

DELEGATION APPROVAL CRITERIA AND AGENCY BASELINE REVIEW

Supplement to State Procurement Manual Policy PRO-102, Delegation

Delegation Criteria

The matrix that follows identifies each component needing to be addressed in the application for delegation. The agency's application for delegation will be judged against the guidelines provided below.

Application Component	Guidelines for State Bureau of Procurement Assessment	Point Value
-----------------------	---	-------------

A. PROCUREMENT ORGANIZATION

<p>Provide an organizational chart depicting the reporting relationship between your procurement function and the agency. Describe your agency's purchasing delegation lines and intra-agency purchasing delegation process and policies. Describe the relationship between the purchasing and finance units and explain the measures in place to ensure that a check and balance process is applied to each purchase.</p>	<ul style="list-style-type: none"> • The organizational chart shows a clear separation of duties between purchasing and finance responsibilities to assure that there is a check and balance process in place. • The purchasing staff report directly to the person with delegation. If not, a clear explanation of the lines of authority is provided. • The purchasing function is high enough in the organizational hierarchy to have sufficient authority to carry out the purchasing processes. • The narrative must describe (and organizational chart show) the reporting relationship of internal delegees to the special designated agent. • The application demonstrates the agency's process used to verify procurement competence of internal delegees. • The application provides a copy of the written internal delegation assignment that clearly states the specific delegation authority and performance expectations of delegees. • The application assures that agency training or Department of Administration (DOA) training will be completed by internal delegees appropriate to the authority granted. 	<p>20</p>
--	---	------------------

B. POLICIES AND PROCEDURES

<p>Agency's purchasing policies and procedures must meet the minimum standards established in the <i>State Procurement Manual</i>. Agencies may exceed these standard policies to meet business needs. Please provide the policies that guide your purchasing staff, describe how staff is made aware of these policies and how policies are monitored to ensure compliance.</p>	<ul style="list-style-type: none"> • The agency's policies and procedures mirror, complement and clarify the <i>State Procurement Manual</i>. • Explanations are provided for specific policies and procedures that expand on DOA requirements. • No <i>State Procurement Manual</i> policies are omitted from the agency's policies. • The agency explains how policies and procedures are communicated and disseminated throughout the agency. • The agency describes how and with whom training is conducted on new or revised policies and procedures. • The agency provides clear record retention policies and procedures. 	<p>15</p>
--	--	------------------

DELEGATION APPROVAL CRITERIA AND AGENCY BASELINE REVIEW

Supplement to State Procurement Manual Policy PRO-102, Delegation

C. SPECIAL DESIGNATED AGENT EXPERIENCE

<p>The agency must provide an explanation of the training and experience possessed by the individual to whom purchasing authority will be delegated.</p>	<ul style="list-style-type: none">• The application clearly shows that the designated individual possesses sufficient training and experience in management core competencies.• The application documents that the designated individual completed all the mandatory purchasing classes provided by DOA and/or the agency appropriate to the level of purchasing authority. If all classes are not completed, the agency provides a timeline for completion.• The application demonstrates that the designated individual possesses basic knowledge of state process (examples: budgets, statutes, administrative codes).• As part of this response, complete DOA-3833: Purchasing Personnel Inventory for the special designated agent seeking purchasing authority.	<p>10</p>
--	--	------------------

D. STAFF EXPERIENCE

<p>The agency must provide an explanation of the training and experience possessed by staff who directly or indirectly report to the person to whom purchasing authority will be delegated.</p>	<ul style="list-style-type: none">• As part of this response, complete a DOA-3833 for each staff directly performing purchasing functions for the agency.• The application documents that the designated individual completed all the mandatory purchasing classes provided by DOA or the agency appropriate to the level of purchasing authority. If all classes are not completed, the agency provides a timeline for completion.	<p>20</p>
---	--	------------------

E. TRAINING

<p>Describe and provide documentation of the agency's purchasing training program or describe the plans for developing and implementing such a program.</p>	<ul style="list-style-type: none">• The policies that support the training program establish the requirement for all purchasing staff to attend DOA purchasing classes.• The application describes any program in place to provide additional training for agency purchasing staff on request for bid (RFB) and request for proposal (RFP) processes and requirements.• The application describes a plan to train program staff before working on an RFB or RFP.• The application identifies and describes a simplified purchasing training for mid-management and program staff.• The application demonstrates a specific process for mentoring and assisting those staff conducting RFBs and RFPs.• There is an explanation of how delegees and the special designated agent are made aware of new process and procedures.• The application demonstrates the agency's commitment to continuing education for purchasing staff.	<p>20</p>
---	--	------------------

DELEGATION APPROVAL CRITERIA AND AGENCY BASELINE REVIEW

Supplement to State Procurement Manual Policy PRO-102, Delegation

	<ul style="list-style-type: none"> • The application describes how purchasing card training is acquired. • The application describes how minority business enterprise (MBE) training is acquired. • The application describes how disabled veteran-owned business (DVB) training is acquired. • The application describes how contract compliance (affirmation action) training is acquired. • The application describes how training is provided for the use of mandatory contracts. • The application describes how training for 2005 Act 89 and 2005 Act 141 is acquired. • The application describes how training for Badger State Industries (BSI) and work center requirements is acquired. • The application describes how new legislation is communicated to purchasing and program staff. • The application describes how training is acquired for best judgment and simplified bidding. 	
--	--	--

F. MANAGEMENT REVIEW, AUDIT AND COMPLIANCE

<p>The application must document the agency's internal purchasing management review and compliance monitoring program and schedule or describe the plans for developing and implementing such a program.</p>	<ul style="list-style-type: none"> • The agency provides a schedule for periodic review of purchasing functions for delegated internal entities. • The application describes how the agency will review its compliance with mandatory contracts, MBE, DVB, BSI, Act 89, Act 141 and work center requirements. (See training above.) • The application shows an example and describes how the agency will reconcile contract and performance requirements with the solicitation. • The application describes a procedure to ensure that all contracts are valid and still have purchasing authority. • The application demonstrates a review process of all record keeping and storage requirements of each solicitation process (document all records retention requirements are being met). • The application describes action taken as a result of the agency's non-compliance to the Bureau's or the agency's policies and procedures. • The application describes automated systems (if any). • The application describes how the agency will respond to requests for information (from DOA or other entities). 	15
--	---	-----------

G. PURCHASING HISTORY

<p>The Bureau will consider the agency's purchasing history (Requests for Purchasing Approval/Authority (RPA), stipulations, management reviews,</p>	<ul style="list-style-type: none"> • The application must describe stakeholders affected, amount of annual purchasing and unique, controversial or otherwise challenging solicitations accomplished. • A list of protests dating back one (1) year prior to application for delegation must be provided that documents the solicitation affected and the outcome of each protest. 	No points, general info
--	---	-------------------------

DELEGATION APPROVAL CRITERIA AND AGENCY BASELINE REVIEW

Supplement to State Procurement Manual Policy PRO-102, Delegation

complexity) when delegating purchasing authority.	<ul style="list-style-type: none">• The application identifies any internal (or external) reviews completed and the result (and remedy) of each review(s).• Pre-Delegation Baseline Purchasing Data Review of Delegated Agencies, Supplement to State Procurement Manual Policy PRO-102 Delegation.	
---	--	--

H. ANNUAL SPEND SUMMARY

Please provide a summary of total dollars spent in the previous fiscal year—broken out by purchasing threshold level	<ul style="list-style-type: none">• Self-explanatory	No points, general info
--	--	-------------------------

DELEGATION APPROVAL CRITERIA AND AGENCY BASELINE REVIEW

Supplement to State Procurement Manual Policy PRO-102, Delegation

PRE-DELEGATION BASELINE PURCHASING DATA REVIEW

Item reviewed	Why this is being reviewed	Resources reviewed	How review will be used
MANDATORY CONTRACTS	Identify state spend on State Bureau of Procurement procured contracts	<ul style="list-style-type: none"> • VendorNet • STAR • RPA.wi.gov • Survey contract managers to identify contractors under contract by providing the following data for each contract: <ul style="list-style-type: none"> ○ Contract number ○ Contract name ○ Contractor(s) ○ FEIN(s)/Supplier Number ○ Contract term ○ Applicable NIGP code(s) • State purchasing card data • Contractor submitted reports 	This analysis will assist the Bureau in reviewing the estimated state spend on mandatory contracts as well as identifying all contractors under mandatory contracts.
TOTAL AGENCY SPEND	Review agency total spend for most recent fiscal year by contractor	<ul style="list-style-type: none"> • Survey data from applicable procurement systems to identify all agency spend during most recent fiscal year by analyzing the following data: <ul style="list-style-type: none"> ○ Contractor ○ FEIN/Supplier Number ○ Total contractor spend ○ Account code 	This analysis will assist the Bureau in reviewing each agency's total spend and the contractors from whom commodities and services are procured.
AGENCY CONTRACTS	Identify agency spend on agency procured contracts	<ul style="list-style-type: none"> • Survey agencies to identify all contracts over the official bidding threshold that the agency has procured and that are currently "open and current" by providing the following data for each contract: <ul style="list-style-type: none"> ○ Contract number ○ Contract name ○ Contractor(s) ○ FEIN(s)/Supplier Number ○ Contract term ○ Applicable NIGP code(s) ○ Contractor supplied spend reports by contract (if applicable) • State purchasing card data • Applicable procurement systems' data 	This analysis will assist the Bureau in reviewing the estimated agency spend on agency procured contracts as well as identifying contractors under contract with an agency and the commodities or services being procured.

