**THE UNIVERSITY OF TEXAS SYSTEM**

**BUSINESS AFFAIRS CONTRACT PROCESSING CHECKLIST**

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| TO: The University of Texas System Office of Business Affairs |
| FROM:  |
| DATE:  |
| Departmental Contract Administrator:  |
| Name of Contractor:  |
| Contractor’s [UTShare PeopleSoft Vendor ID](https://my.shared.utsystem.edu/)[[1]](#footnote-1):  |
| Total Value of Contract (includes amendments):  |
| Cost of Contract by Fiscal Year (please continue on another page if the contract term exceeds three fiscal years): |
|  **Fiscal Year**  **Amount**  |
|  $ |
|  $      |
| UTShare PeopleSoft Cost Center from which contract will be funded:  |
| Is the contractor a certified Historically Underutilized Business (HUB) firm?  |
| Dollar value of work being subcontracted to HUB firms: $  |
| Purpose of Contract:  |
| Beginning Date of Contract:  |
| Ending Date of Contract:  |
| Is this contract an amendment, renewal, or modification of an existing contract? Yes 🞏 No 🞏 |
| Note: The Office of Business Affairs will retain one original of the contract.  Please send a sufficient number of originals to meet each party’s document retention needs. |

Please answer each of the following questions and **attach the requisite approvals** to this checklist:

# Yes No N/A

 1. Legal Review (one of the three choices below must be checked “yes”):

🞏 🞏 🞏 a. If Office of General Counsel approval as to legal form is required by [Policy Number UTS145](http://utsystem.edu/board-of-regents/policy-library/policies/uts145-processing-contracts) or otherwise, **have you attached a copy of OGC’s approval**? Or

🞏 🞏 🞏 b. If Office of General Counsel approval is not required, did you utilize the [OGC Contract Review Procedures](http://www.utsystem.edu/ogc/contracts/contractreview.htm) in accordance with [Policy Number UTS145](http://utsystem.edu/board-of-regents/policy-library/policies/uts145-processing-contracts)? **Please attach the results of your review**. Or

🞏 🞏 🞏 c. Did you utilize an [OGC approved standard contract](http://www.utsystem.edu/ogc/contracts/standard.htm)?

🞏 🞏 🞏 2. If the contract is for the services of a “private auditor” to audit U. T. System or a function within U. T. System, have you obtained the approval of the Texas State Auditor’s Office for the scope of the proposed audit as required by [*Texas Government Code* Section 321.020](http://www.statutes.legis.state.tx.us/SOTWDocs/GV/pdf/GV.321.pdf)?

🞏 🞏 🞏 3. If the contract binds any of the institutions, have you obtained concurrence ([concurrence form](http://www.utsystem.edu/sites/utsfiles/offices/business-affairs/Concurrence-form.docx)) from the chief business officers at the affected U. T. institutions as required by [Regents' Rules and Regulations, Rule 10501, Section 2.5(b)](http://utsystem.edu/board-of-regents/rules/10501-delegation-act-behalf-board)? (*Note: Mark “N/A” if the contract permits, but does not require, the participation of an institution.)*

🞏 🞏 🞏 4. a. If the contract is for Systemwide use of computer software, hardware, or other information system components, **have you attached a copy of the approval** of the U. T. System Chief Information Officer as required by [Policy Number UTS145](http://utsystem.edu/board-of-regents/policy-library/policies/uts145-processing-contracts)?

🞏 🞏 🞏b. Or if the contract will result in University data being stored, processed, or accessed by the vendor, **have you attached a copy of the approval** of the U. T. System Chief Information Security Officer?

🞏 🞏 🞏 5. If the contract is for the purchase or development of an [electronic and information resource (EIR)](http://www.utsystem.edu/ogc/pc/EIRnotification.html), including software, web sites, telecommunications products, video/multimedia products, information technology hardware or self-contained/closed equipment that includes EIR;

 a. have you complied with [Policy Number UTS150](http://utsystem.edu/board-of-regents/policy-library/policies/uts150-access-persons-disabilities) regarding the Texas accessibility standards applicable to the EIR?; and

 b. have you obtained the written approval of the Office of Technology and Information Services as delegated in the Responsibilities section of [Policy Number INT124](http://utsystem.edu/board-of-regents/policy-library/policies/int124-information-resources-acceptable-use-security-policy)?

🞏 🞏 🞏 6. If the contract is for the purchase of software or for the development of software and the contract value is $100,000 or more, please answer the following questions ([GASB 51, Accounting & Financial Reporting for Intangible Assets](http://www.gasb.org/st/summary/gstsm51.html)).

a. Purchasing Software:

 (1) If there are license fees, will the fees be paid annually? Yes 🞏 No 🞏

(2) How long do you estimate your department will use the commercially purchased software? \_\_\_\_\_\_\_

b. Development of software:

 (1) Will UT System own the software system when it is completed? Yes 🞏 No 🞏

 (2) Will the software be completed in this fiscal year? Yes 🞏 No 🞏

(3) What is the estimated implementation date? \_\_\_\_\_\_\_

(4)  Do you estimate the cost to be $1 million or more? Note:  Do not include the cost of training, travel and maintenance costs in this estimate as these costs cannot be capitalized.  Yes     No  

🞏 🞏 🞏 7. If the contract is for the purchase or development of an electronic system that will use sensitive digital data as defined in Policy Numbers [INT124](http://utsystem.edu/board-of-regents/policy-library/policies/int124-information-resources-acceptable-use-security-policy) and [UTS165](http://utsystem.edu/board-of-regents/policy-library/policies/uts165-information-resources-use-and-security-policy) (e.g., social security numbers, protected health information, sensitive research data, digital data associated with an individual and/or digital data protected by law), have you obtained the approval of the System Administration Information Security Officer?

🞏 🞏 🞏 8. If the contract has a value of $1,000,000.00 or more, has a [Disclosure Statement for Purchasing Personnel (State Agency Uniform Nepotism Disclosure Form)](http://www.sao.state.tx.us/Resources/Forms/NepotismDisclosureForm.pdf) been executed by all personnel involved in the contracting process as required by [*Texas* *Government Code*, Section 2262.004](http://www.statutes.legis.state.tx.us/SOTWDocs/GV/pdf/GV.2262.pdf)? *Fully-executed disclosure statements should be submitted with the contract for signature by the Executive Vice Chancellor or his delegate. Following signature by purchasing personnel and the chancellor or his delegate(s), the completed form(s) will be filed and maintained with the contract in Filenet. Exception: OFPC will maintain OFPC related contract disclosure statements in the OFPC filing system.*

🞏 🞏 🞏 9. a. If approval of the contract by the Board of Regents is required by [Regents’ Rules and Regulations, Rule 10501, Sections 2.1 and 3](http://utsystem.edu/board-of-regents/rules/10501-delegation-act-behalf-board), have you obtained that approval?

🞏 🞏 🞏 b. If the answer to Question 9.a. is NO, does the contract contain the required statement indicating that the contract is not effective until the Board of Regents approves it?

🞏 🞏 🞏 10. If the contract is for $100,000 or more, have you complied with [Policy Number UTS137](http://utsystem.edu/board-of-regents/policy-library/policies/uts137-historically-underutilized-business-hub-program) with respect to the content of the procurement solicitation document, evaluation of bids received, and inclusion of the HUB Subcontracting Plan (HSP), where applicable, as a provision of the contract? (For questions about compliance with [Policy Number UTS137](http://utsystem.edu/board-of-regents/policy-library/policies/uts137-historically-underutilized-business-hub-program), please contact the Director of HUB Programs.)

***Note: The HSP requires vendors to submit a compliance report in the form of Progress Assessment Report (PAR) with every application/invoice submitted for payment.***

🞏 🞏 🞏 11. Does the contract comply with the purchasing procedures required by the applicable System or institution purchasing agent? (*Note: Mark “N/A” if UT is the party providing the goods or performing the services that are the subject of the contract.*)

🞏 🞏 12. Is the contract complete, with all pages, exhibits, schedules, etc., attached?

🞏 🞏 13. Have you determined that no member of the Board of Regents has a financial interest, directly or indirectly, in the contract? (*Note: To assist you in making that determination, you may wish to include in your contract the following representation from the contractor: “No member of the Board of Regents of The University of Texas System has a financial interest, directly or indirectly, in the transaction that is the subject of this contract.”)*

🞏 14. Has the authorized person in your office or department signed or initialed the contract beside the signature line for the Executive Vice Chancellor for Business Affairs to confirm that the contract’s business terms are correct and appropriate?

🞏 🞏 15. Have you confirmed that there are no significant risks or issues related to the contract? If there are significant risks or issues related to the contract, please elaborate below or on an additional page, if needed:

🞏 🞏 🞏 16. Have you confirmed by checking the [UT Direct Point Plus system](https://utdirect.utexas.edu/pointplus/index.WBX?page=hp&search_by=PO&component=0) or [UTShare PeopleSoft](https://my.shared.utsystem.edu/) that the contractor does not owe any debt or delinquent taxes to the State of Texas? ([*Texas Government Code*, Sections 2107.008](http://www.statutes.legis.state.tx.us/SOTWDocs/GV/pdf/GV.2107.pdf) and [2252.903](http://www.statutes.legis.state.tx.us/SOTWDocs/GV/pdf/GV.2252.pdf)require such verification for purchases of goods or services.) **Please attach the confirmation page to the checklist.** (*Note: Mark “N/A” if the contract is with another state agency.*)

🞏 🞏 17. Did you answer YES or N/A to every question on this checklist that you are required to answer for your contract? If you answered NO to any such question, please list below the question number and explain why the answer is no; please continue on an additional page, if needed.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

 Thank you for completing this checklist. 

1. This number should be the Texas State Comptroller of Public Accounts 11-digit taxpayer number; these numbers do **not** include SSNs. Please check the [UT Direct Point Plus system](https://utdirect.utexas.edu/pointplus/index.WBX?page=hp&search_by=PO&component=0) or [UTShare PeopleSoft](https://my.shared.utsystem.edu/) to determine if the contractor has a Comptroller 11-digit VID. **Do not** **leave this line blank.**  For a contractor to be paid they must also be set up as a U. T. System payee; please find the forms (Payee Information Form) needed to complete this process at <http://www.utsystem.edu/act/forms.htm>.  Accounting & Purchasing Services (499-4129) can assist with questions. [↑](#footnote-ref-1)