CU Boulder Town Hall May 2023

CU Procurement and Compliance
Agenda

- FSS & PSC Service Desks Inquiries
- Tipping on Official Function Meals
- BEX - Reports & Notifications
- Invoice Processing Reminders
- Requisition Tips & Tricks
- Contract Process
- Suspension & Debarment for Federal Purchases
Customer Success
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- Payment Status/Invoice Inquiries
- Booking Travel
- Reimbursements
- Procurement/Travel Cards
- Concur
- CU Marketplace
- Purchase Orders
- PA, NRI, SSP/Other PSC Forms

- Supplier Onboarding
- Supplier Updates
- Supplier Status Checks
# FSS and Other Departments

## OUC Financial Services & Solutions

- CU-Data/m-Fin reports
- Finance System (FIN)
- Fiscal Compliance
- Propriety of Expenses/Sensitive Expenses
- Recognition & Training
- Gift Cards
- Fundraising Events
- Cash Receipt/Other OUC Forms
- OUC's CPE Program

## Other Departments

*Contact the offices listed for assistance with the designated topics:*

- **Campus Controllers' Offices** - continue to contact your campus finance office as you have in the past (this has not changed)
- **CU Denver|CU Anschutz Medical Campus Fiscal Compliance** - Fiscal Compliance, Propriety of Expenses, Sensitive Expenses, Recognition & Training, Gift Cards (this has not changed)
- **UIS/Campus IT Offices** - Portal Issues (access, login, etc.)
- **Employee Services** - Benefits
- **Employee Services** - HCM
- **Employee Services** - Payroll
- **Employee Services** - Scope of Work (SOW)
- **Campus Bursar's Offices** - BRS Payments
- **Campus Security Coordinators** - Enterprise System Access
## Policies and Procedures:
https://www.cu.edu/psc/procedures

### PSC Procedural Statements
- Advance Payment to Suppliers
- After-the-Fact Purchases
- Cash Advances
- Payment Voucher/Authorization
- Procurement Card Handbook
- Procurement Rules
- Student Payments
- Study Subject Payments
- Travel
- Travel Card Handbook
- Undocumented Reimbursement
- W-9 & Vendor Authorization
- Wire Transfers

### Finance Procedural Statements
- Alcoholic Beverages Purchased for University Events
- Business Expense Reimbursement
- Complimentary Tickets
- Gift Cards
- Official Functions
- Personal Technology & Telecommunications
- Petty Cash & Change Funds
- Recognition & Training
- Sensitive Expenses

### Employee Services Procedural Statements
- Moving procedures for house-hunting trips/moving reimbursements (To pay a moving company directly, see How to Buy Moving Services)
- Scope of Work/Independent Contractor
Tipping, Business Expense Substantiation, and Invoice Submission Reminders
Tipping on Official Function Meals

Finance Procedural Statement: Sensitive Expenses

For meal service related to Official Functions:

• Maximum allowable tip amount is 20% of the final bill including tax, additional service charges or fees, delivery charges, etc.
  
  – *This includes the "fair wage fee," if it is added into the total charges on the final bill.*

• The decision to provide a tip should be made in the context of all charges included/represented in the final bill.

• When determining locations/suppliers for Official Functions, organizational units should evaluate total costs to exercise good stewardship of CU funds.

[https://www.cu.edu/controller/procedures/finance-procedural-statements/finance-procedural-statement-sensitive-expenses](https://www.cu.edu/controller/procedures/finance-procedural-statements/finance-procedural-statement-sensitive-expenses)
BEX Reports & Notifications

Finance Procedural Statement: Business Expense Substantiation & Tax Implications

Email reminders/notifications sent:

- **Daily**
  - Newly imported transactions – cardholder, traveling employee, and travel arranger
  - Cash Advance changes – primary recipient (employee) and delegate
  - Taxable Expenses Notifications – Employee (once report is fully approved and paid)

- **Weekly**
  - Transactions to Approving Officials for all assigned cardholders

- **Monthly/Every 30 days**
  - Aging commercial card transactions at 30/60/75/90+ days – cardholder, default approver, delegate(s), and approving official
  - Aging Cash Advances – primary recipient (employee)
  - Returned Report still unsubmitted reminder – employee (*under construction*)

[https://www.cu.edu/controller/procedures/finance-procedural-statements/finance-procedural-statement-business-expense](https://www.cu.edu/controller/procedures/finance-procedural-statements/finance-procedural-statement-business-expense)
Finance Procedural Statement: Business Expense Substantiation & Tax Implications

Monthly/Every 30 Days

- **Procurement Card**
  - Reminder to submit within 90 days of transaction date
  - Cardholder, Approving Official, Delegate(s)
  - Continues until expenses are *first submitted*

- **Travel Card and Airfare (Lodge/Ghost) Card**
  - Cardholder, Default Approver (HCM Supervisor), Delegate(s)
  - Unassigned transactions – reminders continue past transaction date
  - Transactions assigned to Travel Reconciliation report with *future travel dates* – reminders stop until after travel ends
  - Transactions assigned to Travel Reconciliation report with *travel dates in the past* – reminders continue until *first submitted*

- **Cash Advance**
  - Primary Recipient and Delegate
  - Every 30 days until reconciled and submitted
Finance Procedural Statement: Business Expense Substantiation & Tax Implications

Taxable Expense Notification Email
- Only sent to the employee with the taxable expenses
- Sent once expense report is *fully approved* and *paid*
- This notification email *and attached expense detail* must accompany any exception request
Invoice Processing Reminders

Ensuring Timely Payment on Invoices

• Invoices submitted to APInvoice@cu.edu
  - PO number on invoice
  - Invoice contains supplier invoice number, date and amount due
  - Supplier remittance address listed
  - Invoice billed to "University of Colorado"

• Payment forms submitted to APInvoice@cu.edu
  - Form (payment document) is the first page of the file
  - Supporting documentation attached in the same file
  - All required signatures are present

• Payment processing takes up to 10 business days
  - Invoices/forms processed first in, first out
  - Urgent payment needs escalated through PSC Service Desk

• Do not re-submit invoices!
  - Contact the PSC Service Desk to track down an invoice after 10 days

• APInvoice@cu.edu not a managed email box, do not send questions or inquiries

University of Colorado
Boulder | Colorado Springs | Denver | Anschutz Medical Campus
Requisition Tips & Tricks
Purchase Order Thresholds

Source Selection

$100,000 and under
- Existing PSC awarded contract
- Cooperative Contract
  - https://www.cu.edu/psc/cooperative-agreements
- Sole Source, including University Standard Sole Source
  - https://www.cu.edu/psc/cu-marketplace-how-creating-sole-source-procurements
- Emergency Procurement
- Source Selection & Price Reasonableness
  - https://www.cu.edu/psc/purchasing-thresholds
Purchase Order Thresholds

Source Selection

Greater than $100,000
- Existing PSC awarded contract
- Cooperative Contract
- Sole Source, including University Standard Sole Source
  - [https://www.cu.edu/psc/cu-marketplace-how-creating-sole-source-procurements](https://www.cu.edu/psc/cu-marketplace-how-creating-sole-source-procurements)
  - Price Cost Analysis Required [https://www.cu.edu/psc/price-cost-analysis](https://www.cu.edu/psc/price-cost-analysis)
- Emergency Procurement

  - Documented Quote ($100,000.01 - $499,999.99) or Request for Proposal ($ ≥ $500,000)
    - Requires requisition to “Bid Vendor” and a Request for Proposal Information From Department (RFP) form
      [https://www.cu.edu/psc/forms-0](https://www.cu.edu/psc/forms-0) or
      [https://www.cu.edu/psc/forms/request-proposal-information-department-rfp](https://www.cu.edu/psc/forms/request-proposal-information-department-rfp)
Requisition Types

Catalog Purchases
# Requisition Types

## Punch Out Catalogs

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Guided Buying
Additional information on this page includes: Federally Funded Purchases Requirements, Solicitation Process (Bidding), Security and Compliance Process, Which Non-Catalog Form Should You Use?, Sole Source Purchasing, Advanced Payment, and Payment Resources
Requisition Types

8 Purchasing & Payment Forms

Most Commonly Used - Non-Catalog Form, Standing Purchase Order (SPO) Form, and Payment Voucher Form
Requisition Forms

Non-Catalog Form Type: Requisition goods/services from a non-catalog supplier.

Standing Purchase Order Form: Make repetitive purchases from a non-catalog supplier over a period of time with a total anticipated spend greater than $10,000.

Payment Voucher Form: Authorize payment for an invoice when a purchase order or other commitment voucher is not applicable. Refer to the PSC Procedural Statement (PPS) Payment Voucher / Authorization).

https://www.cu.edu/psc/policies/psc-procedural-statement-payment-voucher-authorization

Sole Source Justification Form: Purchase goods/services over $10,000 without competition, when competition is otherwise required.

After the Fact: Request approval to pay an invoice in an After-the-Fact situation (when an organizational unit makes a commitment over $10,000 before the PSC issues a purchase order).

SPO - Sole Source Request: Justify using a sole source and request a Standing Purchase Order (see above).

SPO - Sponsored Project Subcontract: Where there is a subcontract, make repetitive purchases from a non-catalog supplier over a period of time with a total anticipated cost greater than $10,000.

Request New Supplier: Request any supplier that is either not in Marketplace or is in Marketplace, but in an inactive status.
Requisition Requirements

Attachments

- Correct Requisition Form
- Quote and/or Contract that does not expire for at least 30 days
  - Include the name and if $100K and under, include the SSPR when appropriate
- If renewal of service, reference the previous requisition or PO
- If IT software or hardware, include the ICT assessment
- For individuals under a social security number, must include a complete, approved SOW
- Advance Payment Form (when required)
  - Email address of your POC with the supplier

https://www.cu.edu/psc/psc-procedural-statement-advance-payment-suppliers
Conflicts of Interest and Purchasing

Topics
- What is Conflict of Interest (COI)
- How does the University manage COI’s
- How do you know whether there is a COI between a university party and an outside vendor or service provider?
- How do you proceed with a purchase, if there is an active COI management plan?
Conflicts of Interest and Purchasing

What is a Conflict of Interest?

Conflicts of Interest exist when an employee’s financial or personal considerations may compromise, or have the appearance of compromising, an employee’s personal judgment in exercising any university responsibility in instructions, research, administration, management, and other professional activities. (APS 5012)
How does the University manage conflicts?

- Faculty (and any other employee or student with responsibility over the purpose, design, conduct of reporting or research) are required to disclose conflicts of interest through a DEPA Form. These disclosures are then reviewed to determine whether a conflict actually exists, and how it can be appropriately managed.

- If there is a conflict, and it can be managed, the University enters into a “Management Plan” with the employee. These plans can include some restrictions on procurement. For example, a plan might:
  - Prohibit all direct purchases or payments from an entity
  - Prohibit purchases or payments from an entity in specific situations
  - Allow purchases or payments from an entity after the completion of a Conflict of Interest Evaluation Form.
Conflicts of Interest and Purchasing

How do you know whether there is a conflict between a university party and an outside vendor or service provider?

- You may ask the Campus Controller’s Office or the Research and Innovation Office whether an active conflict of interest management plan exists for the university employee placing a requisition, and whether a specific entity is covered by that plan.

How do you proceed with a purchase if there is an active COI management plan in place?

- If there is an actively managed conflict between the university employee and the vendor, you can seek additional guidance from the CCO on how to proceed under the terms of the management plan. If the purchase is allowable, the Marketplace record must include a Conflict of Interest Evaluation Form.
Contract Process

PSC’s Role:

- Legal sufficiency review
- Indemnification
- Choice of Law
- Arbitration
- Confidentiality
- Payment Terms
- Tax Exemption
- Intellectual Property
- Use of CU Logos
- Limitations of Liability
- IT Security Provisions
- Federal Provisions
- HIPAA
- FERPA
- PCI
- PII
- ADA
- Special Provisions
- And many others

- Include Security & Compliance language from ICT
- Amend and renew contracts (ChangeOrder@cu.edu)
- Sign Contracts
- Provide Status Updates in Marketplace
Suspension & Debarment for Federal Purchases
Federal Requirements

In accordance with Public Law, when spending federal funds, CU is prohibited from conducting business with debarred, suspended, or otherwise ineligible suppliers.

- **PSC’s Role**
  - Debarment checks through Sam.gov for all federally funded purchasing requisitions over $10,000
  - OCG completes all debarment checks on federally funded subgrants and subcontracts.
  - Debarment check completed prior to issuance of PO
  - Screenshot of the debarment check is included as an internal attachment on the requisition
Debarment Check

### Attachments found: 7

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Questions and Feedback