CALTRANS E-FIS PROJECT
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Name, Title	**Department / Organization**	**Date**

Clark Paulsen
E-FIS Project Director

Signature: Clark Paulsen 11/18/09

Kathy Booher,
E-FIS Business Project Manager

Signature: Kathy Booher 11-17-09

Ardeana Ota
E-FIS Technical Project Manager

Signature: Ardeana Ota 11/17/09

CALIFORNIA DEPARTMENT OF TRANSPORTATION

E-FIS PROJECT

Contract Management Plan

Date: 11/16/09
Final
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REVISION HISTORY

Version Number	Date	Author	Comments
1.0	1/24/2007	Ken White	Initial Draft – For discussion purposes only
2.0	1/29/07	Ken White	Second Draft – Many edits based on project team review.
3.0	2/06/07	Ken White	Final – Edits based on project team review. Added references to websites and online documents (Appendix A, updated checklists from DPAC).
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5.2	9/17/2008	Susan Salisbury	Added roles and responsibilities
6.0	10/23/08	Susan Salisbury	Final
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7.0	4/1/09	Susan Salisbury	Final – Based on project team comments.
7.1	10/16/09	Carrie Johnson/Sue Fong	• Updated Table of Contents. • Updated Appendices. Added Appendix G on Receiving Record. • Changed reference – IT Project Management Office (IT PMO) to Caltrans Project Management Office (Caltrans PMO - Enterprise Technology Investment Division (ETID)).
8.0	11/16/09	Carrie Johnson/Sue Fong	Final – Based on project team comments.

REFERENCES

Document	Comments
A Guide to the Project Management Body of Knowledge, Project Management Institute	Provides industry standard Project Management Processes and Procedures
State of California Department of Finance IT Oversight Framework	Provides specific project management requirements

1 INTRODUCTION

1.1 Background

In an effort to address problems associated with critical shortcomings in the Department of Transportation's (the Department's) financial management processes and information systems, the Department has conducted a comprehensive study that reviewed its financial operations to identify areas of inefficiencies and improvements that could be made through a combination of new processes and systems. The study recommended the implementation of a Department-wide Integrated Financial Management System (IFMS). The plan calls for the implementation of IFMS through a series of projects, paralleled and sequenced according to project priorities and dependencies.

The Department has received funding and authorization to proceed with the first IFMS project, the ERP Financial InfraStructure (E-FIS). The scope of the E-FIS project includes the core financial management, integration, and reporting functionality for the IFMS.

1.2 Document Objectives

The E-FIS project has implemented several core project management processes in order to effectively manage the E-FIS project. This contract management plan presents the approach the E-FIS project uses to establish, manage, extend, and amend contracts for the E-FIS Software and Integration Vendor, the Procurement Support Consultant (PSC), the Independent Validation and Verification (IV&V) consultant, the Independent Project Oversight Consultant (IPOC), and the Project Management Consultant (PMC). These procedures utilize existing State and Department tools and processes for establishing, monitoring, controlling, extending, and amending contracts. This plan supplements the E-FIS Project Budgeting Monitoring Plan, which also addresses budgeting and controlling contract expenditures as part of the project's overall financial management process.

2 E-FIS CONTRACT MANAGEMENT PROCESS

2.1 Adherence to Procurement Regulations

This plan establishes an overall contract management approach for the E-FIS project. Although it is based on general project and contract management principles, it is important to note that specific regulations for contract management are contained in the State of California's State Contracting Manual (SCM) and the Division of Procurement and Contracts (DPAC's) Contract Managers Handbook.

SCM Volume 3, developed and maintained by the State of California's Department of General Services (DGS), is a resource to those persons in California state government who are involved in the State's procurement of IT goods and services. It provides the policies, procedures and methods to promote sound business practices for securing necessary goods and services for the State. Refer to Appendix A, Item #1 for a weblink to the SCM on the DGS website. The SCM specifically addresses the following topics:

Exhibit 1
State Contracting Manual
Table of Contents

SECTION	TITLE
1	Introduction
2	The Basic Contracting Process
3	Additional Requirements
4	DGS Contract Approval
5	Competitive Bidding Methods
6	Contract Award Protests
7	Miscellaneous Contracting Issues
8	Business Participation Program Requirements
9	Contract Management
10	Public Works Contracts
11	Architectural and Engineering Contracts

The contract management approach identified in this plan is based on – and developed to be consistent with – the policies, procedures, and methods of the SCM. E-FIS project staff references the SCM and works with DGS as appropriate to further define the detailed policies and procedures required during implementation of this plan.

In addition to DGS, the Department's Division of Procurement and Contracts (DPAC) establishes procurement and contract management processes specific to the Department. It also facilitates communications between the Department and the DGS during the procurement process. DPAC has published a Contract Managers Handbook (CMH) which includes Department specific processes for managing contracts. The CMH adapts relevant portions of the

SCM for use in the Department. The Table of Contents from this document is included in Exhibit 2 below.

Exhibit 2
Contract Managers Handbook
Table of Contents

CHAPTER	TITLE
1	Introduction
2	Requesting a Service Contract
3	The Service Contracting Out Process
4	The Contract Manager's Role

Refer to Appendix A, Item #9 for a weblink to the CMH on the DPAC website. Since DPAC's CMH applies statewide processes, procedures, and requirements specifically to the Department, E-FIS project staff will utilize this document as the initial reference point for all contract management activities. Project staff utilizes the SCM for those areas that are not addressed by the CMH.

2.2 Contract Management Responsibilities

The E-FIS Business Project Manager will have the overall responsibility for contract management on the E-FIS project. These responsibilities include:

- Ensuring that the E-FIS project has the funding and authority to procure consultant services;
- Selecting the correct procurement method [i.e. the California Multiple Award Schedule (CMAS), Master Service Agreements (MSA)], to procure consultant services;
- Ensuring that the project staff coordinates with DGS, DPAC, and the Division of Budgets for project procurements as appropriate;
- Following all requisite procurement rules established by the Department of General Services (DGS), DPAC, and other State control agencies;
- Facilitating the procurement and selection process (developing requests for proposals and offers, evaluating and selecting vendors);
- Working with DPAC and DGS to execute contracts for the selected vendor;

- Monitoring the vendor's performance (for effectiveness and consistency with the contract provisions);
- Reviewing the vendor's monthly status reports and identifying problems or issues for follow up;
- Authorizing payments for vendor services;
- Monitoring the E-FIS budget to ensure that contract expenditures are within budget;
- Coordinating any required contract extensions or revisions; and
- Closing contracts including disencumbrance of funds, evaluation of the contractor, and authorization of final invoice payments.

Refer to CMH Chapter 4 for detailed listing of Contract Manager's responsibilities. The E-FIS project's contract management procedures are based on these chapters of the CMH. DPAC has also published a document entitled "Tips for the Caltrans Contract Manager" which describes the activities and responsibilities of the Contract Manager. This document may be referenced using the weblink in Appendix A, Item #9.

At the E-FIS Business Project Manager's discretion, specific contract management tasks may be delegated to other members of the E-FIS project team. Depending on the workload and available resources, a single staff member may be designated as the Contract Manager for all E-FIS contracts, or the responsibilities for managing contracts may be assigned to more than one individual. For example, one staff would be responsible for managing the IV&V contract and another would be responsible for managing the IPOC contract.

Should the E-FIS Business Project Manager choose to delegate specific contract management tasks, these tasks will always be delegated to a State staff who is a member of the E-FIS project team. Consultants or other employees external to the Department will not be assigned contract management duties.

2.3 E-FIS Consultant Contracts

The E-FIS project utilizes external consultants for the E-FIS Software and Integration Vendor and the IV&V, IPOC, and PMC services. These services are obtained using the appropriate procurement method and contract type in accordance with State rules governing the acquisition of IT goods and services and the utilization of external consultants.

The procurement methods used by the E-FIS project include competitive procurements, which require the development of a Request for Proposal (RFP) and a competitive bidding process; and the release of a Request for Offer (RFO) and the selection of vendors from either the California Multiple Award Schedule (CMAS) or Master Service Agreements (MSA) schedule. The

procurement methods for each vendor were chosen based on the contractual dollar amount of the procurement and other relevant rules governing the procurement approach.

The E-FIS project utilizes time and materials or deliverable-based contracts for each vendor. On time and materials contracts, consultants are paid on an hourly basis. On deliverable-based contracts, the consultant is paid a pre-determined sum when specific deliverables are provided to and approved by the State. The contract type is selected based on the scope of work and other applicable rules for each contract. The matrix in Exhibit 3 identifies the procurement method and contract type for each E-FIS consultant. For further information on competitive procurements, CMAS, and MSA procurement processes, refer to items 3 through 7 using the weblink in Appendix A. These items provide weblinks to detailed DGS rules, processes, and resources for each type of procurement. Additional information is also contained in Chapter 3 of the CMH.

Exhibit 3
E-FIS PROCUREMENT METHODS AND CONTRACT TYPES

CONSULTANT	PROCUREMENT METHOD	CONTRACT TYPE
Software and Integration Vendor	Competitive Procurement	Deliverables Based
Independent Verification and Validation Vendor (IV&V)	MSA	Time and Materials
Independent Project Oversight Consultant (IPOC)	CMAS	Time and Materials
Project Management Consultant (PMC)	CMAS	Time and Materials
Procurement Support Consultant (PSC)	CMAS	Deliverables Based

2.3.1 CMAS and MSA Contracts

E-FIS project staff will contact DPAC as the first step for initiating the procurement and contract processes for CMAS and MSA vendors. DPAC will provide the requisite forms, procedures, and assistance for CMAS and MSA procurements. Appendix B provides an example of the steps required to procure a CMAS vendor. Given the time required to select and establish contracts for CMAS and MSA vendors, E-FIS staff will initiate the procurement process approximately 90 to 120 days prior to the date they must begin work.

Procurements were completed for the PSC, PMC, IPOC and IV&V vendors during the procurement stage. As the initial contracts for the PMC and IPOC approached expiration, CMAS procurements were initiated and completed for the PMC and IPOC contracts to obtain these services through June 2009. The procedures referenced in this plan will be used for subsequent procurements and contracts for these services as required during the remainder of the project.

2.3.2 Competitive Procurements

All competitive procurements must be coordinated with DGS. DGS must approve all RFP's for competitive procurements, and provides consultative assistance throughout the procurement process. The competitive procurement for the E-FIS Software and Integration Vendor has been completed. DGS was actively engaged in this procurement process.

In addition to DGS, the E-FIS project utilized the PSC to assist in developing the RFP for the Software and Integration Vendor throughout the procurement process.

References to information on the procedures and guidelines for competitive procurements are provided using the weblinks contained in Appendix A. An example of the steps taken to complete the competitive procurement for the E-FIS Software and Integration Vendor is included in Appendix C.

2.4 Purchase and Contract Requests

Once vendors have been selected, DPAC will process service and contract requests for CMAS and MSA vendors, and coordinate with DGS to establish contracts for competitively bid procurements.

Appendix D contains an example of the checklist of forms and documentation which must be submitted to DPAC for CMAS and MSA purchase requests. An example of purchase request processing and other relevant DPAC deadlines are included in the memorandum provided in Appendix D.

2.5 Consultant Expenditure Monitoring and Control

For each vendor contract, the Contract Manager manages vendor performance, invoices, and payments. The Contract Manager uses data from the Department's accounting system and other tools to monitor contract encumbrance and expenditure information. Detailed reports are prepared to track encumbrances and expenditures for each consultant contract and compare actual to planned expenditures. Additional steps necessary to monitor and control encumbrances and expenditures for each type of contract are included in the E-FIS Project Budget Monitoring Plan and excerpted below.

Time and Materials Contracts

On time and materials contracts, consultants are paid on an hourly basis. The PMC, IV&V, and IPOC each have this type of contract. In these contracts, the amount paid to the consultant is based on the authorized number of hours worked, subject to dollar limits included in each contract.

To track time and materials contract expenditures, the E-FIS Business Project Manager or project team member does the following:

1) At the beginning of each contract period, establishes a log which lists the total number of consultant hours to be expended by each consultant on the contract.

2) Requires each consultant to submit a monthly timesheet reporting the number of hours worked during the month. An important control is the approval of consultant hours by a project team member concurrent with consultant invoicing. The timesheet must be approved and signed by the E-FIS Business Project Manager or designated project team member.

3) Upon receipt of the consultant's monthly invoice, compares the invoiced hours to the hours reported on the timesheet.

4) Maintains a running log of the consultant's contract hours. The E-FIS Business Project Manager monitors the log to manage the consultant's pace at which hours are worked to ensure that the consultant expends the allotted hours at the expected rate. This practice ensures that the consultant stays available during the expected timeframe that consultant support is required.

Deliverable-Based Contracts

On deliverable-based contracts, the consultant is paid a pre-determined sum when specific deliverables are provided to and approved by the State. The list of deliverables and associated payments are specified in the consultant's contract. The procurement specialist and software and integration vendor provide services under deliverable-based contracts.

To track expenditures on deliverable-based contracts, the E-FIS Business Project Manager (Contract Manager) does the following:

1) Maintains a schedule of all the consultant deliverables, their due dates, and their budgeted and actual costs (payments).

2) Designates a single project team member to receive and log all deliverables received by the vendor.

3) Upon receipt of the consultant deliverables, routes the deliverable to the appropriate parties for review and approval and obtains written signatures from the designated individuals responsible for reviewing and approving the deliverable. Refers to the E-FIS project's Deliverable Review Process document for details on this process for each consultant.

4) Upon State approval of the deliverable, authorizes the vendor invoice associated with the deliverable for payment.

5) Updates the schedule of deliverables to show deliverables received and payments made to date, along with outstanding deliverables and payments.

6) Reviews the log on a monthly basis to ensure that budgeted and actual payments are consistent; and takes corrective actions to address variances.

The E-FIS Business Manager (Contract Manager) also compares the deliverable schedule to the encumbrance and expenditure data in TRAMS using FIDO monthly reports. This help ensures the accuracy of both the deliverable schedule and the expenditure data.

The process described above is adapted from the contact monitoring guidelines included in Chapter 4 of the CMH. Refer to this chapter of the CMH for additional guidelines on:

- Monitoring the fiscal year funding split. E-FIS project staff will adhere to these guidelines when contract funding spans multiple fiscal years or involves more than a single EA.

- Monitoring the expiration dates of certificates of insurance (when applicable).

- Monitoring contractor performance and resolving problems and disputes with contractors.

E-FIS project staff utilizes these guidelines as required. DPAC has also published a document entitled "Tips for the Caltrans Contract Manager" for incorporation with the detailed processes and procedures. A reference to this document, which may be obtained from the DPAC website, is included using the item #9 weblink in Appendix A.

2.6 Contract Expenditure Reporting

The Contract Manager reports the status of the overall project budget on a monthly basis in the E-FIS project's IT Project Status Report. The report shows the status of the overall project budget, along with the financial status of the project's consultant contracts. Refer to Appendix A from the E-FIS Project Budget Monitoring Plan for a copy of the report. The IT Project Status Report is prepared for the Caltrans Project Management Office (Caltrans PMO – Enterprise Technology Investment Division (ETID)) and distributed to the Project Director (Chief of the Division of Accounting), E-FIS Business Project Manager, E-FIS Technical Project Manager, and Independent Project Oversight Consultant (IPOC). Caltrans PMO excerpts budget information from the IT Project Status Report and forwards it to the Business, Transportation, and Housing Agency on a monthly basis.

The IPOC excerpts budget status information from the IT Project Status Report and includes it in the monthly Independent Project Oversight Report (IPOR). This information includes contract expenditures. The IPOR is distributed to the Caltrans PMO, the Office of the State Chief Information Officer (OCIO), and the E-FIS Project Team.

2.7 Contract Extensions, Exemption, Revisions, and Renewals

The Contract Manager or designee is responsible for coordinating any required contract extensions, revisions, and renewals. DGS has established rules for governing extensions, revisions, and renewals for contracts. These rules can be referenced using the weblinks included in Appendix A. Effective 6/8/09, Executive Order S-09-09 was issued, which, in part, ordered the suspension of new or amending personal services contracts. Subsequently, the governor put in place an exemption process for multi-year IT projects. Exemption requests for all E-FIS contracts were submitted and approved. See Appendix A, Item #11 for the weblink to the DPAC Exemption Form.

2.8 Closing Contracts

The Contract Manager is responsible for closing the contract at the appropriate time (when all services and/or deliverables have been rendered), the contract is terminated, or if all contract funds have been expended. Closing contracts may include disencumbrance of funds, evaluation of the contractor, authorization of final invoice payments, and review and approval of final deliverables.

The Contract Manager documents all actions taken to close the contract and includes this documentation in the contract file.

2.9 Contract Record Keeping

The Contract Manager establishes a document file for each vendor. Items may be maintained in electronic or hardcopy format at the Contract Manager's discretion. Cross references between electronic and hardcopy files are maintained so that all vendor documents, regardless of format, can be easily located. At a minimum, the vendor contract file should contain:

- The contract Request for Offer (RFO) or Request for Proposal (RFP).
- The selected vendor's proposal response.
- The signed vendor contract and/or Statement of Work.
- A listing and schedule of all vendor deliverables and their due dates. The listing should be updated to show when the deliverables were provided by the vendor, whether the deliverables have been accepted and approved by the State, and when the vendor was paid for the deliverable.
- Templates and actual copies of all vendor status reports (that are precedence to payment).

- Timesheets for all vendor staff assigned to the project (for time and materials contracts).

- Copies of all vendor deliverables completed under the contract. The copies may be maintained on-line in electronic format, with a reference to the location of the deliverable in the vendor file.

- Vendor invoices and receiving records.

- Copies of remittance advices or other evidence of payments made.

- A spreadsheet of all contract expenditures. The spreadsheet will enable the Contract Manager to track all contract related expenditures and encumbrances and compare the data to the accounting system.

- Copies of key correspondence with the vendor pertaining to the contract, deliverables, or the provision of vendor services.

- Documentation of all actions taken to close out the contract.

Section 9.16 of the SCM and Chapter 4 of the CMH list the requirements for the retention of contract records. The file contents listed above were adapted from these documents. The Department maintains contract records a minimum of three years after final payment under the contract. Additional retention requirements may be specified by the Department of Finance as part of the Post Implementation Evaluation Report (PIER) review and approval process. The E-FIS Contract Manager shall ensure contract files are archived and retained for the timeframes specified by standard Department procedures or by the Department of Finance, whichever is greater.

3 ROLES AND RESPONSIBILITIES

ROLE	RESPONSIBILITIES
DPAC	• Processes service and contract requests for CMAS and MSA vendors. • Coordinates with DGS to establish contracts for competitively bid procurements.
E-FIS Business Project Manager	• Ensures that the E-FIS project has the funding and authority to procure consultant services. • Facilitates the procurement and selection process (develops requests for proposals and offers). • Works with DPAC and DGS to execute contracts. • Monitors the E-FIS budget to ensure the contract expenditures are within budget.

APPENDIX A:

REFERENCES TO PROCUREMENT AND CONTRACTING GUIDELINES

E-FIS PROJECT CONTRACT MANAGEMENT PLAN
References to Procurement and Contracting Guidelines

#	TITLE	DESCRIPTION	WEBLINK	DOCUMENT OWNER
1	**State Contracting Manual (SCM)**	Document which establishes detailed procedures and requirements for State contracting.	http://www.ols.dgs.ca.gov/Contract+Manual/default.htm	DGS
2	**Department of General Services Procurement Division Home Page**	Home page for the Department of General Services Procurement Division	http://www.pd.dgs.ca.gov/default.htm	DGS
3	**State of California Management Memo MM 07-02**	Management Memo which establishes Uniform standards for information technology procurements. Memo has expired on 1/5/08 and is now incorporated into SAM Section 5230.	http://www.documents.dgs.ca.gov/osp/sam/mmemos/MM07_02.pdf http://sam.dgs.ca.gov/TOC/5200/SamPrint.htm	DGS
4	**Master Service Agreements (All)**	Website listing all master service agreements available for State agency use. The site serves as a starting point for accessing information and instructions for using Master Service Agreements to procure IT consulting services and equipment.	http://www.pd.dgs.ca.gov/masters/default.htm	DGS
5	**Information Technology Consulting Services Master Service Agreements (MSA)**	Website providing instructions, procedures, and forms for utilizing Information Technology Consulting Master Service Agreements.	http://www.pd.dgs.ca.gov/masters/itconsulting	DGS
6	**State of California Management Memo 03-10**	Management Memo which provides requirements for the use of California Multiple Award Schedules (CMAS), Master Agreements, and Non-Competitively Bid Contracts. Retired effective 1/07/08. All pertinent information currently resides in the State Contracting Manual (SCM) Volumes 1, 2, and 3. Supersedes MM No. 02-19 Revision 3 and Attachments.	http://www.pd.dgs.ca.gov/mgmtmemo.htm	DGS
7	**State of California Multiple Award Schedule (CMAS)**	Website which serves as a resource for using the CMAS process to procure goods	http://www.pd.dgs.ca.gov/cmas/default.htm	DGS

#	Title	Description	Weblink	Document Owner
		and services.		
8	**Division of Procurement and Contracts Home Page**	DPAC home page. Starting point to reference all Department specific contract management processes and procedures	http://admin.dot.ca.gov/pc/index.shtml	DPAC
9	**Division of Procurement and Contracts Manuals, Handbooks, and Guidelines**	Website which includes a downloadable copy of the Department's Contract Managers Handbook and other policy and procedure reference documents.	http://admin.dot.ca.gov//pc/manuals.shtml	DPAC
10	**Division of Procurement and Contracts Fiscal Year 2008/09 Acquisition Deadlines**	Fiscal Year 2008/09 Acquisition Deadlines (Revised) Memo including increased dollar thresholds for IT and Non-IT Acquisitions.	http://admin.dot.ca.gov/pc/doc/deadline.pdf	DPAC
11	**Division of Procurement and Contracts Exemption Form**	DPAC Exemption Form	http://admin.dot.ca.gov/pc/exemptions.shtml	DPAC

APPENDIX B:

EXAMPLE OF
CMAS PROCUREMENT AND CONTRACTING PROCESS

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Task Listing New IPOC Services

ID		Task Name
1		**IPOC**
2		IPOC Originates As Result of Medium or High Criticality Rated Project DOF Approved FSR/Finance Letter
3		Assign IPOC Contract Manager
4		Coordinate with Program Project/Contract Manager to Help Them Secure An IPOC
5		**Prepare IPOC Vendor Solicitation Package**
6		Contact DPAC Procurement Analyst and Determine which procurement vehicle to use for obtaining IPOC Services
7		**If Master Services Agreement (MSA) format is used:**
8		Create draft RFO-SOW for IPOC Solicitation Using DPAC MSA RFO-SOW Template/Sample
9		**If California Multiple Award Schedules (CMAS) format is used:**
10		Create draft RFO-SOW for IPOC Solicitation Using DPAC CMAS RFO-SOW Template/Sample
11		**For Either Format:**
12		Send Draft RFO-SOW to DPAC, DPAC Reviews and Sends Comments to Originator
13		Originator Incorporates DPAC Comments/Updates
14		Create Final IPOC Solicitation Package -Include Approved FSR, DOF Project Approval Letter and Other Project Information
15		**Send RFO Solicitation Package to Vendors by Email**
16		**If Master Services Agreement (MSA) format is used:**
17		Select IPOC Vendor Group From Approved MSA IPOC Listing (Category I-B) Project Oversite
18		**If California Multiple Award Schedules (CMAS) format is used:**
19		Select IPOC Vendor Group From CMAS Pre-qualified List of Vendors
20		**For Either Format:**
21		IPOC Contract Manager Sends Out RFO to Appropriate IPOC Vendor Group Depending On Procurement Vehicle Used
22		IPOC Contract Manager Receives Questions From Vendors
23		IPOC Contract Manager Develops Responses and Sends to All Vendors Originally Contacted
24		**Evaluate Vendor Provided Proposals**
25		Modify Evaluation Criteria Worksheets to Reflect Criteria As Stated In RFO
26		Receive Proposals From Vendors
27		Select Evaluation Team
28		Team Performs Evaluations of Proposals
29		**Select Vendor**
30		IPOC Vendor Proposal Evaluation Team Selects Vendor
31		IPOC Contract Manager Prepares Vendor Selection Justification (CMAS Format Only)
32		Notifies DPAC of Vendor Selected
33		**Purchase Request & Procurement Package to DPAC**
34		Prepare Purchase Request document - Adm 1415 or Adm 0360 (Includes working with Program Budget Officer)
35		Obtain Purchase Request and Other Document Approvals
36		-Purchase Request and Copy of RFO-SOW
37		-Copies of All Proposals Received
38		-Personal Services Certification CMAS/MSA PM-04-080
39		-Agreement Summary
40		-Vendor Selection Justification (CMAS Format Only)
41		Assemble,and Send/Deliver Package to DPAC IT Acquisitions Branch
42		**DPAC Processes Purchase Request and Creates Contract**
43		Receives Purchase Request & Procurement Package From Originator
44		Creates Contract/Delegation Purchase Order and Sends to Vendor
45		Sends Copy of CDPO to Accounting Encumbrance Section
46		Notifies Originator (IPOC Contract Manager) That Contract Is In Place

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Task Listing New IPOC Services

ID	❶	Task Name
47		Sends Copy of Completed CDPO to Selected Vendor
48		**Accounting Encumbrance In TRAMS**
49		Accounting Encumbrance Section Receives Copy of CDPO Contract Encumbrance Distribution Form (Adm -0248) From DPAC
50		Prepares/Processes Accounting Entries to Establish IPOC Contract Encumbrances
51		**Vendor On Board**
52		Prepare Non Disclosure Agreements for Vendors to Sign
53		Initial Meeting With Selected Vendor to Sign Non Disclosure Agreement
54		Arrange Work Location, Phones, Badges, Network/LAN Access for Consultants
55		Begin IPOC
56		Initial Meeting With IPOC Contract Manager, Project Manager and IPOC Staff

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APPENDIX C:

EXAMPLE OF COMPETITIVE PROCUREMENT AND CONTRACTING PROCESS

State of California
Department of Transportation
PUBLISHED: 1/31/07

Integrated Financial Management System / Enterprise Resource Planning - Financial InfraStructure (IFMS/E-FIS) Project Schedule

ID		Task Name	% Comp	Baseline Start	Actual Start	Baseline Finish	Actual Finish
1		**Acquire Prime Vendor (Solution Provider) & ERP Software**	**53%**	**Thu 6/29/06**	**Fri 12/9/05**	**Tue 5/15/07**	**NA**
2	✓	**Develop and Release RFP**	**100%**	**Fri 7/14/06**	**Fri 7/14/06**	**Tue 10/31/06**	**Thu 12/21/06**
3	✓	**Develop RFP**	**100%**	**Fri 7/14/06**	**Fri 7/14/06**	**Tue 10/31/06**	**Thu 12/21/06**
4	✓	Develop Administrative Sections (Sections 1, 2)	100%	Mon 7/17/06	Mon 7/17/06	Tue 7/18/06	Tue 7/18/06
5	✓	Develop Current System (Section 3)	100%	Fri 7/14/06	Fri 7/14/06	Tue 7/18/06	Tue 7/18/06
6	✓	Develop Proposed System (Section 4)	100%	Wed 8/2/06	Wed 8/2/06	Fri 8/4/06	Fri 8/4/06
7	✓	Develop Administrative Requirements (Section 5)	100%	Tue 7/18/06	Tue 7/18/06	Fri 8/11/06	Fri 8/18/06
8	✓	Compile Functional and Technical Requirements (Section 6)	100%	Thu 9/7/06	Thu 9/7/06	Thu 9/14/06	Mon 9/25/06
9	✓	Develop Cost Section and Compensation Model (Section 7)	100%	Tue 8/29/06	Fri 8/11/06	Thu 9/7/06	Fri 9/1/06
10	✓	Develop Proposal Format Section (Section 8)	100%	Fri 9/8/06	Mon 8/21/06	Wed 9/13/06	Fri 9/1/06
11	✓	Develop Evaluation Criteria Section (Section 9)	100%	Thu 9/14/06	Thu 9/14/06	Wed 9/20/06	Mon 9/25/06
12	✓	Compile RFP	100%	Thu 9/21/06	Fri 9/22/06	Mon 9/25/06	Mon 9/25/06
13	✓	VIP QA Review of Draft RFP	100%	Tue 9/26/06	Tue 9/26/06	Wed 9/27/06	Wed 9/27/06
14	✓	Submit Draft RFP to Caltrans and Walkthrough Draft	100%	Wed 9/27/06	Wed 9/27/06	Wed 9/27/06	Wed 9/27/06
15	✓	Caltrans and DGS Review and Comment	100%	Thu 9/28/06	Thu 9/28/06	Wed 10/4/06	Wed 10/4/06
16	✓	Develop Final RFP	100%	Thu 10/5/06	Thu 10/5/06	Tue 10/10/06	Wed 10/11/06
17	✓	Submit Final RFP to Caltrans for Review and Comment	100%	Tue 10/10/06	Wed 10/11/06	Tue 10/10/06	Wed 10/11/06
18	✓	Coordinate with Caltrans on submission of Final RFP to DOF a	100%	Tue 10/10/06	Wed 10/11/06	Tue 10/10/06	Wed 10/11/06
19	✓	Caltrans, DOF and DGS Review and Approval	100%	Wed 10/11/06	Thu 10/12/06	Thu 10/26/06	Mon 12/18/06
20	✓	Caltrans and DGS to Release RFP	100%	Tue 10/31/06	Mon 12/18/06	Tue 10/31/06	Thu 12/21/06
21	✓	**Develop Detailed Evaluation Criteria and Scoring Matrix**	**100%**	**Thu 9/21/06**	**Thu 9/21/06**	**Thu 10/26/06**	**Fri 11/3/06**
22	✓	Develop Draft Evaluation Criteria and Scoring Matrix	100%	Fri 9/29/06	Thu 9/21/06	Wed 10/4/06	Mon 10/2/06
23	✓	VIP QA Review of Evaluation Criteria and Scoring Matrix	100%	Thu 10/5/06	Mon 10/2/06	Fri 10/6/06	Fri 10/13/06
24	✓	Submit Draft Evaluation Criteria to Caltrans and Walkthrough C	100%	Fri 10/6/06	Fri 10/13/06	Fri 10/6/06	Fri 10/13/06
25	✓	Caltrans and DGS Review and Approval	100%	Mon 10/9/06	Mon 10/16/06	Fri 10/13/06	Tue 10/31/06
26	✓	Develop Final Evaluation Criteria and Scoring Matrix	100%	Mon 10/16/06	Tue 10/31/06	Thu 10/19/06	Wed 11/1/06
27	✓	Submit Final Evaluation Criteria to Caltrans and Walkthrough C	100%	Thu 10/19/06	Wed 11/1/06	Thu 10/19/06	Wed 11/1/06
28	✓	Coordinate with Caltrans on Submission of Evaluation Criteria t	100%	Thu 10/19/06	Wed 11/1/06	Thu 10/19/06	Wed 11/1/06
29	✓	Caltrans and DGS Review and Approval	100%	Fri 10/20/06	Thu 11/2/06	Thu 10/26/06	Fri 11/3/06
30		**Evaluate Draft Proposals**	**57%**	**Wed 11/15/06**	**Wed 1/3/07**	**Mon 1/29/07**	**NA**
31	✓	Respond to Pre Bidders Conference Questions	100%	Wed 11/15/06	Wed 1/3/07	Thu 11/30/06	Thu 1/11/07
32	✓	Conduct Bidders Conference	100%	Fri 12/1/06	Fri 1/12/07	Fri 12/1/06	Fri 1/12/07
33		Coordinate DTS Confidential Discussions	25%	Thu 12/7/06	Tue 1/16/07	Tue 12/12/06	NA
34		DGS Receives Draft Propoals	0%	Fri 1/5/07	NA	Fri 1/5/07	NA
35		DGS Kicks-off Draft Proposal Evaluations	0%	Mon 1/8/07	NA	Mon 1/8/07	NA
36		Evaluate Draft Proposals	0%	Mon 1/8/07	NA	Mon 1/29/07	NA
37		**Conduct Caltrans' Confidential Discussions**	**0%**	**Mon 1/29/07**	**NA**	**Wed 2/14/07**	**NA**
38		Prepare for Confidential Discussions	0%	Mon 1/29/07	NA	Thu 2/1/07	NA
39		Conduct Confidential Discussions	0%	Thu 2/8/07	NA	Wed 2/14/07	NA
40		**Questions and Answers**	**0%**	**Wed 11/1/06**	**Wed 1/3/07**	**Fri 1/19/07**	**NA**

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State of California
Department of Transportation
PUBLISHED: 1/31/07

Integrated Financial Management System / Enterprise Resource Planning - Financial InfraStructure (IFMS/E-FIS) Project Schedule

ID		Task Name	% Comp	Baseline Start	Actual Start	Baseline Finish	Actual Finish
41		Repond to Bidder Questions	0%	Wed 11/1/06	Wed 1/3/07	Fri 1/19/07	NA
42		**Evaluate Final Vendor Proposals**	**0%**	**Tue 3/6/07**	**NA**	**Tue 3/20/07**	**NA**
43		DGS Receives Final Proposals	0%	Wed 3/7/07	NA	Wed 3/7/07	NA
44		DGS Kicks-off Final Proposal Evaluations	0%	Thu 3/8/07	NA	Thu 3/8/07	NA
45		Evaluate Final Proposals	0%	Thu 3/8/07	NA	Thu 3/22/07	NA
46		**Solution Evaluation**	**0%**	**Wed 3/21/07**	**NA**	**Fri 3/30/07**	**NA**
47		Complete Final Proposal Scoring	0%	Thu 3/22/07	NA	Thu 3/29/07	NA
48		Develop Evaluation and Selection Report (Non-Cost Portions)	0%	Thu 3/29/07	NA	Tue 4/3/07	NA
49		**Cost Opening**	**0%**	**Wed 4/4/07**	**NA**	**Wed 4/11/07**	**NA**
50		Conduct Public Cost Opening	0%	Wed 4/4/07	NA	Wed 4/4/07	NA
51		Evaluate and Validate Cost Proposals	0%	Wed 4/4/07	NA	Wed 4/11/07	NA
52		**Contract Award**	**0%**	**Tue 4/10/07**	**NA**	**Tue 5/15/07**	**NA**
53		Develop Final Evaluation and Selection Report	0%	Tue 4/10/07	NA	Wed 4/25/07	NA
54		Caltrans and DGS Review and Approval	0%	Wed 4/25/07	NA	Thu 5/3/07	NA
55		DGS Issues Notice of Intent to Award	0%	Mon 5/7/07	NA	Mon 5/7/07	NA
56		Award Contract	0%	Tue 5/15/07	NA	Tue 5/15/07	NA

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APPENDIX D:

EXAMPLE OF

CMAS AND MSA CHECKLIST FOR CONSULTING SERVICES PURCHASE REQUESTS

FISCAL YEAR 08/09 ACQUISITION DEADLINES MEMORANDUM

CONTRACT EXEMPTIONS PER EXECUTIVE ORDER S-09-09

EXEMPTION FORM 2009/10

DPAC ORGANIZATION CHART UPDATED 6/3/09

CMAS AND MSA CHECKLIST FOR

CONSULTING SERVICES PURCHASE REQUESTS

____ Purchase Request form ADM-1415

- ____ Project name
- ____ Start & End dates
- ____ Job category and name of each Consultant
- ____ Total hours and hourly rate for each Consultant

____ Copy of CMAS or MSA

- ____ Ordering instructions (include all supplements)
- ____ Terms and conditions
- ____ Hourly rates and minimum qualifications (Attachment C or GSA for CMAS)
- ____ Payee Data Record form STD. 204 (If not on file)

____ Resumes for each Consultant

____ Proposal from awarded Contractor

____ Proposals from alternate Contractors

____ Conflict of Interest form (for orders over $100K)

____ Information Technology Certification Form (IT only)

____ IT Justification form (IT only)

____ Personal Services Certification form

____ Payment bonds (if required)

____ Solicitation

____ Scope of work

____ Information Technology Procurement Plan (IT only) (for orders over $100K)

____ Completion and payment criteria

____ Evaluations or Best value justification for award if other than lowest cost

____ Attachment K – Debarment, suspension, ineligibility and voluntary exclusion lower

State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

Flex your power!
Be energy efficient!

To: CHIEF DEPUTY DIRECTOR
DEPUTY DIRECTORS
DIVISION CHIEFS
DISTRICT DIRECTORS

Date: November 10, 2008

From: Jan Smelser
Chief
Division of Procurement and Contracts

Subject: Fiscal Year 08/09 Acquisition Deadlines (Revised)

Attached are the Fiscal Year 2008/09 submission deadlines for purchases and contract requests (Attachment A). It is essential that all submissions comply with the Division of Procurement and Contracts' (DPAC) deadlines to ensure that acquisitions are completed this fiscal year. **Service contract or purchase requests received after the dates indicated will be returned to the district, division, or program without processing.**

As a reminder, the Department of General Services (DGS) holds all Departments accountable for ensuring compliance with Public Contract Code Section 10295, which mandates that work not be performed or goods delivered before the execution date of a contract or purchase order. The execution date is defined as: 1) the date DGS signs off on acquisitions needing their approval; or 2) the date a DPAC Contract Officer signs off on acquisitions that do not require DGS approval.

DGS Office of Legal Services requires that all service acquisitions needing their approval be submitted a minimum of ten (10) working days prior to the proposed start date. When DGS receives acquisition documents with a sufficient amount of approval time, the contract or purchase order is officially executed when DGS signs or stamps their approval.

As you know, the acquisitions process is much more challenging at the end of each fiscal year. Therefore, it is essential that all acquisition submittals comply with the dates shown on Attachment A so they can be executed using this fiscal year's funding. Dates shown are dates by which requests must be received by DPAC. Requests requiring approval by other divisions or control agencies must be submitted to them in time for DPAC to receive the approved request by the date indicated on Attachment A.

Special Note on Amendments

It is the State's policy that amendments must be entered into before the expiration of the original contract. Requests received after the deadline or expiration date of the original contract will be returned to the requester without processing.

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Special Notes on Information Technology (IT) Acquisitions:

- Please allow sufficient time for you to obtain all necessary approvals, including IT Certification (minimum 3 business days), prior to the DPAC submission deadlines. Upon IT Certification approval, IT will electronically submit all requests to DPAC. **Do not submit IT contract or purchase requests directly to DPAC.**

- An approved Information Technology Procurement Plan (ITPP) must be submitted for all IT acquisitions over $100,000 and for any dollar value IT acquisition that will use a Request for Proposal (RFP). Please contact Susan Dold at (916) 657-0263 in Headquarters IT for questions on ITPP requirements. DGS currently requires 30 working days to approve an ITPP. **All ITPP approvals must be secured prior to the DPAC submission deadline**.

- DGS must approve IT RFPs before they can be released, regardless of dollar value. Based on DGS' stated approval time, DPAC has made every effort to build sufficient time for the RFP approval process into the deadlines stated on Attachment A.

Questions regarding acquisitions should be directed to the DPAC Acquisition Branch Chief assigned to the type of contract or purchase you are requesting.

Attachment

cc: Deputy District Directors – Administration
DPAC Managers

FISCAL YEAR 2008/09 ACQUISITION DEADLINES

Purchase Requests (ADM 1415) and Service Contract Requests (ADM 0360) received after the dates below will be returned without processing. Requests must be received at DPAC with all required prior approvals.

Acquisition Type	Examples	Deadline Dates
IT/ Telecommunication Acquisitions over $1,000,000 • An approved ITPP must accompany requests for IT acquisitions of $100,000 or more • DGS Telecommunications Divisions approval may be required prior to purchase request submittal to DPAC	All IT/Telecommunication commodities and services over $1,000,000 (except those covered by a statewide contract with an unlimited dollar threshold, such as CSSI).	January 1, 2009
IT/ Telecommunication Acquisitions (commodities and services) from $100,000 to $1,000,000 other than CMAS, MSA, SLP, CSSI or proprietary software • DGS approval will be required for IT Request for Proposal contracts. • An approved ITPP must accompany request for IT/Telecom acquisitions of $100,000 or more • DGS Telecommunications Divisions approval may be required prior to purchase request submittal to DPAC	IT consulting services, IT maintenance contracts, IT proprietary software, commodities $100,000 and over, proprietary software requiring vendor language approval by DGS, transmitters, receivers, video surveillance, teleconference equipment.	January 1, 2009
Non-IT Service Contracts	Non-IT Consulting Service, Commercial Service, Public Works (non Minor B)	February 1, 2009
Non-IT Service Contracts	Amendments, Maintenance contracts, Minor B, Interagency, Equipment rental, etc.	March 1, 2009
Non-IT Acquisitions more than $100,000	All Non-IT commodities	March 1, 2009
IT Commodity or Service Acquisitions using CMAS, MSA, SLP or Proprietary Software more than $250,000 • An approved ITPP must accompany requests for IT acquisitions over $100,000	IT micro or major system, IT software, IT hardware, IT peripherals.	March 1, 2009
Non-IT Service Contracts	Fund Transfer Agreement, Expert Witness.	April 1, 2009
IT Commodity or Service Acquisitions using CMAS, MSA,SLP or Proprietary Software less than $250,000 • An approved ITPP must accompany requests for IT acquisitions over $100,000	IT micro or major systems, IT software, IT hardware, IT peripherals.	May 1, 2009
IT Strategically Sourced (CSSI) Acquisitions	IT micro or major systems, IT software, IT hardware, IT peripherals, cell phones.	May 15, 2009
Non-IT Acquisitions less than $100,000	Any Non-IT commodities.	June 1, 2009

State of California
DEPARTMENT OF TRANSPORTATION

Business, Transportation and Housing Agency

Memorandum

Flex your power!
Be energy efficient!

To: CHIEF DEPUTY DIRECTOR
DEPUTY DIRECTORS
DISTRICT DIRECTORS
DIVISION CHIEFS

Date: June 12, 2009

From: SUSAN HOGG
Deputy Director
Administration

Subject: Contracting and Purchasing Actions Under Executive Order S-09-09

The Governor's Executive Order directs that Departments take aggressive actions to reduce the projected $24.5 Billion budget deficit for Fiscal Year (FY) 2008/2009 and FY 2009/2010 by eliminating or reducing all non-essential State expenditures for contracted and purchased goods and services.

The Executive Order also provides guidance on projects and services that are automatically exempted from contracting and purchasing restrictions. The exemptions include contracts and procurements:

1. Funded by the American Recovery and Investment Act
2. Funded by bonds
3. Funded by grants
4. Mandated by Court Order
5. Public-Private Partnerships that require no direct State expenditures
6. Services and functions directly related to the preservation and protection of human life, including emergency and disaster response

The Division of Procurement and Contracts (DPAC) will continue processing orders and contracts that meet the above criteria. Requestors should insure that their packages clearly indicate which of the above exemptions apply. If DPAC already has the package, communicate this information to your DPAC analyst by e-mail with any remarks necessary to make it clear which exemption you are using. All other actions submitted to DPAC are continuing to be processed up to the time of encumbrance and then placed on hold.

In addition to the items listed above, the Executive Order also established processes for requesting additional exemptions for continuing contracts and purchasing activities that are essential to providing services to the citizens of the State.

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The exemption categories are:

a. An emergent situation to preserve and protect human life and safety
b. To avoid significant revenue loss
c. To achieve significant net cost savings
d. To maintain multiyear IT system and service contracts approved by the OCIO
e. To provide critical services and functions

We are reviewing the actions that we currently have in DPAC to determine which of them may qualify for category exemptions. We expect to complete this analysis early next week and will continue to confer with our customers throughout the process.

An additional concern is the use of CAL-Cards. Since the State is in a cash crisis and CAL-Cards provide a significant draw on cash reserves, effective June 15, 2009, CAL-Cards should only be used for emergencies or mission critical purchases. Each transaction dated June 15, 2009, or later, must document the specific emergency or mission critical need, citing one of the automatic exemptions or the category exemption as stated above. Normal review and approval process will need to be strictly adhered to.

The documents supporting the emergency mission critical item must accompany the Statement of Account (payment package) sent to the Division of Accounting. CAL-Card Administrators in DPAC and the VISA Payables staff in the Division of Accounting will review the documentation and provide monthly reports to the Chiefs of Division of Accounting and DPAC on CAL-Card usage. Division Chiefs will work directly with Deputy District Directors for Administration or Division Resource Managers, as necessary, to address CAL-Card activities inconsistent with emergency or mission critical use.

Your continued patience and cooperation is appreciated as we continue to work our way through these challenging times. We will continue to keep you apprised of developments as we implement Executive Order S-09-09. If you have any questions, please contact the Chief of DPAC, Bill Fackenthall, at (916) 227-6100.

"Caltrans improves mobility across California"

Executive Order S-09-09 EXEMPTION REQUEST

Dollars in Thousands

ORG/AGENCY/DEPARTMENT:
Date:

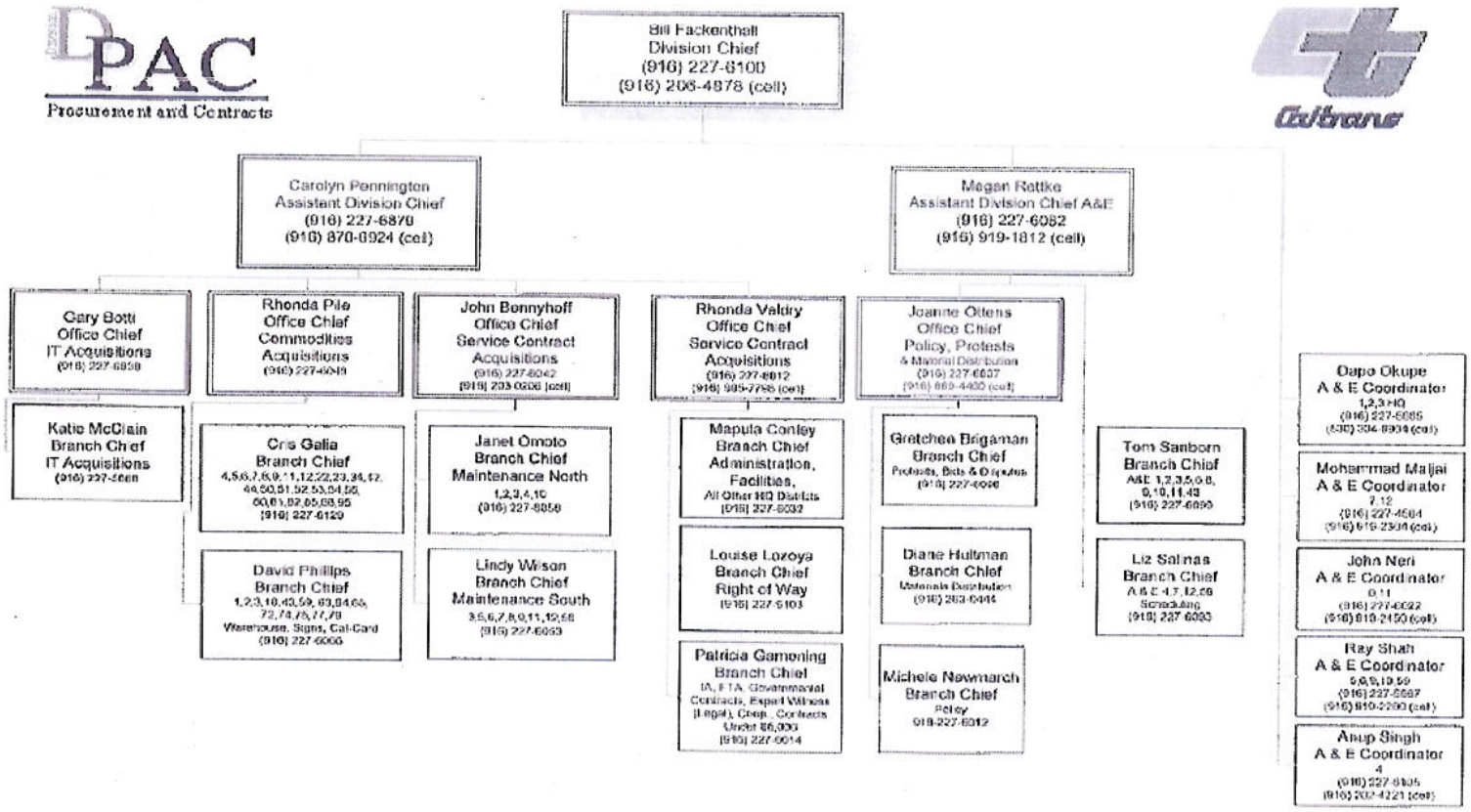
Category Code	Exemption Code	Function/Service Description	Number of Employees	Number of Contracts	Monthly Cost of Exemption	Justification for Exemption

Category Code:

1. Employee hiring, transfer or promotion
2. Overtime
3. Utilization of retired annuitants, permanent intermittent, seasonal, temporary help, and student assistants
4. Contracts for services/goods
5. Other

Exemption Code:

a. An emergency situation to preserve and protect human life and safety
b. A need to provide 24-hour medical care
c. To avoid significant revenue loss
d. To achieve significant net cost savings
e. Multi-year IT system and service contracts approved by the OCIO
f. Other services and functions of state government deemed critical



Updated 6/3/2009

APPENDIX E:

EXAMPLE OF CONTRACT BUDGET STATUS SECTION

Contract Budget Status (Must be based on latest approved FSR or SPR.)

Contract Manager and Telephone No.: Marlin Lofton (916) 227-9232

Contract Type (e.g. Project Oversight, Integrator, IV&V, QA, other)	Contract Vehicle (CMAS, MSA, Service Contract, other)	Vendor and Vendor Contact Person	DVBE / SBE	Contract Amount	Expenditure to Date	Contract Balance	Contract Start and Expiration Date
IV&V	MSA	Visionary Integration Professional (VIP)		$636,960	$262,950	$374,010	3/16/07
		Brian Fitzgerald					6/30/10
IPOC	CMAS	RMA	SBE	$275,482	$124,936	$150,546	6/15/07
		Ric Albani					6/30/10
Project Mgmt Consultant	CMAS	Infiniti Consulting Group	SBE	$191,480	$53,351	$138,130	3/03/09
		Ken White					5/01/10
Development & Implementation	Service Contract	CGI Technologies and Solutions Inc.		$18,528,880	$5,558,664*	$12,970,216	6/02/08
		Angela Cheung					5/15/11
Product Licensing & Upgrades	Service Contract	CGI Technologies and Solutions Inc.		$1,691,173	0	$1,691,173	6/02/08
		Angela Cheung					5/15/12

* Includes retention amount of $555,866 that was liquidated from the encumbrance, but not paid to CGI yet.

APPENDIX F:

EXAMPLE OF MEMO FROM DPAC ON APPROVED CONTRACT NUMBERS 81A0078 & 81A0079

State of California

Business, Transportation and Housing Agency

Memorandum

To: , Contract Manager

Date: July 23, 2008

File: 81A0078
81A0079

From: **DEPARTMENT OF TRANSPORTATION**
Administration
Division of Procurement & Contracts – MS 65

Subject: Approved Contract Nos. 81A0078, 81A0079

As contract manager on record for the above referenced contracts, you are the authorized representative of the Department and are responsible for ensuring that the Contractor's performance and financial management meets all the legal requirements of the contract. A copy of each of the following documents is attached to assist you in the management of this contract:

- A fully approved copy of the contract.
- Instructions for submittal of invoices to the Division of Accounting.
- Invoice Dispute Notification Form, Std. 209.
- Contractor Evaluation Form, Std. 4, if applicable.
- Insurance certificate, if applicable.
- Bond(s), if applicable.
- Caltrans Service Contracts Quality Assessment Form, Kform 37a.

Additional information regarding the roles and responsibilities of a Contract Manager are contained in the Contract Managers Handbook available online at http://admin.dot.ca.gov/pc/contract_manage_res_cntr.shtml.

YOU ARE RESPONSIBLE FOR THE FOLLOWING:

CONTRACTOR NOTIFICATION

- The Contract Manager is 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 the Contract Managers Handbook Section 4.2.

ACCOUNTING

- The Contract Manager 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.
- The Contract Manager must also contact the Division of Accounting to ascertain fund availability before amending a contract, if needed.
- The Contract Manager must notify the Division of Accounting to update the Service Contract Automated Tracking System (SCATS) when a change in Contract Manager occurs. Refer to the SCATS web site at http://onramp.dot.ca.gov/hq/accounting/scats/.

MONITOR CONTRACT

The Contract Manager 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 SAM 8650; 8651, 8652.
- When applicable, invoices or billing statements for DVBE goal or DBE percentage attainment required by the State or Federal Governments.
- Contractor for use of subcontractors and suppliers.
- The quality of the Contractor's work.
    - 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 be notified as well. **(Official termination notice is signed by the Department Contract Officer.) Refer to the 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 Agreement, a new license or certificate must be received by the State at least ten (10) days prior to the expiration date. This new insurance or license must still meet the terms of this Agreement. 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.

INVOICES

The Contract Manager must

- **Date-stamp** all invoices upon receipt. Begin the review and payment process immediately. Refer to the 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.)

- **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://onramp.dot.ca.gov/hq/accounting/PromptPayment/index.htm.

CLOSING OUT CONTRACT FILE

- **Approve** final product/services required by the contract.
- **Complete** and submit the Contractor Evaluation, form Std. 4, for consultant contracts of $5,000 or more.

AMENDMENTS

- 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 must be requested and approved prior to:
  1.) expiration date of the contract.
  2.) expenditure of additional funds that exceed the total amount of the original contract, or
  3.) authorizing any changes in the scope of the contract work.
- Pre-approval by the Business, Transportation and Housing Agency (BT&H) may be required for Non-competitively bid (NCB) contract amendments, unless the Agency Secretary has granted an exemption to the Department. For a list of exemptions refer to the NCB Amendment Approval matrix available online at http://admin.dot.ca.gov/pc/.
- Questions regarding this contract should be directed to my attention. Questions regarding invoices and payment procedures are to be directed to the Division of Accounting, Contract Payments, 1-800-303-1160.

Service Contract Analyst

Attachments:
Fully Approved Copy of Contract
Contract Instructions - Submittal of Invoices
Invoice Dispute Notification, form Std. 209
Contract/Contractor Evaluation, form Std. 4, if applicable
Insurance Certificate, if applicable
Bond(s), if applicable
Caltrans Service Contracts Quality Assessment Form, form Kform 37a

Submittal OF INVOICES TO DIVISION OFACCOUNTING

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*)

   1. Copies of Original Receiving Record,
   2. 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*)

   1. Duplicate copy # One, of the "Original Receiving Record",
   2. 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*)

   1. Duplicate copy # Two, of the "Original Receiving Record",
   2. Copies of "Original Invoice" with date of receipt on the invoice.
   3. 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,
   4. 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, UPS to:

Department of Transportation
Division of Accounting
Office of Accounts Payable, Contract Payments
1801 30th Street, East Building
Sacramento, CA 95816

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

Contractor Payment Inquiries are directed to:

1-800-303-1160

STATE OF CALIFORNIA – DEPARTMENT OF FINANCE

INVOICE DISPUTE NOTIFICATION

STD. 209 (REV. 7/2006)

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

(FOLD)

The invoice referred above is disputed for the following reasons:

- ☐ Goods /Services not received
- ☐ Noncompliance with contract
- ☐ Incorrect billing/amount due
- ☐ Partial shipment received
- ☐ Other _____
- ☐ Duplicate billing
- ☐ Invoice belongs to another department
- ☐ Damaged goods
- ☐ Invoice not properly executed

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

(fold)

RETURN A COPY OF THIS NOTIFICATION WITH THE CORRECTED INVOICE (IF APPLICABLE)

(For your convenience, the return address has been positioned for use in a window envelope.)

FOR STATE AGENCY USE ONLY

DATE DISPUTE RESOLVED	INITIAL
RESOLUTION	

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. 5/2002)

This form must be completed for all consulting services contracts $5,000 and over within 60 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

DIVISION, BUREAU OR OTHER UNIT: OFFICE OF PROCUREMENT AND CONTRACTS

EVALUATOR'S NAME

CONTRACTOR'S NAME AND ADDRESS

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/IFB ☐ 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 #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
☐ ☐	☐ ☐	☐ ☐	☐ ☐	☐ ☐
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
☐ ☐	☐ ☐	☐ ☐	☐ ☐	☐ ☐
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
☐ ☐	☐ ☐	☐ ☐	☐ ☐	☐ ☐
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
☐ ☐	☐ ☐	☐ ☐	☐ ☐	☐ ☐
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: Jan Smelser, Chief

Kform 37a (rev. 6/15/07)

APPENDIX G:

RECEIVING RECORD
FORM FA-1226A (REV 6/2004)

STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

RECEIVING RECORD

FA-1226A (REV 6/2004)

PLEASE CHECK ONE: ☐ CDPO ☐ CONTRACT ☐ GSPO ☐ OTHER _____ PAGE NO. 1 OF 1

VENDOR NAME	RECEIVED BY (Please Print)	DATE RECEIVED	SPECIAL INSTRUCTIONS:
		/ /	☐ DISCOUNT ☐ EXPEDITE

PREPARED BY (Please Print)	PHONE NUMBER	DATE PREPARED	APPROVED BY (Signature)	PHONE NUMBER
	( )	/ /		( )

SERVICE CONTRACT NUMBER	PURCHASE ORDER NUMBER	VENDOR NUMBER	CURRENT DOCUMENT NO.

DESCRIPTION/COMMENTS	T C	MOD	SOURCE DIST	SOURCE UNIT	CHG DIST	EXPENDITURE AUTHORIZATION	SUBJOB	SPECIAL DESIGNATION	F A	AGCY OBJ	AMOUNT	REV	FFY	RPI	REFERENCE DOCUMENT NO.	SUF

INVOICE NUMBER	DOCUMENT DATE	SUBSIDIARY ACT	MSA CODE	OBJ DET	CHECK DATE	CHECK NUMBER	APP SYM	FUND CODE	F S

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ADA Notice For individuals with sensory disabilities, this document is available in alternate formats. For information call (916) 654-6410 or TDD (916) 654-3880 or write Records and Forms Management, 1120 N Street, MS-59, Sacramento, CA 95814.