

# THE UNIVERSITY OF TEXAS SYSTEM BUSINESS AFFAIRS CONTRACT PROCESSING CHECKLIST

TO: U. T. SYSTEM OFFICE OF BUSINESS AFFAIRS	<b>BA ASSIGNED DOC ID</b> _____ <i>For office use only</i> <input type="checkbox"/> LBB Reportable <input type="checkbox"/> Transparency
DATE: _____	
DEPARTMENT: _____	
<b>Departmental Contract Administrator with Contract Management Handbook Responsibilities</b>	
Name: _____ Email: _____	
<b>Requested document return:</b> <input type="checkbox"/> Scanned by email (please provide one single-sided set of documents) OR <input type="checkbox"/> One original via System mail (please provide at least two single-sided hard copies with this checklist)	
<b>Additional information/requests:</b>	
<input type="checkbox"/> The complete Contract, including all pages, exhibits, attachments and schedules, is attached.	
<input type="checkbox"/> The authorized person in your office or department approves the Contract's business terms and has <b>signed or initialed the Contract</b> beside the Executive Vice Chancellor for Business Affairs' signature line	
Contractor/Vendor Name: _____ Telephone: _____	
Address: _____	
<b>Brief Purpose/ Description Summary of Contract:</b>	
<input type="checkbox"/> This document is a master agreement (MA)	
<input type="checkbox"/> This document is a project addendum to a MA	
Contract Effective Date: _____ Expiration Date (all renewals included): _____	
<b>Is this document an amendment, renewal, or modification of an existing Contract?</b>	
Yes <input type="checkbox"/> Original Contract Document Number: APS or BA-20 __ - _____	
Amendment Date: _____ Amended End Date: _____	
Maximum Value of Contract, including renewals, amendments & addendums: \$ _____	
UTShare PeopleSoft Cost Center from which Contract will be funded: _____	

Yes	No	
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|--------------------------|--------------------------|---|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|----|----|----|----|----|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. a. Procurement requirements met (including HUB/HSP for a contract ≥\$100,000. <sup>1</sup> )   |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> Responsible purchaser: _____   |                         |                         |                         |                         |                         |    |    |    |    |    |
| <input type="checkbox"/> | <input type="checkbox"/> | b. The contract was issued following a formal competitive procurement. If yes,  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> Approved GPO (Group Purchasing Organization)   |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> RFQ/RFP No.: _____ Date Issued: _____ No. of Bids Rec'd: _____   |                         |                         |                         |                         |                         |    |    |    |    |    |
| <input type="checkbox"/> | <input type="checkbox"/> | c. The Maximum Value of the contract is >\$50,000; add cost of contract by fiscal year (FY)   |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b><u>FY Amount</u></b></td> <td style="text-align: center;"><b><u>FY Amount</u></b></td> <td style="text-align: center;"><b><u>FY Amount</u></b></td> <td style="text-align: center;"><b><u>FY Amount</u></b></td> <td style="text-align: center;"><b><u>FY Amount</u></b></td> </tr> <tr> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> <td style="text-align: center;">\$</td> </tr> </table> | <b><u>FY Amount</u></b> | <b><u>FY Amount</u></b> | <b><u>FY Amount</u></b> | <b><u>FY Amount</u></b> | <b><u>FY Amount</u></b> | \$ | \$ | \$ | \$ | \$ |
| <b><u>FY Amount</u></b>  | <b><u>FY Amount</u></b>  | <b><u>FY Amount</u></b>   | <b><u>FY Amount</u></b> | <b><u>FY Amount</u></b> |                         |                         |                         |    |    |    |    |    |
| \$                       | \$                       | \$  | \$                      | \$                      |                         |                         |                         |    |    |    |    |    |
| <input type="checkbox"/> |                          | d. The contract is over \$15,000 and was not competitively procured.  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> <b>Attach</b> signed <a href="#">Exclusive Acquisition Justification</a> , if yes.   |                         |                         |                         |                         |                         |    |    |    |    |    |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Department/Departmental Contract Administrator has complied with <a href="#">UTS145</a> .  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <b>Attach</b> any required reviews and approvals:   |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> U. T. System Office of General Counsel (Contracts >\$100,000)  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> U. T. System Office of Systemwide Information Services <sup>2</sup>  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> U. T. System Office of Information Security <sup>3</sup>   |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> Other approvals <sup>4</sup> , correspondence, relevant information  |                         |                         |                         |                         |                         |    |    |    |    |    |
|                          |                          | <input type="checkbox"/> <a href="#">Concurrence form(s)</a> from the affected U. T. institutions' chief business officers <sup>5</sup>   |                         |                         |                         |                         |                         |    |    |    |    |    |

<sup>1</sup> For questions about compliance with [UTS137](#), please contact [HUB Development](#).

<sup>2</sup> If the contract is for Systemwide use of computer software, hardware, or other information system components, review and approval by the U. T. System Chief Information Officer is required by [UTS145](#).

<sup>3</sup> If the contract will result in University data being stored, processed, or accessed by the vendor, review by the U. T. System Chief Information Security Officer is required.

<sup>4</sup> Additional sources of information. For contracts for private auditors, see [Texas Government Code Section 321.020](#)

<sup>5</sup> Required by [Regents' Rule 10501, Section 2.5\(b\)](#). This requirement does not apply when participation is voluntary.

- 3. The contract is for the procurement of an [electronic and information resource \(EIR\)](#), which includes software, websites, telecommunications products, video/multimedia products, information technology hardware, and self-contained/closed equipment<sup>6</sup> and the Department/ Departmental Contract Administrator has complied with [UTS150](#).  
 **Attach** for signature a proposed written U. T. System Administration Exception for the EIR, if required, and OTIS' concurrence.

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- 4. The contract is for the purchase of software or for the development of software and the contract value is \$100,000 or more.  
 **Attach** completed [APS questionnaire](#), if yes.

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- 5. The contract is for the purchase or development of an electronic system that will use Confidential Data<sup>7</sup> such as social security numbers, protected health information, or sensitive research data.  
 **Attach** the [System Administration Information Security Officer's](#) analysis, if yes

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- 6. The contract has a value of \$1 million or more. If yes,  
 **Attach** the [State Agency Uniform Nepotism Disclosure Form](#)<sup>8</sup> executed by all contract processing personnel, including a space for the contract signatory to sign as a purchaser.  
 **Attach** signed and notarized Texas Ethics Commission [Form 1295](#).  
 **Attach** a completed print-ready LBB attestation letter, if required.<sup>9</sup>

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- 7. Approval of the contract by the Board of Regents is required.<sup>10</sup>  
 Board approval received at the \_\_\_\_\_, 20\_\_ meeting.  
 OGC-approved provision relating to required Board approval is included in the contract and Board approval is anticipated at the \_\_\_\_\_, 20\_\_ meeting.

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- 8. There are actual or potential conflicts of interest or conflicts of commitment, or there are other significant risks or issues related to the procurement/contract.  
 If yes, describe (add page(s) if needed) \_\_\_\_\_

☞ Thank you for completing this checklist. ☜

Questions: Please email [loyd@utsystem.edu](mailto:loyd@utsystem.edu) or call 512-499-4560

<sup>6</sup> See [UTS150](#) for a complete definition of EIR and the requirements related to exception approval.  
<sup>7</sup> Confidential Data is defined in [INT124](#) and [UTS165](#). [UTS165](#) Standard 9 describes specific categories of Confidential Data.  
<sup>8</sup> Required by [Texas Government Code, Section 2262.004](#)  
<sup>9</sup> Attestation letters are required for exclusive acquisition contracts of >\$1 million and any contract >\$10 million  
<sup>10</sup> If required by [Regents' Rule 10501, Sections 2.1 and 3](#)