

SAM – REVISION SUMMARY

Revisions to SAM sections are indicated by vertical and horizontal bars inserted next to text for most revised SAM pages. Vertical (addition) bars indicate added and rewritten matter, and horizontal (deletion) bars indicate deleted matter. Revision bars are not inserted for format changes, non-substantial technical changes and fully rewritten chapters.

**** Click on the Chapter Number to be taken to the SAM Chapter ****

CHAPTER/ SECTION	SUMMARY
** Due To the New CALIFORNIA STATE FORMS DIRECTORY All Associated Forms Hyperlinks in SAM Have Been Corrected **	
CHAPTER 1	
30	Updated contact information for Chapter 1300, 3500 & 5200
CHAPTER 700	
723	Content reviewed and remains current.
728	
730-731	
740-745	
748-750	
753-759	
Travel Guide	Per MM 15-01 : Updated SMVIA information: Vehicle Self-Insurance Coverage 1500
CHAPTER 1300	
1315 - .1	Deleted
1321	
1324 - .13	
1327 - .14	
1325	Newly Added
1321.12	Request for Project Undertaking by State Agency (RES Form 23). Form has been revised and the instructions have been updated.
1320 - .1	Updated
1321.16 - .18	
1322 - .1	
1322.12	
1323.1	
1323.14 - .15	
1326	
1328.1	
1330	
CHAPTER 1700	
1745	<ul style="list-style-type: none"> • Heading changed to OTHER APPLICABLE FORM REQUIREMENTS. • Content about Americans with Disabilities Act (ADA) & Savable Documents added.

SAM – REVISION SUMMARY

<u>CHAPTER 1900</u>	
1930.5 - .6 & .10	Updated Language in the sections for food waste, mattresses and paper
<u>CHAPTER 4800</u>	
4806	Corrected Government Codes and hyperlinks
<u>CHAPTER 4900</u>	
4989	Per TL 14-06 , this policy was updated to integrate tablet device acquisitions into the Desktop and Mobile Computing policy.
4989.1	Per TL 14-06 , the following changes were made: <ul style="list-style-type: none"> • Definition of “Desktop and Mobile Computing Commodities” was modified to include tablet devices and exclude smartphones. • Definition of “Desktop Computers” was modified to reference Personal Computer (PC). • Definition of “Mobile Computers” was expanded to include Laptop/Notebook, Clamshell, Ultrabook and Tablet/Slate. • Definition of “Smartphone” was deleted. • Definition of “Mobile Phone” was added.
4989.2	Per TL 14-06 , this policy was updated to integrate tablet device acquisitions into the Desktop and Mobile Computing policy.
4989.8	Per TL 14-06 , the reference to the Department of Finance was updated to reflect the responsibilities of the Department of Technology. Outdated reference to the Statewide Workgroup Computing Policy was also changed to Desktop and Mobile Computing Policy.
<u>CHAPTER 5900</u>	
5901-5952	Content reviewed and remains current.
5953	Inserted sanitation advisory and updated hyperlinks
<u>CHAPTER 8000</u>	
8034.1	<ul style="list-style-type: none"> ▪ Revised to remove the references to bank branches as they are no longer needed based on current banking practices. ▪ Included email address for Centralized Treasury and Securities Management Division. ▪ Minor technical edits.
<u>CHAPTER 8400</u>	
8422.1	Correction to hyperlink and minor edits
8422.106	Removed invalid SAM reference and minor edits
<u>CHAPTER 8700</u>	
8740	Revised to update the state employee billing rates for 2015
8753	Update workload functions for central service departments
8755.1	Clarify SWCAP recoveries must be transferred within 30 days after the end of each quarter
8756.1	<ul style="list-style-type: none"> • Rename guidance from “A-87” to “OMB Uniform Guidance at 2 CFR 200” • Minor edits for consistency

SAM – REVISION SUMMARY

<u>CHAPTER 10600</u>	
10615	<ul style="list-style-type: none">▪ Revised to clarify language regarding shared-fund users/departments and the closing of GL 1140 Cash in State Treasury to GL 5570 Fund Balance—Clearing Account.▪ Included new paragraph regarding the Fund Reconciliation requirement for shared funds.

1300 Real Estate Services Division	General Services Real Estate Services Division	karena.benskin@dgs.ca.gov Valerie.Keisler@dgs.ca.gov	Karena Benskin 916-375-4326 Valerie Keisler 916-376-1600
3500-3515 3522.1-3574.6 3600 Purchases	General Services, Procurement	Bob.door@dgs.ca.gov	Bob Door 916-375-4347
5200-5291 Information Technology	Department of General Services, Procurement	http://www.dgs.ca.gov/pd	Bob Door 916-375-4347

SAM - TRAVEL

NONCOMMERCIAL ALLOWANCE

0723

(Reviewed 2/2015)

This rate may be claimed by employees for out-of-pocket expenses incurred when staying with friends or relatives, when using their personal travel trailers, camping equipment, vans, or other noncommercial facilities. The employee may claim the noncommercial rate, beginning on the first day of travel. Partial days of noncommercial travel are paid as follows: Less than 12 hours- one half the noncommercial rate; 12-24 hours- full noncommercial rate. This rate is for meal and incidental allowances only.

SAM - TRAVEL

OVERTIME MEALS

0728

(Reviewed 2/2015)

Nonrepresented employees may be paid for an overtime meal when they are required to work before or after a regularly scheduled work day and can't be expected to return home for the meal. Represented employees may be paid for an overtime meal in accordance with the MOU. The overtime meal allowance is to enable employees to continue working overtime. Agencies may either provide the meal or grant a meal allowance. An added meal allowance may be granted for each additional six hours worked to a maximum of three overtime meal allowances in any 24-hour period.

SAM - TRAVEL

TRANSPORTATION

0730

(Reviewed 2/2015)

Travel should be done in the most efficient and least costly manner. An employee may use a more costly form of transportation, but they are paid at the less costly rate. In such cases a cost-comparison must be done to determine the least costly rate.

SAM - TRAVEL

TRAVEL EXPENSES OUTSIDE WORKING HOURS

0731

(Reviewed 2/2015)

Per CALHR Rule [599.626](#), Represented employees may claim travel expenses related to call-back for overtime work which requires more than one trip to the assignment on a normal work day or any call-back on an employee's normal day off. Pre-scheduled work on an employee's normal day off is not considered to be a call-back. Refer to the applicable MOU for provisions that may supersede this regulation.

Per CALHR Rule [599.626.1](#), Excluded employees may claim travel expenses related to call-back to work which requires more than one trip to the assignment on a normal work day or any call-back or pre-scheduled work on an employee's normal day off.

SAM - TRAVEL

TRAVEL BY AIRCRAFT **(Reviewed 2/2015)**

0740

Employees should travel by aircraft when it is the most efficient and least costly method for conducting official State business.

SAM - TRAVEL

COMMERCIAL AIR TRAVEL

0741

(Reviewed 2/2015)

Employees will travel by the least costly class and take advantage of discounts whenever possible. Refer to the current Department of General Services Management Memo for Discounted Air Fares for Official Business. If an employee travels in other than the least costly class, full explanation must be submitted with the claim. See SAM Section [8422.115](#).

Frequent Flier Points/Premiums/Vouchers received by the employee because of travel on official State business are the property of the employee.

Departments that currently have programs in place which require employees to turn these premiums back to the State for future use may continue to do so.

SAM - TRAVEL

USE OF AGENCY OWNED/LEASED AIRCRAFT

0742

(Reviewed 2/2015)

Use is limited to official State business. Do not use aircraft for executive travel if the destination is within two hours driving time or a regular commercial airline serves the location.

Section 0748 outlines exceptions to this policy. Agencies may adopt more strict guidelines. Agency Secretaries ensure that the interpretation and application of the policy is consistent throughout their agencies.

When feasible, agency aircraft may be used on a charter basis by other state State agencies or for official governmental activities. This is billed by the agency at full cost, including the expense of the pilot. The agency's policies regarding passengers apply.

SAM - TRAVEL

PRIVATELY-OWNED AIRCRAFT

0743

(Reviewed 2/2015)

Privately-owned aircraft may be used for official travel when it is the least costly means or is in the best interest of the State. Employees must obtain approval of the agency.

Aircraft must have Federal Aviation Agency ([FAA](#)) certification and approved equipment. Aircraft must have adequate insurance. This is certified by the employee on an Insurance Verification and Authorization to Operate Privately-Owned/Rented/Leased Aircraft on State Business form, [STD. 265](#). See Appendix A-2 for preparation instructions. Employees who pilot aircraft on official business must meet pilot qualifications outlined in SAM Section 0747.

SAM - TRAVEL

REIMBURSEMENT FOR USE OF PRIVATELY-OWNED AIRCRAFT

0744

(Reviewed 2/2015)

The reimbursement rate for employee privately-owned aircraft is 50 cents per statute mile. Mileage is computed on the shortest air route from origin to destination, using airways whenever possible. Enter "Air Miles" and mileage on the TEC. For expenses other than mileage, substantiate the expense with a voucher. Landing and parking fees are paid except at the site where the aircraft is normally stored.

SAM - TRAVEL

AGENCY-RENTED AIRCRAFT

0745

(Reviewed 2/2015)

When necessary or in the best interest of the State, an aircraft may be rented. This requires approval of the head of the agency. Obtain advance approval by the Cabinet Section of the Governor's Office in any of these situations: the aircraft is multi-engined; the aircraft is single engined with power exceeding 250 h.p.; the aircraft is of a special type helicopter, seaplane, etc.; or the aircraft is rented with a pilot. Use a memo to the Cabinet Section as an approval request. Clearly explain the nature, cost, and necessity for the rental of the aircraft. If one of the official travelers is the pilot, they must meet the requirements of SAM Section 0747.

SAM - TRAVEL

TRANSPORTATION SELECTION AUTHORIZATION AND ACCOUNTABILITY

0748

(Reviewed 2/2015)

Transportation Selection Criteria:

1. Select the least costly method of transportation. Consider direct expense and employee time away from the office. Commercial transportation will be used whenever its total cost is less than agency provided aircraft. Agency aircraft may be used when it proves to be the least costly method. Consider and document these criteria when deciding:
 - a) The cost of personnel hours lost in travel.
 - b) Total commercial travel costs (airlines, rental vehicle, taxi, etc.).
 - c) Added per diem costs.
 - d) Accessibility and/or urgency of the situation.
 - e) Scheduling demand and limitations.
 - f) Driving time to location would exceed two hours one way.
 - g) Commercial airline service and schedules between points of origin and destination including any intermediate stops or layovers.

2. To find the cost of agency aircraft include the following estimates:
 - a) Pilot cost (wages and benefits) per hour.
 - b) Total operational costs of the aircraft per hour.

Authorization:

The agency director or designee is solely responsible for authorizing flights.

(Continued)

SAM - TRAVEL

(Continued)

TRANSPORTATION SELECTION AUTHORIZATION AND ACCOUNTABILITY

0748 (Cont. 1)

(Reviewed 2/2015)

Accountability:

1. Submit approval request in writing to the agency approval authority as soon as possible but not less than 24 hours before the flight.
2. Immediate or unanticipated requests can be made verbally. File a confirming written request within 24 hours of trip completion.
3. Requests will contain:
 - a) Date, time, and name/title of requester.
 - b) Date(s) and itinerary of requested flight(s).
 - c) Purpose of trip.
 - d) Passengers (include title and organization).
 - e) Transportation selection criteria justification.
4. Administrative units that provide aircraft services shall evaluate requests for compliance with the transportation selection criteria. They will maintain a record of the aviation activities and prepare a monthly report. The report will be sent to the director or authorized designee and will include the following:
 - a) Dates of flight.
 - b) Pilot (or company if chartered).
 - c) Hours flown.
 - d) Type of aircraft.
 - e) Rate.
 - f) Total cost.
 - g) Short explanation of purpose.
 - h) Destination and stopovers.
5. Maintain a flight log for each State-owned or leased aircraft. Include in the log the use of the aircraft, passenger names, dates, destinations, and purposes of flights. Retain logs for four years or until audited, whichever occurs first.

SAM - TRAVEL

VEHICLE USE

0750

(Reviewed 2/2015)

Agencies determine who will drive on official State business and the vehicle types to be used: State-owned, privately-owned, or commercially-owned vehicles.

State Vehicles. These may be authorized when two or more employees are traveling together. The trip includes intermediate stops not feasible for public transportation; the schedule of public carriers does not fit the itinerary; transportation is not available at the destination; an employee must carry specialized tools, books, etc.

Rental Vehicles. You may rent a vehicle when a State vehicle is not available and automobile travel is essential. Refer to the current [DGS Rental Car](#) contract in order to ensure adherence to State policy.

Privately-Owned Vehicles. Employees may use their privately-owned automobiles on official State business if this is approved by the agency. If the use is not less costly, the supervisor may authorize the use, but the payment will be for the less costly alternative. No agency will require an employee to use their privately-owned vehicle unless this is a formal condition for employment.

SAM - TRAVEL

AUTHORIZATION TO USE PRIVATELY-OWNED VEHICLE **(Reviewed 2/2015)**

0753

Agencies are responsible for determining who will be authorized to drive privately-owned vehicles while conducting official State business.

See Appendix A-3 for instructions on preparing Authorization to Use Privately-Owned Vehicle form, [STD. 261](#). An employee must certify in writing the vehicle will always be covered by liability insurance at the following levels: \$15,000 for personal injury to, or death of, one person; \$30,000 for personal injury to two or more persons in one accident, and \$5,000 for property damage. The vehicle is adequate for the work. The vehicle is equipped with operating safety belts. The vehicle is in safe mechanical condition.

Complete the certification on STD. 261. The authorizing supervisor retains STD. 261. Each year the form must be verified and resigned. Supervisors verify that there is a current STD. 261 on file for an employee before signing a Travel Expense Claim.

Employees should be aware that the insurance maintained by the state is for the liability above the amount of the employees' policies. Mileage rates paid to employees include an amount that reimburses employees for maintaining minimum insurance coverage.

SAM - TRAVEL

REIMBURSEMENT FOR PARKING CHARGES

0755

(Reviewed 2/2015)

Employees using State-owned vehicles or privately-owned vehicles on official State business may be reimbursed for certain parking charges. These charges are:

1. For day parking when on trips away from their headquarters office and residence.
2. For overnight public parking when on trips away from the headquarters city and city of residence. Claims are not allowed if expense-free overnight parking is conveniently available.
3. For day parking next to their headquarters, provided they have other reimbursable vehicle expenses for the same day or are using a State vehicle. This is for employees who spend most of their time on field assignments and report to their headquarters offices occasionally. Other examples of payable expenses are expenses due to a call-back or scheduled overtime on a normal day off.

Employees parking at airports must use the less expensive peripheral parking, or adequately justify excessive parking charges.

Submit claims for parking on a TEC. Attach a receipt to claims exceeding 10 dollars for one continuous period. Regardless of the cost, the appointing authority may require submission of receipts for parking costs claimed.

SAM - TRAVEL

REIMBURSEMENT FOR POOL VEHICLE EXPENSES

0756

(Reviewed 2/2015)

If a traveler pays for emergency repairs or items included in the pool vehicle rental charges, the traveler can be paid. See SAM Chapter [4100](#).

SAM - TRAVEL

REIMBURSEMENT FOR DAMAGE TO COMMERCIAL VEHICLE RENTAL 0758 (Reviewed 2/2015)

An employee cannot be reimbursed for the collision damage waiver costs for a rental vehicle. Should a rental vehicle sustain damages and the rental company makes demand against the employee, submit the claim in the manner described in Section 0780. Insert the following in TEC, Remarks Section: "I hereby certify that this expense was incurred by me as a result of damage to a commercial rental vehicle used on official State business by me. This expense is not reimbursable through the insurance coverage of any of the parties involved in the accident."

In some instances the rental company may bill the State directly for damages.

SAM - TRAVEL

PRIVATELY-OWNED MOTORCYCLES

0759

(Reviewed 2/2015)

Privately-owned motorcycles and motor-driven bicycles are not an authorized mode of transportation for official business. There is no reimbursement for mileage or transportation expenses for these modes.

SAM – TRAVEL GUIDE

VEHICLE SELF-INSURANCE COVERAGE 1500

Overview Claims against the State or an employee for personal injury or property damage because of the use of a self-propelled land vehicle are self-insured through the State Motor Vehicle Insurance Account (**SMVIA***). The Office of Risk and Insurance Management administers SMVIA and assesses a premium for liability coverage to the owning department.

Vehicle Liability Coverages:

State Owned SMVIA covers responsible drivers of self-propelled land vehicles. This applies to State employees or anyone operating the vehicle with the State's permission. It covers the State, the agency owning the vehicle or employing the driver, and the driver.

Privately Owned Vehicles The employee's own policy limits must be exceeded before SMVIA provides coverage when employees use private vehicles for State business. Drivers complete STD. [261](#) yearly to confirm vehicle liability coverage.

Rental Vehicles SMVIA covers the employee driving a rental car if the rental company is uninsured or underinsured.

Physical Damage This is collision and comprehensive coverage. Physical damage is not provided for State vehicles or privately owned vehicles used on State Business.

Other Non-Covered There is no coverage for uninsured or underinsured motorist or medical payments under SMVIA. There is no coverage for disability or death benefits. Disability and death benefits are provided by other agencies. These include: the Public Employees Retirement System, the Department of Human Resources, the State Compensation Insurance Fund or Employment Development Department.

*** For additional information concerning [SMVIA](#) please click the link ****

SAM – TRAVEL GUIDE

VEHICLE SELF-INSURANCE COVERAGE 1500 (Cont. 1)

Government Card Assistance American Express 24-hour customer services:
(800) 528-2122 (to report lost or stolen cards or for problems or questions)
American Express Emergency Card Replacement:
(800) 992-3403 (24x7, 7 days a week)

American Express Application Status and Decline Hotline:
(888) 800-7325 (M-F, 6a.m. to 4 p.m., Mountain Time)

You may contact the Statewide Travel Program Administrator at
Department of General Services,
Office of Fleet and Asset Management,
1700 National Drive, Sacramento, CA
95834, StatewideTravelProgram@dgs.ca.gov

Discount Air Fares for Official State Business, (See State Travel Portal www.travel.dgs.ca.gov. Airline tab, for current fares)

Commercial Car Rental Contracts, (See Management Memo for current rates)

Hotel/Motel Transient Occupancy Tax Waiver, (std. [236](#) form)

Per Diem, (See current MOU's)

SAM—REAL ESTATE SERVICES DIVISION

Chapter 1300 INDEX

PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1300
ORGANIZATIONAL STRUCTURE	1301
ASSET MANAGEMENT BRANCH	
Program Summary, Resources, And Contacts	1310
Organizational Structure	1310.1
Portfolio Management Section	1310.2
Terms and Definitions	1310.3
Local Government Assessments	1310.4
Asset Enhancement Sections	1310.5
Managing Surplus State Lands	1310.6
Statewide Real Property Inventory	1310.7
PROJECT MANAGEMENT AND DEVELOPMENT BRANCH	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1315
Capital Outlay Projects	1315.1
PROFESSIONAL SERVICES BRANCH	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1320
Organizational Structure	1320.1
DESIGN SERVICES SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1321
Transfer Of Funds To The Architecture Revolving Fund (RESD Form 22)	1321.1
Request For Project Undertaking By State Agency (RESD Form 23)	1321.12
Agencies With Separate Authority To Undertake Projects	1321.13
State Space Allowance Standards	1321.14
Alternative Office Strategies	1321.15
Requests For Planning Strategies	1321.16
Request For Modular System Furniture	1321.17
Code Requirements For State-Controlled And State-Owned Facilities	1321.18

(Continued)

SAM—REAL ESTATE SERVICES DIVISION

(Continued)

Chapter 1300 INDEX (Cont. 1)

REAL ESTATE LEASING AND MANAGEMENT-PLANNING SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1322
Leasing Services Unit	1322.1
Lease Management Unit	1322.12
REAL PROPERTY SERVICES SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1323
Leases On State Property	1323.1
Acquisition Of Real Property	1323.12
Posting Of State Property	1323.13
State Property Easements	1323.14
COST ENGINEERING SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1324
Project Estimating Unit	1324.1
Scheduling Unit	1324.12
Cost Analysis Unit	1324.13
ENERGY AND SUSTAINABILITY PROGRAM	
PROGRAM SUMMARY	1325
ENVIRONMENTAL SERVICES SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1326
SPECIAL PROGRAMS SECTION	
PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1327
Seismic Building Program	1327.1
Asbestos Program	1327.12
Polychlorinated Biphenyls Program	1327.13
Underground Storage Tanks Program	1327.14

(Continued)

SAM—REAL ESTATE SERVICES DIVISION

~~PROJECT MANAGEMENT BRANCH~~

~~PROGRAM SUMMARY, RESOURCES, AND CONTACTS~~

~~1315~~

~~(Revised 06/05)~~

~~The mission of the Project Management Branch (PMB) within the RESD is to deliver capital projects and major leasing projects within the scope, budget, and schedule that meet the facilities requirements of our clients. This may be done either through the capital outlay process or alternative forms of financing. The PMB is also responsible for the management of the design and construction of major capital outlay and major leasing projects.~~

~~The RESD's CAMB is the initial point of entry for requesting new services. Clients wishing to engage the services of the PMB should contact their RESD CAM or they may call the CAMB at (916) 376-1800 or CALNET 480-1800. For more information about the CAMB, see SAM Section 1305.~~

~~Additional information on PMB's services and operations may be accessed from our home page located at <http://www.dgs.ca.gov/resd/pmb/main.asp>. If you wish to write or call us, our mailing address and telephone numbers are:~~

Project Management Branch	Telephone: (916) 376-1700 or
Real Estate Services Division	CALNET 480-1700
707 Third Street, 3rd Floor	FAX: (916) 376-1677 or
West Sacramento, CA 95605	CALNET 480-1677
(IMS Code Z-1)	

SAM—REAL ESTATE SERVICES DIVISION

CAPITAL OUTLAY PROJECTS

1315.1

(New 3/00 Revised 12/2014)

The PMB PMDB manages the planning, design, and construction of projects that are the responsibility of the Director of DGS. The PMB PMDB also directs planning, design, and construction for facilities funded through means other than capital outlay.

The SAM Sections 6801 through 6899 provide a detailed explanation of PMB's role in the state's capital outlay process.

SAM—REAL ESTATE SERVICES DIVISION

PROFESSIONAL SERVICES BRANCH

PROGRAM SUMMARY, RESOURCES, AND CONTACTS

1320

(Revised 06/0512/2014)

The mission of the Project Management and Development Branch (PMDB) within the RESD is to deliver quality, cost effective and timely real estate services to State Agencies. This includes management of the planning, design and construction of major and minor capital outlay projects and leasing projects, within the scope, budget, and schedule that meet the program -requirements of our clients and the authorization of the Legislature. This may be done either through the capital outlay process or alternative forms of delivery. The PMDB services also include architectural and engineering, space planning and interior design, leasing and lease management, real estate sales, appraisals, acquisitions, and environmental services (including toxic site investigation and remediation) etc. The SAM Sections 6801 through 6899 provide a detailed explanation of PMDB's role in the state's capital outlay process.

The RESD's Asset Management Branch AMB is the initial point of entry for requesting new services online through -CRUISE (Customer Requests: Upgraded Information Sharing Environment) is the DGS/RESD web based electronic business application located at: <http://www.webapps.dgs.ca.gov/resd/cruise/Common/CRUISE-FAQ.PDF>

State Agencies use CRUISE to submit requests for real estate RESD services.

Additional information on PMDB's services and operations may be accessed from the RESD home page located at www.dgs.ca.gov/resd . If you wish to write or call us, our mailing address and telephone numbers are: PMDB contact information :

The Professional Services Branch (PSB) provides quality, cost effective, and timely professional real estate and property management services to all state agencies. These services include architectural and engineering services, space planning and interior design, leasing and lease management, real estate sales, appraisals, and acquisitions, environmental services, and other related competencies such as seismic retrofits and toxic site investigation and remediation. The RESD's CAMB is the initial point of entry for requesting new services. Clients wishing to engage the services of the PSB should contact their RESD CAM or they may call CAMB at (916) 376-1800 or CALNET 480-1800. For more information about the CAMB, see SAM Section 1305.

Additional information on the PSB services and operations may be obtained from our home page located at <http://www.dgs.ca.gov/resd/psb/main.asp>. You may also contact PSB at:

Professional Services
Branch Project Management and
Development Branch
Real Estate Services Division
707 Third Street, 4th Floor
West Sacramento, CA 95605
(IMS Code Z-01)

Telephone (916) ~~375-4700~~ 376-1700
or
CALNET 480-4700
FAX: (916) 375-4704 or
CALNET 480-4704

SAM—REAL ESTATE SERVICES DIVISION

ORGANIZATIONAL STRUCTURE

1320.1

(Revised ~~06/05~~12/2014)

The services provided by ~~the six section of the PSB are as follows~~PMDB include:

~~Design Services Section. Provides architectural, engineering, space planning, and interior design services. See SAM Section 1321 for more details.~~

Real Estate Leasing and Management ~~Section~~Planning.

~~Provides services to assist state agencies in acquiring leases for office, warehouse, labs, and other specialized facilities in privately owned buildings. These services include space planning, lease negotiation, execution and lease management services.~~

~~Provides services to assist state agencies in acquiring leases for office, warehouse, labs, and other specialized facilities in privately owned buildings. These services also include lease negotiation, execution and lease management services.~~ See SAM Section 1322 for more details.

Real Property Services ~~Section.~~

~~Provides appraisal services, appraisal review, acquisition services, real property transaction review, leases of State-owned property, and telecommunications leases to State agencies, and executes the sale of surplus state-owned property. See SAM Section 1323 for more details.~~

~~Provides appraisal, appraisal review, and acquisition services to state agencies, and executes the sale of surplus state-owned property. See SAM Section 1323 for more details.~~

Architecture and Engineering Services

~~Provides in-house architectural services, civil engineering, structural engineering, mechanical engineering, electrical engineering. PMDB prepares cost estimates for all phases of construction projects including change order estimates, value engineering and estimates of project fees.~~

Program and Project Management

~~Provides management of large and/or complex projects and programs including capital outlay projects and programs, design-build, lease build-to-suit, special repairs, hazardous materials assessments and remediation, underground storage tank programs, and energy projects. Strategic planning, budgeting, estimating,~~

Energy and Sustainability

~~The Energy and Sustainability program's mission is to progressively move state agencies towards compliance with the Administration's sustainability initiatives. Services include research and project implementation for green and sustainable projects and buildings, Clean Renewable Energy Projects, Power Purchase Agreement (PPA) Programs, Energy Retrofit Projects/Programs, Zero Net Energy (ZNE) Building Design Program, Electric Vehicle Charging Program, State/Investor-Owned Utility Partnership Liaison, and LEED and Sustainability Consultation. See SAM Section 1325 for more details.~~

Environmental Services

SAM—REAL ESTATE SERVICES DIVISION

~~The Environmental Services program provides environmental due diligence studies and compliance, including the preparation, review and oversight of Environmental Impact Reports/Statements, Initial Studies/Negative Declarations, and permits as required by the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), and other environmental laws, hazardous materials assessments and remediation, consultation/permitting with regulatory agencies, and construction monitoring. See SAM Section 1325 for more details.~~
~~Cost Engineering Section. Provides project estimating, scheduling, and cost analysis. This section is responsible for receiving and tracking all projects brought to the PSB. See SAM Section 1324 for more details.~~

~~Environmental Services Section. Provides a full range of environmental planning services including environmental documents required by state and federal laws; preparation of site investigation and selection studies (sensitive species, land-use compatibility, geotechnical, traffic, etc.); environmental restoration studies; assistance with public consultation and workshops; and obtaining project development permits. This section has the capability of providing environmental documents as required by the California Environmental Quality Act and the National Environmental Policy Act on a wide variety of capital improvement projects and related activities. See SAM Section 1326 for more details.~~

~~Special Programs Section. Provides programs for hazardous materials assessments of facilities and structures with emphasis on mitigation of asbestos, PCB, underground storage tanks, and other toxic materials. The seismic unit administers legislatively mandated seismic programs. See SAM Section 1327 for more details.~~

SAM—REAL ESTATE SERVICES DIVISION

~~DESIGN SERVICES SECTION~~

~~PROGRAM SUMMARY, RESOURCES AND CONTACTS~~ ~~1321~~

~~(Revised 06/05)~~

~~The Design Services Section (DSS) is the state's in-house planning, architectural and engineering organization. Its mission is to ensure quality, cost effective and timely architectural, engineering, space planning, and other related services as requested by client agencies.~~

SAM—REAL ESTATE SERVICES DIVISION

REQUESTS FOR PLANNING SERVICES

1321.16

(Revised 06/05)

Requests for space planning and alteration design services (excluding maintenance or repair) to state-leased or state-owned office and warehouse space, relocatable buildings, and trailers shall be submitted to ~~CAMB on STD. Form 9~~[AMB via CRUISE](#). Requests to increase or decrease space shall be accompanied by a Space Planning Data form, RESD Form 4083. ~~Requests may also be submitted to the RESD on-line. Your CAM can assist in getting you started.~~

SAM—REAL ESTATE SERVICES DIVISION

REQUESTS FOR MODULAR SYSTEMS FURNITURE

1321.17

(Revised and Re-numbered 06/05)

Requests for Modular Systems Furniture (MSF) design, plan review, and/or processing of MSF orders from Prison Industry Authority, or the current contract vendor, should be submitted to ~~CAMB on a STD. Form 9~~[AMB via CRUISE](#). Tenants are cautioned about altering or redesigning office layouts without the assistance of RESD to prevent code violations (Fire and Life Safety Codes, Americans with Disabilities Act or Industrial Relations regulations) and to maintain the functional integrity of the office plan.

SAM—REAL ESTATE SERVICES DIVISION

CODE REQUIREMENTS FOR STATE–CONTROLLED AND STATE–OWNED FACILITIES

1321.18

(Revised and Re-numbered 06/05)

State Fire Marshal. Plans and specifications for new space and for alterations to existing space must be submitted to the State Fire Marshal for code compliance review and approval before commencement of alterations. [The DSSPMDB](#) obtains approval for all projects that it executes.

Health and Safety Code Compliance. Projects undertaken by the RESD meet all applicable regulations of the Department of Industrial Relations, Department of Health Services, and the Occupational Safety and Health Agency. The RESD's state leased space complies with local building and fire codes and state-owned space complies with Title 24 as administered by the State Fire Marshal. ~~Your CAM can assist you in getting more information.~~

Seismic Certification. All buildings considered for occupancy by the state must meet a seismic performance objective of substantial life safety as outlined in FEMA 178, or meet 75 percent of the current building code.

American with Disabilities Act Requirements. All state facilities must comply with the requirements of the Americans with Disabilities Act (ADA) access guidelines and Title 24 accessibility requirements. Current regulations are found in the California Administrative Code, Title 24, State Building Standards, and the Americans with Disabilities Act. [The DSSPMDB](#) coordinates the review and approval of plans by the Division of State Architect's Access Compliance Unit for projects in state-owned facilities.

Projects in leased facilities are reviewed by [DSS-PMDB](#) for conceptual compliance with the ADA and Title 24 during the preparation of preliminary plans. Final compliance of the construction documents and completed facility is the responsibility of the building owner/lessor.

SAM—REAL ESTATE SERVICES DIVISION

REAL ESTATE LEASING AND [MANAGEMENT-PLANNING](#) SECTION

PROGRAM SUMMARY, RESOURCES, AND CONTACTS

1322

(Revised 06/05)

The Real Estate Leasing and [Management-Planning](#) Section ([RELMSRELPS](#)) provides real estate services under the broad authority assigned to DGS for centralized business management functions. ~~The RELMSRELPS~~ consists of two primary units: Leasing Services and Lease Management Services. ~~The RELMSRELPS~~ mission is to contribute to the success of customer agencies and to the prosperity of all Californians by making the best use of the state's real estate assets and providing quality facilities for state operations in the most effective manner.

~~The [CAMBAMB](#) is the initial point of entry for requesting leasing services. Request for new leases, amendments to existing leases, or renewals for offices, warehouses, or other facilities are to be submitted [on a STD. Form 9 via CRUISE, signed approved](#) by someone specifically authorized by the requesting agency. [The STD. Form 9 should be submitted to the CAMB. For assistance with Global CRUISE, contact the AMB Customer Services Management Unit at 916-376-1800. For additional information, clients should contact their RESD CAM or they may call the CAMB at \(916\) 376-1800 or CALNET 480-1800.](#) Agencies should allow as much lead time as possible when submitting their request (18 months for new existing space and 36 months for a build to suit) and they should provide full information about staffing, functions to be conducted, and any special requirements or equipment to be housed. Staffing information and rental budget may require confirmation by the Department of Finance (DOF). [The CAMB will assist in developing the information required by the DOF. Requests can also be submitted on-line. Contact your CAM to get started.](#)~~

SAM—REAL ESTATE SERVICES DIVISION

LEASING SERVICES UNIT

1322.1

(Revised 06/06)

Privately owned space. The RELMS Leasing Services Unit provides services to assist state agencies in leasing office, warehouse, labs and other specialized facilities in privately owned buildings pursuant to the statutory authority contained in Government Code Section 14669. In carrying out RELM's responsibility for leasing privately owned space, the Leasing Services Unit performs the following functions:

1. Initiates, negotiates, bids, and executes leases of real property for use by state agencies, including lessor financed, build to suit projects, and related amendments, extensions, and terminations related thereto.
2. Performs ongoing administration of leases to enforce compliance with lease terms and conditions.
3. Initiates, negotiates, bids, and executes leases with purchase options for modular buildings.

State-owned space. Responsibility for the assignment, design, and alteration of space in state-owned office buildings controlled by DGS is assigned to the RESD [PSB, DSSPMDB](#), (SAM Section 13204) in coordination with the [APEB-AMB](#) and the BPMB. See SAM Sections 1310 and 1330 for information on these Branches.

Department of Finance Approval

The DOF approval of [STD-9](#) is required if either of the following conditions exist:

1. Rental costs (excluding one-time costs) as determined by RELMS are estimated to exceed \$300,000 in any year of the firm term of the lease. (Lease renewals are exempt unless a 10 percent or greater space increase or budget augmentation is required.)
2. The requesting agency will require a budget augmentation for any year within the firm term of the proposed lease. One-time costs associated with the space request, including moving, equipment, furniture, telephones, and data processing related costs must be considered.

During the development of a project, if it is determined that the actual costs are going to exceed DOF approved level initially estimated by RELMS, additional review and approval of DOF is required prior to execution of the lease.

(Continued)

SAM—REAL ESTATE SERVICES DIVISION

(Continued)

LEASING SERVICES UNIT

(Revised 06/06)

1322.1 (Cont. 1)

Sublease of State-Leased Space—Leased space that becomes excess to the tenant agency's operations may be considered for sublease to other governmental or private sector tenants only after it has been determined that the space cannot be used by another state agency and the lease cannot be terminated by the state. Requests for subleasing space should be submitted to [CAMB on a STD. Form 9](#) [AMB via CRUISE](#).

Interagency Agreement—An agency proposing to make a portion of its leased space available to another state agency should prepare an Interagency Agreement form, STD. 13, ~~and submit it to CAMB for processing. The CAMB will then forward it to RELMS for review and approval.~~

Requests for Warehouse or Storage Space—All [STD. Form 9](#) requests for new warehouse or storage space exceeding 2,000 square feet will be reviewed by [RELMS-RELPS](#) and the DGS Procurement Division, Material Services Section. They determine how an agency's needs can be accommodated, or if other alternatives exist, for example, the use of DGS Transit Storage warehousing services.

Leasing Market Information—[REL PMS](#) leasing staff are familiar with rental rates and market conditions in most locations throughout the state, and often are knowledgeable about specific properties. In addition, RELMS has contracted with private brokerage firms in metropolitan areas to assist in the solicitation and selection of potential buildings for state agencies.

Food Preparation and Vending Machines—The Department of Rehabilitation (DOR) has priority for providing all food service facilities on state property. Tenant agencies must pay all costs for the construction of the facility, the monthly rental for the space, and utilities. Before vending machines may be installed in space that is controlled by the state, the department with control of the space must contact the Business Enterprise Program (BEP) located in the DOR. If the BEP elects not to provide the service, vending machines may be installed by another entity. All vending machine income, including commissions from those machines, must be forwarded to BEP pursuant to Welfare and Institutions Code Sections 19625 and 19630. A copy of the contract with the vending machine operator must be forwarded to DOR as soon as it is fully executed.

California Environmental Quality Act (CEQA)—The CEQA requires consideration of the environmental impact of specific state projects, which includes office leasing. It is generally the responsibility of the requesting agency (lead agency) to comply. Refer to the California Administrative Code Section 13000 et seq. The Environmental Services Section of ~~the~~ [PSBPMDB](#) is available on a fee basis to handle CEQA filing requirements. See SAM Section 13206 for more details.

SAM—REAL ESTATE SERVICES DIVISION

LEASE MANAGEMENT UNIT

1322.12

(New 06/05)

The RELPMS manages all leases executed by DGS on behalf of state agencies. This includes post occupancy activities that are necessary to ensure lease compliance by lessor and state agencies, the administration of escalation clauses, and the legal administration of ownership changes, address changes, and assignments. In emergency situations involving the health and safety of tenants, the agency should take immediate and necessary action to address the situation, contacting RELPMS as soon as practical. Examples of such emergencies are: fire; broken water pipes and plumbing overflows; the presence of toxic, explosive, or noxious fumes or vapors; vandalism, and broken locks or glass.

Facilities Development Overview Training for Client Agency Personnel – Training that covers information and instructions on procedures to request new or additional leased space is recommended. It is available in a two-day course specifically designed for state agencies' business and facilities staff assigned to work with RELPMS in the development of leased space. A course manual is available which provides detailed information for all aspects of leased facilities development. For more information about this course, contact RESD Training Coordinator at (916) 376-1853 or 376-1854 ~~or CALNET 480-1853~~.

SAM—REAL ESTATE SERVICES DIVISION

LEASES ON STATE PROPERTY

1323.1

(New 06/05)

~~The [CAMBAMB](#) is the initial point of entry for real estate services. To request real estate services other than leasing of privately owned space, agencies submit a [STD. 29 to CAMB](#). [Copies of STD. 29 may be obtained from CAMB at \(916\) 376-1800 or CALNET 480-1800 request via CRUISE. See Section 1300 and 1310.](#)~~

Leasing State-Owned Real Property to Others.

The Director of DGS, with the consent of the state agency concerned, may lease state-owned real property to others for a period not to exceed five years. Leases of state-owned property are required to reflect fair market rental, with certain exceptions. Leases of state-owned real property for radio and television purposes (telecommunications leases) and other specified uses may exceed the five-year limit. When space permits, agencies may request that space in state facilities be leased to financial institutions in order to provide for Automated Teller Machines.

General Competitive Bidding Requirement for Leases of State-Owned Property.

Competitive bids shall be solicited for new leases or renewal of existing leases of state-owned real property, except for the following:

1. Leases where the agency has received prior approval from the RPSS to lease without solicitation.
2. Leases to nonprofit organizations and governmental agencies.
3. Telecommunications leases.

Commercial Advertising Signs.

There are restrictions regarding commercial advertising signs on state property. To obtain guidelines before entering into a lease for signage, clients may contact ~~their~~ [RESD-CAM:Real Property Services](#).

SAM—REAL ESTATE SERVICES DIVISION

STATE PROPERTY EASEMENTS

1323.14

(Reviewed & Renumbered 6/14)

Agencies are required to submit any proposed acquisitions of easements requiring execution or approval by the Director of DGS to RPSS. Acquisition of easements where the total amount to be paid by the state is less than \$1,000 are exempt, as long as the agency uses an agreement Form previously approved in writing by RPSS.

Requests to grant easements across state property generally require execution or approval of the Director of DGS. When such approval is required agencies should not negotiate with the grantee about the terms and conditions of the proposed grant until the RPSS determines the consideration for the grant.

Landholding agencies shall consider the effect of the proposed grant upon the environment and provide RPSS with the appropriate environmental document (s). RESD can assist agencies in developing the necessary environmental documents. ~~You may contact your CAM for assistance.~~

Agencies shall not permit potential grantee use of state lands until authorized by an executed document.

SAM—REAL ESTATE SERVICES DIVISION

STATE PROPERTY EASEMENTS

1323.15

(Revised and Renumbered 06/05)

Agencies are required to submit any proposed acquisitions of easements requiring execution or approval by the Director of DGS to RPSS. Acquisition of easements where the total amount to be paid by the state is less than \$1,000 are exempt, as long as the agency uses an agreement Form previously approved in writing by RPSS.

Requests to grant easements across state property generally require execution or approval of the Director of DGS. When such approval is required agencies should not negotiate with the grantee about the terms and conditions of the proposed grant until the RPSS determines the consideration for the grant.

Landholding agencies shall consider the effect of the proposed grant upon the environment and provide RPSS with the appropriate environmental document (s). RESD can assist agencies in developing the necessary environmental documents. ~~You may contact your CAM for assistance.~~

Agencies shall not permit potential grantee use of state lands until authorized by an executed document.

SAM—REAL ESTATE SERVICES DIVISION

~~COST ENGINEERING SECTION~~

~~PROGRAM SUMMARY, RESOURCES, AND CONTACTS~~ ~~1324~~

~~(Revised 06/05)~~

~~The Cost Engineering Section provides the project managers and project team members with information and support to help them to complete projects within budget and on schedule and to provide project status information to client agencies and management. It focuses on all aspects of cost control for the PSB. Services provided by the Cost Engineering Section include project estimating and budgeting, project scheduling, and cost analysis.~~

SAM—REAL ESTATE SERVICES DIVISION

PROJECT ESTIMATING UNIT **1324.1**
(New 3/00)

~~The Project Estimating Unit prepares cost estimates for all phases of construction projects including change order estimates, value engineering and estimates of project fees.~~

SAM—REAL ESTATE SERVICES DIVISION

SCHEDULING UNIT

1324.12

(New 3/00)

The Scheduling Unit prepares the office-wide master schedule, helps the project managers to prepare project schedules, monitors and tracks project progress, forecasts potential project delays, and recommends possible options for corrective action.

SAM—REAL ESTATE SERVICES DIVISION

~~COST ANALYSIS UNIT~~

~~1324.13~~

~~(New 3/00)~~

~~The Cost Analysis Unit assists Project Managers on issues involving scope, cost and schedule. Other functions performed by the unit involve project administration and workload development for the Design Services Section, Special Programs Section, and the Construction Services Section. The Project Scheduling and Cost Analysis Units provide cost accounting reports for the Professional Services Branch and prepare financial and project status reports for their customers.~~

SAM—REAL ESTATE SERVICES DIVISION
ENERGY AND SUSTAINABILITY PROGRAM

PROGRAM SUMMARY

1325

(New 12/2014)

The Energy and Sustainability Program provides research and project implementation for green and sustainable projects and buildings. The program's mission is to progressively move state agencies towards compliance with the Administration's sustainability initiatives.

- **Clean Renewable Energy Projects** – Consultation and management of projects involving clean renewable energy sources including solar photovoltaic systems and wind turbines.
- **Power Purchase Agreement (PPA) Programs** – Statewide program that provides clean renewable on-site solar and wind energy that does not require up-front capital and generally costs less than grid-based energy.
- **Energy Retrofit Projects/Programs** – Statewide program that offers a no up-front capital, budget-neutral opportunity to participating agencies to reduce their electricity, gas and water consumption while addressing deferred maintenance and improving the environment of state facilities.
- **Zero Net Energy (ZNE) Building Program** – Project consultation program where a new or existing building is designed to produce as much on-site energy as it consumes over the course of a year.
- **Electric Vehicle Charging Program** – Consultation and management of projects for the installation of electric vehicle charging stations.
- **State/Investor-Owned Utility (IOU) Partnership Liaison** – Liaison with the IOU companies regarding incentive programs, Demand Response (DR), grid stability, and renewable energy interconnections.
- **LEED and Sustainability** – Consultation on achieving LEED building certification and other sustainable measures.

SAM—REAL ESTATE SERVICES DIVISION
ENVIRONMENTAL SERVICES SECTION

PROGRAM SUMMARY, RESOURCES, AND CONTACTS
(Revised 06/0512/2014)

1326

The Environmental Services program has extensive experience in environmental due diligence including the preparation, review and oversight of environmental studies and documents, environmental impact reports/statements, and permits as required by the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), and other environmental laws. Environmental Services staff prepares environmental documents and analyses for a full range of projects and programs such as State facilities (e.g., offices, communication towers, fire stations, hospitals, parks, museums, hatcheries, and laboratories), infrastructure improvements, environmental restoration, and regulatory programs.

~~The Environmental Services Section (ESS) has extensive experience in the preparation of environmental documents including environmental impact reports/statements, as required by the California Environmental Quality Act (CEQA) and the National Environmental Policy Act (NEPA). The ESS staff prepares environmental documents on a full range of projects such as institutional facilities (offices, fire stations, hospitals, armories, correctional facilities, parks, and museums) infrastructure improvements, environmental restoration, and regulatory programs.~~

The Environmental Services program has extensive experience in environmental due diligence including the preparation, review and oversight of environmental studies and documents, environmental impact reports/statements, and permits as required by the California Environmental Quality Act (CEQA), the National Environmental Policy Act (NEPA), and other environmental laws. Environmental Services staff prepares environmental documents and analyses for a full range of projects and programs such as State facilities (e.g., offices, communication towers, fire stations, hospitals, parks, museums, hatcheries, and laboratories), infrastructure improvements, environmental restoration, and regulatory programs.

CEQA requires consideration of the environmental impacts of public projects, including but not limited to those involving public works, improvements to public structures, leases and permits, and laws and plans involving such projects. It is the responsibility of the requesting agency (lead agency) to comply. Refer to the Public Resources Code 21000 et seq. for more information. The Environmental Services staff are available on a fee basis to complete environmental studies, compliance, and State and federal requirements. Specialized services include:

~~The CEQA requires consideration of the environmental impact of specific state projects, including the leasing of office space. It is generally the responsibility of the requesting agency (lead agency) to comply. Refer to the California Administrative Code Section 1300 et seq. for more information. The Environmental Services Section is available on a fee basis to handle CEQA filing requirements. Please contact your Customer Account Manager to obtain this service. Specialized services include:~~

1. Permits and/or consultation with regulatory and environmental agencies, including SHPO, US Army Corps of Engineers, US Dept of Fish and Wildlife, California Dept of Fish and Wildlife, Coastal Conservancy, FAA, Water Quality Control Board, Dept. of Toxic Substances Control, local and regional agencies.
2. Site suitability studies as part of site selection and acquisition.

SAM—REAL ESTATE SERVICES DIVISION

3. Community planning meetings, consensus building, public outreach and involvement.
4. Studies and assessments include cultural resources (archaeology, architectural history, historic resources), biological resources (wetlands, endangered species, stream crossings), visual impacts, traffic, air quality/greenhouse gas emissions, geology/soils, , hydrology/water quality, toxics.
5. Environmental project management, planning, budgeting.
6. Hazardous Materials investigation and remediation, Underground Storage Tank Compliance
7. Construction monitoring, SWPPP, Mitigation Monitoring and Reporting Plans

SAM—REAL ESTATE SERVICES DIVISION

~~SPECIAL PROGRAMS SECTION~~

~~PROGRAM SUMMARY, RESOURCES, AND CONTACTS~~ ~~1327~~ (New 3/00)

The Special Programs Section is responsible for managing the following mandated programs:

- ~~1. Seismic Building Program~~
- ~~2. Asbestos Program~~
- ~~3. Polychlorinated Biphenyl Program~~
- ~~4. Underground Storage Tanks Program~~

The Special Programs Section is also responsible for the Local Government Grant Program, the Earthquake Activated Gas Shut-off Devices Program, the Water Heater Bracing Program, and the Emergency Response Management Program.

SAM—REAL ESTATE SERVICES DIVISION

~~SEISMIC BUILDING PROGRAM~~

~~1327.1~~

~~(New 3/00)~~

~~The State Seismic Building Program involves the categorization and seismic structural evaluation of state facilities and determination of which buildings will be retrofit. Services provided include:~~

- ~~1. Evaluations of buildings~~
- ~~2. Development of conceptual solutions and cost estimates~~
- ~~3. Management of retrofit project implementation~~
- ~~4. Database information on statewide seismic inventory~~

SAM—REAL ESTATE SERVICES DIVISION

ASBESTOS PROGRAM **1327.12**
(New 3/00)

~~The State Asbestos Program comprises four functions:~~

- ~~1. Asbestos survey and reporting~~
- ~~2. Asbestos abatement~~
- ~~3. Operation and maintenance~~
- ~~4. Property damage claims program~~

SAM—REAL ESTATE SERVICES DIVISION

POLYCHLORINATED BIPHENYLS PROGRAM

1327.13

(New 3/00)

~~The Polychlorinated Biphenyls (PCB) Program is a program of remediation to comply with the Federal Toxic Substances Control Act of 1976 (40 CFR 761). Services include surveys and sampling of fluid filled electrical equipment to identify PCB contamination; development of contract plans and specifications to remove and replace hazardous PCB contaminated equipment; plans and specifications for the transportation and approved disposal of PCB contaminated equipment and articles including PCB contaminated fluorescent lighting ballasts.~~

SAM—REAL ESTATE SERVICES DIVISION

~~UNDERGROUND STORAGE TANKS PROGRAM~~ ~~1327.14~~
~~(New 3/00)~~

~~The Underground Storage Tanks (UST) Program is responsible for bringing the state-owned underground storage tanks into compliance with federal and state requirements. It also provides engineering and construction services for sites believed to be contaminated with toxics and/or hazardous wastes.~~

SAM—REAL ESTATE SERVICES DIVISION

CONSTRUCTION SERVICES SECTION

1328.1

(Revised 3/14)

Statutory Authority

[Government Code Section 14951](#) states: “The State Architect has general charge, under the DGS, of the erection of all state buildings and shall have an inspector assigned to each building during its construction.” Responsibility for this inspection has been delegated to CSB by the State Architect.

The focus of the Construction Management and Inspection Unit (CMIU) is to ensure that state building and related facilities are constructed in accordance with approved design and contract documents, in compliance and applicable codes and regulations, and to the highest quality standards. The CMIU headquarters is located in Sacramento but area offices are strategically located throughout the state.

The CMIU offers the following services:

1. Quality assurance inspection and testing
2. Code inspection to ensure compliance with building codes and regulations
3. Construction management services
4. After-contract guarantee enforcement
5. After-contract dispute resolution

SAM—REAL ESTATE SERVICES DIVISION

BUILDING AND PROPERTY MANAGEMENT BRANCH

PROGRAM SUMMARY, RESOURCES, AND CONTACTS

1330

(Revised 06/05/12/2014)

The Building and Property Management Branch (BPMB) manages, maintains, and operates state buildings and grounds. BPMB is a statewide operation with management units located in major cities throughout California. Its mission is to provide tenants and the public with a safe and healthy environment in which to conduct business, and to preserve the state’s investment in real property and equipment through an efficient and effective centralized maintenance and operations program. BPMB offers full building and grounds maintenance and operations, including all labor, materials, and equipment, in most locations where services are provided.

BPM services include:

Building Cleaning	Contract Administration and Management: - Security Guard Service
Routine Building Management Inspections - Assess conditions of material and equipment - Detect deterioration - Follow-up and evaluate maintenance and repairs	- Elevator Maintenance Service - Window Cleaning - Projects and Repairs Oversight and Routine testing: - Security Systems - Switch Gear - Fire Life Safety Systems - Energy Management Systems
Groundskeeping	Equipment Operation, Maintenance and Warranty Compliance
Facility Operation and Maintenance	Heating, Ventilating and Air Conditioning
Trades, Crafts and Engineering Services	Energy Management
Emergency Preparedness and Response	Special Repair Projects
Environmental Health and Safety Management	Structural Maintenance
	Tenant Space Changes

(Continued)

SAM—REAL ESTATE SERVICES DIVISION

(Continued)

PROGRAM SUMMARY, ~~RESOURCES, AND CONTACTS~~

1330 (Cont. 1)

(Revised ~~06/05~~12/2014)

~~The RESD'S CAMB is the initial point of entry for requesting new services. Clients wishing to engage the services of BPMB should contact their RESD CAM or they may call CAMB at (916) 376-1800 or CALNET 480-1800. For more information about CAMB, see SAM Section 1305.~~

Information pertaining to the location and/or use of a building's facilities and amenities (e.g., auditoriums, conference rooms, atriums, cafeteria, breakrooms, restrooms, concession stands, and other rooms); building directory services and bulletin boards; building services such as elevators, office temperatures, and lighting; hazardous or dangerous conditions and other related facility related areas can be directed to the building manager's office.

Additional information on BPMB's services and operations may be accessed from our home page located at <http://www.dgs.ca.gov/resd/bpm/main.asp>. If you wish to write or call us, our mailing address and telephone number are:

Building and Property Management
Branch

Real Estate Services Division

~~707 Third Street, 5th Floor~~1304 O
Street
~~West~~ Sacramento, CA 95814-
590695605
~~(IMS Code Z-1)~~

~~Telephone: (916) 375-4967 or~~
~~CALNET 480-4967~~
Fax: (916) 375-4968
~~or~~
~~CALNET 480-4980~~

REQUEST FOR PROJECT UNDERTAKING BY STATE AGENCY (RES. FORM 23) 1321.12

(Revision Date TBD)

Except as otherwise noted in Public Contract Code Section 10107, the erection, construction, alteration, repair, or improvement of any state structure, building, road, or other state improvement of any kind is generally under the sole charge and direct control of DGS as authorized by Public Contract Code Section ~~10108~~ 10105.

Exceptions from this requirement may be granted if DGS determines its services in connection with such projects are not required.

When state agencies request authorization to carry out a project ~~costing between \$111,000 and \$250,000~~ that meets the requirements of Public Contract Code Section 10108 or 10108.5 ~~themselves~~, they must use the Request for Project Undertaking by State Agency (RES. Form 23). ~~Departments within the Resources Agency must request RESD Form 23 authorization to undertake a project with a value of between \$111,000 and \$500,000.~~ *Note: All projects must be reviewed and signed by the appropriate requesting agencies before the Form 23 is submitted to DGS. See SAM Appendix A-2 for a copy of the [Request For Project Undertaking By State Agency \(RES. Form 23\)](#). [Click here for instructions on completion of the Form 23.](#)*

SAM – FORMS MANAGEMENT

CHAPTER 1700 INDEX

This chapter describes the state's Forms Management Program and statutory requirements.

PROGRAM SUMMARY, RESOURCES, AND CONTACTS	1700
STATUTORY AUTHORITY	1701
RESPONSIBILITIES OF THE FORMS MANAGEMENT CENTER	1702
ESTABLISHING THE AGENCY PROGRAM	1705
RESPONSIBILITIES OF THE DEPARTMENTAL FORMS MANAGEMENT REPRESENTATIVE (FMR) AND FORMS COORDINATOR (DFC)	1706
TERMS AND DEFINITIONS	1710
FORMS MANAGEMENT TRAINING AND GUIDELINES	1715
FORMS DESIGN STANDARDS	1720
FORMS REVIEW PROCESSES	1725
STATE STANDARD (STD.) FORMS	1730
STD. FORMS IDENTIFICATION	1731
STD. FORMS SECURITY	1732
MODIFIED STD. FORMS	1733
BUSINESS-USE INVENTORY	1735
PUBLIC-USE FORMS INVENTORY	1740
<u>PRIVACY AND DISCLOSURE OTHER APPLICABLE FORM REQUIREMENTS</u>	1745
DISPOSAL OF UNUSED ACCOUNTABLE FORMS	1750

SAM – FORMS MANAGEMENT

PRIVACY AND DISCLOSURE OTHER APPLICABLE FORM REQUIREMENTS

1745

(Reviewed ~~7/2014~~1/2015)

There are other pertinent laws and/or directives regarding forms to consider. This includes, but is not limited to:

Americans with Disabilities Act (ADA)

Section 508 of the Rehabilitation Act requires electronic and information technology to be accessible to people with disabilities, including employees and members of the public.

- The Rehabilitation Act: Full text
- US Department of Justice, Civil Rights Division: Overview of Section 508

Savable Documents

The Form Modernization Initiative, introduced by the Governor's Office of Business and Economic Development (GO-Biz) and the Government Operations Agency (GovOps) focuses on making state forms fillable and savable online. This will help reduce errors, processing delays and enhance the user experience by providing a more efficient method to communicate with government.

Privacy and Disclosure

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 the kind of information a form can request, the information that is provided by the individual, how to store the forms and their information; and disclosing the data on the forms.

- Federal Privacy Act, Public Law 93-579
- Freedom of Information Act, 5 U.S.C. 552(b)(6)
- Information Practices Act, California Civil Code Section 1798 et seq.
- California Public Records Act, Government Code Section 6250 et seq.

~~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~~

SAM – FORMS MANAGEMENT

4. ~~California Public Records Act, Government Code Section 6250 et seq.~~

SAM – WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

FOOD WASTE

1930.5

(Revised 12/~~2013~~2014)

Food waste is one of the largest single disposed materials in California 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 donate unspoiled edible food for human or animal consumption before it is disposed. State agencies can direct that ~~separate~~ food waste be separated from other waste material and diverted ~~it~~ to facilities where it ~~can be~~ is 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 compliance~~ with solid regulations concerning food waste handling regulations, laws and regulations regarding mandatory organics recycling, as well as any permits which may be required if the option selected includes on-site food waste ~~reduction-recycling~~ solutions. Collection of pre-consumer food waste generated at adult correctional institutions may be managed through a master agreement. Example food waste collection contract language for other state agencies is available on the CalRecycle's web site:
<http://www.calrecycle.ca.gov/reducewaste/business/officepaper/Contracts.htm>

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

SAM – WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

MATTRESS

1930.6

(Revised 12/~~2013~~2014)

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% percent of Greenhouse Gas (GHG) emissions associated with the production and landfilling of these products.

The California Used Mattress Recovery and Recycling Act (SB 254, Hancock, Chapter 388, Statutes of 2013) aims to reduce illegal dumping, increase recycling, and substantially reduce public agency costs for the end-of-use management of used mattresses.

This law requires a non-profit mattress recycling organization (MRO) to design and implement the Mattress Stewardship Program. The MRO's plan will outline how it intends to fulfill its responsibilities under the law and communicates a course of action to stakeholders and the public. CalRecycle is required to approve the stewardship plan and provide oversight and enforcement to ensure a level playing field among program participants. The approved stewardship plan and a list of compliant mattress manufacturers and brands will be posted and made available to the public on CalRecycle's website. The mattress program is expected to be fully operational in early 2016.

Mattresses manufactured by the Prison Industry Authority (PIA) and purchased by the state or its agencies are exempt from the Act's recycling charge and any end-of-life incentives that may be established by the MRO, as noted in Public Resources Code Section 42989.2.1. Mattresses sold subject to this exemption shall be permanently marked or labeled to clearly identify them as having been manufactured by PIA.

More information can be found on CalRecycle's Mattress Product Management webpage: <http://www.calrecycle.ca.gov/mattresses/> ~~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/>

SAM – WASTE PREVENTION AND RECYCLING OF NON-HAZARDOUS WASTE

PAPER

1930.10

(Revised 12/~~2013~~2014)

Paper and paperboard products make up around 20% of office or business disposal in California. State agencies should reduce the amount of paper consumed by implementing paper waste prevention activities such as the use of electronic filing systems, setting printer defaults to duplex printing mode, and establishing paper reuse areas for one-sided paper. 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 \(2011\)](#). For recycling non-confidential records, the shredded paper should be bagged to avoid litter.

For more information on paper waste prevention, reuse, and 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 more information on Confidential Records Destruction, see [SAM 1600](#)

(~~Reviewed 3/2011~~ Revised 3/2015)

Section 11534(f) of the Government Code requires that procedures be published in SAM to allow the Auditor General in the conduct of his audit to use data in, or products of, state data processing information systems. Section 8545.2 of the Government Code provides that the Auditor General shall have access to, and authority to examine, records of any state agency. Section ~~10528-8545.2~~ of the Government Code provides that the Auditor General shall examine and report annually upon the financial statements of the state and make special audits and investigations, including performance audits, of any state agency.

In order for the Auditor General to conduct these audits in an expeditious manner, any department operating a statewide information system shall, upon receiving a written request, allow the Auditor General "read only" access to any relevant data contained in the system's master files, transaction files, history files and/or other appropriate automated files.

The department operating the information system is authorized to require the Auditor General to reimburse it for any additional costs incurred as a direct result of the Auditor General's acquisition of data from the system.

It is the Auditor General's responsibility to check with the individual state entities to whom the information pertains to ensure that any data acquired under these provisions are accurate and up-to-date.

Any confidential information obtained by the Auditor General under these provisions shall remain confidential.

(Continued)

CHAPTER 4900 INDEX (Cont. 1)

PROJECT OVERSIGHT AND PROJECT IMPLEMENTATION AND EVALUATION POLICY	4940
OVERVIEW	4941
COMPLIANCE REVIEW	4942
AUDIT OF INFORMATION TECHNOLOGY PROJECTS	4943
PERIODIC PROJECT REVIEWS AND REPORTS	4944
SPECIAL PROJECT REPORT – GENERAL REPORTING REQUIREMENTS	4945
Special Project Report – Content And Format	4945.2
MAINTENANCE AND OPERATIONS PLAN POLICY	4946
POST – IMPLEMENTATION EVALUATION REPORT	4947
Post – Implementation Evaluation Report – Content And Format	4947.2
TECHNOLOGICAL ALTERNATIVES – SELECTION CRITERIA	
INTRODUCTION	4981
Policy	4981.1
TECHNOLOGICAL ALTERNATIVES – DATA CENTERS	
INTRODUCTION	4982
Data Center Consolidation And Determination Of Agency - Data Center Assignments	4982.1
Policies For Data Center Management	4982.2
TECHNOLOGICAL ALTERNATIVES –	
STATEWIDE WORKGROUPDESKTOP AND MOBILE COMPUTING POLICY	
DESKTOP AND MOBILE COMPUTING	4989
Definition Of Desktop And Mobile Computing	4989.1
Exclusions	4989.2
Agency Roles And Responsibilities	4989.3
Policy Compliance	4989.8

(Revised [7/12/2014](#))

In lieu of a Feasibility Study Report submitted to the California Department of Technology ([Department of Technology](#)), the Department of Technology delegates authority to acquire desktop and mobile computer commodities to Agencies/state entities that have submitted acceptable Technology Recovery Plans or Technology Recovery Plan certifications, maintain compliance with all applicable state IT security provisions as defined in SAM Sections [5300-5399](#), and have appropriate plans for the use of desktop and mobile computing commodities.

Under the Desktop and Mobile Computing Policy, Agencies/state entities ~~may acquire desktop and mobile computing commodities necessary to support the Agency/state entity's programmatic functions and business needs. This includes acquiring~~ are delegated the authority to acquire desktop and mobile computing commodities to support increased staffing, as well as the ongoing replacement of obsolete or nonfunctioning desktop and mobile computing commodities.

All acquisitions related to desktop and mobile computing 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 (AIMS) (See SAM Sections 4900.2 - 4900.6). Many desktop and mobile computing commodities are targeted to consumers rather than business users. While these consumer-based commodities are effective as consumer devices, they may not be well-suited for many business uses. To ensure commodities support business productivity and enterprise capabilities, Agency/state entities must understand their security and architecture requirements and acquire the right tools to meet those requirements. Desktop and mobile computing configurations ~~must be expected to~~ make use of proven, "off-the-shelf" hardware and software and must support business productivity and enterprise capabilities such as:

- Enterprise Productivity (MS Office)
- Access to Corporate Servers (File/Print, Active Directory, etc.)
- Enterprise Class Applications (Geographic Information Systems, Enterprise Resource Planning, etc.)
- Enterprise Security (VPN, Active Directory Authentication, Multifactor Authentication, etc.)

~~Specific exclusions from this policy are listed in Section 4989.2 below.~~

The acquisition of new mobile computing devices for existing staff should replace existing desktop computers or mobile computing devices (for example a new laptop should replace a desktop computer), not be purchased in addition to a desktop computer. As such, the acquisition of mobile computing devices which result in a net increase to the Agency/state entities' overall desktop computer and mobile computing device inventory must be approved by the Department of Technology (see SIMM 47).

Replacement of desktop and mobile computing commodities acquired as part of a previously approved IT project, as defined in SAM Section [4819.2](#), may be included in

this policy as such commodities are incorporated into and are no longer distinguishable from the Agency/state entity's IT infrastructure.

DEFINITION OF DESKTOP AND MOBILE COMPUTING

4989.1

(Revised [312/20144](#))

Communication – For the purpose of interpreting this policy, communication is the requesting, sending, transmitting, or receiving of electronic data via cable, telephone wire, wireless, or other communication facility.

Desktop and Mobile Computer Software – Commercially licensed software necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop and Mobile Computer Supplies – Consumable commodities used for data storage, printing, and/or other IT supplies as defined in SAM Section [4819.2](#).

Desktop and Mobile Computing – For the purposes of this policy, desktop and mobile computing is the use of desktop and mobile computing commodities in support of state agencies' business operations.

Desktop and Mobile Computing Commodities – Hardware and software commonly required for most state employees to perform daily business transactions such as desktop computers, mobile computers (e.g., ~~personal digital assistant~~ [tablet devices](#), laptop computers, [smartphones](#)), desktop and mobile computer software, servers, server software, peripheral devices (e.g., printers), supplies, and LAN infrastructure.

Desktop and Mobile Computing Servers – Computer servers necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop and Mobile Server Software – Commercially licensed server software necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop Computers – ~~Computing devices~~ [Personal Computer \(PC\)](#), generally designed to remain in a fixed location, that can connect by cable, telephone wire, wireless transmission, or via any Internet connection to an agency's IT infrastructure and/or data systems.

Information Technology Asset Management – The effective tracking and managing of IT assets for an agency's program and enterprise IT infrastructure and production systems, including the ability to identify and classify agency-owned hardware and software, telecommunications, maintenance costs and expenditures, support requirements (e.g., state staff, vendor support), and the ongoing refresh activities necessary to maintain the agency's IT assets.

(Continued)

(Continued)

DEFINITION OF DESKTOP AND MOBILE COMPUTING

4989.1 (Cont. 1)

(Revised [123/20144](#))

Information Technology Infrastructure – An agency's platform for the delivery of information to support agency programs and management. Included in the infrastructure are equipment, software, communications, rules, and vision.

Local Area Network (LAN) – Two or more desktop or mobile computers at the same site connected by cable, telephone wire, wireless or other communication facility providing the ability to communicate or to access shared data storage, printers, or other desktop and mobile computing commodities.

Mobile Computers – Portable-computing devices that can connect by cable, telephone wire, wireless transmission, or via any Internet connection to an [Agency/state entity](#)'s IT infrastructure and/or data systems. [The following devices are considered mobile computers:](#)

[Laptop/Notebook](#) – A portable Personal Computer (PC) with a clamshell form factor that combines many desktop computer external components into a single device, such as display, speakers, keyboard, and pointing devices. These devices typically run standard PC operating systems. Laptop/Notebook category includes several variations and form factors which include the following:

[Clamshell](#) - traditional laptop/notebook form factor. All the same attributes/components of a PC, but with the keyboard and monitor attached, and of a size that enables for mobile use.

[Ultrabook](#) - laptops that are thinner with longer battery life and touchscreen, wireless display. The Ultrabook category includes 2-in-1 devices that have the ability to convert their look and feel from a traditional clamshell laptop to a tablet/slate. The conversion can be accomplished by detaching, sliding, folding, twisting, etc.

[Tablet/Slate](#)– A one-piece mobile computer usually equipped with a touchscreen and an on-screen, hide-able virtual keyboard. Touch is the primary user interface for a tablet/slate device. These devices are typically larger than smartphones and generally have larger screen size and greater computing capabilities. Tablet/Slate devices often have device-specific operating systems such as Apple IOS, Android, or Windows RT.

Remote Access – The connection of an information asset from an off-site location to an information asset on state IT infrastructure.

~~**Smartphone** – A mobile computing device that provides advanced computing capability and connectivity, and runs a complete operating system and platform for application developers and users to install and run more advanced applications.~~

Mobile Phone – A device that can make and receive telephone calls over a cellular network. Mobile phones include smartphone devices which are computing devices that provide advanced computing capability and connectivity, and run a complete operating system and platform for application developers and users to install and run more advanced applications. The use of a mobile phone device must be approved by the Department of Technology prior to purchase (see SIMM 48).

Wide Area Network (WAN) – Two or more physical locations connected by cable, wire, or other wireless transmission, providing the ability to communicate between locations and/or Internet connectivity.

EXCLUSIONS

4989.2

(Revised [12/2014](#))

The following activities ~~are~~ require prior approval from the Department of Technology and are excluded from the delegation authority to acquire desktop and mobile computing commodities. the Desktop and Mobile Computing Policy and These activities must be treated in accordance with SAM Sections [4819.3](#) through [4819.42](#).

IT Projects – As defined in SAM Section [4819.2](#), beyond the acquisition, installation, and operation of **Desktop and Mobile Computing Policy** commodities as defined in this policy. The acquisition of desktop and mobile computing commodities required for an IT project, whether reportable or delegated, must be included within the project scope and acquired under the approved project's authority. Use of this policy to circumvent IT project reporting requirements or to make an otherwise reportable project fall within delegated thresholds is expressly prohibited.

Budget Actions – Any acquisition, maintenance, or support of desktop and mobile computing commodities which requires a Budget Change Proposal, a Budget Revision, or other budget action is not covered by the Desktop and Mobile Computing Policy. However, this policy may be used to acquire the standard complement of desktop and mobile computing commodities as approved by the Department of Finance for new positions.

Specialized or Single-Purpose Systems – Acquiring any specialized, single-purpose, non-modifiable system, such as computer-aided design systems, desktop publishing systems, programmer workbench systems, or artificial intelligence systems is excluded from the policy. However, software-based applications used on a general-purpose personal computer may be covered by the policy. For example, desktop publishing employing word processing, graphics, and page layout software packages on a general-purpose personal computer falls within this policy; desktop publishing employing a specialized computer system that has been developed and marketed for the sole purpose of doing desktop publishing does not. A specialized, single-purpose system that allows some connectivity to an Agency/state entity's existing systems, such as electronic mail, is still considered a specialized or single-purpose system for the purposes of this policy.

[Increase in Net Mobile Computing Devices](#) - Acquisition of mobile computers which result in a net increase to an Agency/state entity's overall Desktop Computer or Mobile Computing Device inventory must be approved by the Department of Technology prior to purchase (see SIMM 47).

[Wholesale Replacement or Upgrade of Existing Mobile Computing Devices](#) – Any Agency/state entity wholesale replacement or upgrade of existing mobile computing devices (i.e. Microsoft Surfaces to iPads). Agencies/state entities must verify that the number of current devices is equivalent to the number of new requested devices to validate that they are only replacing existing mobile computing devices.

[\(Continued\)](#)

[\(Continued\)](#)

[EXCLUSIONS](#)

[4989.2 \(Cont. 1\)](#)

(Revised 7/2014)

Mobile Phone – Acquisition of a mobile phone device, which result in an increase in a state entities allocation of mobile phones, must be approved by the Department of Technology prior to purchase (see SIMM 48).

~~(Continued)~~

~~(Continued)~~

~~**EXCLUSIONS**~~

~~**4989.2 (Cont. 1)**~~

~~(Revised 7/2014)~~

Infrastructure or Platform Migration – Acquisitions associated with or mandated by a change in an Agency/state entity’s standard technical architecture for servers, desktops and/or mobile computing platforms are excluded from the policy. Migrating to a newer version within the existing standard’s product family is not considered an infrastructure or platform migration.

Wide Area Networks (WAN) – The acquisition, maintenance, or support of desktop and mobile computing commodities specifically to install or operate a WAN are excluded from the policy. These activities for WANs are considered IT projects, or components of IT projects, for the purposes of this policy. However, upgrading the capacity of a previously approved WAN project may fall within the definition of a previously approved project. (See SAM Section [4819.2](#): “Previously Approved Effort/Project”.)

While the acquisition of desktop and mobile computing commodities specifically for or required by the above-mentioned activities is specifically prohibited under this policy, existing desktop and mobile computing commodities purchased under this policy may be used for some of these purposes. For example, existing desktop computers purchased under this policy may be used in the development of a reportable IT project.

Whenever an Agency/state entity is uncertain as to whether a proposed use of desktop and mobile computing commodities falls within the scope of this policy, it should seek a determination from the California Department of Technology.

POLICY COMPLIANCE

4989.8

(Reviewed ~~123~~/2014~~4~~)

If ~~Finance~~ the Department of Technology determines that an agency's procedures or practices are not consistent with the ~~Statewide Workgroup~~ Desktop and Mobile Computing Policy or with the agency's own approved policy, delegation of approval authority will be rescinded and the agency will be deemed not to have an approved ~~Workgroup~~ Desktop and Mobile Computing Policy until such time as it can assure ~~Finance~~ the Department of Technology of compliance with an approved policy.

**SAM – INFORMATION TECHNOLOGY
DISPOSAL OF IT EQUIPMENT**

PURPOSE

5901

(Revised ~~12/06~~ 2/15)

Salvage value of state-owned IT equipment (SAM Section [4819.2](#)) and purchase option credits for leased IT equipment are a source of value to the State. Each agency must ensure that such value is received to the extent that doing so is in the best interest of the ~~State~~state.

**SAM – INFORMATION TECHNOLOGY
DISPOSAL OF IT EQUIPMENT**

BASIC POLICY

5902

(Revised ~~12/06~~ 2/15)

The disposition of surplus IT equipment must be in accordance with the most economical and practical manner for the State-state as a whole.

Government Code Sections 14674–14675 authorize the Director, Department of General Services, to approve the competitive sale, exchange, or interagency transfer of personal property owned by the State-state if such action is in the best interest of the Statestate. Each agency must receive approval from the Department of General Services, Office of Surplus Property and Reutilization (OSPR), Interagency Support Division, prior to disposing of surplus IT equipment.

**SAM – INFORMATION TECHNOLOGY
DISPOSAL OF IT EQUIPMENT**

AGENCY RESPONSIBILITY

5903

(Revised [4/06](#) [2/15](#))

Each agency is responsible for ensuring that any residual value in surplus IT equipment is realized. Each agency must explore the reutilization of surplus IT equipment prior to requesting approval for disposal or attempting to use the equipment as a credit toward the purchase or lease of new equipment.

The agency must submit a completed Property Survey Report (Standard Form [152](#)) to the Department of General Services, Office of Surplus Property and Reutilization ([OSPR](#)), at least 30 days prior to the disposal of surplus IT equipment.

Each agency must comply with the [State-state](#) property accounting requirements described in SAM Section [8633 and 8640–8642](#) when disposing of surplus IT equipment.

**SAM – INFORMATION TECHNOLOGY
DISPOSAL OF IT EQUIPMENT**

PURPOSE

5951

| (Revised ~~12/06~~ 2/15)

| The ~~State~~ state realizes salvage value from the IT supplies (SAM Section 4819.2) it owns. Each agency must ensure that such value is received to the extent that doing so is in the best interest of the ~~State~~ state.

**SAM – INFORMATION TECHNOLOGY
DISPOSAL OF IT EQUIPMENT**

BASIC POLICY

5952

| (Revised ~~12/06~~ 2/15)

| The disposition of surplus IT supplies must be in accordance with the most
| economical and practical manner for the ~~State-state~~ State as a whole.

SAM – INFORMATION TECHNOLOGY DISPOSAL OF IT EQUIPMENT

5953

AGENCY RESPONSIBILITY

(Revised ~~2/15~~ ~~12/06~~)

Each agency is responsible for ensuring that any residual value in surplus IT supplies is realized. Each agency must comply with the ~~State-state~~ property accounting requirements described in SAM Sections [8633](#) and [8640–8642](#) when disposing of surplus IT supplies. The agency must prepare and maintain a Property Survey Report (Standard Form [152](#)) when disposing of surplus IT supplies. The agency must certify that all memory assets have been sanitized.

A diligent effort must be made to secure at least three competitive bids for the supplies. If three bids cannot be obtained, a list of organizations or individuals solicited must be prepared and signed by an authorized representative of the agency. The list and the bids received must be attached to the Property Survey Report.

IT paper goods, e.g., computer printouts, punch cards, and pre-numbered forms, must be disposed of in accordance with SAM Section [1600](#).

Magnetic media for data processing devices, e.g., magnetic tapes and disk packs, must be disposed of in accordance with the procedures of this section. If sale is not possible, the magnetic media may be disposed of through any organization that will retrieve them without charge to the ~~Statestate~~.

The handling and disposal of IT supplies containing information classified as confidential or sensitive as defined in SAM Section ~~4800~~ [5300](#) must be conducted according to the policies stated in SAM Section 1600 and the procedures established by the agency program having ownership responsibility for such information. -Agencies must ensure that all information assets or computing devices with digital memory and storage capacity are completely sanitized prior to disposal. Should DGS find confidential, sensitive or personal information in state-owned surplus personal property, the disposing agency must retrieve the materials immediately, and is responsible for incident notification and filing of any necessary reports related to any security event or incident that occurred (SAM Section 5340 for Agency Information Security Incident Management).-(SAM Section 4841.5) (Management Memos #12-01 and Management Memo #12-02).-

SAM - CASH

~~Rev. 419~~

~~GENERAL ENDORSEMENT INSTRUCTIONS~~ 8034.1
(Revised ~~209/20125~~)

Departments will endorse checks, warrants, money orders, and other negotiable instruments ~~on the day they are received. Timely endorsements serve that are being physically deposited on the day they are received, to discourage prevent the use of lost or stolen negotiable instruments from being negotiated or endorsed~~ by someone other than the ~~state~~ department. Endorsements will contain the following information:

- ~~1. 1.~~ The name of the bank in which the deposit is made ~~and the branch number of this bank~~. Exempt from this requirement are departments which process checks by presort machines that do not have multi-endorsement capabilities (presort departments).
- ~~2. 2.~~ A statement which credits the deposit to the state.

Example: For Deposit Only
____ California State Treasurer

- ~~3. 3.~~ The name of the ~~state~~ department making the deposit.

- ~~4. 4.~~ A statement guaranteeing the validity of the endorsement. For example: Absence of Prior Endorsement Guaranteed

~~Example: Absence of Prior Endorsement Guaranteed~~

The following is an example which satisfies the state's requirements:

(Bank Name ~~and Branch Number~~)
For Deposit Only
California State Treasurer
(Department Name)
Absence of Prior End. Guaranteed

Current endorsement stamps/plates need not be altered or replaced. However, all new or replacement stamps/plates will include the preceding information.

If special circumstances prevent departments from including the preceding information in their endorsements, contact the State Treasurer's Office (STO), Centralized Treasury and Securities Management Division, at bankrec@sto.ca.gov for assistance.

Rev. 429

SAM - DISBURSEMENTS

INVOICES AND VOUCHERS 8422.1

(Revised ~~062/2008~~15)

Original invoices will be included in claims presented to the State Controller's Office ([SCO](#)). If ~~agencies-departments~~ cannot obtain original invoices, the SCO will accept ~~carbon copies or~~ photocopies. Invoices marked ~~"Office Copy," "Packing Copy," or "Duplicate Copy" as copies~~ will include the same detailed information as provided on the original invoice, such as items purchased, quantity, delivery address, etc. In addition, the copies will be accepted by the SCO only if the following information is placed on the copy:

This bill has been checked against our records and found to be the original one presented for payment and has not been paid. We have recorded this payment so as to prevent a later duplicate payment.

Signed: _____
Accounting Officer

The first step in the claim procedure is determining that invoices are proper for submission to the SCO for payment. Invoices will comply in form and content with the Victim Compensation and Government Claims Board regulations found in the California Code of Regulations Title 2, Division 2, Chapter 1, Article 7, Section 677~~rules and regulations of the Victim Compensation and Government Claims Board~~. Also, the ~~agency-department~~ will determine that:

- Items or services invoiced have been received or provided, as evidenced by stock received reports or similar documents or employee verification.
- Payment has not previously been made (this may be accomplished by referring to the ~~agency-department~~'s remittance advice file or other ~~agency-department~~ records).
- Invoices comply with provisions of purchase orders, sub-purchase orders, contracts, leases, service agreements, grants, etc.
- Cash discounts have been taken, if applicable.
- Authority exists to obtain the goods or services.
- Freight charges of more than \$50 must have supporting prepaid freight bills included in the claim schedule to the SCO.
- Freight charges of more than \$500 have been approved by the Department of General Services ([DGS](#)), Transportation Management Unit (see SAM ~~§~~section 38523851).

~~Agencies-Departments~~ will verify the calculation of discounts, if applicable, price extensions, and sales tax and the arithmetical accuracy of totals on all invoices, including travel expense claims.

(Continued)

SAM - DISBURSEMENTS

(Continued)

INVOICES AND VOUCHERS

8422.1 (Cont. 1)

(Revised ~~062/2008~~15)

The document number providing the purchase authority (e.g. purchase order number, contract number, sub-purchase order number, lease number) will be shown on original invoices submitted to the SCO.

The agency department may notify the vendor/claimant of any corrections to invoices by a Notice of Correction of Invoice, STD. 107. However, the agency department must send an Invoice Dispute Notification, STD. 209, as described in SAM ~~Section 8474.1~~8474.1.

Utility services invoices may contain a service period that overlaps two calendar months. This billing procedure does not cause any problems except at the end of a fiscal year. For uniformity, agencies departments will charge utility invoices to the fiscal year in which the majority of the service falls. For example, if the service period is from June 10 through July 9, the total amount of the invoice will be charged to the fiscal year just ended. If the service period is from June 21 through July 20, the total amount of the invoice will be charged to the new fiscal year. If the period of service is of equal duration in each fiscal year, the invoice may be charged to either fiscal year.

Fleet services are billed by DGS on a calendar month basis. Occasionally minor amounts representing adjustments and delayed billings of the prior year are included in an invoice for the current year. Under these circumstances, the entire invoice may be charged to the current year appropriation.

For additional information, see the following SAM ~~Sections~~Sections:

- 0700 et seq. for travel
- 3800 et seq. for transportation management (including freight charges)
- 81138113 for additional information on discount invoices
- 8780.18780.1 for additional information on Workers' Compensation invoices

SAM - DISBURSEMENTS

TELEPHONE INVOICES

8422.106

(Revised ~~29/2015~~1990)

Telephone companies will furnish ~~agencies-departments~~ with one copy of ~~toll-statements or toll tickets~~ for long distance telephone calls in support of their invoices. These documents will be retained by the ~~agencydepartment~~ together with the ~~agencydepartment~~'s copy of the invoice with the file copy of the claim. The [State Controller's Office](#) will request review of the ~~toll-statements or toll tickets~~ in any instance wherein it believes that such verification is required. ~~(See SAM Section 8422.3 for payment of invoices involving personal telephone calls.)~~

Telephone invoices usually have a service period other than the calendar month. These invoices will be charged the same way as other utilities as described in SAM ~~S~~section 8422.1. ~~This applies to Department of General Services telephone invoices as well as those telephone invoices sent directly to the agency by the telephone company.~~

Telephone ~~toll-statements and toll tickets~~, including credit card statements, will be approved by the employee making the calls and the employee's supervisor. Any unapproved charges will be collected from the employee.

State departments are not required to pay the surcharge imposed by the California Emergency Telephone Users Surcharge Law (911). If a department receives an invoice from a telephone company which includes the surcharge, delete the surcharge amount and schedule the balance for payment. Departments should inform the telephone companies of the incorrect billings when surcharge assessments recur.

SAM – MISCELLANEOUS ACCOUNTING PROCEDURES

BILLING FOR SERVICES OF EMPLOYEES PAID ON MONTHLY BASIS

8740

(Revised 3/4/1/2015)

Below is the formula for determining hourly rates when a department's bills for services of employees paid on a monthly basis on or after January 1, 2014~~2015~~. The number of hours to be deducted for Saturdays, Sundays, holidays, and the state contribution for staff benefits are provided. Vacation, annual leave, personal leave program, sick leave, bereavement leave, informal time off, jury duty leave, military leave, furlough leave, and professional development leave will be compiled and averaged by the department for this computation.

This formula only provides ~~for~~ billing only for hours actually worked. The formula does not include an amount for such costs as identifiable operating expenses incurred in rendering the service, charges for other than incidental use of equipment, overhead, and other costs. In addition, Workers' Compensation, Industrial Disability, Unemployment Compensation, and Life Insurance benefits are not included in the formula since these expenses can vary substantially among departments. However, such costs should be included in billing for services in accordance with SAM sections 8752.1 and 8758.

HOURLY BILLING RATE CALCULATIONS

CALENDAR YEAR	365 days x 8 hours =	2920 hrs.
LESS DEDUCTIONS		
Saturdays	52 days x 8 hours =	416 hrs.
Sundays	52 days x 8 hours =	416 hrs.
Holidays: New Year's Day Martin Luther King Jr. Day President's Day Cesar Chavez Day Memorial Day Independence Day Labor Day Veteran's Day Thanksgiving Day Day After Thanksgiving Christmas Day Personal Holiday	12 days x 8 hours =	96 hrs.
Other Absences (averages): Vacation/Annual Leave* Personal Leave Program (PLP)* Miscellaneous – Sick, Bereavement, Informal Time Off, Jury Duty, Military, Furlough Off, Professional Development Leave*		

(Continued)

SAM – MISCELLANEOUS ACCOUNTING PROCEDURES

(Continued)

**BILLING FOR SERVICES OF EMPLOYEES PAID ON
MONTHLY BASIS**
(Revised 1/2015)

8740 (Cont. 1)

Subtotal of Other Absences
(Vacation, PLP, and Miscellaneous)

TOTAL DEDUCTIONS
(include all amounts calculated under Deductions)

TOTAL ACTUAL WORKING TIME PER YEAR
(2920 hrs. less Total Deductions)

*Statewide data is not available. Each department, based on previous experience and expertise, must compile the information for Other Absences. Remember to calculate a separate average for each type of Other Absences (i.e. average vacation/annual leave, average PLP, and average miscellaneous absences).

STATE'S STAFF BENEFIT CONTRIBUTION PERCENTAGES
(Effective January 1, ~~2014~~2015)

Employee's Retirement	24.28
OASDI	6.20
Medicare	1.45
Health, Vision, and Dental Benefits	14.61
Total Percent	46.54 1/

(Continued)

SAM – MISCELLANEOUS ACCOUNTING PROCEDURES

(Continued)

BILLING FOR SERVICES OF EMPLOYEES PAID ON MONTHLY BASIS (Revised 1/2015)

8740 (Cont. 2)

FORMULA FOR CALCULATING HOURLY BILLING RATE:

(Monthly Salary Rate x 1.~~43714654~~) divided by
("Total Actual Working Time per Year" divided by 12)

Note: Monthly Salary Rate should be adjusted as necessary to reflect (average) salary reductions for PLPs and furloughs.

Formula for calculating daily rate for 2,000 hours or less per year:

The number of working hours per month is not appropriate for employees not expected to work 2,000 hours per year, less vacation and sick leave. In such instances, an estimate of actual working time per month or year, considering average holiday, vacation, and sick leave should be used. For example, billing rates for academic year employees, such as college instructors, would be computed on the basis of the number of workdays in a year, less the average of sick leave usage. (Holidays and vacation are not considered in this instance since they are considered in determining the number of working days.)

Daily Rate = (Annual Salary Rate x 1.~~43714654~~) divided by (Working Days per Year -
Average Sick Leave Days Used per year)

Hourly Rate = Daily Rate divided by 8

1/Note: The ~~43.7146.54~~ percent rate is applicable only to employees who are Miscellaneous Tier 1 members of the Public Employees' Retirement System. For those employees who are not Miscellaneous Tier 1 members, but who still belong to Social Security, their appropriate retirement contribution rate will be substituted for the ~~21.2024.28~~ percent rate. Those employees who are not Miscellaneous Tier 1 members and who do not belong to Social Security will include their appropriate Medicare and retirement rates, and health, vision, and dental benefit rates. For example, the appropriate total rate for members of the Safety Retirement Category who do not belong to Social Security is ~~34.2235.40~~ percent consisting of:

~~(1) 17.91 percent for retirement contributions from the appropriations of the employing departments~~

~~(2) 1.45 percent for Medicare~~

~~(3) 14.86 percent for health, vision, and dental benefits~~

(Continued)

SAM – MISCELLANEOUS ACCOUNTING PROCEDURES

(Continued)

**BILLING FOR SERVICES OF EMPLOYEES PAID ON
MONTHLY BASIS**

8740 (Cont. 3)

(Revised 1/2015)

Employee's Retirement (State Safety)	19.34
Medicare	1.45
Health, Vision, and Dental Benefits	14.61
TOTAL PERCENT	35.40

This ~~34.22~~35.40 percent figure will be used in lieu of the ~~43.71~~46.54 percent figure shown above. State departments with employee members in different retirement categories may use a composite employer contribution rate, based on department experience. Also, any department may use other rates for OASDI, Medicare, and health, vision, and dental benefits if more accurate rates can be determined from the actual experience of their operations.

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

CENTRAL SERVICE COSTS

8753

(Revised 3/~~44~~15)

Central service costs are those amounts expended by central service departments and the Legislature for overall administration of state government and for providing centralized services to state departments. These functions are necessary for state operations and are centralized to provide efficient and consistent statewide policy and services. Central service departments are:

<u>California State Auditor's Office</u>	<u>Legislative Counsel Bureau</u>
<u>California State Library</u>	<u>Legislature</u>
<u>California Department of Technology</u>	<u>Office of Administrative Law</u>
<u>Department of Finance</u> <u>Department of Human Resources</u> <u>Department of Justice</u> <u>Financial Information System for California</u>	<u>Office of Planning and Research</u> <u>Secretary of the California Health and Human Services Agency</u> <u>State Controller's Office</u>
<u>Governor's Office</u> <u>Health Benefits for Annuitants (Retired)</u> <u>Dental Benefits for Annuitants (Retired)</u>	<u>State Personnel Board</u> <u>State Treasurer's Office</u>

<u>California State Auditor's Office</u>	<u>Legislative Counsel Bureau</u>
<u>California State Library</u>	<u>Legislature</u>
<u>California Department of Technology</u>	<u>Office of Administrative Law</u>
<u>Department of Finance</u>	<u>Office of Planning and Research</u>
<u>Department of Human Resources</u>	<u>Secretary of the California Health and Human Services Agency</u>
<u>Department of Justice</u>	
<u>Financial Information System for California</u>	<u>State Controller's Office</u>
<u>Governor's Office</u>	<u>State Personnel Board</u>
<u>Health Benefits for Annuitants (Retired)</u> <u>Dental Benefits for Annuitants (Retired)</u> <u>Health Benefits for Annuitants (Retired CSU)</u>	<u>State Treasurer's Office</u>

Central service costs are funded by the General Fund and the Central Service Cost Recovery Fund appropriations made to each central service department. The central services benefit most funds/departments. For equity, Government Code sections [11270-11277](#) and [22883](#) provide for the sharing of central service costs by funds other than the General Fund and the Central Service Cost Recovery Fund. This cost sharing process is

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

titled formally as "General Administrative Costs" but is known more commonly as "Pro Rata." See explanation in SAM section 8754.

In addition to administering the Pro Rata central service costs sharing, the Department of Finance, Fiscal Systems and Consulting Unit ([FSCU](#)), prepares a Statewide Cost Allocation Plan ([SWCAP](#)) each year. SWCAP is a cost allocation plan which apportions federally allowable central service costs to departments. Therefore, differences exist in the central service costs contained in the two plans.

(Continued)

(Continued)

CENTRAL SERVICE COSTS

8753 (Cont. 1)

(Revised 3/~~4~~15)

The central service functions included in [Pro Rata](#) and [SWCAP](#) are listed below:

Central Service Function	Central Service Plans		
	Pro Rata Only	SWCAP Only	Both
Department of Finance:			
Audits			X
Budgets			X
California State Accounting and Reporting System (CALSTARS) Fiscal Systems and Consulting Unit (FSCU)		X	
California Technology Agency Department of Technology			X
State Controller's Office:			
Accounting and Reporting			X
Audits - Claim Audits			X
Payroll			X
General Disbursements			X
Audits - Field Audits			X
Personnel/Payroll Systems and Development Division and Information Systems Division			X
State Treasurer's Office:			
Investment		X	

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

Banking-Item Processing		X
Cash Management and Trust		X
Services <u>Centralized Treasury and Security</u>		
<u>Management Division and Public Finance</u>		
<u>Division</u>		
Financial Information System for California	X	
State Personnel Board		X
Department of Human Resources		X
Office of Administrative Law		X
California State Library		X
Health Benefits for Annuitants (Retired)		X
Dental Benefits for Annuitants (Retired)		X
<u>Health Benefits for Annuitants (Retired CSU)</u>		<u>X</u>
Secretary of the California Health and Human Services Agency__		X
California State Auditor's Office		X
Department of Justice	X	
<u>Legal Costs</u>	<u>X</u>	
<u>Tort Liability</u>	<u>X</u>	
Legislature	X	
Legislative Counsel Bureau	X	
Governor's Office	X	
Office of Planning and Research	X	

(Continued)

(Continued)

CENTRAL SERVICE COSTS

8753 (Cont. 2)

(Revised 3/14)

The costs of the above central services are apportioned on the basis of services provided. To do this, [FSCU](#) determines the most appropriate workload base for each central service. Actual workload units are accumulated for each department. Then, central service costs are apportioned to the departments/funds on the basis of these workload units.

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

DEPARTMENTAL PROCESS

8755.1

(Revised ~~12/09~~3/15)

Each department receiving federal funds has the responsibility to:

1. File an Indirect Cost Rate Proposal (ICRP), Cost Allocation Plan (CAP) and/or Public Assistance Cost Allocation Plan (PACAP) with the federal government. First, send the ICRP, and/or CAP, or PACAP to Finance, [FSCU](#), for review and approval. SAM Section 8755.2 discusses ICRPs in detail.
2. Recover full costs (including [SWCAP](#) ~~costs~~recoveries).
3. Transfer SWCAP recoveries to the General Fund within 30 days after the end of each quarter.

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

FEDERAL INDIRECT COST RATE PROPOSAL (ICRP) AND/OR COST ALLOCATION PLANS

8756.1

(Revised ~~09/10/15~~)

Each department that receives federal funds must prepare an ICRP, and/or CAP or PACAP, unless exempted by Finance, FSCU. An ICRP, CAP or PACAP establishes the basis for recovering full costs associated with programs or activities. The ICRP, CAP or PACAP must be prepared in accordance with the Office of Management and Budget (OMB) ~~Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments" and the guide "Cost Principles and Procedures for Establishing Cost Allocation Plans and Indirect Cost Rates for Agreement with the Federal Government" (ASMB C-10)~~ Guidance at 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards" published by the federal Department of Health and Human Services, which is available at:

<http://www.whitehouse.gov/#.DOCS> <http://www.ecfr.gov>

Every fall, Finance, FSCU, notifies departments with federal funding of the central service costs (SWCAP) apportioned to them for the next fiscal year. The reports are available at:

http://www.dof.ca.gov/accounting/fscu/pro_rata-swcaps/.

Inclusion of SWCAP costs is required in the department's ICRP, CAP, or PACAP to allow for the recovery of SWCAP costs apportioned to the department, unless exempted by statute and/or grant provisions.

For ICRPs only, in addition to the supporting documentation required by OMB ~~Circular A-87~~ Guidance at 2 CFR 200, departments are required to complete a Finance ICRP Summary Form. This form primarily acts as a checklist for proper preparation of the ICRP and is available at: <http://www.dof.ca.gov/FISA/PROSWCAP/ICRPs.HTM>. A summary sheet must also be included in the ICRP identifying the calculation of the indirect cost rate, cross-referenced to the supporting documentation. ~~A sample calculation~~ The formula used to calculate the indirect cost rate is shown in the 8756.1 Illustration.

Departments must submit their ICRPs, and/or CAPs or PACAP's to Finance, FSCU, for review and approval before sending to the federal cognizant agency for approval. ICRPs, CAPS, or PACAPs are typically due to the federal cognizant agency at least six months before the start of the fiscal year to which the ICRP, CAP, or PACAP applies. Generally, the federal agency from which a department receives the most funding is designated as the federal cognizant agency.

Once the ICRP, CAP, or PACAP is approved by the federal cognizant agency, the department may recover indirect costs from the federal government. Refer to SAM section 8755.2 for requirements to transfer the recoveries to the General Fund.

Rev. 4~~2911~~

~~SEPTEMBER 2010~~ MARCH 2015

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

CALCULATION OF INDIRECT COST RATE

$$\begin{array}{rcl} \text{(1) Net Total Department Indirect Costs} & + & \text{(2) SWCAP Allocation} \\ \hline & & \text{=} \text{Proposed Indirect} \\ & & \text{Cost Rate} \\ \hline & & \text{(3) Total Direct Cost Base} \end{array}$$

~~(1) Net Total Department Indirect Costs + (2) SWCAP Allocation = Proposed Indirect~~
~~(3) Total Direct Cost Base Cost Rate~~

(1) Indirect costs are costs incurred for a joint or common benefit and cannot be identified with a particular program, function, or cost objective. Sometimes known as “overhead,” these costs include costs for accounting, budgeting, human resources, etc. The total departmental indirect costs are adjusted for unallowable costs and the addition of costs, such as equipment use allowance, per OMB [Circular A-87 Guidance at 2 CFR 200](#).

(2) Indirect costs also include the department’s allocation of central services costs (SWCAP).

(3) Direct costs are costs identified specifically with a particular program, function, or cost objective. Typical direct cost bases include personal services and modified total direct costs.

The components of the indirect cost rate should be cross-referenced to supporting documentation in the ICRP (e.g., budget reports, financial statements, etc.)

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

Rev. 41429
2015

8756.1 Illustration ~~SEPTEMBER 2010~~MARCH

SAM—STANDARD ENTRIES (Cont.d)

~~Rev. 351 MAY 1995~~

~~ENTRY NO. A-13~~ _____ **10615**
(~~Revised 2/2015~~ ~~numbered 5/95~~)

Nature of Transaction:

~~When a fund is shared by multiple departments, the~~ Cash in State Treasury ~~a~~Account No. 1140 balance ~~(for funds not accounted entirely by one agency)~~ is transferred to the Fund Balance—Clearing Account to facilitate the closing of nominal accounts at June 30.

Journal Entry for General Ledger Accounts:

Debit:

1140 Cash in State Treasury

Credit:

5570 Fund Balance—Clearing Account

Source:

~~Department's~~Balance of Account No. 1140 balance at June 30. (Normally Account No. 1140 for shared funds~~In most cases, the account~~ will have a credit balance. Should a department's Account No. 1140 ~~it~~ have a debit balance, the above entry would be reversed.)

Explanation:

For shared funds ~~that are not accounted entirely by one agency~~, Account No. 1140, Cash in State Treasury, ~~only does not show~~ the net cash balance in the State Treasury for the fund to the credit of a particular fund. ~~Instead, Account No. 1140 shows the net agency remittances to (debit balance) or disbursements from (credit balance) the particular fund in State Treasury. By having the department~~ By transferring their balance of Account No. 1140, in addition to the and applying closing entries C-1 and C-2 to the Account No. 5570, Fund Balance—Clearing Account, ~~Account No. 5570 will show~~ each department will show their agency's shared equity (net assets or liabilities) of the shared ~~particular funds in the State Treasury not accounted entirely by our agency., and SCO's records will show the net activity for the fund as a whole.~~

Prior to the closing of nominal accounts to Fund Balance—Clearing Account and to ensure the accuracy of the department's financial reports, departments will perform a monthly fund reconciliation to their general ledger account balances. To reconcile the activity in Account No. 1140 for all fund users to SCO's records as required in SAM section 7921,

Rev. 429

Reconciliation of Department's Account Balances with SCO Balances, the fund administrator of a shared fund will obtain the necessary reports from all fund users.