

Procurement Risk Assessment Checklist

DISCLAIMER: Due to the complex nature of the original document, this version of the Checklist was created as an Accessible Version. Information found within this document is taken directly from the standard original version and has only been modified to meet accessibility standards. Each Checklist is slightly customized from this standard version and includes a packet of agency-specific supplemental documents. If you encounter any problems or require additional assistance with interpreting this document, please contact us at DelegatedAuthority@des.wa.gov.

Reason for Checklist

Congratulations! Your Agency has shown, based upon its responses to the previous Procurement Risk Assessment (Assessment) process, that it manages procurement risks effectively and received a “Low Risk” review from DES. As a result, your Agency has received this Assessment Checklist, which is a streamlined version of the Assessment Tool. The Checklist is an abbreviated review of your Agency’s procurement and contracting systems and practices. It is designed to greatly reduce the processing time for participating agencies while preserving the quality of DES oversight of your Agency’s procurement risk management activities.

The Checklist is presented in two parts: Part A, which is designed to learn whether past agency responses remain unchanged; and Part B, which reviews issues that have arisen since the time of the previous Assessment. DES analysts will review the Checklist in order to present a recommendation to the DES Director regarding the Agency risk level and Delegated Authority. After the evaluation process is completed, your Agency will receive an updated Delegated Authority Letter from the DES Director.

In the unlikely event that your Agency’s procurement risk management processes have become less effective, it may become necessary for DES to expand its review beyond the scope of the Checklist. If this is the case, DES analysts may send you a) additional questions on a procurement or contracting subject, b) requests for additional information, and/or c) requests for documents. The additional information will be used to reevaluate the Agency’s Checklist responses and will be included in the analysts’ recommendation.

Checklist Objectives

There are three goals for the Assessment process that also apply to the Checklist:

1. To provide each Agency with procurement authority that has been tailored to fulfill the Agency’s mission.
2. To learn how an Agency manages the risks associated with its procurement and contract management functions.
3. To provide coaching to Agencies to improve their procurement and contract management practices.

Low Risk Agencies share the following characteristics:

1. The Agency manages all priority procurement risks (including contract management risks) through the actions of experienced procurement staff.
2. The Agency has had no procurement- or contract-related audit findings for the past five years.
3. Agency procurement and contract staff have extensive training on, and experience managing procurements.
4. The Agency has sufficient resources to maintain its procurement risk management practices.

5. The Agency complies with all procurement laws and DES procurement policies.
6. For micro Agencies (i.e. that have fewer than 50 FTE), Agencies with no procurement professionals rely upon consultation with, or have arrangements with, DES to successfully conduct their procurements and contract management.

Note: Unless otherwise specified, the scope of Checklist questions includes FY 2019.

Instructions

There are 3 sections of the Checklist in this spreadsheet to fill out. In each, please enter your response or choose Yes or No as directed to in the box beneath the question. The Yes or No questions are drop-down menus - click on the box that says "Choose Yes or No" and click on the arrow that pops up in the bottom right.

Please ensure you answer the Checklist questions thoroughly and completely. To the right on this sheet, you can see how many questions you have left to go. At the top of every survey sheet, you can see how many questions are left on this page and what your total progress for the questionnaire. You will know when you are done when your progress is at 100% and you have zero questions remaining on each tab.

Yes or No questions may require additional explanation based on your answer. If this is the case, a box will pop up to the right of the Yes or No box asking you for the additional information. If you are prompted to give the additional explanation, the question will not be considered complete until information is entered into the box.

Please ensure you have answered all of the questions in all of the sheets.

Additionally, please print the Director's Acknowledgement page, have it signed by the director, scan, and send it to DES with the completed Checklist to the DES Director's Office.

General Information

Question 1: Agency Name

Please State Your Agency Name

Question 2: Personnel

How many full-time employees did your agency have in FY 2019?

Question 3: Point of Contact

Please state the name, email address, and phone number of the single point of contact for your Agency for this assessment.

Thank you for completing all the questions in this section. Please continue to the next section.

SAMPLE

Procurement Risk Assessment Checklist Part A

Question 4: Structure

Has your Agency changed its procurement organizational structure since its last Assessment (i.e. procurement is now centralized, or decentralized, or your Agency has developed or adopted a new business line)? If yes, please describe how your procurement organization has changed.

Question 5: Training

Have your appropriate Agency staff completed all required DES Procurement and Contract Training, including the recent modules on PCBs and Contract Management (e.g., WA State Contract Management 102, 201, etc.)?

Question 6: Turnover

Has your Agency experienced any turnover in its procurement and contracting staff since its previous Assessment? If yes, have new or reassigned staff completed all required DES Procurement and Contract Training?

Question 7: Top Risks

Have your Agency's top three procurement-related risks changed since its previous Assessment? If yes, please explain how they have changed.

Question 8: Exceeding Authority

Has the Agency conducted any procurements or entered into any contracts that exceeded its delegated authority since its last Assessment? If yes, please describe these contracts.

Question 9: Compliance

Has the Agency identified any circumstances in which it was out of compliance with procurement or contract management laws or policies? If yes, please describe these circumstances and corrective actions taken.

Question 10: Increased Authority

Is your Agency asking for an increase in its general delegated authority? If yes, please describe these requested increases.

Question 11: Increased Authority - Special Projects

Does your Agency anticipate requesting additional authority for any special projects in the next 2-3 years? If yes, please identify the projects and provide supporting documentation per POL-DES-090-00(3).

Question 12: Ongoing Project Authority

Does your Agency anticipate requesting additional authority for any ongoing projects? If yes, please identify the projects and provide supporting documentation per POL-DES-090-00(3).

Question 13: Audit Findings

Has your Agency received any federal or state procurement- or contract-related audit findings since its previous Assessment? If yes, please describe the findings and corrective actions taken.

Question 14: Management Letters

Has your Agency received any procurement- or contract-related Management Letters from the State

Auditor's Office since your Agency's previous assessment? If yes, please describe the letters and corrective actions taken.

Question 15: Current Audit

Is your Agency currently being audited (either federally or by the state) for its procurement- or contract- related practices? If yes, please describe the findings and corrective actions taken.

Question 16: Forecasting

Other than through its budget requests, does your Agency forecast its procurement needs? If yes, please describe the forecasting process used.

Question 17: Late Sole Source Filings

Has your Agency submitted any late sole source filings since it received its last Assessment? If yes, please describe the remedial steps taken to improve your Agency's sole source practice.

Question 18: Sole Source Disapproval

Has DES disapproved any sole source filings presented by your Agency since it received its last Assessment? If yes, please describe the remedial steps taken to improve your Agency's sole source practice.

Question 19: OCIO

Has your Agency complied with the OCIO IT Investments – Approval and Oversight Policy (#121)? If not, please describe your compliance plan.

Question 20: Vendor Management

Has your agency continued to use the same practice as in FY 2016 to ensure vendor performance management (i.e. is your practice of managing vendors' effective performance unchanged)? If not, please describe the new method used and how success of the method is measured.

Question 21: Vendor Compliance

Has your Agency continued to use the same practice as in FY 2016 when it learns that a vendor is out of compliance with a contract (i.e. is your practice of managing vendors' defective performance unchanged)? If not, please describe the new method used and how success of the method is measured.

Question 22: Best Practices

Does your Agency continue to use the same practice as in FY 2016 for sharing procurement and contract management best practices within your Agency? If not, please describe the new method used and how success of the method is measured.

Thank you for completing all the questions in this section. Please continue to the next section.

Checklist Part B - New Procurement-Related Topics

Question 23: Executive Order 18-03

Has your Agency updated its contracting practices to reflect Executive Order 18-03, Supporting Workers' Rights to Effectively Address Workplace Violations ("when making purchasing and other procurement decisions, all state executive and small cabinet Agencies shall seek to contract with qualified entities and business owners that can demonstrate or will certify that their employees are not required to sign, as a condition of employment, mandatory individual arbitration clauses and class or collective action waivers")?

If not, please explain.

If yes, please send a copy of the language your Agency uses in its contracts to DelegatedAuthority@des.wa.gov.

Question 24: Competition - Supplier Diversity

Has your agency submitted its agency inclusion plan with OMWBE, and provided veteran spend data to the Department of Veterans Affairs?

If yes, please state the name and contact information for the agency leader(s) with the responsibility for increasing your agency's spending with small, minority, woman, and veteran-owned businesses.

If no, please explain why your Agency has not submitted its agency inclusion plan with OMWBE.

Question 25: Competition - Small, Minority, Woman, and Veteran Owned Businesses

Please explain how your agency is ensuring equal access and competition from small, minority, woman, and veteran owned businesses.

Please state the name and contact information for the agency leader(s) with the responsibility for increasing your agency's spending with small, minority, woman, and veteran-owned businesses.

Question 26: Increase Small Business Spending - Target Increase

- a. What is your Agency's target increase in small business spending for the next five years (i.e. through FY 2023)? This total should include veteran-owned businesses (see RCW 43.60A.010(7)) and Qualified Minority and Women-Owned Businesses (see RCW 39.19.030).
- b. How will you achieve these targets?

Question 27: Washington-Grown Food

How does your Agency enhance the opportunity for suppliers and producers of Washington grown food to be considered for business? See POL-DES-090-09.

Question 28: Environmental Statutes

Please explain what your Agency does to comply with the requirements of the following laws: A) RCW 39.26.255, regarding the procurement of products containing recycled content; B) RCW 70.95M.060, regarding elimination of products containing mercury; C) RCW 39.26.265, regarding purchases of electronic products that meet environmental performance standards.

How will your Agency implement its plans? Please include a timeline or target dates.

Question 29: Correctional Industries

Please explain what your Agency does to comply with the requirements of RCW 39.26.251, regarding increased purchases of goods and services from inmate work programs. How has your Agency implemented its plan?

Question 30: Community Rehabilitation

Please report your Agency's FY 2019 spending on goods and services manufactured or provided by Washington State Certified Community Rehabilitation Programs. See RCW 39.26.230.

Question 31: PCBs

Has your Agency incorporated PCB preferences into solicitation documents when appropriate? See POL-DES-280-00.

If yes, please email a copy of the preference language used by your agency to DelegatedAuthority@des.wa.gov.

If no, please explain why your Agency has not incorporated this preference language in its solicitations.

You have answered all questions in all sections.

When the Checklist is completed, please print the Director's Signature page (found in the Supplemental Files packet) have it signed by your Director, scan, and email it to DelegatedAuthority@des.wa.gov and send a copy to Tara.Smith@des.wa.gov. Please retain the originals for your records.