

**OFFICE OF GOVERNMENTAL ACCOUNTABILITY
STATE CONTRACTING STANDARDS BOARD**



**FISCAL YEAR (FY) 2024
TRI-ANNUAL PROCUREMENT AUDIT REPORT
CHARTER OAK STATE COLLEGE**

Revision 1

STATE CONTRACTING STANDARDS BOARD:
FY 2024 TRI-ANNUAL AUDIT REPORT - CHARTER OAK STATE COLLEGE

State of Connecticut contracting agencies have been given the incredible authority to procure goods and services for their needs in exchange for the commitment that they will adhere to the State's statutes and regulations governing the commitment and expenditure of public funds. The State Contracting Standards Board (SCSB) has been given the responsibility to monitor procurement practices by state contracting agencies and to take corrective actions for non-compliance with those statutes and regulations.

PURPOSE OF REPORT

The SCSB tri-annual audit program assesses a state contracting agency's compliance with state procurement rules, regulations, statutes, and guidance provided by the Department of Administrative Services and the Office of Policy and Management. A random sample of open procurement contracts from the state contracting agency was selected and examined for compliance with those regulations. This report presents our findings from those assessments performed in October 2023 by the SCSB Staff.

SCOPE OF AUDIT

Charter Oak State College was one of eleven contracting agencies selected for examination for FY2024. The State Comptroller's CORE system was used to identify the organization's contract portfolio, which indicated that Charter Oak State College had six open contracts representing expenditures of approximately \$300,000. Contracts selected for testing were:

1. **23COSC005** (\$59,500) - This agreement between Charter Oak State College and Hanover Research Council LLC to provide Grants Services, including Grants Project Queue and Hanover Research Digital Services. This agreement ends on 12/22/2023.
2. **22COSC002** (\$150,000) - This agreement with Studio 63 LLC, under RFP 22COSC002, will provide graphic design services for the college's marketing needs. This agreement ends on 12/27/2026.

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NON-COMPLIANCE SUMMARY

Our findings are as follows:

1. Contract # 22COSC002 – one finding.
 - a. **Compliance Requirement: #4** – Ethics/Confidentiality Agreements - Agency employees must not participate in an RFP process if they have any interest that substantially conflicts with the proper discharge of their duties in the public interest (C.G.S. § 1-85).
 - b. **Finding:** No signed affidavits were available to support that each employee participating in the RFP process had no interest that would substantially conflict with the proper discharge of their duties in the public interest.
 - c. **Agency Response:** Charter Oak acknowledges that the confidentiality forms were not obtained due to a procedural error. Charter Oak intends to comply with the current CSCU Procurement Manual and capture written attestations on all future procurements.

SCSB RECOMMENDATIONS FOR IMPROVEMENT

Don't hesitate to get in touch with the SCSB's Training Specialist, Carmen Hufcut (carmen.hufcut@ct.gov), if you need assistance developing a corrective action plan to address this non-compliance.

SCSB respectfully requests that Charter Oak State College prepare a written report explaining how each finding noted above has been addressed and the procedures to be implemented to ensure future compliance within 60 days of the date of this report.

Further, please offer any suggestions for procurement training and other suggestions to make the procurement process more efficient and effective for your needs.

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January 12, 2024