

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

The Procurement Risk Assessment (Assessment) process, using the Assessment Tool, is an extensive review of an Agency's procurement and contracting systems and practices. Agencies that have received a risk rating of "Low" from past Assessments have proven the effectiveness of their risk management practices with regard to their procurement and contract management functions. For this reason, requesting Low Risk Agencies to undertake a complete Assessment is likely not an efficient use of state resources provided there have been no significant changes to their contracting systems and practices.

The Checklist is designed to determine whether an Agency that received a risk rating of Low through the most recent Assessment needs to use the Assessment Tool. 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.

Agencies that do not need to complete the Assessment Tool will receive an updated Delegated Authority Letter from the DES Director after DES reviews the Agency's Checklist responses.

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.

Please go to the next tab for instructions on completing this checklist

Instructions

There are 3 sections of the Checklist. In each, please record your response to each question.

Yes or no questions may require additional explanation based on your answer. Please ensure you answer the Checklist questions thoroughly and completely.

Please ensure you have answered all of the questions in all of the 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 chris.liu@des.wa.gov. Please retain the originals for your records.

Questions Left to Go: 31

Your Progress: 0%

Expected Total Time to Complete: 3 hours, 0 minutes

Estimated Time Remaining: 3 hours, 0 minutes

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.

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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 so, 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? If not, please describe how you train your procurement staff.

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: Exceed 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 approach to ensure vendor contract compliance and performance? 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 approach when it learns that a vendor is out of compliance with a contract? 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 approach to sharing procurement and contract management best practices? 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.

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?

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 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

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). 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: Recycled Content

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. Additionally, please email a copy of the recycled content plan to DelegatedAuthority@des.wa.gov

Question 29: Correctional Industries

How does your Agency plan to support Correctional Industries in lowering the costs associated with operating the state's criminal justice system and breaking the cycle of recidivism through the purchase of goods and services from inmate work programs?

Question 30: Advancement of Disadvantaged and Disabled Persons

How does your Agency plan to advance employment and career opportunities for disadvantaged persons and persons with disabilities by encouraging state Agencies to purchase products and/or services manufactured or provided by Washington State Certified Community Rehabilitation Programs?

Question 31: PCBs

Does your Agency plan to increase the procurement of products that do not contain Polychlorinated Biphenyls (PCBs)? See POL-DES-280-00. If so, please provide a copy of such plans, including how such opportunity enhancement will be measured.

You have answered all questions in all sections.

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