

Memorandum

To:
DAVID PRIZMICH
Chief
Division of Procurement and Contracts

Date: June 27, 2018
File: P3000-0429

From:
WILLIAM E. LEWIS
Assistant Director
Independent Office of Audits and Investigations

Subject: Final Audit Report for the Department of General Services Contract Delegation Audit

Attached is the Independent Office of Audits and Investigations' final audit report on the Department of General Services Contract Delegation Audit. Your response has been included as part of our final report. This report is intended for your information and for Department Management.

Please provide our office with status reports on the implementation of your audit finding dispositions 60-, 180-, and 360-days subsequent to the transmittal date of this memorandum. If all findings have not been corrected within 360-days, please continue to provide status reports every 180-days until the audit findings are fully resolved. Senate Bill 1 requires the Inspector General to report at least annually, or upon request, to the Governor, the Legislature, and the California Transportation Commission with a summary of audit findings and recommendations. The summary along with this report and the status reports will be posted on the Independent Office of Audits and Investigations' Internet website.

We thank you and your staff for their assistance provided during this audit. If you have any questions or need additional information, please contact Kevin Yee, Acting Chief, Internal Audits, at (916) 323-7929, or myself at (916) 323-7122.

Attachment

DAVID PRIZMICH

June 27, 2018

Page 2

c: Dennis Miras, Audit Supervisor, Office of Audit Services, Department of General Services
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Kevin Yee, Acting Chief, Internal Audits, Independent Office of Audits and Investigations,
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Laurie Berman, Caltrans Director

Eraina Ortega, Inspector General

Department of General Services - Contract Delegation Audit

BACKGROUND

The Independent Office of Audits and Investigations completed an audit of the Department of Transportation (Caltrans) policies and procedures over contracts to ensure compliance with the Department of General Services (DGS) requirements and applicable state laws and regulations. Public Contract Code section 10335 requires all state contracts to be approved by DGS with certain exceptions. DGS may exempt contracts under \$150,000 from its approval if the awarding agency meets all of the requirements set forth in PCC section 10351. DGS issued Caltrans an exemption for contract approval, however Caltrans is required to perform two audits during the exemption period.

KEY FINDINGS

Our audit disclosed that Caltrans policies and procedures to process, execute, and manage contracts are adequate and in compliance with DGS requirements and state laws and regulations; however, we identified the following key findings:

- Contract Managers are Not Submitting Report of Utilization of Small/Micro Business and Disabled Veteran Business Enterprises
- Lack of Procedures to Protect Contractors' Personally Identifiable Information
- Contract Managers and CAL-Card Holders are Not Adequately Reviewing Invoices
- Emergency Hazardous Services Paid for with Hazmat CAL-Card are Not Compliant with Contracting Requirements

KEY RECOMMENDATIONS

We made the following key recommendations to DPAC:

- Work with Office of Business and Economic Opportunity (OBEO) to determine how best to ensure contract managers are obtaining the completed form ADM 3059 and submitting a copy to OBEO.
- Redact contractors' Social Security Numbers (SSN) from Payee Data Record STD 204 in contract file after contract approval, and establish policy/procedures for protecting contractors' SSNs during contract processing.
- Send formal reminders to contract managers regarding their responsibilities for ensuring proper contract management.
- Send memo to Hazmat CAL-Card holders reminding them that regardless of amount, CAL-Card is a payment mechanism, not a procurement approach and all acquisitions of services paid by CAL-Card must comply with applicable contracting requirements.

Department of General Services Contract Delegation Audit



AUDIT REPORT

JUNE 2018

PREPARED BY:

Independent Office of Audits and Investigations – MS 2

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Sacramento, California 94274-0001

<https://ig.dot.ca.gov/>

AUDIT TEAM:

Zilan Chen, Chief, Internal Audits

Kevin Yee, Audit Manager

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James LaHerran, Auditor

P3000-0429

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SUMMARY, OBJECTIVES, SCOPE, METHODOLOGY, BACKGROUND, AND CONCLUSION

SUMMARY

The Independent Office of Audits and Investigations (A&I) completed an audit of the California Department of Transportation's (Caltrans) contract delegation as required by the California Department of General Services' (DGS) Exemption Letter 13.0, dated June 17, 2016. The purpose of the audit was to determine whether procedures for processing, executing, and managing contracts are adequate and in compliance with DGS requirements and state laws and regulations.

Caltrans policies and procedures to process, execute, and manage contracts are generally adequate and in compliance with DGS requirements and state laws and regulations. The Division of Procurement and Contracts (DPAC) is proactive in ensuring that contracts comply with applicable contracting requirements by:

- Having staff knowledgeable of procurement rules and regulations.
- Providing procurement training and making resources available to procurement staff statewide on DPAC's intranet website.
- Communicating changes to procurement rules and regulations to staff statewide through Policy and Information Bulletins.
- Improving process and procedures by addressing prior audit findings and implementing recommendations.

Our audit identified the following areas which could be improved upon:

- Contract Managers are Not Submitting Report of Utilization of Small/Micro Business and Disabled Veteran Business Enterprises
- Lack of Procedures to Protect Contractors' Personally Identifiable Information
- Contract Managers and CAL-Card Holders are Not Adequately Reviewing Invoices
- Emergency Hazardous Services Paid for with Hazmat CAL-Card are Not Compliant with Contracting Requirements
- Lack of Procedures to Document Timely Receipt of Bids Solicited through Invitation for Bid Method
- Inaccurate Data Reporting in Contract Administration Tracking System

OBJECTIVES, SCOPE, AND METHODOLOGY

We performed the audit in accordance with the International Standards for the Professional Practice of Internal Auditing.

The objectives of the audit were:

- To determine whether Caltrans' contracting program is complying with the legal requirements for exemption especially as to oversight of the universe of contracts awarded subject to exemption.
- To determine and document (or update) the system of internal controls.
- To determine whether Caltrans' contracting system can be reasonably relied upon to provide adequate internal control and produce contracts in accordance with laws, State policies, and the best interests of the State.
- To test the effectiveness of the internal controls through evaluation of a sample of contracts awarded since the last audit.
- To determine whether appropriate corrective actions have been implemented in response to previous audit findings.

The scope of the audit was contracts and amendments processed by the Division of Procurement and Contracts (DPAC) from July 1, 2016, to September 30, 2017. The audit included performing an audit survey and tests prescribed by the DGS Contracting Program Audit Guide. We obtained information and documents from DPAC, the Division of Accounting, and district staff. We completed fieldwork on May 8, 2018. Changes after this date were not considered, and accordingly, our conclusion does not pertain to changes arising after May 8, 2018.

BACKGROUND

Public Contract Code (PCC) section 10335 requires all state contracts be approved by DGS with certain exceptions. DGS may exempt from its approval contracts under \$150,000 if the awarding state agency meets all the requirements set forth in PCC section 10351. DGS' Office of Legal Services (OLS) is responsible for recommending that the DGS director grant or deny such exemptions after reviewing the request to ensure that the requirements are met.

DGS issued Caltrans Exemption Letter 13.0 dated June 17, 2016, covering the period July 1, 2016, through June 30, 2020; two audits are required during the exemption period. The audits must be conducted in accordance with DGS Office of Audit Services (OAS) audit guide, and the two audit reports must be submitted to OAS by June 30, 2018 and April 30, 2020. This is the first of two audits, and the report from this audit is due to OAS by June 30, 2018.

CONCLUSION

Our audit disclosed that Caltrans policies and procedures to process, execute, and manage contracts are adequate and in compliance with DGS requirements and state laws and regulations, however we identified the following areas which could be improved upon:

- Contract Managers are Not Submitting Report of Utilization of Small/Micro Business and Disabled Veteran Business Enterprises

- Lack of Procedures to Protect Contractors' Personally Identifiable Information
- Contract Managers and CAL-Card Holders are Not Adequately Reviewing Invoices
- Emergency Hazardous Services Paid for with Hazmat CAL-Card are Not Compliant with Contracting Requirements
- Lack of Procedures to Document Timely Receipt of Bids Solicited through Invitation for Bid Method
- Inaccurate Data Reporting in Contract Administration Tracking System

VIEWS OF RESPONSIBLE OFFICIALS

We requested and received a response to our findings from the Chief of Division of Procurement and Contracts, who concurred with the findings. Please see the attachment for the complete response.

William E. Lewis, CPA

Assistant Director

Independent Office of Audits and Investigations

June 27, 2018

Findings and Recommendations

Finding 1 - Contract Managers Are Not Submitting Report Of Utilization Of Small/Micro Business And Disabled Veteran Business Enterprises

Background

Our testing of 25 contracts for compliance with Office of Business and Economic Opportunity (OBEO) requirements revealed for 23 contracts the Report of Utilization of Small/Micro Business (SB/MB) and Disabled Veteran Business Enterprises (DVBE) (ADM3059) was not completed. Contract managers are required to obtain a completed form ADM 3059 within 60 days from final payment from the contractors and submit a copy to OBEO. DPAC communicated the requirements to submit the ADM 3059 to the contract managers through contract manager training, boilerplates, letters, forms, and checklists, however, the contract managers are not ensuring that they are receiving the completed ADM 3059 from the contractors.

California Government Code (GC) section 14841 requires contractors to report to the awarding department the actual percentage of SB and DVBE participation achieved.

Military and Veterans Code section 999.5 (d) states, "Upon completion of an awarded contract ...an awarding department shall require the prime contractor that entered into a subcontract with a disabled veteran business enterprise to certify to the awarding department all of the following: (1) The total amount the prime contractor received under the contract. (2) The name and address of the disabled veteran business enterprise that participated in the performance of the contract. (3) The amount each disabled veteran business enterprise received from the prime contractor. (4) That all payments under the contract have been made to the disabled veteran business enterprise. An awarding department shall keep that certification on file."

The Department of General Services (DGS) Bulletin P-19-14, issued August 4, 2014, and effective July 1, 2014, mandates awarding departments to require prime contractors to certify that each DVBE subcontractor received payment for their participation, upon completion of a contract. This bulletin also mandates awarding departments to maintain these records.

Contract managers not submitting required forms and information in accordance with the State's requirements increases Caltrans legal liability and risk loss of delegation authority from DGS.

Recommendation

We recommend DPAC work with OBEO to determine how best to ensure contract managers are obtaining the completed form ADM 3059 and submitting a copy to OBEO.

Division Of Procurement And Contracts Response

DPAC concurs with the finding and recommendation. Please see attachment for details of the response and action plan.

Finding 2 - Lack of Procedures to Protect Contractors' Personally Identifiable Information

We reviewed contract file documentation to determine if any document contained personal identifiable information and whether there are sufficient controls in place to ensure the information is secure. Our testing of 82 contract files identified six contract files that contained contractors' Social Security Numbers on form STD 204 Payee Data Record.

Accounting Bulletin 18-07 states "Caltrans must protect Social Security Number (SSN) information contained on Payee Data Record, paper or electronic...A paper Payee Data Record with a SSN shall be retained only when necessary for business operations. If retention is necessary, the Payee Data Record shall not be left unattended and, when not in use, shall be stored in a safe, locked cabinet or drawer, or other mechanism providing comparable safekeeping."

The State Contracting Manual (SCM) Vol. I, section 4.08 states the STD 204 "should accompany the contract to final approval or a note should be made of it on the STD 215. The STD 204 must be retained in the agency's accounting or business affairs office."

DPAC does not have policy/procedures in place to protect the contractors' information when contractors' provide their SSNs on the STD 204. Failure to establish policy/procedures to protect contractors' personally identifiable information could result in identity theft and increases Caltrans' liability.

The SCM does not require the STD 204 be maintained in the contract file after contract approval. Discussion with DPAC staff indicates that they intend to keep the STD 204 in the contract file and will redact contractors' SSNs from the STD 204 in the contract file after contract approval.

Recommendation

We recommend DPAC:

- Redact contractors' SSNs from the STD 204 in the contract file after contract approval.
- Establish policy to protect contractors' SSNs during contract processing.

Division of Procurement and Contracts Response

DPAC concurs with the finding and recommendations. Please see attachment for details of the response and action plan.

Finding 3 - Contract Managers and CAL-Card Holders are Not Adequately Reviewing Invoices

DPAC establishes policies and procedures with respect to contract management and provides guidance in the form of handbooks, manuals, instructions, and training to enable contract managers to fulfill their responsibilities. Contract managers are responsible for ensuring compliance with all laws, regulations, and contract provisions.

Our testing of invoices over forty-four service contracts identified contract managers approved invoices with the following deficiencies:

- Two contracts with approved invoices for services performed prior to contract approval/execution. According to one of the contract managers the contract language was confusing as the begin date specified on the contract is not the actual start date. The contract manager also indicated the contractor started work on the contract on the date they believed the contract started and without the contract manager's instructions to do so.
- Seven contracts with approved invoices for services and rates not specified in the contract. This includes four Expert Witness contracts processed by Legal Division, where the invoices were for services on a fee schedule not referenced in the contract, or for services higher than the rates specified in the contract.
- Four contracts with approved invoices that did not have adequate detail to support services performed and costs claimed were in accordance with the contract.

The SCM Volume 1, section 4.09 prohibits the start of services prior to DGS/OLS approval or formally approved by the agency; SCM Volume 1, section 9.04 indicates that the contract manager is responsible for reviewing invoices to verify work performed and costs claimed are in accordance with the contract.

We also tested 46 invoices billed to CAL-Card Service Agreements (CCSA) and identified the CAL-Card Holders approved invoices with the following deficiencies:

- 24 invoices were for payment which did not specify service dates.
- One invoice approved for payment was for services prior to the start date of the CCSA.

CCSA instruction specifies that services cannot be performed prior to the start date and after the expiration date on the CCSA.

Contract managers and CAL-Card Holders not adequately reviewing invoices and comparing them to the contracts increases the risk of Caltrans paying contractors for unauthorized services and/or services outside of the contract terms.

Recommendation

We recommend DPAC:

1. Send out formal reminders to contract managers regarding their responsibilities for ensuring proper contract management. This correspondence should include reminders that:
 - Services on contracts should not begin until contract approval.
 - Invoices should be reviewed to ensure services and costs claimed are in accordance with the contracts.
2. Send out formal reminders to CAL-Card Holders that invoices should include service dates to ensure billing on CCSA are within the terms of the CCSA.

Division of Procurement and Contracts Response

DPAC concurs with the finding and recommendations. Please see attachment for details of the response and action plan.

Finding 4 - Emergency Hazardous Activities Services Paid by Hazmat CAL-Card are Not Compliant with Contracting Requirements

Our testing of 23 (12 services under \$5,000 and 11 services over \$5,000) emergency hazardous activities services paid for by Hazmat CAL-Card for compliance with applicable contracting requirements identified the following:

- 12 of 12 services under \$5,000 were not used in conjunction with an Emergency Services Contract and did not have DGS/OLS and DGS/Office of Risk and Insurance Management (ORIM) approval. In addition, one of 11 services over \$5,000 did not have DGS/OLS approval.

DPAC Acquisitions Manual section 12.3.1.B specifies that Hazmat cards must be used in conjunction with an Emergency Service Contract and has a single spending limit of \$50,000 and a 30-day spending limit of \$250,000.

The SCM Volume 2, section 9.B3.1 states "CAL-Card is a payment mechanism, not a procurement approach and, therefore, does not relieve departments from adhering to all procurement laws, regulations, policies, procedures, and best practices, including those discussed in the SCM, Vol. 1 and Vol. 2."

The SCM Volume 1, 3.12 states, "Hazardous activities are activities performed by the contractor that may result in substantial risk of serious injury to persons or damage to property." In addition, hazardous activities contracts require DGS/OLS and DGS/ORIM approval.

- Six of 12 services under \$5,000 did not have an executed Confirmation of Verbal Agreement (CVA).
- Eight of 23 services started prior to the execution of the CVA as follows:

NUMBER OF DAYS CVA EXECUTED AFTER START OF SERVICE	LESS THAN \$5,000	\$5,000 OR MORE
10 days or less	2	1
Between 11 and 50 days	-	2
Between 51 and 140 days	-	3
Total	2	6

DPAC Acquisitions Manual section 12.4.2.C states, "Emergency Services must be handled with a Confirmation of Verbal Agreement..."

"Emergency" is defined in PCC section 1102 as "a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services."

The SCM Volume 1, section 4.07 states, "The law recognizes exceptions from competitive bidding in emergencies PCC 10340 (b)(1) and 10371 (d), but no exception is provided from contract approval. The basic policy is to respond to the emergency as circumstances demand and then to obtain the formal approval(s) as soon as practicable. However, before the start of the work, the contract must be verbally authorized by someone with authority at the agency to initiate a contract in such situations."

Non-compliance with contracting requirement for services acquired by CAL-Card could result in Caltrans' loss of CAL-Card and contract delegation authority from DGS.

Recommendations

We recommend DPAC send a memo to Hazmat CAL-Card holders reminding them that regardless of amount, CAL-Card is a payment mechanism, not a procurement approach and all acquisitions of services paid by CAL-Card must comply with applicable contracting requirements, including the following:

- For emergency services paid for with a Hazmat CAL-Card, the CVA should be executed as soon as reasonably possible.
- Services paid for with a Hazmat CAL-Card must be used in conjunction with an Emergency Services Contract or CCSA. Approval from DGS/OLS and DGS/ORIM must be obtained as soon as reasonably possible.

Division of Procurement and Contracts Response

DPAC concurs with the finding and recommendations. Please see attachment for details of the response and action plan.

Finding 5 - Lack of Procedures to Document Timely Receipt of Bids Solicited through Invitation for Bid Method

Our testing of eight delegated contracts, solicited through the Invitation for Bid (IFB) method, identified two contract files that did not have evidence bids were received by the date and time specified in the solicitation.

SCM Volume 1, section 5.3 states, "Sealed bids must be received at the place and by the time stated in the IFB or RFP. Bids received after the time stated in the solicitation document are not valid regardless of the circumstances causing the late submittal."

DPAC did not have policy/procedures in place that required the analysts to document date and time sealed bids were received which could result in accepting invalid bids.

Recommendations

We recommend DPAC establish policy/procedures to document that sealed bids are received by date and time specified in the IFB solicitations.

Division of Procurement and Contracts Response

DPAC concurs with the finding and recommendation. Please see attachment for details of the response and action plan.

Finding 6 - Inaccurate Data Reporting in Contract Administration Tracking System

Our testing of 80 contracts for accuracy in DPAC's Contract Administration Tracking System (CATS) identified 16 errors in 15 of the contracts. CATS is utilized by DPAC to record and monitor contracts:

- Three contracts were inputted into CATS with the incorrect contractor name
- Seven contracts had incorrect execution dates in CATS
- Two contracts had incorrect begin dates in CATS
- Four contracts had incorrect end date in CATS

GC section 13401 (b) (1) states, "Each state agency must maintain effective system of internal control as an integral part of its management practices."

GC section 13403 (b) (6) states, "The elements of a satisfactory system of internal control, shall include, but are not limited to the following: An effective system of internal review."

The errors appear to be due to DPAC staff not revising CATS data to reflect changes prior to contract execution.

In addition, our testing of 17 contracts classified as interagency agreements identified three contracts were misclassified. The three contracts were contracts for services with institutes of higher learning which should not be classified as interagency agreements. According to DPAC, the interagency agreement classification is the most appropriate because there is no code in CATS for contracts with institutes of higher learning not processed as interagency agreements, and additional codes cannot be added to CATS to distinguish between contracts with institutes of higher learning that are interagency agreements and those that are not.

SCM Volume 1, section 1.05 states, "Proper classification of acquisitions is necessary as a first step in determining which solicitation process is appropriate for the contract, and what elements are required to be in the contract."

Similar findings were noted in prior audits, reports dated June 30, 2014, (P4000-0390) and April 14, 2016, (P3000-0426).

Inaccurate data in CATS can result in incorrect management reports and inappropriate decisions made based on the reports.

RECOMMENDATIONS

We recommend DPAC:

- Correct the errors identified in CATS and continue to review CATS entries for accuracy and correctness.
- Add a note or comment in CATS for contracts with institutes of higher learning coded as interagency agreements but are not interagency agreements to distinguish them from contracts with institutes of higher learning that are interagency agreements.

Division of Procurement and Contracts Response

DPAC concurs with the finding and recommendation. Please see attachment for details of the response and action plan.

ATTACHMENT

DIVISION OF PROCUREMENT AND CONTRACTS RESPONSE TO THE DRAFT REPORT

Memorandum

To:
WILLIAM E. LEWIS
Assistant Director
Independent Office of Audits and Investigations

Date: July 22, 2019

From:
DAVID PRIZMICH
Chief
Division of Procurement and Contracts

Subject: Response to Draft Report - Department of General Services Contract Delegation Audit

The Division of Procurement and Contracts (DPAC) has attached the draft audit response for the Department of General Services Contract Delegation Audit. DPAC has successfully satisfied recommendations 1.1, 3.1, 5.1, and 6.1. We will continue to make process improvements for the remaining recommendations.

If you have any questions regarding the response please contact Char Krantz at (916) 227-6071.

Attachments

- (1) P3000-0429 — Response to Draft Report
- (2) Finding 3.1 — K-Form 10 Contract Manager Instructions
- (3) Finding 5.1 — Contract Log/Bid Sheet

c: Kevin Yee, Acting Chief, Internal Audits, Independent Office of Audits and Investigations
Phet Bouthavong, Auditor Specialist, Internal Audits, Audits and Investigations
James Laharren, Auditor, Internal Audits, Audits and Investigations
Lindy Wilson, Assistant Division Chief, Non IT Contracts, Division of Procurement and Contracts
Louise Lozoya, Assistant Division Chief, IT Goods and Services, Non-IT Procurement and CAL-Card, Division of Procurement and Contracts
Tracy Franco, Assistant Division Chief, Policy, Communications and Material Management, Division of Procurement and Contracts
Geraldine Wright, Office Chief, Policy, Protest and Communications, Division of Procurement and Contracts
Char Krantz, Branch Chief, Policy, Division of Procurement and Contracts

Independent Office of Audits and Investigations - Response to Draft Report

Audit Response from Project Delivery

Audit Name: Department of General Services Contract Delegation Audit

Audit Number: P3000-0429

Audit Finding #1 - Contract Managers not Submitting Report of Utilization of Small/Micro Business and Disable Veteran Business Enterprises

1.1 IOAI Audit Recommendation

DPAC to work with OBEO to determine how best to ensure contract managers are obtaining the completed ADM-3059 form and submitting a copy to OBEO.

Auditee Response to Draft Report

DPAC continues to partner and work with OBEO on efforts to ensure contract managers obtain and submit the completed ADM-3059 form to OBEO.

Estimated Completion Date

6/8/2018 Completed

Staff Responsible

Char Krantz

Audit Finding #2 - Lack of Procedures to Protect Contractors' Personal Identifiable Information

2.1 IOAI Audit Recommendation

DPAC to redact contractors' SSN from the STD 204 in the contract file after contract approval.

Auditee Response to Draft Report

Starting 7/1/2018, DPAC will redact contractors' SSN from the STD 204 after contract execution.

Estimated Completion Date

7/1/2018

Staff Responsible

Charles Gray

2.2 IOAI Audit Recommendation

DPAC to establish a policy to protect contractors SSN during contract processing.

Auditee Response to Draft Report

DPAC will establish a policy to protect and safeguard contractors SSN during contract processing.

Estimated Completion Date

2/1/2019

Staff Responsible

Charles Gray

Audit Finding #3 - Contract Managers and CAL-Card Holders not Adequately Reviewing Invoices**3.1 IOAI Audit Recommendation**

DPAC to send out formal reminders to contract managers regarding their responsibilities for ensuring proper contract management This correspondence should include reminders that:

- Services on contracts should not begin until contract approval.
- Invoices should be reviewed to ensure services and cost claimed are in accordance with the contracts.

Auditee Response to Draft Report

Contract Managers receive formal reminders in the K-Form 10 (Attachment 2) included with every contract regarding responsibilities for proper contract management.

Estimated Completion Date

6/19/2018

Staff Responsible

Lindy Wilson

3.2 IOAI Audit Recommendation

DPAC to send out formal reminders to CAL-Card Holders that invoices should include service dates to ensure billing on CCSA are within the terms of the CCSA.

Auditee Response to Draft Report

CAL-Card Administrator to send E-mail blast to all CAL-Card Managers, Holders, and Liaisons.

Estimated Completion Date

Complete 8/29/2018

Staff Responsible

Jonathan Phillips

Audit Finding #4 - Emergency Hazardous Activities Services Paid by Hazmat CAL-Card not Compliant with Contracting Requirements

4.1 IOAI Audit Recommendation

DPAC to send a memo to Hazmat CAL-Card Holders reminding them that regardless of amount, CAL-Card is a payment mechanism, not a procurement approach and all acquisitions of services paid by CAL-Card must comply with applicable contracting requirements, including the following:

The CVA, for emergency services paid for with Hazmat CAL-Card, should be executed as soon as reasonably possible.

Services, paid for with Hazmat CAL-Card, must be used in conjunction with an Emergency Services Contract or CCSA; and approval from DGS/OLS and DOS/ORIM is obtained as soon as reasonably possible.

Auditee Response to Draft Report

CAL-Card Administrator to send E-mail blast to all Hazmat CAL -Card Managers, Hazmat CAL-Card Holders, and CAL-Card Liaisons.

Estimated Completion Date

Complete 11/19/2018

Staff Responsible

Jonathon Phillips

Audit Report Finding #5 - Lack of Procedures to Document Timely Receipt of Bids Solicited through Invitation for Bid Method**5.1 IOAI Audit Recommendation**

DPAC to establish policy/procedures to document that sealed bids are received by date and time specified in the IFB solicitations.

Auditee Response to Draft Report

The Bid, Protest, and Dispute Branch has revised its Contract Log/Bid Sheet (Attachment 3) to include a column indicating the date, time, and method a bid was received. This sheet is used to log the bids that DPAC receives and to list each bidder and bid amount.

Estimated Completion Date

5/29/2018 Completed

Staff Responsible

Tamara Jones

Audit Report Finding #6 - Inaccurate Data Reporting in Contract Administration Tracking System**6.1 IOAI Audit Recommendation**

DPAC to correct the errors identified in CATS and continue to review CATS entries for accuracy and correctness.

Auditee Response to Draft Report

DPAC has corrected the errors identified in CATS and will continue to review for accuracy and correctness.

Estimated Completion Date

6/22/2018 Completed

Staff Responsible

Char Krantz

6.2 IOAI Audit Recommendation

DPAC to add a note or comment in CATS for contracts with institutes of higher learning coded as interagency agreements, but are not interagency agreements, to distinguish them from contracts with institutes of higher learning that are interagency agreements.

Auditee Response to Draft Report

UC/CSU contracts are currently coded as interagency agreements. Starting 7/1/2018, DPAC will add a comment in CATS for UC/CSU contracts that are identified as a non-interagency agreement.

Estimated Completion Date

7/1/2018

Staff Responsible

Kathleen Stonetakai

Attachment 2 - K- Form 10

Attachment 2 - K- Form 10

Memorandum**To:**

KMGR'S Name

From:

Department of Transportation

Administration

Division of Procurement and Contracts (DPAC) - 65

Subject: Contract Manager Instructions**Contract Manager Instructions**

As Contract Manager on record for Contract Number____, you are the authorized representative of Caltrans responsible for ensuring that Contractor's performance and financial management meets all the legal requirements of the Contract. The following documents are attached to assist you in the management of this Contract:

- A fully approved copy of the Contract.
- Submittal of Invoices to Division of Accounting — Instructions for Contract Managers.
- Invoice Dispute Notification form (Std. 209).
- Contractor Evaluation form (Std. 4): Required pursuant PCC 10367 and PCC 10369, if this is a Consulting Contract.
- Insurance certificate(s), if applicable.
- Bond(s), if applicable.
- Report of Utilization of Small/Micro Business and Disabled Veteran Business Enterprise State Funded Contracts Only (ADM-3059). The ADM-3059 is due within 60 days from receipt of final payment.
- Disadvantaged Business Enterprises Utilization Report (ADM-3069).
- Caltrans Service Contracts Quality Assessment form (Kform 37a).

Additional information regarding the roles and responsibilities as a Contract Manager are contained in the web-based training and Contract Managers Handbook available online at <http://admin.dot.ca.gov/pc/training.html>.

You Are Responsible For The Following:**Contractor Notification**

- As Contract Manager, you are responsible for notifying the Contractor to start the work on the contract. The Contractor cannot begin work until verbal or written communication is received and not before the final approval or start date of the contract, whichever is later. Verbal notification must be followed by written notification. Refer to Contract Managers Handbook section 4.2.
- As Contract Manager, you are responsible for maintaining records in sufficient detail to allow anyone reviewing documents to understand how

a contract was requested, solicited, awarded and administered. See the Records Management section of the on-line training program for a list of required documents.

Accounting

As Contract Manager, you:

Should contact the Division of Accounting throughout the term of the Contract, as necessary, to ensure the encumbrances have not expired, and sufficient funds are available for a given fiscal year to pay anticipated invoices_

Must also contact the Division of Accounting to ascertain fund availability before amending a Contract, if needed.

When a change in Contract Manager occurs, the Division of Accounting must be notified to update the Contract information.

Monitor Contract

As Contract Manager, you must monitor:

The Contractor to assure compliance with applicable laws and Contract provisions.

All expenditures charged by the Contractor(s).

Property Acquisitions. Notify appropriate personnel if any property is acquired, and ensure it is properly tagged and inventoried. Refer to State Administrative Manual (SAM) sections 8650; 8651, and 8652 online at <http://sam.dgs.ca.gov/>

When applicable, invoices or billing statements for Disabled Veteran Business Enterprise (DVBE) goal or Disadvantaged Business Enterprise (DBE) percentage attainment required by the State or Federal Governments.

Contractor for use of subcontractors and suppliers.

If a subcontractor is added or changed on a contract with a public works element, the Caltrans Contract Manager must verify the subcontractor is registered with the Department of Industrial Relations (DIR) and update the existing contract in the Public Works Project Registration (PWC-100) on the DIR site at: <https://www.dir.ca.gov/PWC100Ext/>

The quality of the Contractor's work.

NOTE: If performance is unsatisfactory and bonds were required, notify the bonding company of any noted poor performance. If termination of the Contract results the bonding company must also be notified. (Official termination notice is signed by Caltrans Contract Officer. Refer to Contract Managers Handbook section 4.3.6.)

License and insurance terms (if required), and ensure that each is in effect at all times during the life of the Contract. If either the license or insurance expires during the term of this Contract, a new license or certificate must be received by Caltrans at least ten (10) days prior to the expiration date. This new

This new insurance or license must still meet the terms of this Contract. If the license or insurance certificate is not received by the time specified, contact the Contractor to get an updated license or insurance certificate. If the license or insurance certificate is not received by the expiration date, contact the Contractor and instruct him/her to stop work until such time as the renewal license or certificate is received.

Bond terms, per Service Request. Per Agreement MAW, Exhibit D, Item #: Contract shall submit a Payment Bond for 100% of the Service Request, if the Service Request is over \$25,000. The Payment Bond is due prior to the start date of the Service Request.

Invoices

As Contract Manager, you must

Date-stamp all invoices upon receipt. Begin the review and payment process immediately. Refer to Contract Managers Handbook section 4.3.4.

Review and approve the invoices for services according to the terms of the Contract. (If insurance is required, check to be sure Caltrans is not paying any assessments or premiums against the policy.)

Report of Utilization of Small/Micro Business and Disabled Veteran Business Enterprise State Funded Contracts Only (ADM-3059). The ADM-3059 is due within 60 days from receipt of final payment. Once you receive the ADM-3059 from the Contractor, complete the form by printing and signing your name, entering business telephone number and date. Retain the original in the Caltrans Contract Manager's file, email a copy to the Office and Business and Economic Opportunity at business.support.unit@dot.ca.gov, and provide a copy to the Contractor or Resident Engineer.

Review, verify, and ensure the Disadvantaged Business Enterprises Utilization Report (ADM-3069) form (Example attached) is complete and accurate. The Contractor must submit the ADM 3069 to you with every invoice. Once you receive the ADM-3069 from the Contractor, enter the total (or percent) of Federal (only) dollars (being used in the Agreement) on the form, then sign and date it. Keep the original for your files and submit a copy to the Office of Business and Economic Opportunity by:

Email: Smallbusinessadvocate@dot.ca.gov or FAX (916)-324-1949

Process and send invoices to the Division of Accounting in sufficient time to avoid late payment interest penalties.

Prepare and submit Receiving Record form (FA 1226A) with approved invoices, to the Division of Accounting for payment.

Issue an Invoice Dispute Notice form (Std. 209), when an invoice dispute cannot be resolved. Disputed portions of invoices should not be paid. Contact DPAC's Bid, Protest, and Dispute Branch for assistance when contract problems arise. Additional information regarding disputed invoices is available online at <http://accounting.onramp.dot.ca.gov/g-disputed-invoice>

Closing Out Contract File

As Contract Manager, you must

Approve final product/services required by the Contract.

Contractor Evaluation form (Std. 4): Complete and return to the Division of Procurement and Contracts (DPAC), Policy Unit, MS 65. This is required pursuant FCC 10367 and PCC 10369, for Consultant Contracts of five thousand dollars (\$5,000) or more.

Amendments

As Contract Manager, you cannot extend the terms of the Contract, change the scope of work, or allow any additional costs to be incurred that would exceed the limit set in the Contract without an approved contract amendment in place.

Amendment(s) must be requested by you, as Contract Manager, and approved by DPAC and appropriate entities prior to:

1. The expiration date of the Contract.
2. The expenditure of additional funds that exceed the total amount of the original Contract, or
3. Authorizing any changes in the Contract's scope of work.

Note: Pre-approval by the California State Transportation Agency (CalSTA) may be required for non-competitively bid (NCB) contract amendments, unless the Agency Secretary has granted an exemption to Caltrans. For a list of exemptions refer to the NCB Amendment Approval matrix available online at <http://dpac.onramp.dot.ca.gov/>

Questions regarding this Contract should be directed to my attention via email at analystname@dotea.gov or telephone number (916) #1,1141#1,1#.

Questions regarding invoices and payment procedures are to be directed to the appropriate contact listed for contract payments in the Division of Accounting at <http://accounting.onramp.dot.ca.gov/>

Sincerely,

Analyst's Name

Acquisition Analyst

Attachments:

Fully Approved Copy of Contract

Submittal of Invoices to Division of Accounting — Instructions for Contract Managers

Disadvantaged Business Enterprises Utilization Report (ADM-3069)

Invoice Dispute Notification form (Std. 209)

Contract/Contractor Evaluation form (Std. 4): Required pursuant PCC 10367 and PCC 10369, if this is a Consulting Contract.

Insurance Certificate(s), if applicable

Bond(s), if applicable

Caltrans Service Contracts Quality Assessment form (Kform 37a)

Submittal of Invoices to Division of Accounting

Instructions for Contract Managers

Invoices should be submitted to you in triplicate (3) by the Contractor. You must review the records and invoices and then sign and approve all valid charges for contract services. Invoices must be assembled and transmitted by you to the Department's Division of Accounting for payment.

Invoice Arrangement

(You must assure that all documents are in the following order)

1. Original - The Controller's Copy -

(Original invoicing will be sent on to the State Controllers Office by the Accounting Service Center)

- A. Copies of Original Receiving Record,
- B. Original invoice and postmarked envelope. If there is no postmarked envelope, each submitted invoice package must have the date of receipt stamped on the invoice.

2. Duplicate # One — Division of Accounting Copy -

(Invoice copy retained by the Accounting Service Center)

- A. Duplicate copy # One, of the "Original Receiving Record",
- B. Copies of "Original Invoice" with date of receipt of the invoice.

3. Duplicate # Two - Contract Manager File Copy -

(This duplicate shall be retained in the Contract Manager's Project File)

- A. Duplicate copy # Two, of the "Original Receiving Record",
- B. Copies of "Original Invoice" with date of receipt on the invoice.
- C. Copy of the "Invoice Documentation", along with other records such as payroll records, updates of work progress and your own file notes on contractor findings/progress,
- D. A copy of the Contract.

Where to Send Contract Documents

You must assure that the original and one copy of the invoice are transmitted via the Department's Contract Mail Courier or by an overnight Courier Service such as Federal Express, DHL, and UPS to:

Department of Transportation
Division of Accounting
Office of Accounts Payable, Contract Payments
Farmers Market 2 Building
1820 Alhambra Blvd., MS 25
Sacramento, CA 95816

(Check with Division of Accounting for correct Payment Branch if you wish to hasten payment)

Contractor Payment Inquiries are directed to the appropriate contact listed online at <http://accounting.onramp.dot.ca.gov/prompt-payment-guide>

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION
DISADVANTAGED BUSINESS ENTERPRISES UTILIZATION REPORT
 ADM-3089 (NEW 9/2011)

ADA Notice
 For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 954-9410 or TDD (916) 954-9880 or write Records and Forms Management, 1120 N Street, MD 69, Sacramento, CA 95814.

CONTRACT NUMBER	INVOICE NUMBER	TASK ORDER NUMBER (If Applicable)	ADMINISTERING AGENCY Department of Transportation Division of Procurement and Contracts	CONTRACT START DATE	CONTRACT COMPLETION DATE
PRIME CONTRACTOR NAME (PRINT)			BUSINESS ADDRESS	TOTAL CONTRACT AMOUNT: \$	
PRIME CONTRACTOR REPRESENTATIVE NAME (PRINT)			Contract Manager Must Complete This Section: Total Federal Share Amount: \$ OR %		

ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIAL PROVIDED	COMPANY NAME AND BUSINESS ADDRESS	DBE CERTIFICATION NUMBER	GENDER	OWNERSHIP CODE(S)	CONTRACT PAYMENTS		DATE WORK COMPLETE	PAYMENT DATE	
						NON-DBE	DBE			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
						\$	\$			
ORIGINAL COMMITMENT						TOTAL	\$	\$		

\$	OR	%	OWNERSHIP CODES: 1= Black American 2= Hispanic American 3= Native American 4= Asian Pacific American 5= Subcontinent Asian American 6= Caucasian 7= Woman 8= Other 9= Not Applicable	COMMENTS:
\$	OR	%		

List all Subcontractors and Disadvantaged Business Enterprises (DBEs) regardless of size, whether or not its firm was originally listed for goal credit. If actual DBE utilization (or item of work) was different than that approved at the time of award, provide comments. List actual amount paid to each entity.

I CERTIFY THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT

CONTRACTOR REPRESENTATIVE'S SIGNATURE	BUSINESS PHONE NUMBER	DATE
CONTRACT MANAGER'S SIGNATURE	BUSINESS PHONE NUMBER	DATE

TO THE BEST OF MY INFORMATION AND BELIEF, THE ABOVE INFORMATION IS COMPLETE AND CORRECT

COPY DISTRIBUTION (Required): (1) Original: Contract Manager
 (2) Copy: Office of Business and Economic Opportunity, Email: to smallbusinessadvocate@dot.ca.gov or FAX to 916-324-1940

Disadvantaged Business Enterprises Utilization Report - Instructions

ADM-3069 (NEW 6/2011)

Contractor Instructions:

This form must be completed and submitted to the Caltrans Contract Manager with each invoice. Enter the Contract Number, Invoice Number, Task Order Number (if applicable), Contract Start Date, Completion Date (Expiration Date), Prime Contractor Name, Prime Contractor Business Address, Total Contract Amount (as written on the STD. 213).

This form has two columns for entering the dollar value for the item(s) of work performed or provided by the firm. The Non-DBE column is used to enter the dollar value of work performed by subcontracting firms who are not certified DBE. The DBE column is used to enter the dollar value of work performed only by certified DBE firms.

DBE prime contractors are required to show the corresponding dollar value of work performed by their own forces.

To confirm the certification status of a DBE, access the Department of Transportation, Office of Business and Economic Opportunity website at <http://www.dot.ca.gov/ho/bedifindcertified.htm> or call toll free (866) 810-6346 or (916) 324-1700.

If a contractor performing work as a DBE becomes decertified and still performs work after the decertification date, enter the total value performed by this contractor in the DBE column for the certification period and the remaining work or services (after decertification) in the Non-DBE column. If a subcontractor performing work as a non-DBE on the project becomes certified as a DBE, enter the dollar value of all work performed after certification as a DBE in the appropriate column.

Date Work Complete column: Enter the date the work and/or Task order was completed for the respective pay period.

Date of Payment column: Enter the date when the prime contractor made the payment to the firm for the portion of work listed as being completed.

DBE prime contractors are required to show the date of work performed by their own forces.

Contractor's Signature: Contractor certifies that the information on the ADM-3069 is complete and correct.

Contract Manager's Instructions:

Review the form as submitted by the Contractor to ensure the form is complete and accurate. Once you receive the ADM-3069 from the Contractor, enter the total (or percent) of Federal (only) dollars (being used in the Agreement) on the form, then sign, date, and Email to small_business_advocate@dot.ca.gov or FAX to 916-324-1949.

STATE OF CALIFORNIA - DEPARTMENT OF TRANSPORTATION

Page 1 of 2

**REPORT OF UTILIZATION OF SMALL/MICRO BUSINESS AND
DISABLED VETERAN BUSINESS ENTERPRISE STATE FUNDED CONTRACTS ONLY**

ADM-3089 (REV 12/2017)

CONTRACT NUMBER		PRIME CONTRACTOR		DEPARTMENT	FEDIN		
PRIME CONTRACTOR ADDRESS				EMAIL	CONTRACTOR PHONE NUMBER ()		
CONTRACT AMOUNT \$		CONTRACT START DATE			CONTRACT COMPLETION DATE		
CONTRACT ITEM NO.	DESCRIPTION OF WORK PERFORMED AND MATERIALS PROVIDED	SUBCONTRACTOR'S BUSINESS NAME AND ADDRESS	TYPE OF BUSINESS (SMB/DVBE)	CERT. NO.	CONTRACT PAYMENTS		
					PAYMENT AMOUNT	DATE WORK COMPLETED	DATE OF FINAL PAYMENT
Total \$							

AMOUNT OF SMB/DVBE PARTICIPATION AT TIME OF AWARD: \$ _____

List all Small/Micro Business (SMB) and/or Disabled Veterans Business Enterprises (DVBE) regardless of tier, whether or not the firms were originally listed for contract participation. If actual SMB or DVBE utilization (or item of work) was different than that approved at time of award, provide an explanation in the comments section. List actual amount paid to each SMB or DVBE, even if different than originally listed for contract participation. If original SMB or DVBE was substituted with another DVBE or SMB, provide the Department of General Services approval number and the date it was approved in the comments section.

Explanation Attached

I DECLARE UNDER PENALTY OF PERJURY UNDER THE LAWS OF THE STATE OF CALIFORNIA THAT ALL INFORMATION SUBMITTED IS TRUE AND CORRECT.

PRIME CONTRACTOR REPRESENTATIVE'S PRINTED NAME	PRIME CONTRACTOR REPRESENTATIVE'S SIGNATURE	BUSINESS PHONE NUMBER ()	Ext.	DATE

COPY DISTRIBUTION: Original - Contract Manager Contract File Copy - OSBO - Email business.support@dot.ca.gov Copy - Contractor Copy - Resident Engineer

RETURN WITHIN 60 DAYS FROM RECEIPT OF FINAL PAYMENT.

ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For alternate format information, contact the Forms Management Unit at (916) 445-1233, TTY 711, or write to Records and Forms Management, 1120 N Street, MS-85, Sacramento, CA 95814.

State Cf California • Department Cf Transportation
Report Of Utilization Of Small/Micro Business And
Disabled Veteran Business Enterprise State Funded Contracts Only

ACik1-3C50 (REV 12/12/17)

Contractor's Instructions:

The intent of this file is for the Prime Contractor to certify payments made to Small/Micro Business (SB/MB) and/or Disabled Veteran Business Enterprise (DVBE) firms participating in the execution of the contract. The Prime Contractor must include information on all SB/MB and/or DVBE firms performing work or supplying materials, even if the Se/MB and/or DVBE firms were not listed at the time of bid.

This form must be completed and submitted to the Caftans Contract Manager with each invoice. Enter the contract number, Prime Contractors name, Prime Contractor's business address, total contract dollar amount {as written in the STD 213}, contract start dare, and contract completion date.

The form has columns for entering specific contract items, a description of work performed and materials provided, SBA% and/or DVBE business information and certification number, payment amount, date of work completed, date of final payment, and original SB/MB and/or DVBE commitment amount. The "Explanation Attached" checkbox is used to indicate if any additional pages related to SB/MB and/or DVBE payments are attached.

SB/MB and/or DVBE Prime Contractors are required to show the corresponding dollar value of work performed by their own Forces incomplete forms will not be accepted

Contract Manager's Instructions:

After receiving the ADM-3059 from the Prime Contractor, the Contract Manager will enter the total dole, amount (being used in the agreement) in the space provided. The Contract Manager must sign and date the form ensuring accuracy and completion_ The form can be submitted via email to smallbusinessadvocate@dot.ca.gov or business.support.unit@dot.ca.gov or can be faxed to 916-324-1949.

The ADM-3059 must be submitted monthly.

STATE OF CALIFORNIA - DEPARTMENT OF FINANCE
INVOICE DISPUTE NOTIFICATION
STD. 599 (REV. 1/2004)

VENDOR ADDRESS	(Mail in a window envelope)	DATE OF DISPUTE
		INVOICE NUMBER
		AMOUNT
		INVOICE DATE
		REFERENCE NUMBER(S)

(FOLD)

The invoice referred above is disputed for the following reasons:

- | | |
|---|--|
| <input type="checkbox"/> Goods /Services not received | <input type="checkbox"/> Duplicate billing |
| <input type="checkbox"/> Noncompliance with contract | <input type="checkbox"/> Invoice belongs to another department |
| <input type="checkbox"/> Incorrect billing/amount due | <input type="checkbox"/> Damaged goods |
| <input type="checkbox"/> Partial shipment received | <input type="checkbox"/> Invoice not properly executed |
| <input type="checkbox"/> Other | |

THIS NOTIFICATION IS A FOLLOWUP TO A PHONE CONVERSATION WITH THE PERSON FROM YOUR COMPANY WHOSE NAME APPEARS BELOW

NAME	DATE OF CONVERSATION
------	----------------------

IF YOU HAVE ANY QUESTIONS REGARDING THIS DISPUTE, CONTACT:

NAME

E-MAIL	TELEPHONE NUMBER
--------	------------------

(N/A)

RETURN TO:

DISTRIBUTION:
 Vendor — Original and one copy
 Purchasing — one copy
 Accounting — one copy
 File — one copy

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES
 OFFICE OF LEGAL SERVICES
CONTRACT/CONTRACTOR EVALUATION
 STD. 4 (REV. 6/2002)

This form must be completed for all consulting services contracts \$5,000 and over within 80 days of completion of the contract. If performance by the contractor was unsatisfactory, a copy of the evaluation must be sent to the Department of General Services, Office of Legal Services, 707 Third Street (7th floor), West Sacramento, CA 95605 within five days after completion of the evaluation. The contractor must be notified and sent a copy of the unsatisfactory evaluation within fifteen days after its completion.

CONTRACT NO. / AM NO.

DEPARTMENT DEPARTMENT OF TRANSPORTATION		CONTRACTOR'S NAME AND ADDRESS	
DIVISION, BUREAU OR OTHER UNIT OFFICE OF PROCUREMENT AND CONTRACTS			
EVALUATOR'S NAME			

TAXPAYER FEDERAL EMPLOYER IDENTIFICATION NUMBER	CONTRACT COMMENCEMENT DATE	CONTRACT EXPIRATION DATE
---	----------------------------	--------------------------

1. TOTAL CONTRACT AMOUNT, INCLUDING AMENDMENTS

2. DESCRIBE SERVICE OR PRODUCT TO BE PROVIDED UNDER CONTRACT

3. IS THIS SERVICE/PRODUCT BEING UTILIZED?
 NO. If no, explain why. YES - If yes, explain how the product or service met the specific problem, administrative requirement, or program need which made the contract necessary.

4. DID THE CONTRACTOR FULFILL ALL REQUIREMENTS OF CONTRACT INCLUDING QUALITY STANDARDS?
 YES NO. If no, explain why.

5. IF ANSWER TO ITEM 4 WAS NO, WAS CONTRACTOR NOTIFIED AND SENT A COPY OF THE EVALUATION?
 YES NO - If no, explain why.

6. TYPE OF BIDDING
 RFP/RFB SOLE SOURCE

7. EMPLOYEE TO BE CONTACTED REGARDING CONTRACTOR PERFORMANCE	8. TITLE	9. TELEPHONE NUMBER
10. EVALUATOR'S SIGNATURE	11. TITLE	12. DATE
		13. TELEPHONE NUMBER

Division of Procurement and Contracts

Service Contracts Quality Assessment

The State contracting laws require competitive bidding and socio-economic participation and incentive programs. The contract process is lengthy and challenging. As Division Chief for DPAC, I am committed to making Customer Service our number 1 priority. I need your feedback to know if we are meeting or exceeding your expectations. Please complete the survey and return it to me.

Contract No. _____ Contract Analyst _____

Your Name (Optional) _____

Phone Number _____

QUESTIONS/COMMENTS

1. How would you rate the contract process knowledge of your analyst?									
Unacceptable		Unsatisfactory		Satisfactory		Very Good		Outstanding	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5	6	7	8	9	10
2. How would you rate the professionalism of your analyst?									
Unacceptable		Unsatisfactory		Satisfactory		Very Good		Outstanding	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5	6	7	8	9	10
3. How well did your analyst keep you updated on the process of your contract throughout the process?									
Unacceptable		Unsatisfactory		Satisfactory		Very Good		Outstanding	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5	6	7	8	9	10
4. How would you rate DPAC's overall services on this contract?									
Unacceptable		Unsatisfactory		Satisfactory		Very Good		Outstanding	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1	2	3	4	5	6	7	8	9	10
If you rated any question on this survey less than satisfactory, please provide your comments so we are able to learn from your experience and improve our contract process.									

NEED A CONTRACT MANAGER'S HANDBOOK?

<http://admin.dot.ca.gov/pc/handbook.shtml>

Please e-mail or fold and return to: Division of Procurement and Contracts
 Farmers Market Plaza III, MS-65
 1727 30th Street
 Sacramento, CA 95816
 Attention: David Prizmich, Division Chief

Kform 37a (rev. 5/18)

Attachment 3 – Contract Log/Bid Sheet

Contract Number:		Bid Open Date	I certify that all submittals were received prior to the submittal deadline and I witnessed the receipt of all eligible submittals for:		
Contract Analyst:					
Contract Description:		Sign: _____			
		Sign: _____			
Company Name	Date/Time/Method	City/State	Bid Amount	SB?	Rank
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		
	Date: _____ Time: _____ USPS / UPS / FedEx / Drop Box Other: _____		\$		