

**To:** Legislative History

**From:** Glendon Mitchell, Terri O'Toole, and Jeff Johnson, University Purchasing Department

**Policy Owner(s):** Director of Purchasing

**Date:** April 12, 2022

**Re:** Policy 3-100 Revision 10 University Procurement and Related Regulations

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## Introduction and Background

University Purchasing policies had not been updated since 2013. The Purchasing Department revised conducted a comprehensive review of procurement policies, and proposed revisions to the following regulations:

- Policy 3-100: University Procurement
- Rule R3-100B: Solicitation of Bids, Proposals, Design Professional Services, Approved Vendor Lists, Sole Source Purchases, and the Award of Procurement Contracts
- Rule R3-100C: Requisition Use
- R3-100D: Delegations and Small Purchase
- R3-100E: Restricted Purchases and Special Procurement

In addition, the Purchasing Department the following regulations and incorporated the requirements into other regulations:

- Rule R3-100A: Solicitation by Suppliers
- Procedure P3-100A: Vendor Prepayments

This legislative history document describes the changes to each regulation, includes the slides presented to the Academic Senate, and includes versions of the amended policy and rules showing the additions and deletions.

## Changes to Procurement Regulations

### 3-100 University Procurement

Removed outdated terms and revised definitions. Added and revised responsibilities and removed obsolete Procedure P3-100A. Information now contained in Rule 3-100B.

### Rule R3-100A: Solicitation by Suppliers

This rule is now obsolete. Information pertaining to the prohibition of solicitation by suppliers is contained in Policy 3-100, D. Limitations and Restrictions on Procurement, (5).

**P3-100A: Prepayment Procedure**

This procedure is now obsolete. Instructions for prepayments are located in R3-100E B. Procurement That Require Special Approval (1)

**University Rule 3-100B: Solicitation of Bids, Approved Vendor List, Proposals, Sole Source and the Award of Procurement Contracts**

Added new information to Competitive Bidding, Specifications, and Informal Bidding Requirements. Removed and revised portions of Request for Proposals, and Exceptions. Changed Prequalification to Approved Vendor List. Changed Facilities Management to U Facilities.

**University Rule 3-100C: Requisition Use**

Revised several subsections and removed renewals.

**University Rule 3-100D: Delegated Small Purchase Authority**

Changed single procurement threshold from \$5,000 to \$10,000. Changed Vice President to Chief Financial Officer. Removed reference to Limited Purchase Orders. Added Software Policy 4-050. Added Pcard Usage Section. Added F. ePayment Request Section. Removed and revised sections.

**University Rule 3-100E: Restricted Purchases and Special Procurement**

Revised Prepayment, Membership, and non-standard furnishing language. Changed reference to Facilities, refrigerators, and radio communications. Updated website, DEA license information, General Stores information Tax-Free Alcohol definition, items imported, procurement of exports, and recruitment advertisement. Added language regarding medical devices, lease or lease-purchase of procurement items, and IT software and hardware purchase requirements.

In addition to the substantive changes to the regulations, style and editorial changes were made to align the regulations with Guideline G1-001A Style Guide for University Regulations.

# Procurement Policy 3-100 and Rule Change Summary

- Removed and revised outdated terms and titles
- Removed obsolete Procedure P3-100A and Rule R3-100A
- Changed small purchase threshold from \$5,000 to \$10,000
- Changed prepayment authorization requirement
- Updated emergency procurement to align with Utah Procurement Code

# Impact to Teaching and Research

- Small purchase threshold increased from \$5,000 to \$10,000
- Prepayment authorization not required for seven purchase circumstances, reducing paperwork
- Changes reviewed by 23 stakeholders and subject matter experts

**Policy 3-100: University Procurement. Revision #10. Effective date: April 12, 2022**

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## I. Purpose and Scope

### A. Purpose.

To outline the general ~~procurement~~[Procurement](#) policies and responsibilities of the University of Utah which include: transparency, ensuring fair and equitable treatment of all ~~suppliers~~[Suppliers](#) and fostering broad-based competition and ensuring that ~~procurement~~[Procurement](#) operations may be conducted efficiently to allow University personnel to effectively carryout the mission of the University. University ~~procurement~~[Policies](#)[Procurement policies](#) are written to comply with [Utah](#) Board of ~~Regents~~[Higher Education](#) Policy R571, Delegation of Purchasing Authority and ~~the~~[Utah Code Title 63G, Chapter 6a](#), Utah Procurement Code.

### B. Scope

This ~~Policy~~[policy](#) is binding for all University colleges, departments, and ~~units~~[Organizational Units](#), including University [of Utah](#) Hospitals & Clinics ([UUHC](#)).

## II. Definitions

As used in this ~~Policy~~[policy](#), and in the ~~Rules~~[rules](#) and ~~Procedure~~[procedures](#) adopted to implement this ~~Policy~~[policy](#), the following terms shall have the same meaning as in the Utah Procurement Code, adapted to circumstances of the University of Utah:

- A. "Annual Cumulative Threshold" means the limit for the University for total purchases from a single ~~supplier~~[Supplier](#) without competition during a fiscal year. The cumulative total includes all forms of payment.

~~B. "Blanket order" means:~~

~~1. Competitive: a contract that is awarded after a competitive process for recurring purchases at the bid price, typically during a fiscal year or contract period.~~

~~2. Non-competitive: a procurement instrument that will allow recurring orders below the Single Procurement Threshold for goods and/or services during a fiscal year or contract period.~~

~~C. "Chief procurement officer" means the person duly authorized to enter into and administer procurement contracts for the University and is delegated duties and responsibilities to administer all procurement activities. This position is filled by the Director of Procurement & Contracting Services who acts as the chief procurement officer referred to in the Procurement Code. Hereafter referred to as the Director of Purchasing.~~

B. D. "Construction" means the process of building, renovating, altering, improving or repairing any University building or public work. Construction does not include the routine operation, ~~routine~~ repair, or ~~routine~~ maintenance of an existing structure, building or real property.

C. "Design Professional Services" means professional Services within the scope of the practice of architecture, professional engineering, master planning and programming Services, or Services within the scope of the practice of commercial interior design.

D. E. "Emergency ~~procurement~~" Procurement means ~~procurement~~ Procurement conducted due to circumstances that threaten public health, welfare, safety, property, including natural disaster, or other harm, including presenting a risk of causing financial harm to the University or significantly disrupting University operations, or circumstances where timeliness, litigation deadlines or other factors necessitate waiver of provisions of the standard ~~procurement~~ Procurement process.

E. ~~F.~~ "Formal Purchase Threshold" is the minimum total ~~procurement~~Procurement price that requires formal bid procedures including bid advertising, a minimum number of days for bid publication, etc. Informal purchases include those less than the Formal Purchase Threshold. The dollar amount for this threshold is established in Rule R3-100D.

F. ~~G.~~ "High Speed Printers/Copiers" means an automated or semi-automated offset press, digital, xerographic, or similar photo process machine capable of producing duplicate copies in excess of 90 pages per minute.

G. ~~H.~~ "Invitation for ~~bids~~Bids" means all documents, whether attached or incorporated by reference, utilized for soliciting bids when cost is a major factor in determining the award.

~~I. "Limited Purchase Order" or LPO means an official form obtained from the Accounts Payable Department for organizational use to purchase goods or services below the Single Procurement Threshold. This delegated purchase authority is for purchases to a single supplier and a legal obligation is made for payment through Accounts Payable.~~

H. "Lease" means to lease or lease-purchase a Procurement item, excluding real property, from a vendor.

I. ~~J.~~ "Non-standard ~~furnishings~~Furnishings" means office furniture, equipment, and accessories that are by their nature, beyond the functional need of the office, and would generally be considered to be more deluxe, extravagant, or lavish (and therefore much ~~more costly~~costlier) than their "standard" counterpart.

J. ~~K.~~ "Organizational ~~unit~~Unit" means a department, division, school, college or other campus entity which is part of the University of Utah.

K. ~~L.~~ "Procurement" means buying, purchasing, renting, leasing, or otherwise acquiring any ~~supplies, services or construction. It also~~Supplies, Services, or Construction. Procurement includes all functions that pertain to the obtaining of any supply, ~~service~~Service, or ~~construction~~Construction, including description of

requirements, selection, and solicitation of sources, preparation and award of a contract, and all phases of contract administration using University funds.

- L. "Procurement ~~contract~~Official" means the person duly authorized to enter into and administer Procurement contracts for the University and is delegated duties and responsibilities to administer all Procurement activities. This position is filled by the director of Procurement & Contracting Services who acts as the Procurement Official with independent Procurement authority referred to in the Procurement code. Hereafter referred to as the director of purchasing. The director of purchasing may delegate authority to a designee(s) within the Purchasing Department.
- M. "Procurement Contract" or ~~purchase order~~"Purchase Order" means any University agreement for the ~~procurement~~Procurement or disposal of ~~supplies, services or construction~~Supplies, Services, or Construction. The word "contract" may be used interchangeably with procurement contract.
- N. "~~Professionals, Providers and~~Professional Provider or Consultant Services Threshold" means the maximum total transaction cost that can be purchased by one ~~Department/employee~~Organizational Unit at one time for the ~~services~~Services of a professional, provider or consultant when competition is encouraged but not required. The nature of professional, provider or consultant ~~services~~Services for one project may be ongoing. ~~This limit applies when the contract for services is below the threshold or the fee otherwise expected to be charged for the scope~~ regardless of ~~services is below~~ the project duration. The dollar amount for this threshold. ~~It is not permissible for a Department to engage in unlawful splitting of the transaction to meet the Professionals, Providers and Consultants Threshold established in Rule R3-100D.~~
- O. "Purchaser" means anyone that has ~~procurement~~Procurement authority, whether direct or delegated. Other University employees may participate in the ~~procurement~~Procurement process.
- P. "Purchasing Card (PCard)" means an institutional credit card administered by

the Purchasing Department, billed directly to, and paid by the University of Utah, designated for the direct ~~procurement~~Procurement of non-travel small purchases made by a University employee.

- Q. "Restricted Purchases" means acquisitions that are controlled and require ~~special approvals~~Special Approvals and processing in compliance with laws, policy, etc.
- R. "Request for ~~proposals~~Proposals (RFP)" means all documents, whether attached or incorporated by reference, utilized for soliciting proposals when other factors, in addition to cost, are considered significant in determining the award.
- S. "Requisition" means a document used to initiate the ~~procurement~~Procurement of ~~supplies~~Supplies and ~~services~~Services utilizing approved University ~~purchase orders. Requisitions are not purchase orders and shall not be used or represented as such~~Purchase Orders.
- T. ~~"Responsible bidder or offeror" means a supplier who has the capability to perform fully the contract requirements solicited in an invitation for bids or a request for proposals and who has the integrity and reliability to ensure good faith performance."~~ means being capable in all respects of fully performing all the requirements of a solicitation and requirements of the contract resulting from the solicitation, including being financially solvent with sufficient financial resources to perform the contract.
- U. ~~"Responsive bidder or offeror"~~ means a supplier who submits a response to an invitation for bids or a request for proposals which conformsconforming in all material respects to the ~~invitation for bids or request for proposals~~requirements of a solicitation.
- V. "Sample" means ~~supplies~~Supplies provided to the University for testing or evaluation purposes. ~~Samples become the property of the University unless agreed otherwise in writing by the supplier and the University.~~ Regarding ~~sample~~Sample textbooks, see Policy 6-318.

- W. ~~"Services"~~ means the furnishing of labor, time, or effort by a ~~supplier, not involving the delivery of a specific end product other than a report that is incidental to the required performance~~ Supplier.
- X. "Service Recharge Center" means an Organizational Unit established for the primary purpose of providing specialized technical or administrative Services for the benefit of other University Organizational Units.
- Y. ~~X.~~ "Single Procurement Threshold" means the maximum total transaction cost that can be purchased by one ~~purchaser~~ Purchaser at one time from the same ~~supplier~~ Supplier when competition is encouraged but not required. The dollar amount for this threshold is established in Rule R3-100D.
- Z. ~~Y.~~ "Sole ~~source~~ Source" means that a contract may be awarded ~~for supplies and/or services or construction to a supplier without competition~~ as a result of a non-standard Procurement process and will be conducted pursuant to established University processes.
- AA. ~~Z.~~ "Special Approvals" means acquisitions that are controlled by law, University ~~Regulation~~ regulation, or business practice and requires authorization in addition to approval by the Purchasing Department prior to the purchase.
- BB. ~~AA.~~ "Specification" means any description of the physical or functional characteristics, or nature of the ~~supplies~~ Supplies and/or ~~services~~ Services included in an invitation for bids, a ~~request~~ Request for ~~proposals~~ Proposals, or contract. ~~It~~ Specification may include a requirement for inspecting, testing, or ~~preparing~~ other Procurement solicitations for the ~~supplies~~ Supplies and/or ~~services~~ Services for delivery.
- CC. ~~BB.~~ "Split ~~transaction~~ Procurement" means any transaction prohibited by law or University ~~Regulation~~ regulation when an individual knowingly or intentionally divides a ~~procurement~~ Procurement with the intent to qualify as one or more small purchases; if, before dividing the ~~procurement~~ Procurement, it would not have qualified as a small purchase. Split Procurements are subject to Utah Code Title 63G, Chapter 6a, Part 24, Unlawful Conduct and Penalties.

~~DD.~~ ~~CC.~~ “Supplier” means a person, vendor, manufacturer, distributor, or company, etc., that provides ~~supplies~~Supplies and/or ~~services~~Services.

~~EE.~~ ~~DD.~~ “Supplies” means all ~~property~~goods, including but not limited to equipment, technology, materials ~~and~~, printing, or other personal property.

~~FF.~~ “Travel Card” means an institutional credit card billed directly to and paid by the University of Utah, designated for the direct Procurement of travel and travel-authorized expenses made by a University employee. This is an additional Service offered by financial institutions as part of the PCard contract.

~~GG.~~ ~~EE.~~ “University” means the University of Utah.

~~HH.~~ “Utah Procurement Code” means Utah Code Title 63G, Chapter 6a, Utah Procurement Code.

### ~~III.~~ Policy

#### A. Purchasing Department

1. The Purchasing Department is ~~responsible~~Responsible for the ~~procurement~~Procurement of ~~supplies~~Supplies and ~~services~~Services required by the University of Utah and all its ~~organizational units~~Organizational Units as required by law, except for ~~purchases~~Purchases specifically exempted under ~~paragraph~~Section III B, ~~below~~.
2. The Purchasing Department shall establish organizational procedures to ensure adequate and continuing sources of supply, consistent with legal, budgetary, and delivery requirements of ~~organizational units~~Organizational Units and to provide the necessary assistance to acquire such ~~supplies~~Supplies and ~~services~~Services in a timely and economical basis; to assure compliance with all applicable state and federal laws and University ~~Regulations~~regulations during the ~~procurement~~Procurement process; and to provide assistance, consultation, and advice regarding all ~~procurement~~Procurement needs of the University.
3. The ~~Director~~director of ~~Purchasing is responsible~~purchasing is Responsible

to adopt organizational procedures, procure or supervise the ~~procurement~~Procurement of all ~~supplies~~Supplies and Services needed by the University, ~~services~~ and ~~construction~~ensure compliance with state and federal laws and with University regulations.

4. The chief facilities officer is Responsible to adopt organizational procedures, procure or supervise the Procurement of all Construction and related architect, engineer, and similar Services, and ensure compliance with state and federal laws and with University regulations. Procurement & Contracting Services may provide Construction and similar solicitation Services as agreed upon with the chief facilities officer.

5. The supply chain administrative director for University of Utah Hospitals & Clinics is Responsible to adopt organizational procedures, procure or supervise the Procurement of all Supplies and Services needed by the University of Utah Hospitals & Clinics, and ensure compliance with state and federal laws and with University ~~Regulations~~regulations.

6. ~~4-~~The responsibilities of the Purchasing Department are ~~to~~:

- a. ~~Initiate~~initiate, conduct, and conclude solicitations and negotiations for the purchase of ~~supplies~~Supplies and ~~services~~Services for the University;
- b. ~~Obligate the University~~issue Purchase Orders for the ~~procurement~~Procurement of ~~supplies~~Supplies and ~~services~~Services;
- c. ~~Recommend~~recommend changes in quality, quantity, or kind of material ~~requisitioned~~Requisitioned and/or to suggest appropriate alternatives; and
- d. ~~Conduct the selection of suppliers in accordance with legal requirements.~~ensure transparency, fair and equitable treatment of all Suppliers, and foster broad-based competition.

B. Exceptions: ~~Procurement Authority of~~ Delegation of Procurement Authority in University Rules.

1. By virtue of their special needs and the roles they fill at the University, some Organizational Units may be authorized to solicit bids and may be delegated Procurement authority at a higher spend level than normally authorized, compliant with University regulations, the Utah Procurement Code, and written rules found within the Organizational Unit. Organizational Units that qualify for this exception will be identified in rule and enter into a written memorandum of understanding with the director of purchasing. Other Organizational Units may be extended similar limited Procurement exceptions as described in writing, at the discretion of the director of purchasing. The director of purchasing retains Procurement authority for these Organizational Units and may request periodic audits of the delegated purchase authority. (see Rule R3-100D)

C. Limited Delegation of Procurement Authority to Organizational Units

1. By virtue of their special needs and the roles they fill at the University, some ~~organizational units~~Organizational Units may be authorized to solicit bids and may be delegated ~~procurement~~Procurement authority at a higher spend level than normally authorized, compliant with University ~~Regulations;~~regulations ~~and~~ the Utah Procurement Code ~~and written rules found within the organizational unit.~~ ~~Organizational units that qualify for this exception will be identified in Rule and enter into a written memorandum of understanding with the Director of Purchasing.~~ ~~Other organizational units may be extended similar limited procurement exceptions as.~~ The delegation shall be described in writing, at the discretion of the ~~Director~~director of ~~Purchasing~~purchasing. The ~~Director~~director of ~~Purchasing~~purchasing retains ~~procurement~~Procurement authority for these ~~organizational units~~Organizational Units and may request periodic audits of the ~~activities pursuant to the~~ delegated purchase authority. (see ~~Rule R3-100D~~Rule R3-100D).

2. In addition to the special authorizations referred to in ~~paragraph #~~Section III.C.1, all ~~organizational units~~Organizational Units of the University may

make small purchases by following requirements provided for in ~~a University Rule implementing this Policy. (see Rule R3-100D)~~

~~3. The University of Utah Office of General Counsel shall have authority to conduct procurements for the hiring of outside counsel, expert witnesses and litigation support services~~R3-100D.

3. ~~4.~~ Items purchased by the University for re-sale to the public are exempt from competitive bid requirements.

4. ~~5. University Organizational Units may purchase~~ Supplies and ~~/or services purchased by organizational units~~ Services from other ~~organizational units within the University~~ University Organizational Units and other Utah public Procurement units that directly produce or provide the Supplies and/or Services (not those provided by a contractor or third party). These purchases are exempt from competitive bid requirements.

#### D. ~~G.~~ Limitations and Restrictions on Procurement

1. The University is prohibited from procuring ~~supplies~~ Supplies or ~~services~~ Services for the personal use of any University employee. Organizational ~~unit~~ Unit management is ~~responsible~~ Responsible to ensure the University ~~Expenditure Policy and Purchasing Regulations~~ expenditure policy and purchasing regulations are observed. (see Policy 3-010).
2. Unless specifically approved in writing by the ~~Director~~ director of ~~Purchasing~~ purchasing or by a University ~~Officer~~ officer as defined in ~~Policy 3-004~~ Policy 3-004, orders or commitments for ~~procurement~~ Procurement by University employees are not binding on the University, except as permitted by University ~~Regulation.~~ regulation (see ~~Rule R3-100D~~ Rule R3-100D) . Individuals who do not comply with University policy when placing ~~procurement~~ Procurement orders may become personally liable to the ~~supplier~~ Supplier for the contract price.
3. Procurement ~~contracts~~ Contracts with significant legal implications (excluding

contract forms preapproved by the ~~Director~~director of ~~Purchasing~~purchasing or the Office of General Counsel, such as ~~purchase orders~~Purchase Orders, independent contractor agreements, etc.) require review by the Office of General Counsel prior to contract execution. (see ~~Policy 3-004~~Policy 3-004).

4. Additional restrictions on ~~procurement~~Procurement of specified items may apply, as described in a University ~~Rule~~rule implementing this ~~Policy~~policy. (see Rule ~~R3-100B~~R3-100B, ~~C~~, ~~C~~, ~~DD~~ and ~~EE~~)
5. Solicitation by ~~suppliers~~Suppliers on University property to students and University employees other than for official University business is prohibited unless authorized by the ~~Vice President for Administrative Services~~chief financial officer or designee.

#### E. ~~D.~~ Requirements

1. A ~~purchase order~~Purchase Order may not be processed unless the ~~organization unit~~Organizational Unit verifies that funds are available to cover the amount of the purchase. In addition, purchases made under federal contracts during the final weeks prior to the end of the contract period may be disallowed. (see ~~Policy R3-100E~~Rule R3-100E).
2. Pre-payments to ~~suppliers~~Suppliers for ~~supplies~~Supplies or ~~services have restrictions~~Services are prohibited with limited exceptions as established by the Utah Procurement Code and University procedure. (see ~~Procedure P3-100A~~See Rule R3-100B).
3. Donations to the University of ~~supplies~~Supplies, equipment, or materials (other than ~~samples~~Samples) furnished without charge to the University may be accepted but must be reported to the ~~Development~~Advancement Office to assure ~~that~~ the donation is recorded and an appropriate acknowledgment provided to the donor. Donated equipment should also be reported to the Property Accounting Department to assure ~~that~~ the items are properly inventoried. Donations shall not influence or obligate the University in any purchasing decisions unless the donation will fund the full cost of the ~~supply~~,

~~service or construction~~ Supply, Service, or Construction.

4. Samples provided by ~~suppliers~~ Suppliers, where permitted by University ~~Regulation~~ regulation, for review or testing that are not returned to the ~~supplier~~ Supplier become University property, unless agreed otherwise in writing by the Supplier and the University.
5. Consistent with ~~the~~ Utah Code Title 63G, Chapter 6a, Part 24, Unlawful Conduct and Penalties, it is unlawful for certain ~~procurement~~ Procurement participants and those involved in administration of a ~~procurement~~ Procurement contract to accept or receive gifts or gratuities, including money, admission to an event, meals, lodging, travel, among other items for the person's own use or benefit, or the use or benefit of family members when the gift or gratuity is provided by a party interested in the sale of a ~~procurement~~ Procurement item to the University.
6. The Purchasing Department shall develop University ~~Rules,~~ Rules, ~~Procedures~~ rules, procedures, or ~~Guidelines~~ guidelines for the solicitation of Invitation for Bids, Request for Proposals, or other ~~procurement~~ Procurement processes consistent with the provisions of the Utah Procurement Code. (see Rule ~~R3-100B~~ R3-100B)

#### F. ~~E.~~ Emergency Procurement

1. ~~When~~ Upon request by an impacted University unit, when an emergency exists, as ~~determined~~ defined by ~~policy,~~ the ~~Director~~ director of ~~Purchasing~~ purchasing or designee, ~~authorization may be given to make emergency procurements,~~ authorize Procurements that exceed the single ~~procurement~~ Procurement threshold ~~without use of a competitive procurement process, such as bidding or RFP. (see Rule R3-100D)~~ Such emergency procurements may. The UUHC supply chain administrator or designee may authorize Emergency Procurements as defined by policy that exceed the single Procurement threshold for UUHC.
2. The Emergency Procurement shall be made ~~by any reasonable means~~ with

~~any available specifications~~ as much competition as reasonably practical.

~~2.—The Director of Purchasing or designee shall make a written determination of the existence of the emergency after reviewing supporting documentation stating the basis thereof, together with a written statement of justification for the selection of the particular supplier which shall be placed in the contract file.~~

3. With the exception of Emergency Procurement for legal Services, the term of the contract for an Emergency Procurement shall not exceed thirty (30) days, or sixty (60) days if the Emergency Procurement is related to a natural disaster.

4. Within fourteen (14) days of the Emergency Procurement, a notice shall be posted on the University Purchasing Department's or University of Utah Hospitals & Clinics' website describing the emergency and including a copy of the written contract related to the Emergency Procurement.

G. ~~F.~~ Absence of University Procurement Regulation

1. In the absence of a University ~~procurement Regulation~~ Procurement regulation, the ~~Director~~ director of ~~Purchasing~~ purchasing may, but is not required to, follow a State of Utah ~~procurement~~ Procurement rule.

H. ~~G.~~ Commitments

1. The University is committed to locating and encouraging small, socially/economically disadvantaged, and women-owned and veteran - owned businesses to become ~~suppliers~~ Suppliers to the University on a continuing basis, subject to applicable legal requirements and limitations. University commitment to affirmative action extends to all aspects of its affairs, including the ~~procurement~~ Procurement function.

2. The Purchasing Department, in cooperation with all University ~~organization~~ units Organizational Units, supports Environmentally Preferred Purchasing (EPP) practices and encourages the purchase of ~~supplies~~ Supplies and

~~services~~Services that effectively minimize negative environmental impacts and supports sustainability, subject to University ~~Regulations~~regulations and federal laws. The University is committed to sustainable behavior in its ~~procurement~~Procurement practices.

I. Legal Recognition of Electronic Records, Electronic Signatures, and Electronic Contracts

1. Electronic records, electronic signatures, and electronic contracts are legally recognized for use with Procurement documents and contracts (See Utah Code Section 46-4-201).

J. Administrative Fees

1. The Purchasing Department may require and collect from the contractor an administrative/use fee for campus-wide or department-specific contract net purchases. When used, this requirement shall be included in solicitations and resulting contracts. Fee disposition shall be determined by the University's chief financial officer (CFO).

K. Approved Procurement Systems

1. Organizational Units shall procure Supplies and Services through the University's designated Procurement system, Purchasing Cards, or other processes approved by the Purchasing Department.

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*IV—VII Regulations Resource Information.*

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*\*\*User Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.\*\**

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#### **~~IV.~~ Rules, Procedures, Guidelines, Forms and other Related Resources**

##### A. Rules

- a. ~~R3-100B~~[R3-100B](#), Solicitation of Bids, Proposals and the Award of Procurement Contracts
- b. ~~R3-100C~~[R3-100C](#), Requisition Use
- c. ~~R3-100D~~[R3-100D](#), Delegated Small Purchase Authority
- d. ~~R3-100E~~[R3-100E](#), Restricted Purchases and Special ~~Purchasing~~[Procurement](#)

##### B. Procedures

~~P3-100A, Vendor Prepayments, February, 8, 2014~~

- a. ~~P3-100B~~[P3-100B](#), Conducting Business with Excluded Vendors, August, 18, 2016

##### C. Guidelines ~~f(reserved)~~

##### D. Forms ~~f(reserved)~~

##### E. Other related resource materials

- a. [Buying & Payment Guide](#)

##### F. ~~Buying & Payment Guide~~

#### **~~V.~~ References**

A. [Utah](#) Board of ~~Regents~~[Higher Education](#) Policy ~~R571~~[R571](#)

B. [Title 63G, Chapter 6a](#), Utah Procurement Code, ~~1953 Utah Code Annotated, sections 63-6a-101 et seq.~~

C. ~~Policy 3-003~~[Policy 3-003](#), Authorizations and Approvals Required for Financial Transactions

D. [Policy 6-318, Acquisition and Control of Non-Library Books](#)

## **VI. Contacts**

The designated contact officials for this Regulation are:

- A. ~~Acting as the Policy Owner, the Office of the Director of Procurement & Contracting Services is responsible~~Owners (primary contact person for answering questions and ~~providing information regarding the application of this policy. Acting as the~~advice): Director of Procurement
- B. Policy Officers: Chief Financial Officer, ~~the Office of the Vice President for Administrative Services is responsible for representing the~~

See University's interests in enforcing this Rule 1-001 for information about the roles and authority of policy owners and authorizing any allowable exceptionspolicy officers.

## **VII. History**

Renumbering [[ ??? ]]

Revision 9: History.

### A. Current version. Revision 10.

1. Approved by -- Academic Senate April 4, 2022, and Board of Trustees April 12, 2022, with effective date of April 12, 2022.
2. Legislative History for current version.

Editorial Revisions: [reserved]

### B. Past versions.

1. Revision 9.

- a. [Legislative History for Revision.](#)
- b. Approved by the Board of Trustees October 8, 2013

## 2. Revision 8.

- a. [Legislative History for Revision.](#)
- b. ~~Revision 8~~: Approved by the Board of Trustees April 12, 2011 to accept content relocated from Policy 4-005, see Executive Summary.
- c. Added Definition for "Non-standard furnishings" to Section II.V., February 8, 2011

## 3. Revision 7.

~~Revision 7~~; Editorially Revised February 19, 2002

**University** Rule 3-100B: Solicitation of Bids, Proposals, Design Professional Services, Approved Vendor Lists, Sole Source Purchases, and the Award of Procurement Contracts Revision #1. Effective date: April 12, 2022

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**I. Purpose and Scope**

A. Purpose.

To implement Policy 3-100 and outline ~~Rules~~rules for the solicitation of bids and proposals, and award of University ~~procurement contracts~~Procurement Contracts, consistent with the provisions of ~~the~~Utah Code Title 63G, Chapter 6a, Utah Procurement Code.

B. Scope.

This ~~Rule~~rule is binding for all University colleges, departments, and units, including University of Utah Hospitals & Clinics.-

**II. Definitions**

~~See Policy 3-100, University Procurement~~

The definitions provided in Policy 3-100 apply for this rule.

**III. Rule**

A. Competitive Bidding

1. Except as otherwise provided in this ~~Rule~~rule, ~~procurement~~Procurement of items in excess of the ~~formal purchase threshold (\$50,000)~~Formal Purchase Threshold will be awarded only after solicitation of sealed competitive bids or proposals. (see Rule 3-100D for all ~~procurement~~Procurement thresholds)
2. ~~Bids and proposals~~The Purchasing Department shall ~~be invited~~conduct Procurement Services for the University except as otherwise provided in University regulations. The Purchasing Department shall conduct

solicitations from a reasonable selection of firms, from whom, in the judgment of ~~Procurement & Contracting Services (the~~ Purchasing Department), the ~~procurement~~ University's Procurement needs of the University can be ~~satisfied~~ met.

3. U Facilities ~~Management is responsible to~~ shall conduct ~~procurement~~ Procurement for construction and architect and engineering ~~services~~ Services as delegated by the ~~Vice President for Administrative Services or his/her~~ chief financial officer or the chief financial officer's designee and the ~~Director~~ director of ~~Purchasing~~ purchasing and the ~~Utah State Building Board~~ state Division of Facilities Construction and Management. Under this delegation, U Facilities ~~Management~~ may follow ~~procurement~~ Procurement rules adopted by the ~~Utah State Building Board~~ state Division of Facilities Construction and Management.
4. UUHC Purchasing shall conduct Procurement for UUHC as delegated by the chief financial officer or the chief financial officer's designee and the director of purchasing.
5. If only one (1) response is received in response to a solicitation for bids or proposals:
  - a. An award may be issued if the requesting department determines pricing is fair and reasonable;
  - b. The solicitation may be canceled or reissued to seek additional competition.

## B. Specifications

1. Organizational Units shall draft Specifications to clearly describe requirements and encourage competition. Specifications shall emphasize the functional or performance criteria necessary to meet the needs of the Organizational Unit. The Purchasing Department is ~~responsible~~ Responsible for the approval, issuance, revision, and maintenance and monitoring of

~~specifications~~Specifications for supplies and ~~services~~Services required by the University except as other provided in University regulations.

Organizational ~~units~~Units of the University will prepare

~~specifications~~Specifications for the supplies or ~~services~~Services they require.

2. U Facilities ~~Management~~ is ~~responsible~~Responsible for the approval, issuance, revision, and maintenance and monitoring of construction, architect and engineer ~~specifications, procurement~~Specifications, Procurement solicitations and contracts within their delegation. ~~This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and Facilities Management.~~
3. University of Utah Hospitals & Clinics Purchasing is ~~responsible~~Responsible for the approval, issuance, revision, maintenance, and monitoring of ~~specifications, procurement~~Specifications, Procurement solicitations, and contracts for University of Utah ~~Hospital & Clinics~~. ~~This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and University of Utah Hospital~~Hospitals & Clinics.
4. All ~~specifications~~Specifications shall seek to promote overall economy and best use for the purposes intended, and shall encourage competition ~~when applicable~~ in satisfying University needs ~~and~~ Specification may not be unduly restrictive.
5. Subject to the nonrestrictive clause ~~stated~~described in ~~paragraph 4,~~ ~~specifications and~~Section III.B.4, Specifications or requests for bids or proposals may designate a brand name "or ~~equal~~equivalency" as a means to identify the performance or other specific requirements of ~~procurement~~Procurement. When so used, the Specifications shall include the salient features of the brand name that must be met by bidders ~~or~~ offerors ~~shall be clearly specified~~.
6. Under limited circumstances, Specifications may require a brand name without an equivalency if the Organizational Unit that wrote the Specifications

provides a written justification and the Purchasing Department approves the written justification.

~~6. —A supplier who has participated in the writing of a specification shall not be eligible to participate in or receive a contract award for any University procurement using such specification.~~

7. Consistent with University Rule 1-006E: Individual Financial Conflict of Interest in Transactions, an individual who has a conflict of interest may not participate in writing a Specification or in the award to a Supplier. Consequently, an individual who has a substantial interest in a business entity (as defined by Rule 1-006E) that intends to participate in or respond to a solicitation may not participate in writing or developing the Specification for that solicitation or in awarding the contract associated with that solicitation. An Organizational Unit may retain the Services of an individual to assist in writing Specifications or other components of writing a solicitation; however, that individual is not eligible to respond to a solicitation or receive a contract award related to the Specifications.

C. Formal Bidding Requirements

1. The ~~Director~~director of ~~Purchasing is responsible~~purchasing is Responsible for assuring that all bidding procedures, including the invitation to bid, giving of notice, establishment of criteria for bid evaluation, opening and evaluation of bids received, acceptance of bids, and awarding of contracts are in compliance with the requirements of ~~the~~Utah Code Title 63G, Chapter 6a, Utah Procurement Code and University ~~Regulations~~regulations.
2. Public notice of invitations for bids shall be given a reasonable time, not less than seven (7) consecutive days, and prior to the date for the opening of bids. The ~~Director~~director of ~~Purchasing~~purchasing may determine in writing that a shorter time is ~~deemed~~ necessary for a particular ~~procurement~~Procurement.
3. The Purchasing Department shall record the amount of each bid, together

with the name of each bidder, ~~shall be recorded~~ in writing or electronically at the time and place of bid opening.

4. Correction or withdrawal of inadvertently erroneous bids before or after award, and the cancellation of awards or contracts based on such bid mistakes, may be authorized by the ~~Director~~director of ~~Purchasing~~purchasing or his/her designee, when requested in writing and accompanied by full documentation of the facts leading to presentation of the erroneous bid. After bid opening, no changes in bid prices or other provisions of bids prejudicial to the interest of the University or fair competition will be permitted.
5. The University shall award~~of~~ a bid ~~shall be made~~ to the lowest ~~responsive~~Responsive and ~~responsible~~Responsible bidder who meets the objective criteria described in the ~~invitation~~Invitation for ~~bids~~Bids.
6. Alf used, a multiple stage bidding process ~~may be initiated requesting~~shall request the submission of unpriced offers to be followed by ~~an invitation for pricing~~ bids limited to those bidders whose offers have been qualified under the criteria set forth in the first solicitation stage.

#### D. Informal Quote Requirements

1. An informal quote process may be conducted for a purchase between the Single Procurement Threshold and the Formal Purchase Threshold. Organizational Units must submit a Requisition to the Purchasing Department for these purchases. The Purchasing Department shall determine the solicitation method for an informal quote process.
2. The Purchasing Department may solicit informal purchases by electronic means including email, electronic bids, telephone, or a request for written quotes.
3. Informal purchases should be documented with three (3) written quotes or proposals, whenever possible.

4. The University shall provide the award to the Supplier offering the lowest Responsive and Responsible quotation based on objective criteria described in the solicitation.
5. The Purchasing Department shall record the amount of each quote, together with the name of each bidder, in writing.

E. ~~D.~~ Request for Proposals

1. A ~~request~~Request for ~~proposals~~Proposals process may be used instead of bidding if determined by the ~~Director of~~ Purchasing ~~determines in writing that the request for proposal~~Department the process will provide the best value to the ~~organizational unit~~Organizational Unit, and if criteria in addition to cost ~~must~~should be considered.
2. The ~~Director~~director of ~~Purchasing~~purchasing or designee is ~~responsible~~Responsible for ensuring the integrity of the ~~request~~Request for ~~proposal~~Proposal process in conformance with ~~the~~Utah Code Title 63G, Chapter 6a, Utah Procurement Code.
3. Public notice of ~~request~~Request for ~~proposals~~Proposals shall be given a reasonable time, not less than seven (7) ~~consecutive~~calendar days, prior to the date for the opening of proposals. A longer time period may be required.
4. The ~~request~~Request for ~~proposals~~Proposals process shall include:
  - a. a description of the ~~procurement~~Procurement items sought;
  - b. a description of the subjective and objective ~~criterion~~criteria that will be used to evaluate the proposal;
  - c. the standard contractual terms and conditions;
  - d. the relative weight that will be given to each criterion, including cost;
  - e. the formula that will be used to determine the score for cost;
  - f. a description of each stage and the criteria and scoring that will be used

- to screen offerors at each stage for multi-stage ~~request~~Request for ~~proposals~~Proposals;
- g. all other requirements of ~~the~~Utah Code Title 63G, Chapter 6a, Utah Procurement Code.
5. An evaluation committee shall be appointed consisting of at least three (3) individuals ~~that~~who:
- a. do not have a conflict of interest;
  - b. can fairly evaluate each proposal;
  - c. during the time of the ~~procurement~~Procurement, do not contact or communicate with an offeror for any reason other than conducting the ~~procurement~~Procurement process or University business not related to the ~~procurement~~Procurement;
  - d. unless an exception is made in writing by the ~~Director~~director of ~~Purchasing~~purchasing, ~~shall do~~ not know or have access to any information relating to the cost proposals from ~~suppliers~~offerors until after the evaluation committee submits its final ~~recommended~~technical scores on all other criteria to the Purchasing Department;
  - e. meets all other requirements ~~of the~~in Utah Code Title 63G, Chapter 6a, Utah Procurement Code.
6. ~~Award~~The Purchasing Department shall ~~be made~~grant the award to the ~~responsive~~Responsive and ~~responsible offeror~~Responsible offeror whose proposal ~~is~~receives the highest ~~scored~~score from the evaluation committee. If the highest scored offeror is disqualified, the ~~award~~Purchasing Department shall ~~be made~~grant the award to the next highest scored ~~responsive~~Responsive and ~~responsible~~Responsible offeror, or the ~~request~~Request for ~~proposal~~Proposal may be cancelled. The ~~contract~~Procurement file shall contain the basis on which the ~~award is made~~Purchasing Department makes an award, including why the awarded

offeror is the best value to the University.

~~If the contract is awarded to an offeror other than the lowest cost offeror, and the difference between the cost of the accepted proposal and the lowest proposal exceeds the greater of \$10,000 or 5% of the lowest cost offer, Purchasing shall obtain from the organizational unit:~~

- ~~a. a written cost-benefit analysis that explains in general terms the advantage to the organizational unit of the higher cost offeror~~
- ~~b. an estimated added financial value to the organizational unit for each criterion that justifies the award to the higher cost offeror~~
- ~~c. to the extent that assigning a financial value to a particular criterion is not practicable, a written statement why it is not practicable to assign a financial value and the advantage to the organizational unit, based on the particular criterion, of awarding the contract to the higher cost offeror~~
- ~~d. an explanation that the value of the advantage to the organizational unit exceeds the value of the difference between the cost of the higher and the lower cost offerors~~

#### F. Design Professional Service Providers

1. Design Professional Services associated with remodeling and construction as defined in Policy 3-205 are subject to Policy 3-205.
2. The Procurement of Design Professional Services not pertaining to Policy 3-205 and in excess of the Design Professional Services threshold shall comply with Utah Code Title 63G, Chapter 6a, Part 15, Design Professional Services and this rule.
3. The Purchasing Department shall publish a request for statement of qualifications which is written by the requesting department. An evaluation committee of at least three (3) members shall rank each responding design professional service provider's qualifications based on the project scope of

work and evaluation criteria other than cost.

4. The requesting department shall negotiate a contract with guidance from the Office of General Counsel (as needed) with the highest ranked or scored design professional service provider for the required Services at fair and reasonable compensation. If compensation determined to be fair and reasonable cannot be negotiated with the highest ranked or scored design professional service provider, then negotiations may begin with the next highest ranked or scored design professional service provider.

5. Notice of award shall be made available to the public.

G. E. Exceptions: Procurement without Competition (non-standard Procurement)

1. Small purchases up to the ~~single procurement threshold or the professionals, providers and consultants threshold~~ Single Procurement Threshold or the Professional Provider or Consultant Services Threshold shall be processed in accordance with University ~~Regulations~~ regulations. (See Rules R3-100D, E)
2. The Purchasing Department may utilize contracts authorized by ~~the~~ Title 63G, Chapter 6a, Utah Procurement Code without additional competitive processes.
3. Sole ~~source~~ Source contracts. A contract exceeding the ~~formal purchase threshold~~ Formal Purchase Threshold may be awarded for a supply, service, or construction item without competitive bidding when the ~~Director~~ director of ~~Purchasing~~ purchasing determines in writing ~~that there is~~ only one source exists for the ~~requisitioned~~ Requisitioned item. This may include, but not be limited to, any of the following considerations: (See Rule R3-100D):
  - a. ~~the award is a condition of a donation that will fund the full cost of the supply, service or construction~~ there is only one source for the Procurement item.
  - b. The type of transaction includes compatibility ~~of~~ transitional costs from

existing equipment, technology, software, accessories, replacement parts, or service, including professional Services that are unreasonable or cost prohibitive.

- c. ~~an~~A Procurement item is needed for trial use or testing to determine whether the Procurement item will benefit the Organizational Unit.
- d. ~~transitional costs (which include training, conversion, compatibility, system downtime, disruption of service, installation, or ancillary costs) to change from an existing supplier or type of item to another is unreasonable or cost prohibitive~~A Procurement item meets an exception to standard Procurement process requirements under procedure P3-100C or Utah Board of Higher Education Rule R-571.

~~e. procurement of public utility services~~

~~f. delays due to a procurement process and resulting contract that may impact the timely delivery of goods or services and would cause financial harm to the University~~

4. Publication of notice of ~~sole source~~Sole Source

- a. Public notice of a ~~sole source~~Sole Source shall be made for a ~~procurement~~Procurement that exceeds the ~~formal purchase threshold~~Formal Purchase Threshold and that will not be subject to a competitive process. The notice shall be given a reasonable time, not less than seven (7) consecutive days, ~~prior to the date when comments are due.~~
- b. The ~~Director~~director of ~~Purchasing~~purchasing, chief facilities officer, or supply chain administrative director for UUHC may make a written determination ~~that~~to approve a shorter time period ~~is needed.~~

~~c. — A public notice for sole source items or services will allow for additional purchases of the like items or services for a period of up to five (5) years.~~

~~d. — A public notice for a category or categories of sole source items or services will allow for additional purchases from the category or categories for a period of up to five (5) years.~~

~~5. — An authorized buyer in the Purchasing Department may utilize alternative procurement methods, such as informal price quotations and direct negotiations to purchase items that include, but are not limited to, the following when determined to be more practicable or advantageous to the University:~~

~~a. — used vehicles, equipment, etc.~~

~~b. — live animals~~

~~c. — hotels, conference facilities and services~~

~~6. — Emergency~~

5. [Extension of a contract without engaging in a standard Procurement process may be approved by the director of purchasing, chief facilities officer, or supply chain administrative director for University of Utah Hospitals & Clinics in accordance with Utah Code Title 63G, Chapter 6a, Utah Procurement \(See details in \[Policy 3-100\]\(#\)\)](#)

~~F. — [Prequalification Code.](#)~~

#### H. [Approved Vendor List](#)

1. When determined to be necessary or appropriate by the Purchasing Department, [the Purchasing Department may prequalify](#) prospective ~~suppliers may be prequalified~~ [Suppliers](#) for particular types of supplies, ~~services~~ [Services](#) and construction. ~~Solicitation mailing lists of potential~~

~~suppliers shall include but shall not be limited to prequalified suppliers~~Award of a contract from an approved vendor list shall require a competitive process.

I. ~~G.~~ Contractual Terms

~~1. Contractual terms permitted by law may be used for University procurement purposes, as the best interests of the University may require; except that the use of a cost plus a percentage of cost contract is prohibited.~~

~~2. The Director of Purchasing is responsible for assuring compliance with procedural requirements of the Utah Procurement Code applicable to the terms and provisions of procurement contracts, including requirements that specified determinations be made as a condition precedent to the inclusion or modification of specified contractual provisions or the use of change orders.~~

1. ~~3.~~ The Office of General Counsel and the Purchasing Department shall develop, modify, and maintain a file of standard contract clauses to be used in University procurement contracts, and such clauses shall be deemed incorporated herein by reference. The Director of Purchasing may modify any such clause for inclusion in any particular contract upon a written determination that such variation will promote the interests of the University or encourage fair and open competition, provided that notice of any such material variation must be given in the invitation to bid or request for proposalsProcurement Contracts. U ~~Facilities Management~~ shall use standard contract clauses for contracts for construction and architect and engineering ~~services~~Services as required by state law and adopted by the ~~Utah State Building Board~~state Division of Facilities Construction and Management.

J. ~~H.~~ Protest

1. Protests filed by aggrieved bidders, offerors, or potential bidders or offerors, shall be handled by the Purchasing Department in consultation

with legal counsel and in accordance with state law. U Facilities Management or University of Utah ~~Hospita~~Hospitals & Clinics Purchasing, in consultation with legal counsel and in accordance with state law, shall handle protests on their delegated purchases and shall notify the ~~Director~~director of ~~Purchasing~~purchasing of all protests.

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[IV—VII Regulations Resource Information.](#)

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*\*\*User Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.\*\**

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**~~IV. Policies,~~ Rules, Procedures, Guidelines, Forms and other Related Resources**

A. Policies/Rules

1. Policy 3-100 University Procurement
2. Rule ~~R3-100C~~R3-100C, Requisition Use
3. Rule ~~R3-100D~~R3-100D, Delegated Small Purchase Authority
4. Rule ~~R3-100E~~R3-100E, Restricted Purchases and Special Procurement

~~B. Procedure~~ *[reserved]*

~~B. C. Procedures, Guidelines, and~~ *[reserved]* ~~D. Forms,~~ *[ reserved ]*

~~C. E. Other related resource materials~~ Related Resources. *[ reserved ]*

**~~V. References~~**

~~A. Utah Code Annotated, sections 63-6a-101 et seq.~~ (Title 63G, Chapter 6a. Utah

Procurement Code)

## **VI. Contacts**

### **Rule**

The designated contact officials for this Regulation are

A. Policy Owner (primary contact person for questions and advice): Director, of Procurement & Contracting Services

B. Policy Officers: Chief Financial Officer

See University Rule 1-001 for information about the roles and authority of policy owners and policy officers.

## **VII. History**

~~Approved Academic Senate, Executive Committee; September 17, 2013~~

Renumbering: Not applicable

### Revision History.

Current version. Revision 1.

Approved by -- Academic Senate; ~~October 7, 2013~~ **April 4, 2022** and Board of Trustees April 12, 2022, with effective date of April 12, 2022.

Legislative History for current version

Editorial Revisions: *[reserved]*

Past versions.

Revision 0.

Legislative History for Revision 0.

**University** Rule R3-100C: Requisition Use, Revision #1. Effective date: April 12, 2022

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**VIII. Purpose and Scope**

~~To implement~~

A. Purpose.

This rule implements Policy 3-100 and ~~outline~~outlines the use of purchase ~~requisitions~~Requisitions.

B. Scope.

This ~~Rule~~rule is binding for all University colleges, departments, and units, including University of Utah Hospitals & Clinics.

**IX. Definitions**

~~See Policy 3-100, University Procurement~~

The definitions provided in Policy 3-100 apply for this rule.

## X. Rule

### A. Use of Requisitions

1. Except as provided in ~~paragraph 2 below~~Section III.A.2, ~~a requisition must be submitted~~an Organizational Unit shall submit a Requisition to initiate the ~~procurement of supplies and/or services by~~Procurement of Supplies or Services exceeding the Single Procurement Threshold. Requisitions are not purchase orders and shall not be used or represented as such. An Organizational Unit shall submit a Requisition to the Purchasing Department, ~~except as described in Section III.A.1.a. and b.~~

a. Requisitions for UUHC purchases ~~that exceed the single procurement threshold~~shall be submitted to UUHC Purchasing.

#### Note:

b. Requisitions for Construction and/or architect/engineer services shall be submitted to U Facilities Procurement.

c. Other University ~~organizational units that are~~Organizational Units authorized to engage in direct ~~procurement~~Procurement without going through the Purchasing Department are listed in ~~rule. (See Rule R3-100D).~~

2. ~~Items or services not requiring a requisition include:~~All purchases below the Single Procurement Threshold should include a Requisition, unless paid with a PCard or other approved Procurement process.

a. ~~Purchases under the single procurement threshold not restricted by rule. (See Rule R3-100D, E)~~

3. Departments or organizational units are responsible to ensure the availability of funds prior to initiating a Requisition.

4. Requisitions are not required when departments order from the following

### Organizational Units:

- a. ~~b. Purchases from the University Campus Store,~~ General Stores and Receiving, ~~Dining Services,~~ Print & Mail Services, or other University ~~organizational units using campus orders~~ Organizational Units functioning as a Service Recharge Center.
  - b. Purchases below the Single Procurement Threshold from the University Campus Store. (See Policy 3-193)
3. ~~Organizational units may request that the Purchasing Department obtain price only quotations without obligating an award by clearly marking "Request for Quotation Only" on the face of the requisition. A request for quotation will not obligate an organizational unit nor encumber funds until the organizational unit authorizes the Purchasing Department to acquire the requested item.~~
4. ~~Renewals, formally known as blanket orders, are requested by submission of a requisition for indefinite quantity and indefinite delivery from a supplier for a defined period of time. A renewal is valid only for a specified time period and/or for a specific dollar value. Most general fund renewals expire on June 30 of each year. Restricted fund renewals are assigned individual expiration dates, usually 30 days before the contract expires. Renewals may not be used to purchase capital equipment items (items costing in excess of \$5,000) or single invoices billing in excess of \$5,000 unless authorized on the order by the Purchasing Department.~~
5. A Requisition may result in a single payment or multiple payments over the defined period of time and dollar value of the resulting purchase order. Organizational Units shall submit purchase requests for multiple payments by submitting a Requisition.

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*IV—VII Regulations Resource Information.*

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*\*\*User Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.\*\**

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## **XI. Rules, Procedures, Guidelines, Forms and other Related Resources**

### A. Rules

1. ~~R3-100B~~, R3-100B, Solicitation of Bids, Proposals, Sole Source and the Award of Procurement Contracts
2. ~~R3-100D~~, R3-100D, Delegated Small Purchase Authority
3. ~~R3-100E~~, R3-100E, Restricted Purchases and Special Purchasing

### B. Procedures

1. P3-100B, Requisition Procedures

### C. Guidelines ~~[reserved]~~

### D. Forms ~~[reserved]~~

### E. Other related resource materials ~~[reserved]~~

## **XII. References**

Utah Code ~~Annotated, sections 63-6a-101 et seq.~~ (Title 63G, Chapter 6a, Utah Procurement Code)

~~UPol~~Policy 3-003, Authorizations and Approvals Required for Financial Transactions

## **XIII. Contacts**

~~Rule Owner: Director of Procurement & Contracting Services~~

The designated contact officials for this Regulation are:

A. Policy Owner (primary contact person for questions and advice): Director of Procurement

B. Policy Officers: Chief Financial Officer

See University Rule 1-001 for information about the roles and authority of policy owners and policy officers.

#### **XIV. History**

~~Approved Academic Senate Executive Committee; September 17, 2013~~

Renumbering Not Applicable

Revision History.

A. Current version. Revision 1.

1. Approved by -- Academic Senate; ~~October 7, 2013~~ **April 4, 2022**, and Board of Trustees April 12, 2022, with effective date of April 12, 2022.

~~Replaced Blanket Orders with Renewals in III.A.4; June 30, 2016~~

2. Legislative History for current version.
3. Editorial Revisions: *[reserved]*

B. Past versions.

1. Revision 0.
  - a. Legislative History for Revision **[[##]]**.

**University** Rule 3-100D: Delegations and Small Purchase. Revision

#1. Effective date: April 12, 2022

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**I. Purpose and Scope**

A. Purpose.

To implement Policy 3-100 and outline ~~Rules~~rules for delegated purchase authority to ~~organizational units~~all Organizational Units to make small purchases up to the relevant ~~procurement~~single Procurement threshold. Certain Organizational Units have broader Procurement authority as delegated by this rule. Delegated purchase authority includes conformance with the Title 63G, Chapter 6a, Utah Procurement Code and is subject to penalties contained therein.

B. Scope.

This ~~Rule~~rule is binding for all University colleges, departments, and units, including University of Utah Hospitals & Clinics (UUHC).

**II. Definitions**

~~See Policy 3-100, University~~

The definitions provided in Policy 3-100 apply for this rule. In addition, the terms below apply for the limited purpose of this rule.

A. “Small Purchase” means a purchase with a cost that is less than the single Procurement threshold.

**III. Rule**

A. Procurement Thresholds:

1. Single ~~procurement threshold~~Procurement Threshold: ~~\$5,000~~10,000
2. Formal ~~purchase threshold~~Purchase Threshold: \$50,000
3. Professional Provider or Consultant Services Threshold: \$100,000
4. ~~3. Professionals, providers and consultants~~Design Professional Services

threshold: \$100,000\

5. ~~4-~~The ~~Director~~director of ~~Purchasing~~purchasing and the ~~Vice President for Administrative Services~~chief financial officer may establish an ~~annual cumulative threshold~~ Annual Cumulative Threshold through a ~~Memorandum of Understanding~~memorandum of understanding.
- B. Single Procurement ~~and~~ Professional Service Providers or Consultants, ~~and~~ Design Professional Services Thresholds
1. Small purchases up to the single ~~procurement~~Procurement threshold ~~of \$5,000~~ shall be made in accordance with this ~~Rule~~rule and University ~~Procedures~~procedures established by the Purchasing Department. Small purchases by ~~organizational units~~Organizational Units up to the single ~~procurement~~Procurement threshold may be made through UShop ~~or PCard~~. Requisitions may be required for ~~restricted purchases~~Restricted Purchases. (See Rule R3-100E)
  2. Organizational ~~units~~Units may make small purchases totaling up to ~~\$5,000~~the single Procurement threshold by selecting the best source. For these purchases, ~~organizational units~~Organizational Units are not required but are encouraged to obtain and retain competitive quotes.
  3. Organizational Units may also make purchases up to the Professional Provider or Consultant Services Threshold by selecting the best source and submitting a Requisition through UShop. For these purchases, Organizational Units are not required but are encouraged to obtain and retain competitive quotes based on the scope of work. (See Policy 3-111) This threshold may be applied when the contract for Services is below the threshold or the fee otherwise expected to be charged for the scope of Services is below the threshold. It is not permissible to engage in unlawful splitting of the Procurement to meet the Professional Provider or Consultant Services Threshold.
  4. Design Professional Services

- a. Design Professional Services associated with remodeling and Construction as defined in Policy 3-205 are subject to Policy 3-205.
  - b. ~~3.~~ Except for Design Professional Services subject to Policy 3-205, Organizational ~~units~~Units may ~~also~~ make purchases up to the ~~professionals, providers and consultants~~Design Professional Services threshold by selecting the best source and submitting a ~~requisition~~Requisition through UShop. For these purchases, ~~organizational units~~Organizational Units are not required but are encouraged to obtain and retain ~~competitive quotes~~research related to vendor qualifications. ~~(See Policy 3-111)~~
  - c. A purchase is below the Design Professional Services threshold if the total cost for all Services associated with the engagement is below the Design Professional Services threshold or the fee otherwise expected to be charged for the scope of Services is below the threshold. An Organizational Unit may not split the Procurement to avoid exceeding the Design Professional Services threshold.
5. ~~4.~~ Organizational ~~units~~Units are ~~responsible~~Responsible for the availability of funds prior to initiating a small purchase.
  6. ~~5.~~ Delegated purchasing authority includes compliance with recommendations established by ~~the Purchasing Department which encourage~~a grant or subcontract which may include encouragement of purchases from ~~Small, Minority, Veterans~~small, minority, veteran, and ~~Woman~~woman-owned businesses.
  7. The director of purchasing may modify or revoke the Single Procurement Threshold for an individual or University Organizational Unit.
  8. ~~6.~~ The ~~Director of Purchasing~~supply chain administrative director for University of Utah Hospitals & Clinics may modify or revoke the single ~~procurement~~Procurement threshold for an individual or ~~an organizational unit~~UUHC Organizational Unit.

C. Restrictions on ~~delegated purchase authority~~ Delegated Purchase Authority

1. Dividing or splitting of a ~~purchase~~ Procurement: It is a violation of Utah law and University ~~Policy 3-100~~ regulations for a person to intentionally or knowingly divide a ~~procurement~~ Procurement into smaller ~~procurements~~ Procurements with the intent to make a ~~procurement~~ Procurement qualify as a small purchase, a purchase below the single Procurement threshold, if, before dividing the ~~procurement~~ Procurement, it would not have qualified as a small purchase. Order splitting or dividing of a Procurement is subject to Utah Code Title 63G. Chapter 6a. Part 24, Unlawful Conduct and Penalties.

~~D. Limited Purchase Order Usage~~

- ~~1. University LPOs provide a maximum delegated authority for a single purchase below \$5,000 to a single supplier and are subject to restrictions in section III. E. Instructions for use of LPOs are contained on the form. Misuse of this Purchase Order may result in withdrawal of privileges.~~
2. Sales tax ~~should~~ shall not be paid on small purchases ~~including LPOs and PCards~~ as the University is tax exempt, except for on small purchases from a non-reciprocating out-of-state Supplier. Organizational ~~units are to~~ Units shall provide a copy of the Utah State sales tax exempt form to ~~suppliers~~ Suppliers that require ~~such~~ it. (See [https://fbs.admin.utah.edu/purchasing/forms\\_pur/exemption-certificate/](https://fbs.admin.utah.edu/purchasing/forms_pur/exemption-certificate/))
- ~~3. Organizational units are responsible for all unused LPOs which must be retained in a secure place and must not be countersigned until issued. Unused LPO forms should be returned to Accounts Payable.~~

~~E. Prohibitions on use of Limited Purchase Orders:~~

- ~~1. Purchases over \$5,000.~~
- ~~2. Capital equipment. (See Policy 3-045.)~~

- ~~3.—Purchases charged to University of Utah Hospital & Clinics accounts.~~
- ~~4.—Restricted purchases and special procurement items such as controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, and compressed or liquid gases.~~
- ~~5.—Procurement of live animals. (See Rule R3-100E)~~
- ~~6.—Purchases from government agencies requiring prepayment.~~
- ~~7.—Repair or alterations to University physical facilities. Contact Facilities Management.~~
- ~~8.—Prepayments for supplies or services. (See Procedure P3-100A)~~
- ~~9.—Advertisements for personnel (staff or academic) recruiting.~~
- ~~10.—Procurement of new telephones or other telecommunications service. Contact University Information Technology with questions.~~
- ~~11.—Purchases from suppliers outside of the United States. (See Rule R3-100E)~~
- ~~12.—Employee travel expenses. (See Policy 3-030.)~~
- ~~13.—Additional prohibitions or restrictions to the use of LPOs may be made by Accounts Payable.~~

D. ~~F.~~ Purchasing Card (PCard) Usage

1. Authorized individuals within ~~organizational units~~Organizational Units may make direct purchases of ~~supplies~~Supplies and ~~services~~Services less than ~~\$5,000~~the single Procurement threshold by utilizing a PCard, except as restricted by University ~~Regulations~~regulations (See Rule R3-100E).
  - a. UUHC may establish a limit for UUHC PCard purchases:
    - i. that is less than the Single Procurement Threshold; or

- ii. with the approval of the UUHC controller and director of purchasing, that is greater than the single Procurement threshold.
- 2. PCards are generally issued to a named individual within an ~~organizational unit~~Organizational Unit.
- 3. Authorization to use a PCard requires individuals to apply for a card and requires adherence to terms and conditions of a University PCard ~~contract~~agreement issued by the Purchasing Department.
- 4. PCard procedures are established and administered by the Purchasing Department as published in the PCard Handbook.
- 5. The Purchasing Department is ~~responsible~~Responsible to issue, approve credit limits, suspend, or cancel PCards.
- ~~6.—Organizational units are responsible for review and approval of PCard transactions and documentation~~ PCard credit limits for UUHC are subject to the credit limits established by UUHC but may not exceed the Single Procurement Threshold unless approved by the UUHC Controller and the Director of Purchasing.
- 6. ~~7.—Organizational units~~Units are ~~responsible~~Responsible for review and approval of PCard transactions and documentation.
- 7. Organizational Units are Responsible to maintain PCard records for each transaction including original or electronic receipts, invoices, statements, correspondence, etc., based on the records retention schedule. Periodic auditing of PCard transactions will be conducted by the Purchasing Department and/or University Internal Audit and the State of Utah. (See PCard website)
- 8. PCards can be used at campus ~~organizational units~~Organizational Units that accept credit cards.
- 9. ~~G.—Prohibitions on use of PCards for purchases totaling \$5,000~~the single Procurement threshold or less: (See Rule 3-100E)

- a. ~~1.~~ Capital and fabricated equipment without approval from property accounting. (See Policy 3-045)
- b. ~~2.~~ Restricted ~~purchases~~Purchases and special ~~procurement~~Procurement items such as: controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, and compressed or liquid gases.
- c. ~~3.~~ Procurement of live animals. (See Rule R3-100E)

~~4.—Purchases from government agencies requiring prepayment. (See Procedure P3-100A)~~

- d. ~~5.~~ Repair or alterations to University physical facilities. Contact U Facilities Management.
- e. ~~6.~~ Purchases from University faculty or staff.
- f. ~~7.~~ Purchase of items for which advance payment is required if the total Procurement amount will exceed the single Procurement threshold. (See Procedure P3-100A)
- g. ~~8.~~ Advertisements for personnel (staff or academic) recruiting unless a PRN number is issued by Human Resources.
- h. ~~9.~~ Procurement of new telephones or other telecommunications ~~services~~Services. Contact University Information Technology. Payment for existing ~~services~~Services may be made with the PCard, with approval by University Information Technology and the Purchasing Department.
- i. ~~10.~~ Foreign purchases requiring customs clearance, except those ~~made on a PCard that are less than \$1,000 and do not require customs clearance such as conference registrations and publications~~below \$1,000. (See Rule R3-100E)
- j. ~~11. Employee and visitor travel expenses provided however, that the PCard may be used for visitors at the University Guest House or for local shuttle services. (See Travel expenses, except as allowed by the Travel~~

Office with prior approval. (See Policy 3-030.)

~~12. Gifts including gift certificates, employee incentive/benefits, retirement gifts and flowers. However, condolences are allowed.~~

k. Gifts, except as allowed by a gift exemption as approved by the Purchasing Department.

l. ~~13.~~ Employee parking.

m. ~~14.~~ Gas or fuel for vehicles, except as allowed by a fuel exemption as approved by the Purchasing Department.

~~15. New memberships that have not been previously approved by appropriate organizational unit administration.~~

n. New memberships, unless approved by the cognizant dean, director, or designee per University Rule 3-100E. Organizational Units that use a PCard to purchase a new membership shall keep the approval and all documentation with the PCard statement for auditors to review. An Organizational Unit may use a PCard to renew a membership.

o. ~~16.~~ Services from independent contractors, performers, consultants, speakers

p. ~~17.~~ Student ~~services~~, Services, including events, travel, tuition, scholarships, health insurance or stipends, except as approved by the Purchasing Department.

q. ~~18. AOCE~~ Continuing Education & Community Engagement (CECE) professional development courses, except as required and approved by the appropriate Organizational Unit director or chair

r. ~~19.~~ Additional prohibitions, restrictions or exceptions to the use of PCards may be made by the Purchasing Department. (See Purchasing Card ~~restricted list~~ Restricted List)

E. ePayment Requests (ePRs)

1. ePRs are to be used for expense payments, including honorariums, guest lecturers, utilities, etc. ePRs may not be used for procuring goods or Services. Exceptions shall be approved by the director of purchasing and in conjunction with Accounts Payable.

F. ~~H.~~ Reimbursements

1. The Purchasing Department and Accounts Payable discourage the use of reimbursements for the purchase of goods and ~~services~~Services. Reimbursements to individuals for the purchase of goods and ~~services~~Services are subject to Policy 3-010 ~~Expenditure and Reimbursement Requirements~~ and any associated University ~~Regulations~~. ~~There are limitations to the use of personal funds to conduct University transactions. (See regulations, Policy 3-010)~~

~~I.~~ Renewals

- ~~1.—Renewals are intended for use when multiple orders are made to the same supplier during the course of a year. Multiple payments are allowed on a renewal.~~
- ~~2.—Organizational units shall submit a requisition to the Purchasing Department for competitive and non-competitive renewals.~~

G. Multiple Payment Purchase Orders

1. ~~3. Non-competitive renewals shall not exceed the formal purchase~~Multiple payment Purchase Orders exceeding the single Procurement threshold. ~~Approval of without a non-competitive renewal request is at the discretion and the sole responsibility of~~contract are prohibited except as approved by the Purchasing Department.
- ~~4.—Competitive renewals may be renewable multi-year agreements for the total price specified in the solicitation.~~

H. ~~J.~~ Exceptions: Procurement Authority of Organizational Units

1. By virtue of their special needs and the roles they fill at the University, some ~~organizational units~~Organizational Units may be authorized to solicit bids and may be delegated ~~procurement~~Procurement authority at a higher spend level than normally authorized, compliant with University Regulations, the Utah Procurement Code, and written rules adopted by the ~~organizational unit~~Organizational Unit. This includes University of Utah Hospitals & Clinics Purchasing. Also included are Procurements of Construction and architect/engineer Services by U Facilities following Procurement rules adopted by the state Division of Facilities Construction and Management and using the procedures allowed in Rule 3-100B III. A3.
  
2. Additional Organizational ~~units~~Units that ~~qualify for this exception~~have delegated purchase authority are identified below and ~~will~~may enter into a written memorandum of understanding with the ~~Director~~director of ~~Purchasing~~purchasing. Other ~~organizational units~~Organizational Units may be extended similar limited ~~procurement~~Procurement exceptions as described in writing at the discretion of the ~~Director~~director of ~~Purchasing~~purchasing.
  - a. Associated Students of the University of Utah
  - b. Marriott Library (books and periodicals only)
  - c. Eccles Health Sciences Library (books and periodicals only)
  - d. S.J. Quinney Law Library (books and periodicals only)
  - e. University Medical Group
  - f. University Campus Store (resale items only)
  - ~~g. University Hospital Purchasing Department~~
  - ~~h. University Food Service operations (resale items only)~~
  - ~~i. Travel Accounting (travel related only)~~

g. ~~j. Study Abroad (student~~ [Travel & Reimbursement Service \(administration of University Travel Card for](#) travel related only)

h. ~~k. Athletics Department (only athletic charter travel and medical services~~ [Services](#) for athletes)

~~l. Procurement relating to building construction and architect-engineer services by Facilities Management as delegated by the Utah State Building Board and using the procedures allowed in [Rule 3-100B III. A3.](#)~~

i. ~~m. Natural History Museum of Utah (items for display only)~~

~~3. These organizational units of the University may make small purchases by following procedures established in this Rule.~~

~~K. Small Purchases between \$5,000 and \$50,000.~~

~~1. Requests for procurement of supplies and services between \$5,000 and \$50,000 must be submitted by organizational units to the Purchasing Department on a requisition. Purchases within these thresholds may require competition but may not require a formal process.~~

~~2. Informal purchases may be solicited by electronic means including email, electronic bids, telephone or a request for written quotes.~~

~~3. Informal purchases should be documented with three (3) written quotes or proposals, whenever possible.~~

~~4. Award shall be made to the supplier offering the lowest responsive and responsible quotation based on objective criteria described in the solicitation.~~

~~5. Names of suppliers offering quotations and the date and amount of each quotation shall be recorded and maintained as a public record.~~

I. ~~L. Office of General Counsel Small Purchases and Emergency Procurement~~

1. The ~~University of Utah~~ Office of General Counsel shall have authority to

conduct ~~procurements~~[Procurements](#) for the hiring of outside counsel, expert witnesses and litigation support ~~services~~[Services](#) pursuant to the ~~professionals, providers and consultant threshold~~[Professional Provider or Consultant Services Threshold](#).

2. If an emergency condition exists necessitating the need for immediate hiring of outside counsel, expert witnesses or litigation support ~~services~~[Services](#), the ~~General Counsel~~[general counsel](#) shall make a written determination of the existence of the emergency and a written statement of justification for choosing a specific ~~supplier~~.

#### ~~IV-~~[Supplier \(See Policy 3-100 III.F.4\)](#).

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#### [IV—VII Regulations Resource Information](#).

*[\\*\\*User Note: Parts IV-VII of this Regulation \(and all other University Regulations\) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.\\*\\*](#)*

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## IV. Rules, Procedures, Guidelines, Forms and other Related Resources

### A. Rules

1. ~~R3-100C~~,[R3-100C](#). Requisition Use
2. ~~R3-100E~~,[R3-100E](#). Restricted Purchases and Special Purchasing

### B. Procedures, [Guidelines, and Forms. \[reserved\]](#)

~~P3-100A, Vendor Prepayments~~

### C. Guidelines ~~[reserved]~~

### D. Forms

1. Utah State Tax Commission Exemption Certificate for Governments & Schools
2. University of Utah Business Associate Agreement

### E. Other related resource materials ~~[reserved]~~

## V. References

- A. ~~Policy 3-003~~, Policy 3-003, Authorizations and Approvals Required for Financial Transactions
- B. ~~Policy 3-100~~, Policy 3-100, University Procurement
- C. ~~Policy 3-111~~, Policy 3-111, Independent Consultant/Contractor Professional Service Agreements
- D. ~~Policy 3-193~~, Policy 3-193, Requesting Service from Campus Agencies (Campus Orders)

## VI. Contacts

### ~~Rule~~

The designated contact officials for this Regulation are

- A. Policy Owner: Director, of Procurement ~~& Contracting Services~~
- B. Policy Officers: Chief Financial Officer

See University Rule 1-001 for information about the roles and authority of policy owners and policy officers.

## VII. History

~~Approved Academic Senate, Executive Committee; September 17, 2013~~

Renumbering

Revision History.

- A. Current version. Revision 1.

- 1. Approved by -- Academic Senate April 4, 2022, ~~October 7, 2013~~ and Board of Trustees April 12, 2022, with effective date of April 12, 2022.

~~Replaced Blanket Orders with Renewals, throughout; Changed references to outdated paper process to include UShop processes; June 30, 2016~~

2. [Legislative History for current version.](#)
  - a. [Editorial Revisions: \*\[reserved\]\*](#)
- B. [Past versions.](#)
  1. [Revision 0.](#)
    - a. [Legislative History for Revision 0.](#)

**University** Rule 3-100E: Restricted Purchases and Special Procurement

Revision #1. Effective date: April 12, 2022

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## I. Purpose and Scope

~~To implement~~

### D. Purpose.

This rule implements Policy 3-100 and ~~outline Rules~~outlines rules, including prohibitions, ~~special approvals~~Special Approvals, limitations, and restrictions, governing the purchasing and control of specific categories of ~~supplies~~Supplies and ~~services~~Services.

### E. Scope.

This ~~Rule~~rule is binding for all University colleges, departments, and units, including University of Utah Hospitals & Clinics.

## II. Definitions

~~See~~The definitions provided in Policy 3-100, ~~University Procurement~~apply for this rule.

## III. Rule

### A. Prohibited Procurements<sub>;</sub>

1. The use of University funds to procure ~~supplies~~Supplies or ~~services~~Services for personal use is prohibited as outlined in Rule R3-010B. This prohibition does not include employee recognitions<sub>;</sub> which are outlined in Rule R3-011A.
2. Alcoholic beverages may not be acquired with state appropriated funds.

~~3. Donations to charitable, scientific or educational organizations are only permissible if: 1) the organization has a 501c(3) status with the Internal Revenue Service or is an equivalent nonprofit organization; 2) the mission of the organization is consistent with that of the University; 3) the money so donated is from a permitted source and not from state, federal or other restricted funds; and 4) is no more than \$1,000. Exceptions from the above guidelines require the signed written approval of the cognizant Vice President or designee.~~

B. Procurements that Require Special Approvals

1. Except as described below, the University may not pay for a purchase before the goods or Services are received (prepayment) unless the director of purchasing determines it is necessary or beneficial. The director of purchasing shall document the determination in writing. The following list of prepayment circumstances do not require the director of purchasing's written authorization.

a. Prepayment for software licensing as a service or software licensing for one year or less.

b. Prepayment for software maintenance for one year or less.

c. Prepayment for travel abroad expenses when required by the vendor.

d. Prepayments below the Single Procurement Threshold for venue reservations for large group events when required by the vendor.

e. Prepayments below the Single Procurement Threshold for catering events when required by the vendor.

f. Prepayment for guest lecturers, performers, entertainers, and convocations when required by the vendor.

g. Prepayment for insurance.

2. ~~4.~~ Organizational or association memberships paid from University funds

may be procured only if necessary to meet program needs or to secure other benefits for the University, and must contribute to the University's mission. Memberships that include a charitable donation to associations or private organizations must meet the criteria of ~~section~~Section III.A.B.3. above 12. Memberships may not be purchased on grants or contracts unless allowed by the award. New memberships must be approved by the cognizant vice president, dean, or director, or in the case of University of Utah ~~Hospital~~Hospitals & Clinics personnel, ~~the hospital administrator~~memberships will be reviewed annually as part of the annual budget process.

3. ~~2.~~ Requisitions for nonstandard furnishings, office equipment, and accessories require the authorizing signature of the cognizant ~~Vice President~~vice president, or of the ~~Vice President for Administrative Services~~chief financial officer or ~~his/her~~ designee. In the case of University of Utah Hospitals & Clinics, these types of Requisitions will be identified and considered for approval through the operating and capital budgeting processes.
4. ~~3.~~ ~~Ownership, procurement~~Fleet Services shall administratively manage ownership, Procurement, maintenance, licensing and disposal of vehicles ~~shall be administratively managed by Fleet Services.~~ (see Policy 3-215)Policy 3-215)
5. ~~4.~~ Printing and Mailing Equipment
  - a. University and UUHC Organizational ~~units~~Units other than Print & Mail Services are not authorized to procure, ~~lease~~Lease, or operate high speed printing, or mailing equipment without prior written approval of the cognizant dean or director and the ~~Vice President for Administrative Services~~chief financial officer or his/her designee.
  - b. Such authorization will normally be granted only if:
    - i. the proposed equipment can be justified by significantly lower overall

~~organizational unit~~Organizational Unit operating costs than would be incurred if the printing/copying/mailing were done by Print & Mail Services;

- ii. there is a reasonable expectation that the identified needs and cost justification will continue over the time period used to amortize the cost of the proposed equipment; and
- iii. the loss of volume to Print & Mail Services resulting from ~~organizational unit~~Organizational Unit operation of related equipment will not jeopardize the ability of Print & Mail Services to provide ~~services~~Services to other ~~organizational units~~Organizational Units on a self-supporting basis.

c. ~~iv. In justifying~~Justifying cost-effectiveness, ~~organizational unit~~Organizational Unit operating costs shall include compensation and fringe benefits of employees involved in providing the service, amortization and maintenance costs of equipment, costs of all ~~supplies~~Supplies and materials used, cost of space to house equipment, and a pro rata share of the general and administrative expense of the ~~organizational unit~~Organizational Unit.

d. ~~c.~~ Printing, ~~high speed printers/copiers~~High Speed Printers/Copiers, digital press, and mailing equipment procured and operated by University ~~organizational units~~and UUHC Organizational Units other than Print & Mail Services ordinarily shall not be used to perform work for other ~~organizational units~~Organizational Units, because Print & Mail Services has been established for that purpose. Any exceptions, other than minor work aggregating less than \$100 in monthly revenue, must have prior written approval of the cognizant dean(s) or director(s), and the ~~Vice President for Administrative Services~~chief financial officer.

e. ~~d.~~ Non-University owned or operated printing, copying, and mailing ~~services~~Services may be used by ~~organizational units~~Organizational

Units when justified by demonstrated lower costs or by service requirements that cannot be met by Print & Mail Services. Such ~~services~~Services must be obtained in accordance with applicable University ~~procurement Regulations~~Procurement regulations.

f. ~~e.~~ Non-University entities are not authorized to establish printing, duplicating, or mailing facilities or ~~services on campus~~Services at the University or UUHC without the prior written approval of the ~~Vice President for Administrative Services~~chief financial officer.

6. ~~5.~~ All ~~construction~~Construction work (as defined in ~~Policy 3-100~~Policy 3-100) shall be administered as provided for in ~~Policy 3-205~~Policy 3-205. Other alterations and repairs to existing facilities must have the prior approval of the University organization ~~responsible~~Responsible for maintaining that facility such as U Facilities ~~Operations~~, Hospital Facilities and Engineering, Auxiliary Services, and the Facilities group within Housing and Residential Education. These alterations and repairs include, but are not limited to changes, connections or additions in utility systems, air conditioning, heating, electrical, plumbing, air, gas, ~~etc.~~ ~~This also includes~~ interior decorating, painting, floor coverings, window coverings and systems furnishings. Major equipment installations requiring utilities connections or other requirements, such as cooling, etc., need prior approval from U Facilities ~~Management~~. When applicable, work described in this paragraph will also involve review and approval by the U Facilities University Building Official (the authority having jurisdiction for enforcing building codes).

~~6. — Refrigerators and freezers (-20°C) may be procured or installed only with the authorizing signature of the Vice President for Administrative Services or his/her designee or the cognizant Vice President. Exceptions may be granted by the Cognizant Vice President.~~

7. All residential and commercial grade refrigerators and freezers procured by the University must be Energy Star rated, excluding low temperature (-20°C

to -30°C) and ultra-low temperature (<-30°C) laboratory grade freezers.

a. An Organizational Unit that seeks an exception to this requirement shall submit a request to Facilities Sustainability & Energy.

b. The chief financial officer may grant an exception to this requirement after considering the recommendations of Facilities Sustainability & Energy.

c. In the case of University of Utah Hospitals & Clinics, Requisitions for commercial grade refrigerators and freezers will be identified and considered for approval via the capital budgeting process.

8. ~~7. Intra~~ Purchase of intra-departmental radio communications and licensing, including purchases by University of Utah Hospitals & Clinics, require the approval of Facilities ~~Operations~~ Management or the ~~Vice President for Administrative Services~~ chief financial officer or ~~his/her~~ designee.

a. Purchasers of intra-departmental radio communications and licensing shall seek common communications platforms for integration purposes. (see ~~Policy 3-235~~ Policy 3-235).

9. ~~8.~~ The Health Insurance Portability and Accountability Act of 1996 (HIPAA) requires that security of protected health information of individuals comply with applicable federal and state confidentiality and security laws. Contact the University Information and Security Office ~~at~~ <http://privacy.utah.edu/contact.php> or <http://www.secureit.utah.edu/ispo/index.html> or email the Governance, Risk & Compliance team if any potential purchase transactions with ~~suppliers~~ Suppliers (including delegated small purchases) have the potential to impact the security of private health information.

10. IT Software Purchases.

a. All new software purchases, regardless of Procurement method or dollar value, are subject to the requirements as detailed in Rule R4-050A. UIT approval is not required for existing software maintenance or existing

software subscription renewals.

11. Information Technology Hardware Purchases

a. All purchases of IT-related hardware and data encryption requirements, regardless of Procurement method or dollar value, are subject to the requirements and limits as detailed within University Rule 4-004C.

12. Donations to charitable, scientific, or educational organizations are only permissible if:

a. the organization has a 501c(3) status with the Internal Revenue Service or is an equivalent nonprofit organization;

b. the mission of the organization is consistent with that of the University;

c. the money donated is from a permitted source and not from state, federal, or other restricted funds; and

d. is no more than \$1,000.

13. Exceptions from the above guidelines require the signed written approval of the cognizant vice president or designee.

14. In the case of donations from University of Utah Hospitals & Clinics, these types of donations require the review and approval of the director of community engagement for all University of Utah Hospitals & Clinics.

15. Lease or Lease-purchase of Procurement items.

a. This rule applies to leasing Procurement items and does not apply to the Lease of real property, which is described in Policy 3-110. An Organizational Unit shall follow the process described in this rule when leasing Procurement items in place of the process described in Policy 3-110.

b. An Organizational Unit may not Lease a Procurement item unless the Organizational Unit complies with the requirements of this rule.

- c. An Organizational Unit may not Lease a Procurement item unless:
  - i. The director of purchasing determines it is in the best interest of the Organizational Unit to Lease the Procurement item after receiving a written summary from the Organizational Unit containing the following:
    - 1. The Organizational Unit has investigated alternate means of obtaining the Procurement item; and
    - 2. The Organizational Unit has considered the costs and benefits of the alternate means of obtaining the Procurement item.
  - ii. The Procurement item(s) and Lease are awarded through a standard Procurement process, or an exception to a standard Procurement process, such as a Sole Source.
  - iii. The Lease complies with all other provisions of law or rule applicable to the Lease; and
  - iv. The Lease is signed by the chief financial officer.
- d. When funded through federal grants or contracts, an acquisition of capital equipment through a Lease purchase plan requires the prior written approval of the funding agency and the vice president for research.
- e. The chief financial officer shall keep a complete file of all equipment Leases entered into by the University.
- f. University of Utah Hospitals & Clinics shall not enter into Leases for equipment except as approved.
- g. University of Utah Hospitals & Clinics may not enter into a Lease for Procurement item(s) except as approved by the University of Utah Hospitals & Clinics chief financial officer.

#### C. Procurement Funded by Research Grants and Contracts

1. Requisitions calling for expenditures to be funded by grants or contracts for capital equipment or remodeling of facilities are subject to review by Grants &

Contract Accounting to ensure only allowable ~~procurement~~[Procurement](#) based upon the terms of the grant or contract.

2. Requisitions calling for capital equipment not specifically authorized by the grant or contract will not be processed until approval is obtained from the granting agency.
3. A ~~requisition~~[Requisition](#) for capital equipment will not be processed if the ~~requisition~~[Requisition](#) is dated 30 days or less prior to the project ending date, unless the ~~requisition~~[Requisition](#) is accompanied by documentation, approved by the ~~Vice President~~[vice president](#) for ~~Research~~[research](#), or his/her designee, demonstrating that ~~procurement~~[Procurement](#) of such equipment is necessary to achieve the objectives of the contract or grant.
4. A ~~requisition~~[Requisition](#) for either ~~supplies~~[Supplies](#) or equipment will not be processed if it appears probable that the ~~requisitioned~~[Requisitioned](#) items will not be received by the University within a reasonable period of time prior to the project ending date.
5. All federally funded ~~procurements~~[Procurements](#) must comply with applicable federal ~~Purchasing Procedures~~[purchasing procedures](#), regulations, terms, and conditions. Purchases based on single price quotations must meet price reasonableness/cost analysis criteria prior to award. Questions regarding these regulations should be directed to the Purchasing Department.
6. Memberships in organizations and associations as ~~defined~~[described](#) in Section III.B.4.2 may not be purchased with grant and contract funds unless allowed by the ~~award~~[awards](#).

#### D. Procurements Subject to Special Limitations, Restrictions, or Procedures

##### 1. Narcotics and Controlled Substances

- a. Requisitions for narcotics and controlled substances must be accompanied by a properly completed Drug Enforcement Administration order form (DEA ~~form 222C~~); [License or DEA License with DEA Form](#)

222C). UUHC is exempt from this restriction and shall adhere to UUHC procedures.

b. Individuals using form DEA 222C must be registered with the State of Utah Department of Business Regulations and with the U.S. Drug Enforcement Administration.

~~c. Further information regarding the purchase~~ DEA Form 222C is used for DEA controlled substances (classified as CI and CII). Purchases of CI and CII controlled substances ~~may~~ must be ~~obtained from the Purchasing Department~~ accompanied with both a DEA controlled substances license and form 222C. Controlled substances scheduled as III, IV, and V require a controlled substances license. UUHC is exempt from this restriction and shall adhere to UUHC procedures.

## 2. Tax-Free Alcohol

a. Organizational Units shall request Procurement of tax-free alcohol ~~must be requested from the Purchasing Department on a Campus Order and the organizational unit is responsible to complete the Tax-Free Alcohol Report form (available from the Purchasing Department)~~ University of Utah General Stores via their webpage, [www.store.utah.edu](http://www.store.utah.edu), or UShop's Internal Supplier Form: Ethyl Alcohol Order Form.

i. Each tax-free ethyl alcohol delivery will arrive with a Tax-Free Alcohol Report form. The Organizational Unit is Responsible for completing and submitting the Tax-Free Alcohol Report form when ready to reorder or cease the use of tax-free ethyl alcohol.

ii. ~~b.~~ The Tax-Free Alcohol Report form must be kept current by each ~~organizational unit~~ Organizational Unit using tax-free ethyl alcohol.

iii. With each usage of tax-free ethyl alcohol, the user shall record: the quantity issued, date, user's name, and balance on hand ~~shall be~~

~~indicated on the~~

~~iv.~~ The Tax-Free Alcohol Report ~~to bring the~~ record ~~into~~must balance with existing stock.

~~v.~~ As the existing supply of ethyl alcohol reaches the appropriate reorder point, additional alcohol may be reordered by sending the completed Tax-Free Alcohol Report form to ~~Purchasing~~General Stores and, also, submitting a corresponding order request.

~~b. e.~~ The University permit to use tax-free ethyl alcohol currently limits such use to the following purposes:

- i. preserving specimens;
- ii. experimental, research, and laboratory work for scientific purposes;
- iii. the preparation of laboratory and medical solutions;
- iv. hospital chemical use;
- v. medical treatment of patients
- vi. compounding medicines for use of patients in the ~~hospital~~hospitals.

~~c. d.~~ The use of tax-free ethyl alcohol for purposes other than those defined in paragraph (c) is prohibited, and violation is subject to federal law. Organizational ~~units~~Units requiring tax-free ethyl alcohol for use other than authorized above should contact the Purchasing Department.

~~d. e.~~ Organizational ~~unit~~Unit alcohol records and alcohol on hand are subject to federal audit by the Internal Revenue Service.

### 3. Items Imported from a Foreign Country

a. Import items must be procured through a standard University ~~requisition~~purchase request form as all matters pertaining to customs are handled by the Purchasing Department. ~~All~~

i. Organizational Units shall forward all documents concerning foreign

orders (customs declarations, customs invoices, shipping papers, shipping notices, etc.) ~~must be forwarded~~ to the Purchasing Department.

ii. Limited import purchases below \$1,000 such as conference registrations and publications that do not require customs clearance may be purchased on a PCard. (see ~~Rule 3-100D~~Rule 3-100D). In the case of University of Utah Hospitals & Clinics, the University of Utah Hospitals & Clinics Purchasing Department shall manage import items through the UUHC Purchasing Department.

- b. Most foreign purchases are subject to customs clearance and possible duty charges. The University has engaged the ~~services~~Services of a professional customs broker to provide assistance in clearing foreign shipments. All correspondence or contact with this broker must be made through the Purchasing Department.
- c. Organizational ~~units-requisitioning~~Units Requisitioning import items should include estimated customs duties and freight charges in estimating the cost of the items ~~requisitioned~~Requisitioned. Exact customs duties on import items cannot be determined until the items have cleared customs. Information relating to customs and procedures applicable to customs clearance may be obtained from the Purchasing Department.
- d. Some research grants and contracts prohibit the purchase of import items. Before submitting a ~~requisition~~purchase request for imported items, the ~~organizational-unit~~Organizational Unit must determine that no such restriction is found in any grant or contract to which the cost of ~~procurement~~Procurement is to be charged in whole or in part.

#### 4. Procurement of Export Restricted Items

- a. Export regulations apply to the export of items to foreign countries AND to access to controlled items by foreign nationals in the United States (“deemed export”).

- b. Organizational ~~units~~Units procuring items subject to export control restrictions are ~~responsible~~Responsible for recognizing the item as subject to export control and for identifying the applicable United States Munitions List (USML) classifications or Export Control Classification Number (ECCN). Selling entities ~~may~~should be able to provide assistance in identifying the USML classification or ECCN for their product(s).
    - ~~i. e.~~ Organizational ~~units~~Units should review item descriptions and inquire regarding applicable export control status and comply with Policy 7-007.
  - c. Organizational Units procuring items subject to export control restrictions ~~must~~shall obtain approval from the ~~Vice President of Research~~vice president for research prior to the ~~procurement~~Procurement.
  - d. Organizational ~~units~~Units procuring items subject to export control restrictions ~~must~~shall implement a ~~Technology Control Plan~~technology control plan to ensure compliance with export control regulations.
  - e. ~~Assistance~~Organizational Units may receive assistance with the requirements of this section ~~can be obtained~~ from the University's ~~Export Control Officer~~export control officer.
5. Radioactive Materials and Radiation-Generating Equipment
- a. Radioactive material and radiation-generating equipment must be ~~requisitioned~~Requisitioned with the standard University ~~requisition~~purchase request form. In the case of University of Utah Hospitals & Clinics, the UUHC Purchasing Department shall manage purchases of radioactive material and radiation-generating equipment. Items b. through d. apply to the University.
  - b. Requisitions for these purchases require prior approval from the ~~Director of Radiological Health.~~ ~~A request for such approval will be initiated by the~~

~~organizational unit~~ radiation safety officer (Environmental Health and Safety/Radiation Safety). The Organizational Unit requesting the materials or equipment. ~~The Purchasing Department will confirm approval from Radiological Health's Authorized Users List~~ shall initiate this request for approval.

- c. Whenever required, applications for licenses or other approval forms from the Department of Energy (DOE) will be initiated and processed by the ~~Director of Radiological~~ radiation safety officer (Environmental Health and Safety/Radiation Safety).
- d. Questions regarding licensing requirements relating to radioactive materials should be directed to the ~~Director of Radiological~~ radiation safety officer (Environmental Health and Safety/Radiation Safety).

#### 6. Research Animals, Birds, Fish and Amphibians

- a. Requisitions for the purchase of these research subjects require the approval of the Office of Comparative Medicine. The ~~requisition~~ purchase request and Animal Request Form shall be sent to the Office of Comparative Medicine for approval. The Animal Request Form can be obtained from the Office of Comparative Medicine.
- b. Select species of research birds and animals require written certification of disease-free status on import into the State of Utah. The ~~Director~~ director of the Office of Comparative Medicine is ~~responsible~~ Responsible to perform this inspection and furnish such certification to the State of Utah Division of Wildlife Resources.
- c. Questions regarding this procedure should be directed to the Office of Comparative Medicine.

#### 7. Compressed Gases

- a. Bottled gases are restricted due to the compressed nature of the cylinder. This restriction covers small disposable as well as large metal cylinders.

- b. Common gases and gas mixtures excluding propane must be ordered through General Stores ~~on a campus order form. All other gases must be requisitioned with the standard University requisition form so cylinder demurrage and delivery can be arranged~~to track demurrage and compressed gases locations and to ensure compliance. The University of Utah Hospitals & Clinics Purchasing Department shall manage the purchase of gases for use at University of Utah Hospitals & Clinics.

## 8. Recruitment Advertising

- a. Faculty Positions: Requests for ~~procurement~~Procurement of advertising for recruitment of paid faculty positions must be ~~requisitioned~~Requisitioned with the standard ~~university requisition~~University Requisition form and include the job posting number. Faculty recruitment ~~requisitions~~Requisitions require a ~~Vice President~~vice president's approval. Questions regarding this process should be directed to the Purchasing Department.
- b. Staff Positions:
  - i. Requests for on-line recruitment advertising of staff positions should be sent to the Human Resources Department and questions directed to ~~them~~the Human Resources Department.
    - 1. In the case of University of Utah Hospitals & Clinics, the University of Utah Hospitals & Clinics Human Resources Department shall manage advertisement requests for staff positions.
  - ii. Requests for all other advertising for recruitment of staff positions must be ~~requisitioned~~Requisitioned with a standard University ~~requisition~~Requisition form and a purchase order will be issued by the Purchasing Department. Staff position ~~requisitions~~Requisitions should reference the job posting number. In the case of staff positions with University of Utah Hospitals & Clinics, such types of advertising and recruitment requests shall be managed jointly through the University of

[Utah Hospitals & Clinics Human Resources Department and the University of Utah Hospitals & Clinics Purchasing Department.](#)

9. Medical Devices

- a. Organizational Units purchasing medical devices, including radiation emitting electronic products, must comply with applicable United States regulations and must meet applicable FDA regulations.

E. Items Restricted by University Contract

1. ~~Product's~~Products or Merchandise with University of Utah ~~Trademark~~Trademarks (both logos and word marks)

- a. All purchases must be made from ~~an approved or~~a licensed ~~supplier~~Supplier. A current list of ~~suppliers~~Suppliers is maintained by Auxiliary Services, Trademarks & Licenses Office. ~~(See~~ [www.trademarks.utah.edu](http://www.trademarks.utah.edu))
- b. All University and UUHC artwork must be ~~reviewed and approved~~submitted to the licensing agent's system used to manage licenses, product categories, distribution channels, and artwork for review and approval by the Trademarks & Licensing Office.

F. Procurement of Government Property

1. Surplus University Property

- a. Surplus University property is available through the University Surplus and Salvage Department. (See ~~Policy 3-040~~Policy 3-040 and ~~3-041~~3-041)
- b. Information regarding the availability of surplus property may be obtained from the Surplus and Salvage Department.

2. Excess Federal Property

- a. Excess federal government property may be available at little or no cost for use on federal government contracts or grants. Information regarding

such items may be obtained from the Property Accounting Department.

#### G. Procurement of Vending Services

1. Student Affairs Contract Administration is ~~responsible~~Responsible to provide or contract for all vending ~~services~~Services and equipment to employees, students and visitors on campus and at other University controlled buildings, except as outlined below:

a. The ~~Director~~director of the A. Ray Olpin University Union is ~~responsible~~Responsible for video and other amusement machines, and dispensers of personal hygiene products located in the Olpin Union.

b. The ~~Director~~director of Housing & Residential LivingEducation is ~~responsible~~Responsible for coin or credit card operated washers and dryers, stamp machines, video and other amusement machines, and dispensers of personal hygiene products located in the residence halls.

c. The ~~Director~~director of the University Student Apartments is ~~responsible~~Responsible for coin or credit card operated washers and dryers and dispensers of personal hygiene products located in the University Student Apartments.

d. ~~The Director of Facility Operations is responsible for dispensers of personal hygiene products located in all buildings on campus, except those referred to in paragraphs a., b., and c. above.~~Nutrition Care Services at University of Utah Hospitals & Clinics are Responsible for vending operations at all of their locations.

2. ~~e.~~ Without prior written approval from Student Affairs Contract Administration and the cognizant ~~Dean/Vice President, organizational units~~dean/vice president, Organizational Units other than Student Affairs Contract Administration and those specifically exempted in this ~~Rule are~~rule may not ~~authorized to:~~

a. ~~i.~~ Purchase, ~~lease~~Lease, or operate vending machines.

~~b. ii.~~ Negotiate or contract with non-~~university~~University vending operators for vending ~~services~~Services.

~~3. f.~~ Student Affairs Contract Administration may, under unusual and special circumstances, delegate responsibility for a vending machine to an ~~organizational unit~~Organizational Unit.

~~a.~~ A written agreement must outline the specific responsibilities of each party.

~~b.~~ Cash, sales, and inventory must be accounted for in accordance with all applicable University ~~Regulations~~regulations.

#### H. Requests for Vending Services

~~1.~~ Requests for vending ~~services~~Services, except those referred to in paragraph G., shall be submitted to the manager of Student Affairs Contract Administration for review and response.

#### I. New Locations and Remodeling of Existing Locations ~~=~~ Vending Requirements

1. For planned new ~~construction~~Construction projects or remodeling, the ~~Director~~director of Campus Planning, in cooperation with Student Affairs Contract Administration, Safety Services and ~~Facility Operations~~the organization Responsible for maintaining the facility, shall evaluate the location, size, safety, and ease of maintenance of the planned space for vending service.

~~a.~~ If the new Construction is in locations operated by departments identified in Section III G. 1. a-d, the Responsible manager shall be involved in evaluation and planning for vending service(s).

~~b.~~ This requirement does not apply to a University of Utah Hospitals & Clinics Construction project or remodel.

2. Vending machines shall be installed in compliance with all applicable building, fire, safety, and other codes and regulations.

## J. Maintenance and Repair of Vending Machines

1. Student Affairs Contract Administration shall be ~~responsible~~Responsible for all maintenance and repair of vending machines, except those ~~referred to in paragraphs G. 1~~managed by University of Utah Hospitals & Clinics.

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### IV—VII Regulations Resource Information.

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\*\*User Note: Parts IV-VII of this Regulation (and all other University Regulations) are Regulations Resource Information – the contents of which are not approved by the Academic Senate or Board of Trustees, and are to be updated from time to time as determined appropriate by the cognizant Policy Officer and the Institutional Policy Committee, as per Policy 1-001 and Rule 1-001.\*\*

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## IV. Rules, Procedures, Guidelines, Forms and other Related Resources

### A. Rules

#### ~~R3-100~~

1. R3-010B, Unlawful Personal Use Expenditures
2. R3-011A, Meals/Incentive Awards/Flower/Retirement Gifts
3. R3-100B, Solicitation of Bids, Approved Vendor List, Proposals, Sole Source, and Procurement Contracts
4. R3-100D, Delegated Small Purchase Authority
5. R4-004C, Data Classification and Encryption
6. R4-050B, University Software Acquisition Approval

### B. ~~Procedure [reserved]~~Procedures

### C. Guidelines ~~[reserved]~~

### D. Forms

1. Animal Request Form
2. DEA Form 222 C
3. ~~Tax-Free~~Ethyl Alcohol ~~Report~~Order Form

### E. Other ~~related resource materials [reserved]~~Related Resources.

1. The following website provides information on the DEA's policies, including the use of proper DEA licensing:

<https://www.deadiversion.usdoj.gov/drugreg/>

## V. References

- A. ~~Policy 3-003~~, [Policy 3-003](#), Authorizations and Approvals Required for Financial Transactions
- B. ~~Policy 3-031~~, [Policy 3-031](#), Recruitment and Entertainment Expense Reimbursement Policy
- C. ~~Policy 3-040~~ [Policy 3-040](#), Property Accounting
- D. ~~Policy 3-041~~ [Policy 3-041](#), Accountability for Noncapital Equipment
- E. ~~Policy 3-100~~, [Policy 3-100](#), University Purchasing
- F. [Policy 3-205, Remodeling and Construction](#)
- G. ~~Policy 3-215~~, [Policy 3-215](#), University Motor Vehicles
- H. ~~Policy 3-235~~, [Policy 3-235](#), Campus Intradepartmental Radio Communications and Licensing

## VI. Contacts

### Rule

[The designated contact officials for this Regulation are](#)

- A. [Policy](#) Owner: ~~Director of Procurement & Contracting Services~~ [Director of Procurement](#)
- B. [Policy Officers: Chief Financial Officer](#)

[See University Rule 1-001 for information about the roles and authority of policy owners and policy officers.](#)

## VII. History

~~Approved Academic Senate Executive Committee; September 17, 2013~~

[Renumbering](#)

Revision History.

C. Current version. Revision 1.

1. Approved ~~by -- Academic Senate; October 7, 2013~~ April 4, 2022, and Board of Trustees April 12, 2022, with effective date of April 12, 2022.
2. Legislative History for current version.
3. Editorial Revisions: [reserved]

D. Past versions.

1. Revision 0
  - a. Legislative History for Revision 0