Procurement Updates

2019
Topics and Presenters

- Welcome
  - Glendon Mitchell, Director Procurement and Contracting Services
- Utah Procurement Code
  - Glendon Mitchell
- PCard
  - JoLene Snyder, PCard Manager
- UShop eProcurement System
  - Perry Hull, Solutions Administrator
- Contract Management and TCM Highlights
  - Mike Smith, Contracts Manager

- Procurement Processes & Year End Purchases
  - Jeff Johnson, Associate Director
  - Terri O’Toole, Associate Director
- Conflict of Interest
  - Marc Rinehart, Director of Conflict of Interest Office
- ePR in context of Procurement
  - Scott Patten, Associate Director, Accounts Payable
- Software Purchases
  - Ken Pink, Deputy CIO
- Questions
State Procurement Code Update

- 1 minor change in 2019
- Design professional services (architects & engineers, etc.,) will now include certified commercial interior designers
- A Statement of Qualifications process is used. Construction, Project Delivery handles these
State Procurement Code Update

- State Purchasing has agreed to work with other public entities to propose legislation to reduce and simplify the Procurement Code in 2020.
Computer Industry Updates

- Tariffs from China have impacted pricing from some manufacturers. You should expect varying price increases.
- Future computer pricing is somewhat unpredictable/unstable.
- Processor shortages have impacted delivery lead times.
State Contract Computer Contracts

- Reminder that contract pricing includes a 3 year warranty on desktops, laptops and monitors
- Business class computers, not consumer grade
- State contract providers include Dell, HP, Lenovo, etc.
- Apple computers may be purchased through the Campus Store
Volume Discount Pricing For the University

- Thanks to significant efforts by UIT and Hospital ITS, standard configurations have been developed for select models of standard office CPU’s and laptops. Those include Dell and HP products.
- Standardized components are important to IT professionals servicing your devices.
- 3 year warranties as mentioned previously.
- Desktop support for Campus is available through University Campus Computer Support contracts.
Volume Discount Pricing For the University

• Select Dell desktop and laptops are up to 24% off Dell contract pricing
• Special volume pricing negotiated on select accessories and 24” monitors – savings of up to 30% off contract pricing
• Special pricing published on UShop, under Place an Order, form title: Valcom (VLCM) Computer Purchases
The PCard is a great tool to procure non-travel, small-dollar goods and services under $5,000. It may be used as a replacement for some of the previous paper-based processes, such as payment requests or campus orders. It’s an efficient and cost-effective method. Purchasing cards are preferred by most merchants as a payment method. Please use punch-outs in UShop when applicable vs. your PCard.
Department PCard

- This card is utilized for small dollar purchases and checked out by individuals with a U of U ID
- This is a card that is obtained by a very responsible custodian that will monitor card use and maintain documentation
- This card has lower limits and is a good tool to replace petty cash or personal reimbursements
- A log is required to track individuals who check out the card and to verify documentation
- Custodians are responsible to ensure that Utah State Sales tax is not charged
- Department custodians are required to attend in-person Cardholder Training, even if you are a current cardholder
Statements are now e-mailed

- Statements are sent to the statement recipient which is the primary reallocator for your PCard
- We are in the process of adjusting the font and shading on the statements. This is being done per the request from cardholders across campus
Internet Purchases

• Look for the with the lock symbol
• Be smart when making purchases online:
  • Verify Vendors
  • Obtain their physical address and phone number
  • Be aware of unsolicited emails from people impersonating University employees
Forms

- Forms sent to the PCard inbox are processed faster than forms that are faxed
- Please email forms to: pcard@purchasing.utah.edu
- Please ensure that the appropriate Account Executive, which is the responsible PI, signs the update forms
- Please check the reallocation system before sending a form, we receive a lot of duplicate forms
Reallocation

- A reallocator is an individual who:
  - Has access to the University online reallocation system:
    - Reviews transactions electronically
    - Assigns purchases to alternate chartfields
  - Please reallocate each week to ensure accurate reallocation and identify fraudulent transactions
  - Per policy transactions not processed by the cardholder must be submitted to JP Morgan within 30 days for investigation
  - Reallocation cut-off is the 5\textsuperscript{th} business day of every month
Purchasing Card Audits

- The Purchasing Card department schedules audits with departments on a regular basis.
- Proper documentation, signatures, and itemized receipts must be present at the time of the audit. Please ensure documentation is compatible with new Document Retention Policy and Rule.
- As a reminder, we will be giving violation points based on the findings in the initial audit report.
- Transactions are reviewed daily and emails are sent when a purchase looks suspicious.
UShop Campus User Survey - 2019

- Anonymous survey sent to 3,300 users, with responses from 919 (27%)
- How is UShop working, from the user’s perspective?
- What areas need improvement?
- Do we know what our users want, or do we just think we know what they want?
Campus User Survey - 2019

Q1 Please rate your overall satisfaction with UShop

Answered: 919   Skipped: 10

- Very Satisfied
- Somewhat Satisfied
- Not Satisfied
Campus User Survey - 2019

Q2 How often do you use UShop for your purchases?

Answered: 911  Skipped: 18

- Daily
- Multiple times per week
- Weekly
- Monthly
Campus User Survey - 2019

Q3 How would you rate the overall usability of the UShop application?

Answered: 920  Skipped: 9

- Excellent
- Good
- Poor
- N/A
Campus User Survey - 2019

Q5 Please rate how satisfied you are when you use punch-out catalogs

Answered: 823  Skipped: 106
Q6 Please rate how satisfied you are when you place non-catalog orders

Answered: 793    Skipped: 136
Campus User Survey - 2019

Analysis of All Supplier Names Provided

- Not in UShop: 75 (34%)
- UShop Non-Catalog: 117 (53%)
- UShop Punch-Out: 8 (4%)
- PCard Only: 21 (9%)

Supplier Analysis:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Supplier</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Costco</td>
<td>33</td>
</tr>
<tr>
<td>2</td>
<td>Genesee Scientific</td>
<td>23</td>
</tr>
<tr>
<td>3</td>
<td>McMaster Carr</td>
<td>18</td>
</tr>
<tr>
<td>4</td>
<td>Amazon</td>
<td>16</td>
</tr>
<tr>
<td>5</td>
<td>Bio-Rad</td>
<td>12</td>
</tr>
<tr>
<td>6</td>
<td>Walmart</td>
<td>12</td>
</tr>
<tr>
<td>7</td>
<td>New Egg Electronics</td>
<td>11</td>
</tr>
<tr>
<td>8</td>
<td>Abcam</td>
<td>10</td>
</tr>
<tr>
<td>9</td>
<td>Home Depot</td>
<td>10</td>
</tr>
<tr>
<td>10</td>
<td>Digi-Key</td>
<td>9</td>
</tr>
<tr>
<td>11</td>
<td>Lowes</td>
<td>8</td>
</tr>
<tr>
<td>12</td>
<td>Best Buy</td>
<td>7</td>
</tr>
<tr>
<td>13</td>
<td>Biolegend</td>
<td>7</td>
</tr>
<tr>
<td>14</td>
<td>Campus Store</td>
<td>6</td>
</tr>
<tr>
<td>15</td>
<td>General Stores</td>
<td>6</td>
</tr>
<tr>
<td>16</td>
<td>New England Biolabs</td>
<td>6</td>
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<tr>
<td>17</td>
<td>USA Scientific</td>
<td>6</td>
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<tr>
<td>18</td>
<td>Oriental Trading</td>
<td>5</td>
</tr>
<tr>
<td>19</td>
<td>Sam's Club</td>
<td>5</td>
</tr>
<tr>
<td>20</td>
<td>Sigma-Aldrich</td>
<td>5</td>
</tr>
</tbody>
</table>
Campus User Survey - 2019

Q12 Please tell us how satisfied you are with the response you receive from the UShop Help Desk

Answered: 787    Skipped: 142
Q13 When you need help with UShop, what is your preferred way to get help?

Answered: 787  Skipped: 142

- Phone (Talk with a person): [Green bar]
- Email: [Blue bar]
- Online Reference: [Yellow bar]
- I've never needed help: [Teal bar]
Q14 How interested are you in having the UShop team come to your department for training or to help answer questions?

Answered: 772  Skipped: 157

- Very Interested
- Somewhat Interested
- Not Interested
Campus User Survey - 2019

Q15 How interested are you in using your mobile device to access UShop?

Answered: 793  Skipped: 136

- Very Interested
- Somewhat Interested
- Not Interested
Campus User Survey - 2019

• Positive feedback…
  • UShop Help Desk and ability to talk to a person
  • Punch-Out catalogs
  • Efficient, paperless processing
Campus User Survey - 2019

- Negative feedback…
  - UShop feels cumbersome, not intuitive, or too complex, for some users, especially if you don’t use it daily
  - UShop user interface needs improvement
  - AP process needs improvement, includes duplicate steps
  - Is my supplier in UShop? How do I know?
Campus User Survey - 2019

• Next steps…
  • Work to improve the user experience, making UShop easier to navigate
  • Increase the number of punch-out catalogs
  • Improve the non-catalog ordering experience
  • Enable other suppliers not currently in UShop
Campus User Survey - 2019

- Next steps…
  - Improved dashboards, to provide users with easy access to the data they need
  - Better use of reporting and analytics
  - Identify improvements that can be made to the AP process
  - Survey again in Fall 2019
When Is UShop Used?
When Is UShop Used?

UShop Requisitions: Day of the Week - March 2019

<table>
<thead>
<tr>
<th>Day</th>
<th>Count</th>
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<tbody>
<tr>
<td>Sunday</td>
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<td>1491</td>
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<tr>
<td>Friday</td>
<td>1531</td>
</tr>
<tr>
<td>Saturday</td>
<td>28</td>
</tr>
</tbody>
</table>
Two New Punch-Out Catalogs!

- Hardware, tools, raw materials, and maintenance equipment and supplies
- Over 580,000 products
- 98% of items ship from stock and deliver same or next day
- Paperless ordering
- Electronic invoicing

- Notebooks, desktops, printers, servers and storage, networking, etc…
- Leading provider of technology solutions to government, education
- State of Utah contract
- Paperless ordering
- Electronic invoicing
- Shipment notification and tracking
New Dashboard in UShop
Amazon Features & Benefits

- Always available: 24/7/365
- Business Prime Shipping membership included
- Expedited shipping available
- 7-Day inventory lock
- Scheduled delivery
- Shipment notification and tracking
- Paperless ordering
- Electronic invoicing
GFA Approved Alternates

“UShop Only” option
Coming Soon…

- More punch-out catalog suppliers
- Replacement of the current Change Order form and process (before July 2019)
- Enhanced dashboards and data
Online Training and Resources

Perry H. Hull, CFE
UShop Solution Administrator
801-587-6280
perry.hull@admin.utah.edu

https://fbs.admin.utah.edu/ushop/training-reference-materials/
Contract Management
Contract Management

• Types of contracts:
  • Lease
  • Employment
  • Sponsored Research
  • Goods & Services aka Procurement Based contracts
Procurement Based Contracts & Contracting Process

• What is a Procurement Based Contract?
  • Contract or agreement which results from a Quote, Bid or RFP process

• Contracting Process
  • U-Wide (University-Wide) contracts
  • Departmental contracts
Total Contract Manager (TCM)

• What is TCM?
  • Central repository for procurement related contracts
  • Advance notice to Contract Owners
  • Transparency and Compliance
### Contract Search Results

1-153 of 153 Results

#### Contract Details

**P&C/S20191717**
- **Second Party:** POW CREATIVE SERVICES
- **Start Date:** 2/6/2019
- **End Date:** 2/9/2020
- **Status:** Executed In Effect
- **Contract Type:** Campus Wide Multiple Supplier

**P&C/S20191660**
- **Second Party:** POW CREATIVE SERVICES
- **Start Date:** 1/3/2019
- **End Date:** 1/8/2020
- **Status:** Executed In Effect
- **Contract Type:** Single Award Supplier

**P&C/S20191598**
- **Second Party:** PRECISION CONCRETE CUTTING
- **Start Date:** 11/1/2018
- **End Date:** 10/31/2023
- **Status:** Executed In Effect
- **Contract Type:** Campus Wide Multiple Supplier
Contract Summary

Header
- Contract Name: Pow Creative - Video & Photo Contract
- Contract Type: Campus Wide Multiple Supplier
- Work Group: Procurement & Contracting Services
- First Party: University of Utah
- Second Party: POW CREATIVE SERVICES
- Summary: No Text Entered

Dates And Renewal
- Start Date: 2/8/2019 12:00 AM MST
- End Date: 2/9/2020 11:59 PM MST

Contract Managers
- MICHAEL DAVID SMITH
  - msmith@purchasing.utah.edu
  - +1 801-585-6765
- ALBERT HAMER REISER
  - hreiser@purchasing.utah.edu
  - +1 801-581-4022

Additional Details

Attachments

Contract was fully executed via eSignature on 3/5/2019.

1. Fully Executed Contract (6.366 KB)

<table>
<thead>
<tr>
<th>Print Order</th>
<th>Attachment</th>
<th>Print with Full Contract</th>
<th>Version</th>
<th>Size</th>
<th>Date Uploaded</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pow Creative Video &amp; Photo Attachment A_ _Services_Agreement.doc</td>
<td>✓</td>
<td>1</td>
<td>7,657 KB</td>
<td>3/1/2019 2:00:34 PM</td>
</tr>
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</table>

eProcurement, Budget, and Spend
Total Contract Manager
Useful Information

• TCM Informational Link
  • http://fbs.admin.utah.edu/purchasing/total-contract-manager/
Procurement Processes & Year End Purchases
• **RFP – April 8, 2019** 8+ Week Process
  • Includes:
    • RFP creation
    • Posting
    • Review and scoring
    • Product demonstrations
    • Award and contract negotiations

• **Multi-Stage Bids – April 8, 2019** 4-8 Week Process
  • Includes:
    • Bid specification / requirements creation
    • Posting
    • Bid response evaluation
    • Stage advancement and posting
    • Award and contract negotiations
  • We will do our best to process new year-end requests

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**FY 2019 Year-End Procurement Submission Dates**
• Invitation for Bid – **May 3, 2019**  3-6 Week Process
  
  • Includes:
    • Bid specification / requirements creation
    • Posting
    • Bid response evaluation
    • Award and contract negotiations

• Request for Quotes – **May 31, 2019**  5-9 Day Process
  
  • Includes:
    • Quote specification / requirements creation
    • Request to vendors
    • Response review
    • Approval

FY 2019 Year-End Procurement Submission Dates (continued)
New UShop Purchase Request Form

- Simplify the UShop requisitioning process
- A single “Purchase Request” form
- Replaces the current “Non-catalog” and “PO Renewal” forms
- Other specialty non-catalog forms will still be available
- Allow for contract details
New UShop Purchase Request Form

(continued)

- A single form for:
  - One-time purchase
  - Multiple contract-based purchases

- Use this form to purchase goods and services not available in UShop's punch-out or hosted catalogs.

- Use the Contract Detail Section on this form when the request is either to:
  - Result in multiple contract-based purchases over a period of time
  - Update current contract(s)
  - Establish new contract(s)
  - Purchase of items for resale to the public

- Accounting distributions (chartfields) and product description line items must be accurate for all purchases so payments can be properly applied.
  - If multiple accounting distributions are used and applied to specific product description lines, create multiple product description line items on the Purchase Request, and assign the correct accounting distribution(s) per line item.
  - This approach makes payments and encumbrances more manageable.

- Requests over $5,000 will be reviewed by the Purchasing Department.

- All purchases are required to adhere to University of Utah procurement policies.

*NOTE: Please verify the supplier will accept a PO.
New UShop Purchase Request Form
(continued)

- Contract details section for existing contracts, where applicable
- Use the same form to request a bid, RFP, new contract, or contract renewal
Sole Source Form Update

- New section added to the Sole Source Request form:
  - Section D: Exception to a standard procurement process.
- More information now required regarding potential COI issues
- More COI information to follow in this presentation
Section D ADDITIONAL EXCEPTIONS/CIRCUMSTANCES IN WHICH THE STANDARD PROCUREMENT PROCESS IS IMPrACTICAL. NO PUBLIC POSTING IS REQUIRED PER BOARD OF REGENTS RULE R571-8 or UNIVERSITY OF UTAH PROCEDURE 3-100C.

Instructions: Check the applicable box and provide the requested documentation.

<p>| | |</p>
<table>
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<tbody>
<tr>
<td><strong>D1. Conference venues.</strong> Includes associated meals and entertainment at said venues. Include quote, date and location, University business purpose, names of those in attendance if 10 or under, or in excess of 10 include description and number of attendees, and vendor agreement. Conference travel expenses, including registrations, are processed through Travel Services.</td>
<td></td>
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<tr>
<td><strong>D2. Guest Lecturers.</strong> Including entertainers, performers, and convocations. State which type and include quote/agreement.</td>
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<tr>
<td><strong>D3. Original Equipment Manufacturer (OEM).</strong> Includes OEM parts, supplies, maintenance, and service, when determined to be in the best interest of the University. Explain below why the OEM is in the best interest of the University.</td>
<td></td>
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<tr>
<td><strong>D4. Donation or Sponsorship Specified Supplier.</strong> A procurement item from a specific supplier, service provider, or contractor that is a condition of a donation(s) or sponsorship(s) that will fund the cost of the supply, service, or construction item. Neither State funds nor institutional funds may be added to the donation or sponsorship in order to make an award. Include donation or sponsorship document.</td>
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<tr>
<td><strong>D5. Unique research materials.</strong> Such as radioactive isotopes, or unique specimens, but does not include equipment. Include explanation below and attach an applicable quote.</td>
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<td></td>
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<tr>
<td><strong>D6. Instructional materials.</strong> Or other items for curriculum purposes based on pedagogical need and academic freedom of professors and instructors. Include explanation below. Include quote.</td>
<td></td>
</tr>
</tbody>
</table>
U-Wide (University-Wide) Contracts

• What is a U-Wide (University-Wide) Contract?

• What is the advantage of having a U-Wide Contract?

• What is the process for establishing a U-Wide Contract?
Contract Directory

This page provides information on University Contracts and Cooperative Contracts for frequently purchased goods and services. You may use these contracts by processing a requisition in U Shop. The use of these contracts does not require a solicitation process. Please contact the Purchasing Department for assistance.

If the goods and services you wish to purchase are not on the University Contracts listed in the categories below, please check the Utah State Purchasing Cooperative search page.

Found on Purchasing’s webpage:

https://fbs.admin.utah.edu/ushop/contract-directory/
Current University-Wide Contracts

- Catering Contracts – Drop Off, Buffet Drop Off or Full Service, Plated Service: 14 vendors
- Event Designer – Consulting, Show Production, Event Management, Prop Rentals, Storage Services: 2 vendors
- Photography & Videography: 13 vendors
- Event Rentals – Furniture, Tents, Linens, and other Equipment: 2 vendors
Current University-Wide Contracts

- Public Relations Firms – Writing Services, Media Services, Healthcare Focused Media, Science Media: 6 vendors
- Dental Products, Equipment & Supplies: 4 vendors
- Office & Lab Moving Services – Services, Supplies, and Storage: 2 vendors
- Pavement Services – Slurry and Crack Seal: 2 vendors
- Banners & Signs – Decals, Signs, Posters, Window Clings: 2 vendors
Coming Soon

• Research & Development Products and Services
  • Life Science Products and Testing Services
  • Laboratory Equipment, Maintenance, and Consumables
  • Microscope and Imaging Equipment and Maintenance Services
  • Chemicals
• Advertising Services
Conflict of Interest
Oversight of Purchasing Transactions
67-16-8 Participation in transaction involving business as to which public officer or employee has interest -- Exceptions.

(1) No public officer or public employee shall participate in his official capacity or receive compensation in respect to any transaction between the state or any of its agencies and any business entity as to which such public officer or public employee is also an officer, director, or employee or owns a substantial interest, unless disclosure has been made as provided under Section 67-16-7.

67-16-9 Conflict of interests prohibited.
No public officer or public employee shall have personal investments in any business entity which will create a substantial conflict between his private interests and his public duties.
Policy 1-006: Individual Financial Conflict of Interest Policy

Employees’ Responsibilities:

1) Employees must submit a financial disclosure form through the University’s Business Relationship Reporting system and receive approval from the Individual Conflict of Interest Committee prior to engaging in purchasing transactions.

2) Employees must update their financial disclosure forms at least annually.

3) Employees must report any transaction related to a Financial Relationship to the Individual Conflict of Interest Committee prior to engaging in the transaction.
Where to Disclose Financial Relationships?

https://faculty.utah.edu/brr/s/
COI Declaration in the Sole Source Form

Conflict of Interest Disclosure: Complete disclosure of all relevant outside relationships and interests must be included with this request. Please check (A) or (B) and, if appropriate, attach additional documentation as described below. Each decision-maker involved in directing the sole source selection to the vendor must fill out and sign a separate COI disclosure.

☐ (A) Name: ____________________________, I confirm the following:

1. I am not an officer, director, agent, or employee of the recommended vendor.
2. I (and my spouse and minor children) do not have a Substantial Interest greater than $2,000 (exclusive of insurance policies and annuities) in the recommended vendor. “Substantial Interest” means the ownership of at least 10% of the outstanding capital stock of, or a 10% interest in, the recommended vendor.
3. I do not have a Significant Financial Interest (as defined by the University of Utah Policy 1-006: Individual Financial Conflict of Interest Policy) in the recommended vendor.

☐ (B) If I do have any of the interests or relationships described above in (A) in the recommended vendor, I confirm that I have formally disclosed those interests or relationships to the University through the Business Relationship Reporting (“BRR”) System available online through the Conflict of Interest Office’s website (please attach a copy of the requester’s most recent BRR disclosure form).
What needs to be disclosed?

- **Financial Relationship** means any financial interest or relationship of an Investigator or Employee (and those of the Investigator’s or Employee’s Family Member), whether or not the value is readily ascertainable, that reasonably appear to be related to an Investigator’s or Employee’s responsibilities to the University, as defined by the Investigator’s or Employee’s department or job description.
What needs to be disclosed? Cont.

• Financial Relationship includes:
  • Employment, consulting, and any other activity resulting in payment or other Compensation;
  • Any equity ownership interests (e.g., stock, stock options, partnership or member interest) in a Business Entity, excluding ownership in mutual funds and/or pension funds;
  • Any paid or unpaid leadership position in a Business Entity such as director, officer, partner, trustee, agent, or any position of management; and
  • Any Intellectual Property.
What does not need to be disclosed?

- **Financial Relationship** does not include:
  - Salary, travel reimbursements, or other non-royalty remuneration from the University if the Investigator or Employee is currently employed or otherwise appointed by the University;
  - Income from investment vehicles, such as mutual funds and retirement accounts, as long as the Investigator or Employee does not directly control the investment decisions made in these vehicles.
Management Plan

I have disclosed a interest/relationship in a company(ies), which currently transacts, or may transact, business with the University of Utah ("University"). I am aware that the Utah Public Officers’ and Employees’ Ethics Act ("Ethics Act") creates legal obligations for me as a public employee, including obligations related to my participation in a private business that enters business transactions with the University of Utah. Violations of the Ethics Act may result in prosecution and criminal penalties pursuant to that Act (Utah Code Ann. § 67-16-1 et seq.). Consistent with the Ethics Act, I agree to the following management plan:

• I will advise my immediate supervisor of the existence of my financial interest;

• In the event that the University procures goods or services from, negotiates license agreements or subcontracts with, or otherwise transacts business with the company(ies), I will not participate in any aspect of the transaction process (e.g., preparation of specifications, evaluations, bids, or contracts; committee deliberations/voting);

• If I am a member of a committee that would normally consider the purchase of products or services from the company(ies), I will assure that the minutes of the relevant committee meetings reflect my recusal from the decision making process;

• If my University responsibilities require me to provide input into the selection of products or services from this business entity, at the time of providing such input, I will clearly disclose in writing to the University decision-makers the existence of my financial or other interest in the company(ies); and

• I will not disclose or use any of the University’s controlled, private, or protected business information (1) to further my, or another’s, business interests or (2) to secure special privileges or exemptions for myself or others.
Reports of Potential Purchasing Conflicts

• Conflict of Interest Office
  • Website: coi.utah.edu
  • Email: coi@hsc.utah.edu
  • Phone: (801) 587-3232
COI Office Contacts

• Marc Rinehart, Director
  • Marc.Rinehart@utah.edu
  • (801) 585-9258

• Emily Ostrander, Operations Manager
  • Emily.ostrander@utah.edu
  • (801) 581-4603

• Bryant Gordon, Sr. Research Analyst
  • Bryant.Gordon@Utah.edu
  • (801) 587-3232
Accounts Payable

ePR in the Context of Procurement
Who recognizes this form?
I just know that I use this form whenever I ______.
The Payment Request form was used to request a payment that’s not practical within the full procurement process.
Examples

- Scholarships
- Medical Services
- Taxes
- Student Assistance
- Utilities
- Refunds
Not like this…
More like this…
Accounts Payable’s main role is to make payments but because the payment is the last stop…
How could you pay that?!

- Office of General Counsel
- Grants and Contracts Accounting
- Purchasing
- General Accounting
- Tax Services
- Human Resources
- Scholarship Office
Students are doing this while we route paper forms?
This drove the creation of Electronic Payment Requests (ePR).
It’s been a long road...
... but ePR is now processing 100-300 requests per day.
Do it right from the start...
Exceptions are defined and selected as part of the payment request process.
The ePR Roadmap

### Request Types and their Purposes

<table>
<thead>
<tr>
<th>Request Type/Business Purpose</th>
<th>Purpose</th>
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<tbody>
<tr>
<td>Petty Cash</td>
<td>Petty Cash</td>
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<tr>
<td>Refunds</td>
<td>Refund (Not a Reimbursement)</td>
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<tr>
<td>Royalties &amp; Funding</td>
<td>Copyright</td>
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<td></td>
<td>Donation</td>
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<td>Patent Expense</td>
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<td>Royalty</td>
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<td></td>
<td>Seed Funding</td>
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<td></td>
<td>Stock Purchase</td>
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<td>Scholar/Fellow/Traineeship</td>
<td>Scholar/Fellow/Traineeship</td>
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<td>Student &amp; Educational Payments</td>
<td>Clerkships</td>
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<td>Insurance Premium</td>
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<td>Student Loan Payment</td>
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<td>Tuition Direct to Institution</td>
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<tr>
<td>Study Participants</td>
<td>Study Participation</td>
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<tr>
<td>Supplier Invoice (&lt;$5,000)</td>
<td>Supplier Invoice (&lt;$5,000)</td>
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<tr>
<td>Utilities &amp; Freight</td>
<td>Freight</td>
</tr>
<tr>
<td></td>
<td>Utilities</td>
</tr>
</tbody>
</table>

### Fees/Associations/Dues
- Accreditation
- License or Exam Fee
- Membership (New)
- Membership (Renewal)
- Periodical Subscriptions
- Registration
- Social Dues

### Employee Reimbursement
- Reimbursement

### Guest Lecturer/Performer
- Concert Performer/Lecturer
- Guest Lecturer/Performer

### Independent Contractor/Consult (<$5,000)
- Independent Contractor/Consult (<$5,000)

### Misc
- Bank Payment
- Commission on Concessions
- Consignment
- Contest/Recognition Award
- Contractual Cost Share (non-research)
- Funds Transfer (3rd Party)
- Grant Funded Subsidy
- Honorarium
- Insurance Premium (Non-Student)
- Legal Services
- Medical Services
- Salary Leasingback
- Taxes/Fines/Penalties
- Other (Preauthorization Required)

### Non-Employee Reimbursement
- Reimbursement
### Business Purpose

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Payment Type</th>
</tr>
</thead>
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<tr>
<td>Athletic Scholarship</td>
<td>Scholar/Trainee/Travel/Meeting</td>
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<tr>
<td>Audio Visual</td>
<td>Supplier Invoice ($5,000)</td>
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<tr>
<td>Bank Payment</td>
<td>Misc.</td>
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<tr>
<td>Commission on Concessions</td>
<td>Supplier Invoice ($5,000)</td>
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<tr>
<td>Computer/Components</td>
<td>Misc.</td>
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<tr>
<td>Concert Performer/Keys</td>
<td>Guest Lecturer/Performer</td>
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<td>Cancellation</td>
<td>Misc.</td>
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<tr>
<td>Copyright</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Contractual Cost Share</td>
<td>Misc.</td>
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<tr>
<td>Declaration</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Fellowship</td>
<td>Scholar/Trainee/Travel/Meeting</td>
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<td>Freight</td>
<td>Utilities &amp; Freight</td>
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<tr>
<td>Funds Transfer (Third Party)</td>
<td>Misc.</td>
</tr>
<tr>
<td>Grant-Funded Substrate</td>
<td>Misc.</td>
</tr>
<tr>
<td>Guest Lecturer/Performer</td>
<td>Guest Lecturer/Performer</td>
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<tr>
<td>Honeymoon</td>
<td>Misc.</td>
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<tr>
<td>Independent Contractor/Consult</td>
<td>Independent Contractor/Consult</td>
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<tr>
<td>Insurance Premium (Non-Student)</td>
<td>Student &amp; Educational Payments</td>
</tr>
<tr>
<td>Insurance Premium (Student)</td>
<td>Student &amp; Educational Payments</td>
</tr>
<tr>
<td>Journal/Supplies</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Lab Supplies/Equipment</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Legal Services</td>
<td>Misc.</td>
</tr>
<tr>
<td>License or Exam Fee</td>
<td>Fees/Association/Dues</td>
</tr>
<tr>
<td>Medical Services</td>
<td>Misc.</td>
</tr>
<tr>
<td>Medical Supplies</td>
<td>Supplier Invoice ($5,000)</td>
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<tr>
<td>Membership (New)</td>
<td>Fees/Association/Dues</td>
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<tr>
<td>Membership (Renewal)</td>
<td>Fees/Association/Dues</td>
</tr>
<tr>
<td>MRO (Maintenance, Repair, Operation)</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Networking Equipment</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Office Supplies</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Patient Support</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Periodical Subscription</td>
<td>Fees/Association/Dues</td>
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<td>Petty Cash</td>
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<td>Reimbursement (Not Reimbursement)</td>
<td>Refunds</td>
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<td>Registration</td>
<td>Fees/Association/Dues</td>
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<tr>
<td>Reimbursement (Employee or Non-Employee Reimbursement)</td>
<td>Royalties &amp; Funding</td>
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<td>Royalty</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Salary On-Rate</td>
<td>Misc.</td>
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<tr>
<td>Scholarship</td>
<td>Scholar/Trainee/Travel/Meeting</td>
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<tr>
<td>Seed Funding</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Server Class System/Component</td>
<td>Supplier Invoice ($5,000)</td>
</tr>
<tr>
<td>Social Sales</td>
<td>Fees/Association/Dues</td>
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<td>Stock/Purchase</td>
<td>Royalties &amp; Funding</td>
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<tr>
<td>Student Assistance</td>
<td>Visa/Student &amp; Educational Payments</td>
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<td>Student Contact Prize/Award</td>
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<td>Taxes</td>
<td>Misc.</td>
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<td>Training</td>
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<td>Tutor Direct to Institution</td>
<td>Visa/Student &amp; Educational Payments</td>
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**Also View by Subtype Alpha Listing**
Create Payment Request

TIPS

ePR – Miscellaneous Payments

- Bank Payment
- Consignment/Commission
- Contest/Recognition Awards and Honorariums
- Contractual Cost Share
- Funds Transfer
- Grant Funded Subsidy
- Insurance Premium (Non-Employee/Student)
- Legal Services
- Medical Services
- Salary Leasebacks
- Taxes/Taxes/Penalties
- Other
Payment Type: Refunds (RE)

Business Purpose: All

Definition:
- Payments which seek to return funds to an organization or individual who has previously paid for a product or services. Refunds are issued when the payee did not receive, overpaid on, or were unsatisfied with products or services provided by a University entity. This also applies to the refund of deposits collected by a University Department.

Example(s):
- A vendor paid the wrong entity and it wasn’t discovered until after the department deposited the check.
- A student paid a fee to reserve a recital room, but later cancelled the reservation so the deposit had to be returned.
- A deposit for student housing needs to be refunded.

Documentation:
- Invoice, receipt, departmental deposit, or management report detail substantiating the initial payment which is being refunded.
- Verification of address for the payee. While these payments are not taxable, a W-9 can be used for this purpose.

Additional Approvals:
- No additional approvals needed.

Additional Information and Resources:
- These payments often require documents to be included with the check. If this is the case, select the “Stuff as a Check” under Payment Option.
- University student tuition refunds should originate from Financial Aid & Scholarships or Income Accounting.
...but what if my situation is not on the list?
Contact AP or Purchasing
“I’ll just use Misc./Other!”
Your Misc./Other Request…

• It’s very likely that you should follow the standard procurement process.
• It’s likely an audit risk.
• It will most likely be returned.
Contact AP or Purchasing
Why do you have a Misc. / Other payment type then?
ePR is helping us slowly work toward this...
More information can be found at the AP website or:

https://fbs.admin.utah.edu/epr/
Buying & Payment Guide

https://fbs.admin.utah.edu/accountspayable/payment/procurement-options/
Thank You!
Software Acquisition

Tips and Recommendations for Acquiring Software
Ken Pink – Deputy CIO University of Utah
Ken.Pink@utah.edu
801-581-3875
IT RFP – A Brief History

• Hey Glendon – we keep buying software we already own and many organizations do not let UIT know when they are buying software. This is causing massive security and integration problems for us – can you help?

• *Sure – why don’t we work together and come up with a way to ask IT questions as part of the RFP process.*

• Great idea – who should I work with?

• *Terri O’Toole*

• Thanks Glendon
IT RFP – Why do we have an IT RFP?

• There are factors in buying software that make it different than purchasing many other commodities.
  • We have to keep our information secure
  • We have to use software that is accessible
  • We generally have to integrate software with other software
University Policy and Rule

- University Policy 4-050 University Software Policy
  - Defines Software
- Enterprise Software Rule 4-050a
  - Does not Include Single Use or Single Department
  - Does include software that spans departments or requires integration
  - Three year TCO and approval from Campus or Hospital CIO and VP or Dean
  - TCO worksheet attached
IT RFP – There is additional info we need

• Do we already have software that does the same thing?
  • We have over 8,000 pieces of purchased software
• End User License Agreement (EULA) with software companies require university-wide audit compliance
• Software as a Service (SaaS) has different security requirements than on-site
• We need to deal with PHI / PII / HIPAA / FISMA information
• We also need to understand restricted and sensitive information
IT RFP

- So how does UIT help the university and Purchasing with these challenges?
- UIT should be part of any software investigation or RFP

- There is now a specific UIT RFP template
  - [https://fbs.admin.utah.edu/purchasing/forms_pur/](https://fbs.admin.utah.edu/purchasing/forms_pur/)
  - If a mandatory question is answered with a “No” then the vendor is no longer under consideration
  - There are 8 mandatory questions
IT RFP – Mandatory Questions

1. Would you sign a Business Associate Agreement (BAA) with the university if requested?
2. Has your software application been load-tested?
3. Do you encrypt customer data in storage?
4. Do you encrypt customer data during transmission across network boundaries?
5. Do you have a group or individual assigned responsibility for information security?
IT RFP – Mandatory Questions

6. Do you have established and documented security practices as they relate to the development and production of your product?

7. Do the technologies and services you offer adhere to Section 508 of the Rehabilitation Act and the Americans with Disabilities Act?

8. If employing web-based technology, does your application conform with Level AA accessibility standards set forth in WCAG 2.0?
IT RFP

- There is also a vendor IT questionnaire
  - [https://it.utah.edu/tech-questionnaires.php](https://it.utah.edu/tech-questionnaires.php)
  - There is a SaaS questionnaire and an on premise questionnaire
  - The questionnaire should take between 45 minutes and one hour
  - It is scored in 6 areas of IT
  - UIT uses Subject Matter Experts (SMEs) in each area to score
  - We produce a single score by combining all those areas
  - We take approximately one week to score and return
  - The questionnaire is not optional
  - Modified by UIT from a Carnegie Mellon vendor questionnaire
IT RFP – When do we go through this process?

- For all RFP-purchased software
- For software purchased through the Purchasing department
- There is discussion about using for software renewal
- Generally this starts at a $5000 purchase
- All purchasing rules apply – no splitting invoices, etc.
Questions?

You can find this PowerPoint at www.purchasing.utah.edu