximum FDIC or NCUA limit in any one savings and loan association or credit union if the state department notifies the Treasurer that deposit collateral requirements have been met. See SAM section 8002 for collateral requirements.
4. The Report of Accounts Outside the State Treasury form, STD. 445 stating the balance as of June 30, the purpose and the authority of each account shall be submitted annually to STO and SCO by August 20 or the following Monday if August 20 falls on a weekend. If the account has been closed during the reporting period, departments must specify the date the account was closed. See SAM sections 7930, 7951, and 7975.
5. Bank statements for each account indicating collateralization on Report 14 shall be submitted semi-annually to STO, Collateral Management Section, by February 1 (monthly bank statement stating bank balances as of December 31) and August 20 (monthly bank statement stating bank balances as of June 30).
6. No person shall make withdrawals until a saving and loan or credit union signature card has been properly completed. The same statement shown in SAM section 8001.2 pertaining to the necessity of two authorized signatures for withdrawals in excess of \$15,000 is required.
7. Deposits shall be made only with eligible savings and loan associations or credit unions as stated in Government Code section 16600.

Any department that maintains account balances close to the FDIC or NCUA limit should periodically review its savings and loan or credit union balances to make certain that the maximum insured amount will not be exceeded when interest earnings are added to its accounts. Departments are responsible for making arrangements with its savings and loan association or credit union to allow interest payments to be sent directly to the department when such payments would increase the balance of an account in excess of the maximum insurable amount. These excess amounts may be deposited in another eligible savings and loan association, credit union (upon approval by Finance, FSCU) or within the CTS.

The deposit of state moneys in savings and loan associations or credit unions accounts should permit the maximum earnings of interest, and the ready access to a reasonable amount of cash to meet unusual demands, in addition to cash held in the CTS account to meet ordinary withdrawal demands.

Departments should assure that time or interest-bearing term deposits are held until expiration of the certificate or certificate of deposit to avoid early withdrawal penalties. Federal regulations require a substantial interest penalty for early withdrawals of principal. Generally, no interest is earned for 90 days immediately preceding the withdrawal and any applicable interest earnings are calculated at the current rate on regular accounts.

-A-

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