

**STATE AND CONSUMER SERVICES AGENCY
DEPARTMENT OF GENERAL SERVICES**

**AUDIT OF THE
DEPARTMENT OF
SOCIAL SERVICES**

**FOR COMPLIANCE WITH STATE
BUSINESS MANAGEMENT POLICIES
REPORT NO. 0120**

OFFICE OF AUDIT SERVICES

MARCH 2010

**DEPARTMENT OF SOCIAL SERVICES
COMPLIANCE AUDIT
REPORT NO. 0120**

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STATE OF CALIFORNIA
DEPARTMENT OF GENERAL SERVICES
AUDITOR'S REPORT

DATE: April 19, 2011

TO: **JOHN A. WAGNER**, Director
Department of Social Services

This report presents the results of our compliance audit of the business management functions and services of the Department of Social Services (DSS). These audits are routinely performed under the authority granted to the Department of General Services (DGS) by Government Code Sections 14615 and 14619. The objective of our audit was to determine compliance with policies set forth in the State Administrative Manual, and the terms and conditions of any specific delegations of authority or exemptions from approval granted by the DGS. As applicable, the scope of our audits of State agencies includes, but is not limited to, compliance with policies governing contracting, purchasing, fleet administration, small business and disabled veteran business usage, driver safety and insurance, records and forms management, surplus property, real estate and prompt payment of suppliers. Our audit was conducted in accordance with U.S. generally accepted auditing standards.

While in most areas we concluded that the DSS is conducting its business management functions and services in accordance with State requirements, we identified the following areas for improvement. The implementation of the recommendations presented in this report will assist the DSS in addressing these areas.

- Delegated purchasing program policies and procedures are not ensuring full compliance with State requirements governing those types of procurements. The types of exceptions noted during our audit included procurement files lacking documentation that: (1) a firm's certification status was verified prior to the award of the procurement to a firm identifying itself as a small business and/or disabled veteran business enterprise; (2) a copy of a seller's permit was obtained from a supplier prior to finalizing a purchase; (3) either two price quotations were received or fair and reasonable pricing established for transactions of less than \$5,000; and, (4) the applicable contract's cover page and pricing page(s) was obtained and reviewed for leverage procurement agreement transactions.
- The DSS' driver safety and insurance program is not ensuring that employees who use their own vehicle to conduct State business complete and annually update a vehicle certification form. Further, policies and procedures are not ensuring that frequent drivers attend a defensive driver training course every four years.
- The DSS' fleet administration program is not ensuring the timely preparation and submittal of biannual passenger vehicle usage reports to the DGS' Office of Fleet and Asset Management.

During our review we also identified other matters requiring attention that we discussed with the DSS' management but are not included in this report.

It should be noted that when advised of areas for improvement during our audit fieldwork the DSS' management indicated that appropriate action would be taken to address our concerns. We were pleased with the commitment shown to improve compliance with State requirements.

Your response to each of our recommendations as well as our evaluation of the response are included in this report.

We greatly appreciated the cooperation and assistance provided by the DSS' personnel.

If you need further information or assistance on this report, please contact me at (916) 376-5058, or Dennis Miras, Audit Supervisor, at (916) 376-5064.



RICK GILLAM, CPA, CIA
Chief, Office of Audit Services

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DEPARTMENT OF SOCIAL SERVICES COMPLIANCE AUDIT

FINDINGS AND RECOMMENDATIONS

The following presents our detailed findings and recommendations developed based on our review of the business management functions and services of the Department of Social Services (DSS) for compliance with policies set forth in the State Administrative Manual (SAM), and the terms and conditions of any specific delegations of authority or exemptions from approval granted by the Department of General Services (DGS). This report presents information on areas of noncompliance with policies governing the: conduct of delegated purchases; completion of vehicle certification forms by employees; attendance of a defensive driver training course by frequent drivers; and, reporting of passenger vehicle usage information.

This information was developed based on our fieldwork conducted over the period July 28, 2009 through March 24, 2010. Although the finalization of our report was delayed due to other high priority assignments, as findings were observed and developed during our audit fieldwork, the DSS' management was promptly advised of any areas of concern so that they could begin taking corrective action. Further, at our March 2010 audit exit conference, the DSS was provided a detailed written summary of issues noted during our review.

To determine compliance, we reviewed policies and procedures, interviewed parties involved, tested records and transactions and performed other tests as deemed necessary. The period covered by our testing varied depending upon the area of review and the type of transactions involved; however, the emphasis of our review and testing was with current procedures and transactions completed during the 2008/09 and 2009/10 fiscal years.

DELEGATED PURCHASING PROGRAM

Our tests of a sample of 65 delegated information technology (IT) or non-IT procurements, including 29 leveraged procurement agreement transactions, disclosed a number of areas for improvement that need to be addressed to fully comply with delegated purchasing requirements. The State's delegated purchasing requirements are primarily contained in State Contracting Manual (SCM) Volumes 2 (IT) and 3 (non-IT)¹. As applicable, the scope of our delegated purchasing tests includes, but is not limited to, compliance with policies governing the conduct of competitive solicitations, use of leveraged procurement agreements, solicitation of certified small businesses and disabled veteran business enterprises, and, establishment of fair and reasonable pricing for acquisitions of less than \$5,000.

Since the instances of noncompliance were discussed with responsible management and staff during our audit fieldwork, they are not detailed in this report. However, the types of exceptions noted involved procurement transaction files that did not always include:

- documentation that a firm's certification status was verified prior to the award of the procurement to a firm identifying itself as a small business (SB) and/or disabled veteran business enterprise (DVBE) (including transactions paid through the use of a CAL-Card). Departments must verify SB and/or DVBE status on a DGS website prior the award of a

¹ The criteria references in this section are those contained in the most current version of SCM Volumes 2 and 3.

DEPARTMENT OF SOCIAL SERVICES
Findings and Recommendations, Cont'd

procurement and maintain a copy of the firm's current certification in the procurement file to fully document the transaction (SCM 2 and 3, 3.2.5).

- a copy of the supplier's seller's permit (SCM 2, 4.B6.3 and SCM 3, 4.B7.5);
- documentation that a procurement was entered into the State's centralized database for contract and purchase transactions (SCM 2, 8.1.1);
- documentation that the Department of Fair Employment and Housing was notified of purchase awards in excess of \$5,000 (SCM 2, 12.B3.0);
- information that either two price quotations were received or fair and reasonable pricing established for transactions of less than \$5,000, including CAL-Card payment transactions (SCM 2, 4.C1.0);
- a properly completed Purchasing Authority Purchase Order, STD. 65, that accurately referenced the State's general provisions and/or the procurement method used to award the purchase order (SCM 2, 8.3.5 and SCM 3, 8.4.5); and,
- copies of the contract cover page and pricing page(s) for leverage procurement agreement (LPA) transactions (SCM 2 and 3, Section 6.A4.1). Further, a number of the LPA transaction files did not contain information on the criteria used to determine best value (SCM 2 and 3, Section 6.A4.0) and documentation supporting that multiple offers were solicited for the purchase (SCM 2 and 3, 6.A3.0). In most cases, the LPA purchase order forms, STD. 65s, also did not contain a reference to the department's purchasing authority number (SCM 2, 8.3.5 and SCM 3, 8.4.5).

In addition, we noted that the DSS' policies and practices allow printing services to be procured under the department's delegated purchasing authority delegation as non-IT goods, instead of through the use of the State's service contracting process. On June 21, 2007, Management Memo 07-06 was issued which revised State policies to provide that printing services must be procured through the DGS' Office of State Publishing or through service contracts. Further, SCM 2, 2.B1.6 provides that non-IT services must be acquired in accordance with SCM Volume 1, which governs the contracting for non-IT and consultant services contracts. Due to the different procurement requirements between acquiring goods and services, including different general terms and conditions and competitive bidding requirements, delegated purchasing policies and procedures should not be used to procure non-IT services, such as printing.

Recommendations

1. Implement additional quality assurance policies and procedures to assist in ensuring full compliance with the requirements of the delegated purchasing program. This process should address the issues noted above.
2. Process printing services procurements in accordance with the State's service contracting requirements contained in SCM Volume 1.

DRIVER SAFETY AND INSURANCE PROGRAM

The DSS needs to strengthen its driver safety and insurance program to assist in preventing and controlling the costs of vehicle accidents. Collectively, such accidents cost the State millions of dollars each year including liability to other parties, repairs to State vehicles, workers' compensation and lost work time of employees. For maximum containment of these costs,

DEPARTMENT OF SOCIAL SERVICES
Findings and Recommendations, Cont'd

each State agency is expected to actively participate in the State's driver safety program. The following areas need strengthening:

- **Vehicle Authorizations** – current policies and procedures are not ensuring that an Authorization to Use Privately Owned Vehicle, STD. 261, certification form is completed and annually updated by employees who use their own vehicle to conduct State business. Specifically, at the time of our audit tests, a current STD. 261 was not available for 23 of 25 employees included in our sample tests who used their own vehicle on State business. The DSS' travel policies provide that managers/supervisors are to monitor their employees for the proper and timely completion of STD. 261s. As shown by the results of our review, these policies have not been effective.

SAM Section 0753 requires that a privately-owned vehicle authorization form be completed and annually updated by each employee who uses his or her own vehicle to conduct State business. In addition, this section provides that an employee's travel expense claim for private vehicle mileage should not be approved by a supervisor prior to verification that a current authorization form is on-file for the employee. The completion of the authorization form accomplishes the objective of having the employee certify in writing that the vehicle used will always be:

- Covered by liability insurance for the minimum amount prescribed by law;
 - Adequate for work performed;
 - Equipped with safety belts; and,
 - In safe mechanical condition.
- **Defensive Driver Training** – our review of the 25 frequent drivers identified above also found that all of them had not attended a defensive driver training course within the last four years. SAM Section 0751 provides that frequent drivers should attend and successfully complete an approved defensive driver training course at least once every four years. At the DSS, the responsibility for ensuring that employees attend a driver training course rests with managerial/supervisory personnel. As shown by the results of our tests, these employees are not consistently enforcing this requirement.

Recommendations

3. Implement policies and procedures that ensure the completion and annual update of a STD 261 certification form by employees who use their own vehicle to conduct State business. This process should include an annual notification to managers/supervisors of their responsibility for ensuring the completion and updating of the form.
4. Periodically reemphasize to operating unit managers and supervisors their responsibility for ensuring that employees who frequently drive on State business attend an approved defensive driver training course at least once every four years.

PASSENGER VEHICLE USAGE REPORTS

Our review of the DSS' fleet administration program found that policies and procedures are not ensuring the timely preparation and submittal of biannual passenger vehicle usage reports to the DGS' Office of Fleet and Asset Management (OFAM). At the time of our review, the DSS'

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last usage report was for the period March 2008 through August 2008. The DSS had not submitted reports that were due on February 15, 2009 and August 15, 2009. Apparently, staff turnover has impacted the DSS' ability to comply with the State's vehicle usage reporting requirements. The DSS has approximately 240 vehicles that are to be included in the biannual usage analysis process.

OFAM's Fleet Handbook requires that passenger vehicle utilization information be submitted to it biannually on February 15 and August 15. This reporting process ensures that a timely need evaluation is performed for passenger vehicles which are not used for more than 6,000 miles or for more than 80% of the work days within a six-month period. As part of this process, departments are required to include a plan of action for vehicles not meeting the minimum utilization criteria.

Recommendation

5. Implement policies and procedures that ensure the timely reporting to the OFAM of passenger vehicle usage information.

CONCLUSION

Our findings and recommendations are presented to aid the DSS in administering its business management functions and services. The DSS should address the reported issues to assist in ensuring compliance with applicable State laws, policies and procedures.



CDSS

JOHN A. WAGNER
DIRECTOR

STATE OF CALIFORNIA—HEALTH AND HUMAN SERVICES AGENCY
DEPARTMENT OF SOCIAL SERVICES
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EDMUND G. BROWN JR.
GOVERNOR

April 15, 2011

Rick Gillam, Chief
Department of General Services
Office of Audit Services
707 3rd Street, 4th Floor, Z-1s MS 104
West Sacramento, CA 95605

Dear Mr. Gillam:

**SUBJECT: AUDIT REPORT: COMPLIANCE WITH STATE BUSINESS
MANAGEMENT POLICIES**

The California Department of Social Services (CDSS) appreciates the opportunity to respond to the Department of General Services (DGS) draft report entitled "Compliance with State Business Management Policies".

The enclosed response addresses CDSS efforts to resolve the deficiencies cited in this report. The DGS has five recommendations of which CDSS has fully corrected four. Resolution of the remaining recommendation is currently in process and should be fully corrected by July 1, 2011.

If you have any questions concerning the enclosed CDSS responses, please contact me at (916) 657-2598 or Cynthia Fair, Chief, Audits Bureau, at (916) 654-2474.

Sincerely,

JOHN A WAGNER
Director

Enclosure

CALIFORNIA DEPARTMENT OF SOCIAL SERVICES (CDSS) COMMENTS

The following comments are in response to findings and recommendations contained in the draft report titled: Department of General Services (DGS) Audit of CDSS for Compliance with State Business Management Policies, Report No. 0120, March 2010. Partially corrected tasks are identified with an anticipated correction date. All other task have been completed.

DELEGATED PURCHASING PROGRAM

Recommendation 1: Implement additional quality assurance policies and procedures to assist in ensuring full compliance with the requirements of the delegated purchasing program. The process should address the issues noted below:

- *documentation that a firm's certification status was verified prior to the award of the procurement to a firm identifying itself as a small business (SB) and/or disabled veteran business enterprise (DVBE) (including transactions paid through the use of a CAL-Card). Departments must verify SB and/or DVBE status on a DGS website prior the award of procurement and maintain a copy of the firm's current certification in the procurement file to fully document the transactions (SCM 2 and 3, 3.2.5).*
- *a copy of the supplier's seller's permit (SCM 2, 4.B6.3 and SCM 3, 4.B7.5);*
- *documentation that a procurement was entered into the State's centralized database for contract and purchase transactions (SCM 2, 8.1.1);*
- *documentation that the Department of Fair Employment and Housing was notified of purchase awards in excess of \$5,000 (SCM 2, 12.B3.0);*
- *information that either two price quotations were received or fair and reasonable pricing established for transactions of less than \$5,000, including CAL-Card payment transactions (SCM 2, 4.C1.0);*
- *a properly completed Purchasing Authority Purchase Order, STD. 65, that accurately referenced the State's general provisions and/or the procurement method used to award the purchase order (SCM 2, 8.3.5 and SCM 3, 8.4.5); and;*
- *copies of the contract cover page and pricing page(s) for leveraged procurement agreement (LPA) transactions (SCM 2 and 3, Section 6.A4.4). Further, a number of the LPA transaction files did not contain information on the criteria used to determine best value (SCM 2 and 3, Section 6.A4.0) and documentation supporting that multiple offers were solicited for the purchase (SCM 2 and 3, 6.A3.0). In most cases, the LPA purchase order forms, STD. 65s, also did not contain a reference to the department's purchasing authority number (SCM 2, 8.3.5 and SCM 3, 8.4.5).*

STATUS: Partially Corrected

Anticipated Correction Date: July 1, 2011

EXPLANATION: The CDSS concurs with this recommendation and has taken steps to educate the buyer and requestor on steps to correct the findings and become compliant with DGS recommendations.

All Purchasing Unit and Contracts Bureau analysts and managers have been certified through DGS by attending the California Procurement and Contracting Academy (CalPCA) Basic Acquisition Program. Most have also completed the required minimum workshops. Future staff training plans include enrollment in the Intermediate Acquisition Program which focuses on Information Technology (IT) Goods and Services acquisitions. In addition to facilitating ongoing staff training, CDSS has taken the following steps to guide the buyer through the development and implementation of all classifications of contracts and purchasing transactions including LPA agreements:

Purchasing Unit: The Purchasing Unit staff have already implemented all procedures to become compliant with audit findings. Purchasing Unit staff are instructing program staff of correct procedures when incomplete packages are submitted to the Purchasing Unit for processing.

Purchasing Unit staff have completed a review of State Contracting Manuals (SCM); Volumes II and III with an emphasis on Chapter 3 – *Socioeconomic and Environmental Programs*, Chapter 4 – *Competitive Solicitations*, Chapter 6 – *Leverage Procurement Agreements*, and Chapter 8 – *Purchase Documents*. The SCM II and III are desk references and used as a basis for all purchasing transactions.

The CAL-Card Procedure Manual (*DRAFT*) has been updated to ensure the cardholder and approving official has all of the information required to determine when the CAL-Card method of payment is to be utilized. Anticipated completion date: July 1, 2011

The Purchasing Policies and Procedures Handbook (*DRAFT*) has been updated to address all issues from the compliance audit. Anticipated completion date: July 1, 2011

Job aids have been developed to ensure compliance with DGS and CDSS purchasing authority requirements and result in complete and proper file documentation for the procurement transaction file as follows:

- A. **Purchase Order Checklist** (Attachment A) – A complete list of all documentation required in order of precedence. The lists show all required documentation including documentation identified in compliance audit: SB/DVBE certification status, seller's permit, methodology used to execute purchase, and LPA cover and pricing pages. The checklist documents a central location established for documentation that is not kept in the purchasing transaction file, including complete copies of LPA contracts, the Darfur Contracting Act, Payee Data Record (STD. 204), and Seller's Permit. The checklist reminds the buyer to register the final purchase document in the State Contract and Procurement Registration System (SCPRS) and assists the buyer with completing all sections of the Purchase Order (STD. 65).

- B. Bidder's Check List (Attachment B) – Used as a buyer's tool to document the bidding process from start to finish and remains in the purchasing transaction file. Ensures bids are conducted according to state's purchasing policies. Documents vendor information, SB/DVBE, Commercially Useful Function, required state forms, freight or shipping terms, and payment terms.
- C. Bid/Quote Worksheet (Attachment C) – Used for informal price quotations not requiring a formal bid and to document the result of bids packages received. Provides an area to document an explanation for an award that was not based on low bid, or if less than the required amount of bids were received.
- D. Cheat Sheet (Attachment D) – Used as a buyer tool to indicate dollar threshold and bid requirements for both competitive solicitations and LPA's.

Contracts Bureau: The Contracts Bureau uses the SCM Volume I (for Non-IT Services) and SCM Volume III (IT Services, LPA contracts) to conduct business. The SCM Volume I is a desk reference for all analysts. The following job aids have been updated to reflect the state's requirements as identified in the compliance audit:

- A. Contract/CMAS/IFB/RFO/RFP Checklist (Attachment E) – The checklist is a tool utilized by contract analysts to ensure all required documentation is obtained and included in the contracts file documentation. The following items are on the checklist: The Department of Fair Employment and Housing (STD. 16), SB/DVBE Certification, Darfur Contracting Act, the State's General Terms and Conditions, Payee Data Record (STD. 204) and registration in SCPRS. The checklist instructs contract analysts to include print out list of bidders or offerors who were solicited, contract cover sheet and pricing pages in resulting contract for LPA transactions and to retain a complete copy of the LPA contract in the file. The checklist also instructs contract analysts to print the advertisement from the eProcurement website. The completed checklist remains in the file through the review and signature process and becomes permanent file documentation.
- B. Summary Sheet (Attachment F) – The Summary Sheet was developed to demonstrate that the administrative review was conducted on solicitations and documents multiple offers, including SB/DVBE information.
- C. Composite Evaluation Summary Sheet (Attachment G) – The Composite Evaluation Summary Sheet includes file documentation that demonstrates the criteria used to determine best value criteria used for LPA contracts.

Recommendation 2: *Process printing services procurements in accordance with the State's service contracting requirements contained in SCM Volume I.*

STATUS: Fully Corrected

Date Corrected: April 1, 2011

EXPLANATION: The CDSS concurs with the recommendation. The CDSS Service Order (GEN 1371) has been developed and implemented. A memorandum to CDSS Supervisors and Above, released on March 23, 2011, announced the new process effective April 1, 2011 (see Attachment H).

Most CDSS printing service requests are valued at under \$5,000 and will be acquired using the Service Order process. The Service Order is in full compliance with the state's policies and has been approved for use by the State Controller's Office and CDSS Management.

The CDSS users are required to document the methodology used to arrive at the award of the Service Order. Four options are available including: fair and reasonable pricing, price quotations (competitive), exempt purchases, and SB/DVBE acquisitions. Users cannot proceed to the final award without a completed Service Order Package approved by the Contracts Bureau. The Service Order (GEN 1371) with instructions, training module, and desk procedures are located on the CDSS Intranet page which is available to all CDSS employees.

Printing service requests valued at over \$5,000 and under \$10,000 will utilize the Short Form Contract (STD. 210). The STD. 210 and Instruction Manual are provided by the DGS Office of Legal Services. Both are located on DGS' website at <http://www.dgs.ca.gov/Default.aspx?alias=www.dgs.ca.gov/ols>. Contracts Bureau analysts will utilize the general terms and conditions (GTC SF 610), governing the purchase of services for the STD. 210 process.

Printing service requests valued at over \$10,000 will be solicited using the Invitation for Bid process and result in a Standard Agreement (STD. 213) contract. The General Terms and Conditions (GTC 610) for services will be utilized for these transactions.

DRIVER SAFETY AND INSURANCE PROGRAM

Recommendation 3: *Implement policies and procedures that ensure the completion and annual update of a STD. 261 certification form by employees who use their own vehicle to conduct State business. This process should include an annual notification to managers/supervisors of their responsibility for ensuring the completion and updating of the form.*

STATUS: Fully Corrected

Date Corrected: April 7, 2011

EXPLANATION: The CDSS concurs with the recommendation. Drivers of privately owned vehicles on state business will be identified by their immediate supervisors. The CDSS informed all levels of management, through the release of an All Staff Memo on April 7, 2011 (see Attachment I), stating that it is mandatory that those identified as drivers of privately owned vehicles on state business complete an Authorization to Use Privately Owned Vehicles on State Business (STD. 261) on an annual basis. A completed STD. 261 is due to the Transportation Coordinator by July 1st of each year and will be retained for CDSS records. Annual reminders have been incorporated into the Transportation Unit's work plan and will be sent out every June.

Recommendation 4: *Periodically reemphasize to operating unit managers and supervisors their responsibility for ensuring that employees who frequently drive on State business attend an approved defensive driver training course at least once every four years.*

STATUS: Fully Corrected

Date Corrected: April 7, 2011

EXPLANATION: The CDSS concurs with the recommendation. Managers and supervisors have been notified that it is their responsibility to ensure that employees who frequently drive on state business must complete a Defensive Drivers Training course at least every four years. A Supervisors and Above memo was released on April 7, 2011 (see attached), instructing supervisors and above to check the DGS website <https://www.training.dgs.ca.gov/course.asp?courseID=14> for availability of upcoming Defensive Driver Classroom Training. Following course completion a copy of the certificate will be kept on file with the employee's immediate supervisor. Annual reminders have been incorporated into the Transportation Unit's work plan and will be sent out every June.

PASSENGER VEHICLE USAGE REPORTS

Recommendation 5: *Implement policies and procedures that ensure the timely reporting to Office of Fleet and Asset Management (OFAM) of passenger vehicle usage information.*

STATUS: Fully Corrected

Date Corrected: March 1, 2011

EXPLANATION: The CDSS concurs with the recommendation. The CDSS has established a reporting method for employees to submit their vehicle usage to the Transportation Coordinator on a monthly basis. The Official Monthly Travel Log (STD. 273) must be completed and submitted to the Transportation Coordinator by the second Wednesday of each month. The Transportation Coordinator will track submissions and monitor compliance to ensure that all vehicles are being used for more than 6,000 miles or for more than 80 percent of work days over a six month period. The vehicles that do not meet this threshold will be reported bi/annually (February 15/ August 15) on the Vehicle Usage Justification Form (STD. 276) along with a plan of action for those vehicles not meeting the minimum utilization criteria. The CDSS has also established a work plan calendar that will track when annual reports for CDSS' vehicle fleet need to be submitted or updated to ensure that all reports are submitted timely.

PURCHASE ORDER CHECKLIST			
A. STD. 65 FORM FIELDS			
Agency Billing Code	<input checked="" type="checkbox"/>	SCPRS Number (over \$5000)	
Purchasing Authority Number	<input type="checkbox"/>	Contract Registration Number	
Leveraged Procurement Number	<input type="checkbox"/>		
Contact name and phone number			
Agency Order Number (PO#)			
B. SMALL/DVBE VENDOR			
Vendor Small/Micro Business	<input type="checkbox"/>	Expiration date	
OSCD #	<input type="checkbox"/>	Cert on file:	
Vendor DVBE: Yes/No	<input type="checkbox"/>	Expiration date	
OSCD #	<input type="checkbox"/>	Cert on file:	
Commercially Useful Function:	<input type="checkbox"/>	Calculation provided	
		S/B Option	
C. VENDOR DATA			
Payee Data Record on file	<input type="checkbox"/>	Vendor name and full address	
Seller's Permit on file	<input type="checkbox"/>	Contact Name and email	
Darfur Contracting Act on file	<input type="checkbox"/>	Bid/Quote sheet signed by vendor	
Recycled-Contract Certification	<input type="checkbox"/>		
D. FREIGHT AND SHIPPING			
Deliver Date provided	<input type="checkbox"/>	DGS Traffic Mgmt Needed	
Shipping Instructions	<input type="checkbox"/>	Cost needed to be added on line item on PO	
City of origin, State and Zip Code	<input type="checkbox"/>		
E. TERMS AND CONDITIONS			
A-1 Identified GSPD Non-IT or GSPD IT	<input type="checkbox"/>	Input date of GSPD	
A-2 Checked for Leverage Procurement	<input type="checkbox"/>	Box B for Special Provisions	
Attached or Website checked	<input type="checkbox"/>		
Box C - For attachments: SOW or IT Model Language Modules	<input type="checkbox"/>		
F. PROCUREMENT METHOD			
Procurement Method	<input type="checkbox"/>	Bid Worksheet attached	
If LPA contract purchase, where is copy of	<input type="checkbox"/>	If over \$1000, two	
is header page and price page of contract	<input type="checkbox"/>	bids received?	
G. DOCUMENTATION REQUIRED			
Fair & Reasonable documented: Note	<input type="checkbox"/>	Certify Compliance with	
Quote Worksheet attached	<input type="checkbox"/>	Best Value Justification	
SB/DVBE only - for CUF	<input type="checkbox"/>	Verbal Bid for SB/DVBE	
Housing (for over \$5000)	<input type="checkbox"/>	Clause needed	
COMMENTS:			

CA DEPARTMENT OF SOCIAL SERVICES

Solicitation Number:		Bid due		Buyer Name:	
BIDDERS CHECK LIST					
A. VENDOR INFORMATION					
Vendor Name:					
Vendor Address:					
Contact Name:					
Contact phone #:		Fax#:			
B. SMALL/DVBE VENDOR					
Vendor Small/Micro Business:		Expiration date:			
OSCD #	Cert on file:				
Vendor DVBE:		Expiration date:			
OSCD #	Cert on file:				
Bidders Declaration (for CUF)					
C. TYPE OF PROCUREMENT METHOD					
Competitive Bid:					
Type of LPA:					
Contract Number:					
Contract provided or on file:					
D. REQUIRED DOCUMENTATION					
Payee Data Record on file		Bidders Declaration:			
Seller's Permit on file					
Darfur Contracting Act on file		Certify Compliance with State IT policies			
Recycled-Contract Certification					
E. FREIGHT AND SHIPPING					
FOB DESTINATION:		Cost needed to be added on PO			
Delivery ARO		Require Transportation approval or cost estimate:			
City of origin, State and Zip Code					
F. PAYMENT TERMS					
NET:					
NET 45:					
Promp Paye Small Business/DVBE					
G. QUOTATION REQUEST					
Request for Quote Sign by vendor?		Quote compliance:			
Quote Comparable		Quote itemized as on request			
NOTES OR COMMENTS ON BID:					

BID QUOTE WORKSHEET

Prices obtained by:			Requisition Number:				Date:	
Date Quote Received:								
Vendor Name								
Vendor Address								
Contact Name:								
Contact Phone Number:								
Vendor Fax Number or Email Address:								
Small Business:			Type:	Expiration date:		Type:	Expiration date:	
			Cert #			Cert #		
Disable Veteran:			DVBE:	Expiration date:		DVBE: No	Expiration date:	
FOB DESTINATION: FREIGHT PREPAID			SHIPPING	SEE BELOW	SHIPPING	NO CHARGE		
UNIT	DESCRIPTION	QTY	PRICE	EXTENSION	PRICE	EXTENSION	PRICE	EXTENSION
				\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -
				\$ -		\$ -		\$ -
		TOTAL:		\$ -		\$ -		\$ -

AWARD TO LOW BID

Attachment C

COMPETITIVE PURCHASES - NON-IT:

Dollar Value	Bids	Type	Justification
Less \$100	1	Written (email or quote sheet)	Fair & Reasonable
Small Business Option (\$5,001 to \$249,999.99)	3	Written (email or quote sheet)	2 Bids from either Small Business or 2 DVBE
Over \$100 to \$999.00	2	Written (email or quote sheet)	Low Bid or Fair & Justification
Bwt \$1000 to \$5000	3	Written (email or quote sheet)	Low Bid or Fair & Justification

LEVERAGE PROCUREMENT AGREEMENTS - NON-IT:

(State Contracts, CMAS, Master Agreements, State Price Schedules, WSCA and NASPO)

Dollar Value	Bids	Type	Justification
Less \$5000	2	Written (email or quote sheet)	Low Bid or Fair & Reasonable
\$5001 to \$50,000	3	Written (email or quote sheet)	Low Bid or Fair & Reasonable

COMPETITIVE PURCHASES - IT Goods & Services:

Dollar Value	Bids	Type	Justification
Less \$100	1	Written (email or quote sheet)	Fair & Reasonable
Small Business Option (\$5,001 to \$249,999.99)	3	Written (email or quote sheet)	2 Bids from either Small Business or 2 DVBE Business
Over \$100 to \$999.00	2	Written (email or quote sheet)	Low Bid or Fair & Justification
Bwt \$1000 to \$5000	3	Written (email or quote sheet)	Low Bid or Fair & Justification

LEVERAGE PROCUREMENT AGREEMENTS - IT GOODS & SERVICES:

(State Contracts, CMAS, Master Agreements, State Price Schedules, WSCA and NASPO)

Dollar Value	Bids	Type	Justification
Less \$5000	2	Written (email or quote sheet)	Low Bid or Fair & Reasonable
\$5001 to \$50,000	3	Written (email or quote sheet)	Low Bid

SOFTWARE LICENSE PROGRAM (SLP) CONTRACTS - IT GOODS & SERVICES:

Dollar Value	Bids	Type	Justification
up to \$250,000	3	Written (email or quote sheet)	Low Bid

PRISON INDUSTRY AUTHORITY

Dollar Value	Bids	Type	Justification
Unlimited	0	Verbal or Written Prices	none

ATTACHMENT D

CONTRACT/CMAS/IFB/RFP/RFP CHECKLIST for Agreement XX-XXXX

Copy of checklist, all documents and forms, must be placed in the contract file. Place a check mark in applicable box(es).

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VERIFICATIONS: Check on the following as applicable:	
CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA (SCM 5.30.D). Prior to contract award, verify if corporation is in good standing by accessing Secretary of State's web site: www.sos.ca.gov	SB/DVBE. Standard agreements must be documented on the STD 215. Request for Offers under CMAS must be sent to at least 1 SB and DVBE vendor. Document compliance for CMAS on mailing list.
CONSULTING SERVICES CONTRACT- REVIEW OF PRIOR EVALUATIONS (SCM 3.02.3). For contracts of \$5,000 or more, FAX memo to DGS/Office of Legal Services requesting check for negative evaluations on prospective contractor. Fax number: 376-5088. DGS will fax back response.	ETHNICITY/RACE/GENDER (ERG) BUSINESS OWNERSHIP QUESTIONNAIRE (PCC 10111). Required for all contracts with businesses. File all returned response questionnaire in ERG binder. N/A for IA.
CONTRACTOR LICENSE. If a specific contractor license is required, check license by accessing the Contractors State License Board's web site (www.cslb.ca.gov).	VENDORS/BIDDERS LIST. For CMAS/IFB/RFP/RFO must include the following in the contract file: ✓ CMAS: Vendor list; verify CMAS number ✓ IFB/RFP: Print Bidders list from eProcurement before solicitation drops off from system: Date:
PERMITS. For moving, courier services, etc. Check DMV to verify for valid Motor Carrier permit. For moving services check Public Utilities Commission to verify valid permit number. http://dmv.ca.gov/vehindustry/mcp/mcpfaq.htm#whodoes http://www.cpuc.ca.gov/PUC/transportation/movers.htm	SOLICITATION ADVERTISEMENT. For IFB/RFP/RFO print advertisement and include a copy in the contract file.
DOCUMENTS REQUIRED	SB/DVBE CERTIFICATION. Verify firms status prior to award. Print and retain certification in the file.
PAYEE DATA RECORD (STD 204) (SCM 7.25). All contractors must provide a taxpayer identification number (FEIN/SSN). Provide STD 204 to contractor for completion. N/A if STD 204 is currently on file or no changes to report. N/A if a government entity.	LEVERAGED PROCUREMENT AGREEMENT (LPA) ✓ Print cover page and pricing page(s) of CMAS/MSA contract; retain in file. ✓ Entire CMAS contract must be received and retained in file.
LOBBYING CERTIFICATION. For Interagency, Standard, and UC Agreements, the certification clause is in Exhibit D, and it is not necessary to obtain the signed certification. • For other contracts with federal funds, including CMAS/MSA, send certification form to contractor for signature. Contracts Analyst must track to ensure signed certificate is obtained and filed in the contract file.	ADDITIONAL APPROVALS:
DEBARMENT CERTIFICATION (See Exhibit D of contract). For Interagency, Standard, and UC Agreements, the certification clause is in Exhibit D and it is not necessary to obtain signed certification. For other contracts with federal funds, including CMAS/MSA, send certification form to the contractor for signature. • Verify that contractor has not been suspended or debarred by accessing the Excluded Parties Listing System: http://www.epls.gov • Print results and put in the contract file • N/A for receivable contract *Contract Analysts must track to ensure signed certificate is obtained and filed in the contract file.	LEGAL SERVICES CONTRACTS (SCM 3.07). Legal Division is responsible for obtaining written consent from AG Office prior to contract execution
CONTRACTOR CERTIFICATION CLAUSES (CCC) Required on all standard agreements, (includes MOU), except MSA. Check CCC Binder, if CCC is not on file, is not current version, or is expired, request from contractor. ✓ File original signed certification in the contract file. ✓ Include a copy in the CCC binder.	INSURANCE • See SCM 3.12 for list of activities covered. • See SCM 7.40 for required insurance language and proof of liability insurance. See Additional Contract Provisions. • Required if motor vehicle is used in performance of contract. • FAX copy of certificate, STD 215, STD 213 Exhibit A and E to DGS ORIM. • ORIM will fax approval.
LOCAL GOVERNMENT APPROVAL (SCM 3.05 and 2.06.C). Contracts with local governments (county or city) require a copy of the resolution, order, motion or ordinance from the local government body, which by law has authority to enter into the proposed contract, authorizing execution of the agreement. Request document when requesting signature on contract.	CONFIDENTIAL DATA. Attach applicable CDSS Confidentiality and Security Requirements. All contracts require review by the Information Security Office. Include reference in Exhibit E.
STATE BOARD AND COMMISSIONS (SCM 2.06 B). Contracts in excess of \$5,000 must be accompanied by evidence of the applicable authority to sign contract. Copy of the resolution, order, or motion.	HEALTH INSURANCE PORTABILITY & ACCOUNTABILITY ACT (HIPAA). Contracts with any HIPAA provisions require review by the Research and Evaluation Unit and Legal Division.
FAIR EMPLOYMENT HOUSING (STD 16) (SCM 4.08.A.1.d & 7.15). For contracts including UCs, in excess of \$5,000, within 10 working days of award, complete and send the STD 16 to DFEH. Does not apply to contracts with other CA state agencies, or with the federal government.	CERTIFICATE OF COMPLIANCE FOR ALL IT SERVICES. Upon receipt of IT related GEN 704, send original GEN 704 w/attachments to program's ISD IT Relationship Manager for: • Certificate of Compliance. • Signature on GEN 704 *Process repeated as stated for resulting IT contract resulting from RFO. **Make copy of GEN 704 for your records before sending it to the IT Relationship Manager.
REPORT OF INDEPENDENT CONTRACTOR (DE542). Contracts or cumulative payments to an independent contractor in excess of \$600 must be reported to EDD within 20 days.	CONTRACTS FOR PRINTING SERVICE (MM 07-06). Contracts with any printing services require review by Forms Management Unit and exemption by OSP. Send a copy of the contract on a GEN 944, to M.S. 8-7-182. IA included.
CONSULTING SERVICES-PERFORMANCE EVALUATION (STD 4) (SCM 3.02.5). For contracts of \$5,000 or more, STD 4 must be completed within 60 days of contract completion. Send STD 4 to Program on a GEN 944.	MULTIPLE YEAR CONTRACTS AND SUBVENTION (SCM 7.80). Obtain approval from DGS-OLS Attorney via a memo or email prior to release of IFB or RFP for a contract term beyond two years. For a subvention contract: • Upon receipt of GEN 704, obtain approval via an e-mail justification to DGS-OLS Attorney. • Attach approved justification to the STD 215.
	ADDITIONAL LANGUAGE REQUIREMENTS: C C
	FORMAL SOLICITATIONS (IFB/RFP). Insert the actual address for bid opening.
	CONSULTING SERVICES CONTRACT-CONTRACTOR EVALUATIONS (SCM 3.02.5). Contracts of \$5,000 or more, contractor shall be advised in the standard contract that their performance will be evaluated. See Additional Contract Provisions for language. Include language in Exhibit E.
	CONSULTING SERVICES CONTRACT (SCM 7.33) Include Progress payment language and 10 percent withhold in offer/solicitation/contract and indicate on the STD 215.
	CONSULTING SERVICES CONTRACT - RESUMES (SCM 3.02.1.A.3). Contracts of \$5,000 or more must include completed resumes for each contract participant who will have a major administrative role or major policy/consultant role, as identified by the contractor. See Additional Contract Provisions for language. Include

CONTRACT/CMAS/IFB/RFO/RFP CHECKLIST for Agreement XX-XXXX

Copy of checklist, all documents and forms, must be placed in the contract file. Place a check mark in applicable box(es).

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language in Exhibit E.
INSURANCE Include language in Exhibit E. See Additional Contract Provisions for language. Include language in Exhibit E.
ADDITIONAL LANGUAGE REQUIREMENTS CONTINUED
DARFUR CONTRACTING ACT (Effective January 1, 2009) All Invitations for Bids (IFB) and Request for Proposals (RFP) for goods and services must address requirements of the Darfur Contracting Act. (Public Contract Code sections 10475, <i>et seq.</i> ; Stats. 2008, Ch. 272). Include language and attachment. See Additional Contract Provisions for language. N/A for CMAS.
SUBVENTION AID/LOCAL ASSISTANCE (SCM 3.17.2). See SCM for specific provisions related to property, reimbursement for purchases and training etc. Include language in Exhibit E. See Additional Contract Provisions.
EQUIPMENT PURCHASES (SCM 7.29). When equipment is purchased or built with state funds as part of the contract, the contract must clearly state that title will be vested in the State. Include language in Exhibit E. See Additional Contract Provisions.
RECYCLE PRODUCT CONTENT (SCM 7.70). Contract requires language for use of recycled products (janitorial, printing, contracts involving cleaning parts.) Use Exhibit E and include attachment. See TEMPLATES folder for Exhibit E and attachment located at: Contracts\Contracts Common\TEMPLATES\EXHIBIT E PUBLIC WORKS.
ADVANCE PAYMENT (SCM 4.03.4 & 7.32). Contract requires DGS/OLS approval regardless of dollar amount. Document on the STD 215. N/A for IA.
DELIVERABLES AND INTELLECTUAL PROPERTY RIGHTS. Include language in Exhibit E as applicable. See Additional Contract Provisions.
GENERAL TERMS AND CONDITIONS (GTCs). New contracts and amendments must reference current GTCs. See : http://www.ols.dgs.ca.gov/Standard+Language/default.htm for most current version. ✓ Print GTCs and include a copy in the contract file.
BUDGET MODIFICATION LANGUAGE. Include language in Exhibit B for contracts with line item budgets. See Additional Contract Provisions for language.
Catalog of Federal Domestic Assistance (CFDA) Number and Program Title. For Interagency Agreements and non-competitive community based non-profit organizations, include language and CFDA Number and complete Program Title in Exhibit B, Section A.4. The following steps below must first be taken: <ul style="list-style-type: none"> • 1. Contract Analyst must review bottom of GEN 944, Encumbrance Information for CFDA Number and Program Title to be included in Exhibit B • 2. Complete Program Title: Contract Analysts must review attachment to the County Fiscal Letter No 09/10-38 located in the CFDA folder at: Contracts common\TEMPLATES\CFDA\09-10_38.pd • 3. Add language in Exhibit B. See Additional Contract Provisions for language
TITLE IV-E FUNDING AND CHECKLIST FOR CONTRACTS FOR TRAINING. <ul style="list-style-type: none"> • Title IV-E Checklist must be signed and submitted with the GEN 704. • Include language for Title IV-E in Exhibit B. See Additional Contract Provisions.
PUBLIC WORKS CONTRACTS (SEE ALL SECTIONS OF SCM 10; 10.10; 10.15; 10.20. 10.25 and 10.30). Contract requires language for janitorial and electrical services. Use Exhibit E and attachment located at: Contracts\Contracts Common\TEMPLATES\EXHIBIT E PUBLIC WORKS.
STATE CONTRACT & PROCUREMENT REGISTRATION SYSTEM (SCPRS) (MM03-09) Effective 7/1/09, Registration of all contracts in SCPRS. Registration number must be written on the contract. N/A for MOU.

Invitation for Bid
Summary Sheet

Solicitation Number and Title:

Contract Analyst:

Bidder Response Number	Company Name	SB	DVBE	Passed Administrative Requirements in solicitation and checklist?	Bid Price	Preference Y/N	5%	Final Bid Price	
1									
2									
3									
4									

Summary:

Attach copies of response packages and forward for manager's certification

Managers Certification:

Managers Signature

Date

Attachment F

Invitation for Bid
Summary Sheet

Instructions for completing bidder response number field:

Responsive responsible bidder should be in the #1 position, thereafter all other bids following in order.
Non-responsive bidders should be last.

Instructions for completing summary:

- * IFB was conducted using what bid process (formal, informal, e-procurement)
- * How many bids were received, how many passed the administrative review
- * Were any bids deemed non-responsive. If so, why?
- * How was bidder notified that they were non-responsive? Date letter sent?
- * Was there a SB Preference applied?
- * Was the DVBE Incentive applied?

COMPOSITE SCORE SHEET
Best Value Criteria
RFO #XX-XX Project Title:

Contractor Name	Knowledge and Experience:	Personnel Resources:	References:	Methods/Mean:	Cost	Total Composite Score
	30	10	5	5	50	100

Evaluation Panel Names/Signatures:

Chairperson:

Signature _____ Date _____

Panel Member:

Signature _____ Date _____

Panel Member:

Signature _____ Date _____

Certified by _____ Signature _____ Date _____

Certified by _____ Signature _____ Date _____

Attachment G

Bane, Charles@DSS

From: CDSS Official Announcements@DSS
Sent: Wednesday, March 23, 2011 11:02 AM
To: CDSS Sups & Above
Subject: REPLACEMENT OF THE DIRECT PAY PROCESS WITH THE SERVICE ORDER PROCESS

March 23, 2011

TO: SUPERVISORS AND ABOVE

FROM: DEBORAH PEARCE, Chief
Contracts Bureau

SUBJECT: REPLACEMENT OF THE DIRECT PAY PROCESS WITH THE SERVICE ORDER PROCESS

Effective April 1, 2011, the California Department of Social Services' (CDSS) Direct Pay process will no longer be used to hire a contractor to perform Non-Information Technology (IT) services valued at under \$5,000. Historically, CDSS programs have used the Direct Pay process to purchase Non-IT services. The new Service Order process will take the place of the Direct Pay process without exception.

An audit conducted by the Department of General Services identified that the Direct Pay process was not in compliance with state contracting policies. The State Controller's Office has also begun to discontinue the practice of accepting an approved invoice for payment and instead is requiring a purchase document to pay the invoice. To ensure compliance and payment for critical services, it was necessary to restructure the Direct Pay process.

State policy allows departments to purchase Non-IT services valued at less than \$5,000 without conducting a competitive solicitation, but the contractor must first be deemed administratively compliant prior to being allowed to start work. Under the new Service Order process, CDSS programs will retain the ability to hire the contractor of their choice provided they have conducted a series of verifications ensuring the contractor is cleared to do business with the state and that the state can pay them for their services. The required verifications include, but are not limited to, checking registration with the Secretary of State, written confirmation of the contractors' Federal Employee Identification Number, and a search of the Excluded Parties List System website confirming that the contractor is not debarred from doing business by the federal government.

The AA18 is a requisition document that has historically been used by CDSS programs to purchase goods, but has also been used as the approval document for the Direct Pay. The AA18 will no longer be accepted for Non-IT services after April 1, 2011. The Contracts Bureau will continue processing Direct Pays on the AA18 until then. After April 1, 2011, the AA18 will no longer be accepted by the Contracts Bureau.

The AA18 will continue to be used for goods only and is submitted to the Purchasing Unit in the Administration Division's Management and Staff Services Branch. Some examples of goods include the purchase of toner cartridges, retirement awards, paper, and desk phones. A good is a tangible item that can be touched or held in the hand.

The GEN 1371 Service Order is used for Non-IT services. Some examples of Non-IT services include printing, sign language services, background checks, and translation services. A Non-IT service is defined as useful labor that does not produce a tangible commodity. This might be hiring a company to fix a machine. A good might be included with the service, for example, a part might be needed to fix a machine but the primary purpose is the actual service the company is providing.

A series of tools have been developed to assist CDSS programs with the transition to the new process including: Service Order form (GEN 1371) with instructions, PowerPoint training module, and a detailed procedures document. These tools are located on the Contracts Bureau Intranet page at <http://www.dss.ca.gov/dsssourc/P2095.asp>.

An email address has been set up to quickly manage questions at serviceorderquestions@dss.ca.gov and will be used to develop a list of Frequently Asked Questions. Contracts Bureau analysts are available by phone at (916) 657-1889 to answer urgent questions. Please do not hesitate to contact the Contracts Bureau for assistance with the new Service Order process.

Pearce, Deborah@DSS

From: CDSS Official Announcements@DSS
Sent: Thursday, April 07, 2011 2:51 PM
To: CDSS Sups & Above
Subject: VEHICLE USAGE ON STATE BUSINESS

April 7, 2011

TO: SUPERVISORS AND ABOVE

FROM: RON CARDA, Chief
Administrative Services Bureau

SUBJECT: VEHICLE USAGE ON STATE BUSINESS

The purpose of this memo is to inform managers and supervisors about the responsibility employees have regarding the usage of State vehicles or privately owned vehicles on State business.

Authorization to Drive Privately Owned Vehicle on State Business Form (STD 261)

In accordance with the State Administrative Manual Section 0753, if an employee would like to use a privately owned vehicle on State business the employee must complete an Authorization to Drive Privately Owned Vehicle on State Business Form (STD 261) signed by their supervisor and submits a copy to the Transportation Coordinator. The STD 261 is to be renewed annually and submitted to the Transportation Coordinator by July 1st of each year. In addition, this section states that an employee's travel expense claim for private vehicle mileage should not be approved by a supervisor prior to verification that a current STD 261 form is on-file for the employee.

Defensive Drivers Training

It is the supervisor's responsibility to ensure that employees who frequently drive on State business are required to complete a Defensive Drivers Training course at least every four years. The Department of General Services periodically offers Defensive Driver Classroom Training. Check the DGS training website for upcoming classes. Upon successful completion of the course, a copy of the certificate should be kept on file with the employee's immediate supervisor.

Pull Notice Program

Managers and supervisors of employees who frequently drive on State business are required to review Department of Motor Vehicle (DMV) driving records for each frequent driver. This can be done by using the DMV "Pull Notice Program." For instructions on how to obtain driving records from the DMV please refer to section 3-900.10.2 of the CDSS Administrative Manual.

The Transportation Coordinator will be working with managers, supervisors and employees in order to ensure that the Department complies with DGS guidelines. If you have questions or need assistance, please contact Jessie Rosales at (916) 651-1482 or Jessie.Rosales@dss.ca.gov.

**DEPARTMENT OF SOCIAL SERVICES
COMPLIANCE AUDIT**

EVALUATION OF DSS' RESPONSE

We have reviewed the response by the Department of Social Services (DSS) to our draft report. The response to the recommendations is satisfactory. We appreciate the efforts taken or being taken by the DSS to improve its business management functions and services.