

To: Deputy County Executive Officer Lilly Simmering, County Executive Office
From: Director Noma M. Crook, Financial/Administrative Services Division
Date: February 24, 2023
RE: Response to Contract Compliance Review and Strategic Procurement Assessment



Please find the attached response to the contract compliance review and strategic procurement assessment conducted by NIGP Consulting.

If you have any questions, please contact me at (714) 834-6681.

Attachments

c: Executive Director Brian Wayt, Administrative Services Command
Director Lala Ragen, Performance Management and Policy, County Executive Office
Director Elizabeth Guillen-Merchant, Performance Management and Policy, County Executive Office
Maria Agrusa, County Procurement Officer, County Executive Office
Lynn Wilkerson, Assistant Director, Financial/Administrative Services Division
Linh Vuong, Cost/Audit Manager, Financial/Administrative Services Division
Yvette Torres, Purchasing Manager, Financial/Administrative Services Division
Tiffany Mui, Audit Manager, Financial/Administrative Services Division

ORANGE COUNTY SHERIFF'S DEPARTMENT

Item	Recommendations	Department Response	Implementation Status
Recommendations From Audit Review:			
SP-1	Create a Procurement Sourcing Plan annually for customer needs (recommend connecting to Budget process), including discussions with customers and Purchasing Team. Meet regularly with OCSD leadership to discuss plan updates and share information with Purchasing Team.	Concur. The County Procurement Office (CPO) has created a Countywide Plan and has implemented a 12 month look ahead report that is submitted by Departments to CPO quarterly. CPO will also be hosting a Procurement Council (PC) Leadership forum to recommend individual County agency specific plans.	In Progress-OCSD Purchasing Unit will be implementing a Purchasing 101 training beginning March 2023 for all internal and external customers.
SP-2	Encourage Purchasing Team to modify the approach to meetings with customers in advance of procurements. While Purchasing management has shared there are meetings with Purchasing, Budget and customer units, based upon the interviews, a more intentional dialogue about value and options is encouraged in these meetings. Meetings should be focused on strategy, including possible solutions, options and efficiencies, as well as to educate Purchasing on the customer need.	Concur. OCSD Purchasing is continuing to meet with its' customers in a modified approach to better identify OCSD unit's contracting needs and opportunities for increasing efficiencies.	In Progress-OCSD team will be modifying the structure and communication with the end users and this will be part of the upcoming training.
SP-3	Implement a spend and category management program. This involves analyzing categories of spend and analysis of how current workload is assigned. This should be further vetted throughout the department, such that staff are not limited to assignment of a given division, but rather are assigned based upon categories of similar spend in goods and services to the extent that is reasonable. Category managers should be trained in strategic spend analysis to assist in identifying opportunities to leverage new contract opportunities, as well as analyzing past spending practices for modification to drive savings and efficiencies.	Concur. The CPO is addressing these requirements on a Countywide level via a new procurement software system. OCSD Purchasing Management will be assessing how workload is distributed to the Procurement Team.	In Progress-OCSD team will be modifying the structure and communication with the internal staff and this will be part of the upcoming training.

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Recommendations From Audit Review:			
SP-4	Educate Purchasing Team on spend management, identify data desired from spend analytics and strategize on decision making process for leveraging spend data for improved sourcing decisions (including identifying new contracts needed for OCSD customers, opportunities to merge contracts, opportunities to leverage cooperative opportunities)	Concur. The CPO is in the process of developing procedures and training related to spend management, analytics, etc. OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
Recommendations on Procurement Processes and Procedures			
P-1	Map current-state OCSD sourcing processes (for internal and external facing processes) to identify non-value-added steps, inefficiencies, decision points, data input/output, documents, approvals and pain points. Use current-state maps to identify future-state OCSD opportunities and implement new OCSD processes. Engage customers and suppliers in process mapping.	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures Manual (PPM). OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
P-2	Establish strategy, templates and standard approach for price negotiations; provide training to Purchasing Team and customers.	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures manual. OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
P-3	Coordinate with CPO to identify specific areas where OCSD is challenged with County Council ("CoCo") interpreting CPM and DCPM differently within OCSD as well as across other departments.	Concur. The CPO is currently working with County Counsel and a Board Adhoc committee to address interpretation challenges occurring with the CPM and DCPM.	In Progress.
P-4	Coordinate a discussion with key customers to discuss the Contract Renewal process to identify opportunities for adjustment that will enable standards and expectations for how responses will be managed, as well as identify opportunities for efficiencies.	Concur. The CPO has implemented the "12-month" look ahead report for County Departments that allows sufficient time for the identification of strategic contracting opportunities and efficiencies.	Implemented-OCSD Purchasing has prepared the infromatoin requested and submitted to CPO quarterly.
P-5	Modify policy on retroactives to allow for increased authority by DPA Managers as well as increased delegated authority for DPAs and Directors (Note: Recommendation of Purchasing Manager to address issues with Sheriff/Directors having to deal with \$500 purchases).	Concur. The CPO is looking to address this policy in their next CPM update. OCSD will defer to CPO regarding any updates on this matter. CPO has implemented new retroactive violation procedures.	Implemented- OCSD Division Commanders and Executive Command was trained on Retroactive Contract procurements on 2/15/23. Further training will be conducted with the external customers in March 2023 however, dollar limits are set by CPO.

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Recommendations From Audit Review:			
P-6	<p>CalCard: Conduct meetings with OCSD stakeholders, Finance and CPO to discuss opportunities for improved CalCard use. Possible topics to include (based upon customer and DPA feedback:</p> <ul style="list-style-type: none"> o Increased use of CalCard for key purchase opportunities (such as spot buys/opportunity buys) o Increased efficiencies by mapping processes for Card use for non-value-added steps and opportunities to streamline o Increased CalCard thresholds for small purchase needs o Increased CalCard use for payments to offset burdens of lengthy payment timelines for suppliers, particularly DEI suppliers o Run report of CalCard spend to analyze spend for opportunities of increased leverage (such as targeting top areas of spend and opportunities to increase administrative revenue) o Consider opportunities to create DPAs in areas outside of OCSD Purchasing for ability to use CalCard 	<p>Concur. The CPO is looking to address this policy with the Auditor-Controller as part of their next CalCard Policy updates. OCSD will defer to CPO regarding any updates on this matter.</p>	<p>In Progress.</p>

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Recommendations From Audit Review:			
Recommendations on Communication			
C-1	Create Procurement Liaisons across all Commands and/or Divisions in OCSD, whereby the role serves as a central liaison with OCSD Purchasing. This role may then have central responsibility for dissemination of information, coordination and follow up on status updates, vetting of questions and tracking of procurement actions for their respective Command/Division.	Concur. OCSD will provide Purchasing 101 training in March 2023.	In Progress- OCSD Divisions are signing up for the upcoming Purchasing 101 training.
C-2	Provide training/refresher training for Purchasing Team on CPM requirements for various sourcing process, and discuss ways in which team should be guiding and advising customers on various sourcing options and tools to address customer concerns regarding lower quality goods or services; incorporate information into customer training as well.	Concur. OCSD has implemented training recommendation immediately.	Implemented - CPM and Procuredures Training has been implemented in Purchasing All-Staff meetings as well as continuous training based on Procurement updates.
C-3	Establish expectations for DPAs to meet on a regular basis with customers to discuss upcoming needs, issues, questions and to increase Purchasing Team knowledge of OCSD needs.	Concur. OCSD is implementing this recommendation immediately.	Implemented - OC Sheriff DPAs are meeting with their assigned units to review, discuss, and guide the units concerning their purchasing & contract needs.
C4	Establish expectation for staff and ensure accountability for communication to customer when there are lengthy delays in processing contracts or purchase orders.	Concur. OCSD is implementing this recommendation immediately.	Implemented - Purchasing Supervisors are meeting weekly 1-on-1 with staff to ensure projects and status are updated timely in Expediter.
C5	Monitor compliance for management expectation of OC Expediter weekly updates for Purchasing.	Concur. OCSD is implementing this recommendation.	Implemented - Purchasing Supervisors are meeting weekly 1-on-1 with staff to ensure projects and status are updated timely in Expediter.

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Recommendations From Audit Review:			
Recommendations on Time Management			
TM-1	<p>Establish OCSD standards (or estimates) for turnaround times on various processes, documents, service responses. Collaborate with CPO on entity-wide standards that may exist, or which could exist for such timelines. Run processing times reports to analyze deviations from standards/estimates for needed action or adjustments to process.</p> <ul style="list-style-type: none"> o Consider benchmarking for industry timeline “trends” (also leverage information from proposed process mapping to identify steps to eliminate as non-value add, lower risk, etc) o Discuss standards and expectations for Purchasing Team and customer roles and responsibilities with a stakeholder team; document expectations/standards and train Purchasing Team and customers (possible actions include requisition assignment, updates in OCE, processing quotes, issuance of PO’s, email/phone call response times, contract amendments, formal solicitations, invoicing and payment processing for suppliers) 	<p>Concur. The CPO is currently pursuing the development and implementation of Countywide procurement standard timelines and roles and responsibilities.</p>	<p>In Progress.</p>
TM-2	<p>Create a discussion with Finance and customers to discuss challenges experienced in the supplier payment processes for potential efficiencies</p>	<p>Concur. This is found to be a Countywide issue and CPO is creating a program to address these challenges. CPO has hired a Vendor Relations Manager to focus on this issue as well as other vendor issues.</p>	<p>In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.</p>
TM-3	<p>Contract Renewal Report: Recognizing the value of being proactive with the customer outreach on supplier performance feedback for potential contract renewal, discuss with customers ways in which to improve upon existing process, and expectations for potential renewal terms.</p>	<p>Concur. OCSD DPAs proactively pursue obtaining supplier performance from the customer (OCSD end user) as part of the contract renewal process. We will communicate with CPO regarding potentially additional questions for the vendor.</p>	<p>Partially Implemented - This feedback is obtained via the Contractor Performance Evaluation form however, CPO will need to add additional questions for the vendors feedback.</p>
Recommendations on Sourcing			
S-1	<p>Conduct training on the 2021 PPM with Purchasing Team and customers.</p>	<p>Concur. OCSD implement this training recommendation .</p>	<p>Implemented - CPM and Procurement Procedures Manual Training have been implemented in Purchasing All-Staff meetings.</p>

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Recommendations From Audit Review:			
S-2	Evaluate policy and process for informal quoting processes to determine degree of flexibility for Purchasing Team to make decisions on alternatives (allowance for a “no response” to be considered a response for not requiring a formal process); train staff on expectations for providing guidance to customers in this area.	Concur. OCSD will defer this policy recommendation to CPO for a policy decision.	In Progress.
S-3	Scope of Work/Specification Development: Establish standard templates with consideration of the following: o Train Purchasing Team and customers on use of new templates o Collaborate with stakeholder team in creation of templates to discuss needs and expectations	Concur. OCSD will implement this as part of the overall training recommendation.	In Progress - Purchasing will be implementing Scope of Work development template and do training beginning in March 2023. There is continuously training with staff on a monthly basis.
S-4	Discuss update opportunities for DCPM; discuss concerns and challenges with customers and schedule discussion with OCPW.	Concur. The CPO will be updating the CPM and DCPM manuals in 2023. OCSD is participating on the workgroups offered by CPO for these newer Countywide programs/processes.	In Progress.
S-5	Cooperatives: o Increase flow of information to customers regarding available cooperatives and RCAs available; increase knowledge of DPAs on same. o While there may be a valid reason for not using a given cooperative contract, ensure DPAs have an understanding of why and consistently provide explanation to customer(s).	Concur. OCSD will implement this as part of the overall training recommendation. OCSD is participating on CPO's Regional Contracting Alliance (RCA) group which primarily focuses on increasing awareness and usage of cooperative contracting opportunities of Countywide contracts or through other cooperative programs.	In Progress- Training will be provided at the monthly All Staff meeting.
S-6	Discuss approach (either based upon PPM or based upon Purchasing leadership expectations) for managing urgent, but not emergency needs for customers. Discuss with CPO for any entity-wide standards.	Concur. OCSD will implement this as part of the overall training recommendation.	In Progress-OCSD Purchasing Unit will be implementing a Purchasing 101 training beginning March 2023 for all internal and external customers.

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Recommendations From Audit Review:			
S-7	<p>Host a roundtable with key stakeholders (Purchasing Team, customers, suppliers) on:</p> <ul style="list-style-type: none"> o Barriers to the competitive process for suppliers; review the "We No Bid" NIGP Business Council white paper (original published in 2013, with refresh being published Aug/Sept 2022) o Ways to leverage information in the market/from suppliers to help educate OCSD on other ways to address the continued constrained supply chain o Pursue training opportunities; identify outside sources (such as NIGP webinars and list serve discussions) for additional ideas on how peer entities are managing these issues. 	<p>Concur. OCSD will implement this as part of the overall customer outreach and DPA training recommendations. CPO now has a vendor management program and actively promotes NIGP classes and training opportunities.</p>	<p>In Progress - OCSD Purchasing staff will collaborate with CPO and participate in their workgroups and training opportunities and share this information with OCSD stakeholders, as appropriate.</p>

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Recommendations From Audit Review:			
Recommendations on Standardization			
ST-1	Create standard roles and responsibilities document for DPAs and customers.	Concur. CPO will further research and consider this recommendation in the upcoming PPM revision.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
ST-2	As part of training Purchasing Team and customers on PPM, use PPM to assess all internal processes (considering recommendation for process mapping) to determine changes and establishment of expectations for standards connecting to PPM procedures.	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures Manual.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
ST-3	Discuss with customers any duplicative efforts for tracking procurement records.	Concur. OCSD will provide training.	In Progress-OCSD Purchasing Unit will be implementing a Purchasing 101 training beginning March 2023 for all internal and external customers.
ST-4	Discuss with CPO establishing standard template for contracts and solicitations.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement document templates to include, but not limited to, all solicitation types, model contracts, terms and conditions, and amendments.	In Progress.
ST-5	Discuss with CPO the CPM and the Price Increase Form to address any inconsistencies and/or opportunities for customer training; include customers in discussion.	Concur. CPO will further research and consider this recommendation in the upcoming CPM revision.	In Progress.
Recommendations on Relationship Management			
RM-1	Establish DPA backups to follow up on workloads in extended absences and provide customers continued support.	Concur. OCSD Leadership Team follows up on workloads and completes pending projects during extended absences.	Implemented- Training was provided at the monthly All Staff meeting.
RM-2	Establish a plan for increased supplier engagement and reduction of barriers to competition.	Concur. The CPO administers the vendor outreach program and is actively pursuing enhancements to this program including Vendor Information Day (bi-monthly), and Vendor Outreach Annual Event. CPO recently hired a Vendor Relations Manager to focus on these efforts.	Implemented.

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RM-3	Establish formal procedures for how Purchasing Team will manage and follow up with customers on negative feedback received on VPE or Contract Renewal forms, including specific discussions with suppliers/contractors on feedback.	Concur. The CPO is currently addressing the new Vendor Evaluation Process (VPE) and is actively pursuing enhancements to this process.	In Progress - We will develop a more formal process to address Vendor Performance Evaluation (VPE).
RM-4	Establish formal training and supplier outreach for the supplier community; discussions should include "how to" do business with the County, opportunities for improvement in processes and requirements that prevent engagement by the supplier community and to discuss upcoming opportunities.	Concur. The CPO administers the vendor outreach program and is actively pursuing enhancements to this program including Vendor Information Day, held bi-monthly, and the Vendor Outreach Annual Event.	Implemented.
RM-5	Create more intentional opportunities for Purchasing Team to learn from customers; the nature of goods and services acquired by OCSD requires a more in-depth level of awareness and understanding in order to work with customers on finding solutions for their needs.	Concur. OCSD Leadership team is in the process of evaluating assignment of expeditors based on Divisions/units, which will allow each team member to establish a more in-depth level of understanding of the goods and services procured for their Division and will allow them to work with their customers on finding solutions for their needs.	In Progress.

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Recommendations From Audit Review:			
Recommendations on General Procurement Practice			
G-1	Establish a standard price and cost analysis model for various structures (unit price, market basket, % of list price, etc) as well as a model for price point allocation.	Concur. The CPO has an established guidance on cost analysis. However CPO is looking to enhance these models in the upcoming procedures manual revision and future trainings.	In Progress - OCSD Purchasing will research and consider implementing additional models as appropriate.
G-2	Establish a standard scoring approach for RFPs to the greatest extent possible for consistency in committee performance and consistency in treatment for the supplier community. Presently there are 3 approaches to scoring (including consensus, total points, and average). The scoring of a proposal could be affected dependend upon which scoring method was selected.	Concur. The CPO has established guidance on scoring, per the Policy and Procedure Manual. CPO is looking to enhance these models in the upcoming procedures manual revision and future trainings.	Implemented.
G-3	Work with CPO and County Counsel to identify and eliminate discrepancies between CPM language and solicitation (IFB, RFP) terms and conditions.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement document templates to include, but not limited to, all solicitations types, model contracts, terms and conditions, amendments.	In Progress.
G-4	Establish policy, procedure, and training for supplier evaluation, including determinations of responsibility, responsiveness and assessment against evaluation criteria.	Concur. The CPO will be updating the CPM in 2023.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
G-5	Require written evidence of all quotes, eliminate verbal quote practice.	Concur. The CPO will research and consider this recommendation in the upcoming 2022 CPM revision.	In Progress-OCSD Purchasing leadership is currently participating in the Workgroups offered by the CPO.
G-6	Work with CPO to leverage the County's Supplier Outreach Program to build a strategy to expand and diversity supplier base and increase competition at OCSD.	Concur. The CPO now has a vendor management program includes, bi-monthly Vendor Information Day, and the Vendor Outreach Annual Event.	Implemented. OCSD is participating in these events.

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Recommendations From Audit Review:			
G-7	Increase staff accountability to record data accurately and thoroughly in the appropriate system to capture information available for reporting on procurement spend and various contracting metrics.	Concur. OCSD will implement this as part of the overall training recommendation.	Implemented - CPM and PPM Training has been implemented in Purchasing All-Staff meetings as well as continuous training based on Procurement updates.
G-8	Establish a recommendation for award templates for IFBs, where customer/end user can capture for the official record, their evaluation and recommendation for award.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement document templates to include, but not limited to, all solicitations types, model contracts, terms and conditions, amendments.	In Progress.
G-9	Collaborate with CPO to develop a formal Contract Administration program for OCSD, to include defined roles and responsibilities, policies, templates, and training.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement standard templates and roles and responsibilities.	In Progress.

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Recommendations From Audit Review:			
Recommendations on Organizational Structure			
OS-1	Create a classification structure whereby DPA positions across the entity have consistent and equitable position standards, qualifications, responsibilities, opportunities for advancement and pay.	Concur. OCSD will defer this policy recommendation to the CPO.	
OS-2	Conduct an analysis with HR to standardize the manner in which the DPA roles are budget and allocated across departments throughout the entity.	Concur. OCSD will defer this policy recommendation to the CPO.	
OS-3	Collaborating with HR and budget, identify ways to address the compression issues related to the DPA roles in OCSD Purchasing, to establish greater consistency in DPA roles and responsibilities, to increase opportunities for advancement in DPA roles within the same department (for increased retention opportunities) and to address the imbalance in DPA role/purchasing-based position allocation across all departments.	Concur. OCSD will defer this policy recommendation to the CPO.	
OS-4	Consider a staffing structure that allows for a single individual to progress through a series of procurement positions based upon achievement of clearly defined qualifications within the same position control number. This approach would allow someone to hire in at an entry level, but then promote based upon achievement of clearly defined requirements (i.e. - years of experience, achievement of professional certification).	Concur. The Financial/Administrative Services Director is working to reclass some current entry level positions in order to have a clearly identify career path.	In Progress.
OS-5	Create a classification structure whereby DPA positions across the entity have consistent and equitable position standards, qualifications, responsibilities, opportunities for advancement and pay.	Concur. OCSD will defer this policy recommendation to the CPO.	
OS-6	Conduct an analysis with HR to standardize the manner in which the DPA roles are budget and allocated across departments throughout the entity.		Duplicate see OS-2 response.
OS-7	Collaborating with HR and budget, identify ways to address the compression issues related to the DPA roles in OCSD Purchasing, to establish greater consistency in DPA roles and responsibilities, to increase opportunities for advancement in DPA roles within the same department (for increased retention opportunities) and to address the imbalance in DPA role/purchasing-based position allocation across all departments.		Duplicate see OS-3 response.

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Recommendations From Audit Review:			
Recommendations on Staffing			
SF-1	Realignment of workload of Purchasing Manager and Supervising PCS positions; Purchasing Manager needs to increase amount of time dedicated to strategy and leadership; adjust workload balance of the working supervisors toward increased time supervising and supporting staff (particularly newer staff) and less time working on sourcing (present balance is approximately 80% working on procurements; 20% supervising - recommend a 60% supervising/40% supporting procurement work at minimum).	Concur. OCSD Leadership team is in the process of evaluating the internal organizational structure for the Procurement team.	In Progress.
SF-2	Conduct an in-depth workload analysis for opportunities to improve how work is assigned among the existing.	Concur. OCSD Leadership team is in the process of evaluating the internal organizational structure for the Procurement Team.	In Progress.
SF-3	Conduct a staffing assessment to determine training needs for each staff member, as well as needed core competency development.	Concur. The CPO is addressing these requirements during the CPO Audit.	In Progress. OCSD Leadership team is in the process of evaluation the internal organizational structure for the Procurement team.
SF-4	Purchasing leadership should meet with staff, particularly newer staff, to discuss procurement's role in OCSD, the value of procurement service to the entity, the overall strategy of Purchasing's approach to developing staff and the "why" of procurement service. This approach is intended to provide a holistic approach to onboarding new staff and instill in staff the perspective of "why" they are doing the work they were hired to do.	Concur. OCSD Leadership team will continue to meet with staff to address the value of procurement service to the department and provide ongoing internal training.	Implemented. OCSD Leadership team provides internal training at the monthly All Staff meetings.
SF-5	Establish a formal training and professional certification plan for the entire team.	Concur. The CPO has developed a Procurement Professionals Day where DPA's and procurement staff of all levels can attend offering elevated professional development, career growth and enhanced training opportunities. Present are resource tables from CAPPO, NIGP, ToastMasters, UPPCC, and OC Learning and Organizational Development. Mock interviews are offered as well to all DPA's attending.	Implemented. OCSD team participated in this successful event and several staff members are interested in pursuing further professional development opportunities offered.
SF-6	OCSD staff managing sourcing for design and construction services need to be DPAs, including going through all steps to achieve this status OR an appropriate number of DPAs need to be assigned to these areas OR this work needs to be considered for reallocation to OCPW. Moreover, analysis needs to be done as to why non-DPAs are signing contracts.	Concur. DPA's are now the only authorized signers for all contracts.	In Progress. OCSD staff from design and construction services have now been deputized by CPO and will be acting on behalf of this section. OCSD Leadership team is also in the process of evaluating the internal organizational structure.

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Recommendations From Audit Review:			
SF-7	Need to establish training and guidelines for staff to properly advise customers on the best use of available sourcing tools based upon the needs and concerns of the customer (qualifications versus price, supplier evaluation, criteria for solicitation).	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures Manual.	In Progress. OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies.
SF-8	Formalize the mentoring approach for newer Purchasing staff, to include establishing mentorship standards and training for mentors.	Concur. The CPO has implemented the BLAZE forward Mentorship Program where they offer short and long term goal setting, and career advise/professional development. OCSD will also be developing a mentorship program within procurement.	In Progress. Although the CPO has implemented the Blazeforward Mentorship Program, OCSD will be implementing a mentoring program with in our Procurement Team.
SF-9	DPAs need to serve as advisors to customers; expectations and guidance on this advisory role needs to be provided, including training DPAs on how to serve in this role, to increase the value of the procurement function across OC.	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures Manual.	In Progress. OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies.
SF-10	A cadence of meetings should be developed for the entity: Purchasing leadership meeting with staff regularly, DPAs meeting with customers regularly, Purchasing management should be meeting with new staff regularly (one on one or small groups). Meetings should include training, opportunities for brainstorming ideas, asking questions, discussing improvements in operations.	Concur. OCSD Leadership team will continue to meet with staff to address the value of procurement service to the department and provide ongoing internal and external training.	In Progress. OCSD Purchasing Unit will be implementing a Purchasing 101 training beginning March 2023 for all internal and external customers.
SF-11	Need clear roles & responsibilities documents for Purchasing staff and for customers, to include expectations.	Concur. OCSD Leadership team is in the process of evaluating the internal organizational structure for the Purchasing Team and agrees to include and provide expectations to all Purchasing staff.	In Progress.
SF-12	Assign backups for when staff are out, communicate that to customers so they have someone else available for assistance.	Concur. OCSD Leadership team assumes the staffs workload and pending projects when staff is absent or on an extended leave. Staff are required to set an "out of office" email providing the information of their backup Supervisor.	Implemented.

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Recommendations From Audit Review:			
Recommendations on Training			
T-1	Perform cross-training of the OCSD Purchasing team, enabling all staff to have expertise in the various good and service areas to ensure consistent level of service and succession planning.	Concur. OCSD Leadership team is in the process of evaluating the internal organizational structure for the Purchasing team and agrees that cross-training will play a role in the implementation of a new organization structure, to enable all staff to have necessary procurement expertise.	In Progress.
T-2	As discovered during the CPO review, the CPO conducts regularly scheduled meetings with department DPAs, sharing updates on procurement policy and procedures. To ensure dissemination of these updates, schedule subsequent meetings with the OCSD staff performing procurement-related activities to share the updates/training.	Concur. OCSD staff is required to attend 15 hours of DPA training annually required by the CPO. OCSD Purchasing Manager will ensure dissemination of all updates/training during the monthly "All Staff" meetings.	Implemented. OCSD Leadership team disseminates all procurement updates and shares the updates/training during the monthly "All Staff" meeting.
T-3	Create a training program and plan for customers throughout OCSD, engaging the Purchasing Team to be part of developing, delivering and engaging with the training with customers to increase opportunities for relationship building, collaboration and knowledge sharing.	Concur. OCSD will implement this as part of the overall customer outreach.	In Progress. OCSD Leadership team will be implementing a Purchasing 101 training for all internal and external customers beginning in March 2023. We will be engaging the DPA's to participate in their respective Divisions.
T-4	Survey customers and Purchasing Team for topics needed for inclusion in the training program; coordinate with CPO to ensure training is supplemental to training provided by the CPO and not duplicative; discuss with CPO whether training opportunities are open to non-DPA staff (information on this being available to non-DPAs has not been consistent).	Concur. The CPO currently conducts procurement staff, end user and vendor surveys.	In Progress- OCSD will look into procuring a survey monkey subscription to send to our internal customers.
T-5	Establish guidelines for Contract Administration, provide training, standard tools and standard procedures.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement standard timelines and roles and responsibilities.	In Progress.
T-6	Create a document with standard procurement terms and acronyms used in OCSD to provide to customers as part of training material.	Concur. The CPO is currently developing these process maps as part of the revised Procurement Procedures manual.	In Progress. OCSD is participating on the workgroups offered by CPO for these newer processes, procedures, and technologies. OCSD has a Financial chart of acronyms and it will be included in the Purchasing 101 training.

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Item	Recommendations	Department Response	Implementation Status
Recommendations From Audit Review:			
T-7	Leverage Job Aides (currently available at CPO website) for "How To" sessions with Purchasing staff and customers.	Concur. OCSD will implement this as part of the overall customer outreach and internal training.	In Progress. OCSD Leadership team will be implementing a Purchasing 101 training for all internal and external customers beginning in March 2023.
T-8	Based upon the size of OC, the number of DPAs performing procurement-related functions and the clearly and regularly communicated needs of the customers and DPA staff, OC should consider expanding the role and size of the CPO training function. It is noted that the CPO has expanded training opportunities for DPAs over the past few years. A continued expansion of this role would have a significant impact on the department operations.	Concur. OCSD will defer this policy recommendation to CPO for a policy decision.	In Progress.
Recommendations on Customer Service			
CS-1	Establish DPA backups for all Purchasing Team members.	Concur. OCSD Leadership team assumes the staffs workload and pending projects when staff is absent or on an extended leave. Staff are required to set an "out of office" email providing the information of their backup Supervisor.	Implemented.
CS-2	Schedule advance planning discussions with customers.	Concur. OCSD will implement this as part of the overall customer outreach and internal training.	In Progress. OCSD Leadership team will include this topic as a training opportunity at the monthly All Staff meetings.
CS-3	Train Purchasing staff on purpose and value of procurement work for the entity.	Concur. OCSD will implement this as part of the overall customer outreach and internal training.	In Progress. OCSD Leadership team will be implementing a Purchasing 101 training for all internal and external customers beginning in March 2023.
CS-4	Establish customer service guidelines, including response times for various activities.	Concur. OCSD will implement this as part of the overall customer outreach and internal training.	In Progress. OCSD Leadership team will include this topic as a training opportunity at the monthly All Staff meetings.
CS-5	Establish clearly defined roles & responsibilities.	Concur. The CPO is currently pursuing the development and implementation of Countywide procurement standard timelines and roles and responsibilities.	In Progress.

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Item	Recommendations	Department Response	Implementation Status
Recommendations From Audit Review:			
CS-6	Create staff backups		Duplicate see CS-1.
CS-7	Conduct open forums between staff and customers on various procurement-related topics to discuss establishing standards, tools, sharing information and receiving customer feedback.	Concur. OCSD will implement this as part of the overall training recommendation.	In Progress. OCSD Leadership team will be implementing a Purchasing 101 training for all internal and external customers beginning in March 2023.
CS-8	Conduct regular customer surveys.	Concur. The CPO currently conducts procurement staff, end user and vendor surveys.	In Progress- OCSD will look into procuring a survey monkey subscription to send to our internal customers.

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Item	Recommendations	Department Response	Implementation Status
Recommendations From Audit Review:			
Recommendations on File/Record Management			
FM-1	Reassess policy on Retroactives and consider use of CalCard for certain purchases versus issuing after-the-fact purchase orders (potential to still track and report on Retroactives thru CalCard reporting).	OCSD will defer this policy recommendation to the CPO.	
FM-2	Micro-purchases need to be reassessed for value in the type of process followed (ex: contract file for \$400 purchase via Master Agreement versus processing with CalCard); the invested internal costs to manage this type of purchase far exceed the cost and risk associated with it.	OCSD will defer this policy recommendation to the CPO.	
FM-3	Contracts do not include documentation that "tell the story" of what transpired. Contract records must stand on their own merit and should not require explanation from an individual. Implement practice of providing written justification in the file for activities that are not clearly evident on the face of the file, whether that justification is part of an electronic record or a stand-alone executive summary of some type.	Concur. OCSD will implement this as part of the overall training recommendation.	In Progress. OCSD Leadership team will include this topic as a training opportunity at the monthly All Staff meetings.
FM-4	Mandate use of a Contract Summary Page for all contract files. Contract tracking sheets provide organization and valuable, easy-to-access data on the outside of the contract file. Establish a standardized management review process for completed staff work and contract file reviews. Create a Contract File Checklist for management to use during staff work review.	Concur. OCSD has a "close out" checklist in place for the OCSD Leadership team to use during staff review of contract files.	Implemented.
FM-5	Provide increased training for consistency, understanding and increased compliance for Purchasing Team's use of the CPO's Electronic Procurement File Folder (EPFF) and adherence to the CPO file management policy. Discuss with staff what documentation should and should not be in the official contract record. The CPO standard should be followed such that appropriate contract data is captured and recorded, and all electronic records not contained in the central file (whether physical or electronic) are identified with their specific location.	Concur, the majority of recommendations are already existing within current County procedures. OCSD will continue to provide ongoing internal training.	Implemented- The CPO currently has an ePFF checklist, which has been published for DPA use. All DPA's have been provided training through the CPO and OCSD All Staff meetings.

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Item	Recommendations	Department Response	Implementation Status
Recommendations From Audit Review:			
FM-6	Provide staff training (or refresher training) on how to appropriately assemble, and maintain, the official contract record. This should include identifying who is specifically accountable for updating and maintaining the official contract record, including additional data and documents that need to be added to the file after contract award (e.g. - updated insurance certificates, amendments, purchase orders).	Concur. OCSD Leadership team will continue to provide ongoing internal training and will implement this as part of the overall training recommendation.	In Progress. OCSD Leadership team will include this topic as a training opportunity at the monthly All Staff meetings.
FM-7	Create a specific file management policy, including streamlining how files are stored throughout the organization.	Concur. OCSD is currently using the Electronic Procurement file folders as required by CPO. CPO to provide a refresher training on E Procurment File Folders.	Implemented.