Departmental Contract Administrator (DCA) Training

Contracts and Procurement (CnP)

November 29, 2023

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- Welcome and Agenda Review
- Contracts and Procurement by the Numbers
- Purchase Orders Tips
- Software Purchasing Guidelines
- Risk Assessment Review and ISOTRAQ
- How to Avoid a Non-Compliance
- DCA Best Practices
- CCARS
- Q&A

CNP by the Numbers

- Number of requests completed last year – 667
- A total of 552 purchase orders were processed and 99 were for over 15K
- 26 new contracts resulted from 17 procurements
- Academic, Health, University Lands, ORM and HR were the top requestors
- A total of 2 FTE's support contract requests and 1.4 FTE's support solicitations from the CnP Team

On average, last fiscal year, there was 55 requests in our queue when we received your request. On the highest week, we had 103 requests in our queue.

Purchase Orders – What holds up a PO?

Required documents were not attached.

For example, the quote(s) is missing or expired (more than 30 days), the GPO reference was not valid, it's over 100K and an HSP plan is needed.

Extra Steps.

When a purchase order is over $250K, CnP has to take it out of the system and have the EVC approve it via docusign. Vendor is making us sign an order form and it has Privacy or Risk elements.

Helpful.

Use the notes/comments to provide information to support the purchase for example if you are waiting for a specific approval or document.

Purchases Over $15K.

You will need to include 3 quotes (informal bid process) from different vendors, unless it is a GPO or using an EAJ to justify purchase. Only interact with PO's under $15K if there is a change order.

Software Purchase.

All software purchases must be approved by IT Purchasing and have an ISOTRAQ (vendor assessment) review.

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Patrick Condra is Your PO Contact.

PC

Software Purchases

- Most software can be bought via DIR or a GPO, so utilize your GPO resources for purchasing software.
- Regardless of the dollar amount, when a department wants to purchase a software, they must go through the following reviews.

Purchasing Justification (GPO/EAJ/RFP) – Depends on $ Amount

Review the Software License Agreement/End User License Agreement

Redline and/or add our Addendum as Needed

IT Purchasing Approval

HSP (HUB if over $100K)

Accessibility/VPAT

ISOTRAQ Review (combined with PSQ-TXRAMP)

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Risk Assessment Approach

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Agenda

- When are security risk assessments required?
- What is the process for System Administration only contracts?
- What is the process for Systemwide or Master Service Agreements?

When are security risk assessments required?

- Generally for any technology-based provider or partner, particularly if:
  - The vendor accesses, transmits, stores, or processes any UT data
  - The vendor accesses UT systems or networks
  - UT staff, students, faculty, or UT Select Plan members access the vendors' systems or networks when UTS-owned data is present
- The nature of the data and the amount of integration between the vendor and UT infrastructure determine the level of assessment that is required.
- Security's role is to advise the business owner of the risk. The business owner (aka Data Owner) has the final decision.

System Administration-only assessments

- Annual volume: 165
- Business staff enter info to ISOTRAQ **as early** in the process as possible, minimally 2 weeks lead time.
- ISOTRAQ questionnaire includes ? for TX-RAMP
- ISO may meet with business owner and/or vendor to understand the scope of the product or service more completely; **assessment request may be modified as a result**

Systemwide or MSA assessments

- A “Risk Snapshot” is performed by ISO – very minimal
- Technology products or services require integration into an institution’s infrastructure (networks,etc.) and infrastructure is not homogenous across institutions. **UTS ISO has no visibility into institution’s security.**
- Institutions have different risk appetites: health institutions tend to be more conservative than academics
- Institutions vary in their TX-RAMP determination
- Short story: Institutions must do their own assessments.

Compliance requirements for conducting risk assessments

- UTS 165 Standard 10: Risk Management
- UTS 165 Standard 22: Vendor and Third-Party Controls and Compliance
- TAC 202 – Security Controls (DIR Security Controls Catalog)
- Several other regulatory bodies require periodic and supply chain risk assessments (vendors). Example: HIPAA law

New ISOTRAQ Release (Fall 2023)

Jose Granados, Information Security Analyst

Information Security Office

October 2023

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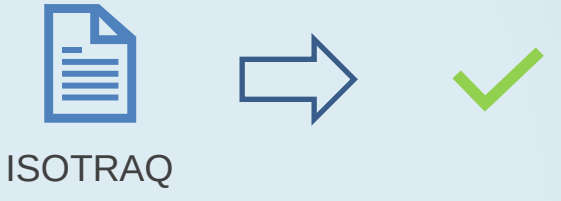
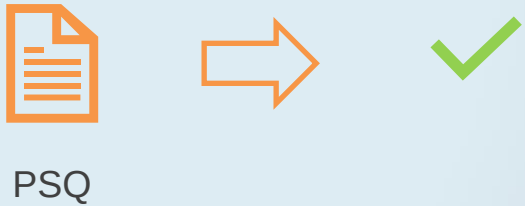
Background

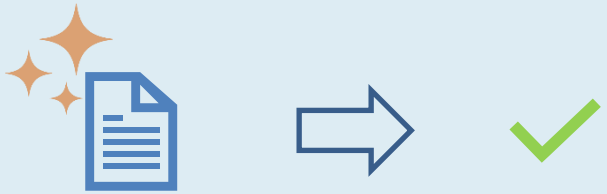
- ISOTRAQ is our existing tool for conducting Third-Party security risk assessments.
- To determine TX-RAMP applicability, we use a separate form called the PSQ (Privacy and Security Questionnaire).





Background

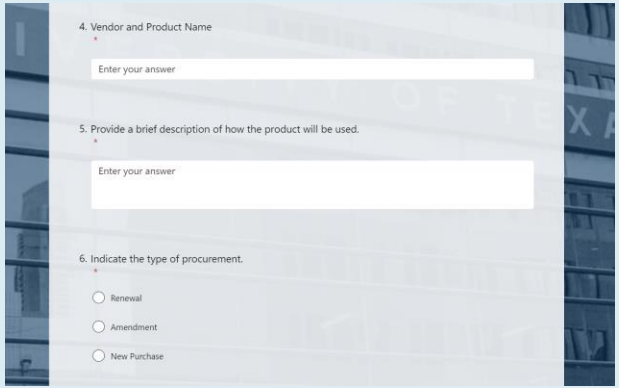
- To simplify and streamline these two processes, we are integrating the PSQ into ISOTRAQ.



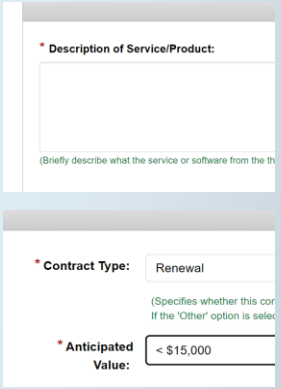
ISOTRAQ + PSQ

Why is this happening?

- Both forms collect/capture similar amounts of information, so there's an overlap
- Less forms to fill out
- Less waiting



Looks familiar?



Demo

- Let’s take a look at the new version.

Questions?

- We are here to help you navigate through this new process.
- Email secadmin@utsystem.edu for any questions, comments, or any feedback.

How to Avoid a Non-Compliance Purchase

How to avoid non-compliance?

- If you have a purchase order in place and it needs to be changed, contact Patrick Condra before the service begins, so he can edit the PO and this must be done prior to the work or service starting.
- If you used an EAJ and the amount is now over the approved estimated amount, the EAJ has to to be updated before any work is started or any payment is made to the vendor with new approvals from your department head.
- In general, any purchase over $1,000 needs a purchase order or a contract in place.

Plan early and execute the purchase in a timely manner.

DCA Role – Best Practices – Mary Zimmerman

- **Tip 1: Buy-in -** Work with those in your department to loop you in as they are thinking of procuring services so you can advise on next steps.

- **Tip 2: Checklists -** Use the contracting processing checklist in some form (now found on the CNP website and in CCARS) as you look ahead to the next 4-6 months.

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BUSINESS AFFAIRS CONTRACT PROCESSING CHECKLIST

TO: **U. T. SYSTEM OFFICE OF BUSINESS AFFAIRS**	**BA ASSIGNED DOC ID 2024-**_____ *For office use only* ☐ LBB Reportable ☐ Transparency
DATE: _____	
DEPARTMENT: Select Department	

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Tip 3: – Monitor/Tracking Tool

	A	B	C	D	E	F	G	H	I
1	Vendor	Super Company					Email address here	Patrick "Pat" Donahue, C.	Sales
2	Description	IP Management					Email address here	Peter Jones	Legal
3	RFP: 720-0000						Email address here	Malcom Smith	Project Manager
4			Start	End	Contract Cap	Notes	Email address here	Matt Hamilton	COO
5	Original	UTS-2023-000	12/9/2022	12/8/2025	$533,925.00	106,785 per year	Email address here	Bruce Simpson	CEO
6	Amendment 1	BA2023-000	1/12/2023	12/8/2025					
7	Optional two year extension		12/9/2025	12/8/2027					
8									
9									
10									
11									
12									
13									
14									
15					$533,925.00				

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Use a contract tracking tool to monitor terms, requirements, and spend.

Tip 3 - Tracking Tool

Contract		Monitoring		Insurance		Accessibility		PSQ Submitted?	
Agreement Type	Contract	Contract Risk Assessment	Yes	Certificates of Insurance needed?	YES	IT Purchasing Approval on file?	Yes	Have access to Shared Drive?	No
Master Agreement #	BA2023-119	Contract Monitoring Plan	Yes	Cert of Insurance received?	4/5/2023	Last VPAT on file	11/11/2022	Taken Cybersecurity Training?	N/A
Total Contract Value including renewals	$533,925.00	CMP shared with Vendor?	No	Annual request for COI date		EIR or EIR Exception?	EIR should be included	ISO assessment in ISOTRAQ?	Yes
Contract Start Date	12/9/2022	HUB PAR needed with invoices?	Yes			EIR Exception date	No Exception needed	Last ISO assessment	5/22/2023
Contract End Date	12/8/2025	Contract Close Out Needed	YES			EIR Exception in Records Mgmt file?	N/A	Has Single Sign On?	N/A
Vendor ID	0000035903							PSQ Submitted	Yes
Cost Center	21000057							TX-RAMP	Level 2
General Ledger code	63822								
TEX RAMP Level	Level 2								
AUTO-RENEWAL?	Need amendment to renew option in summer 2025								

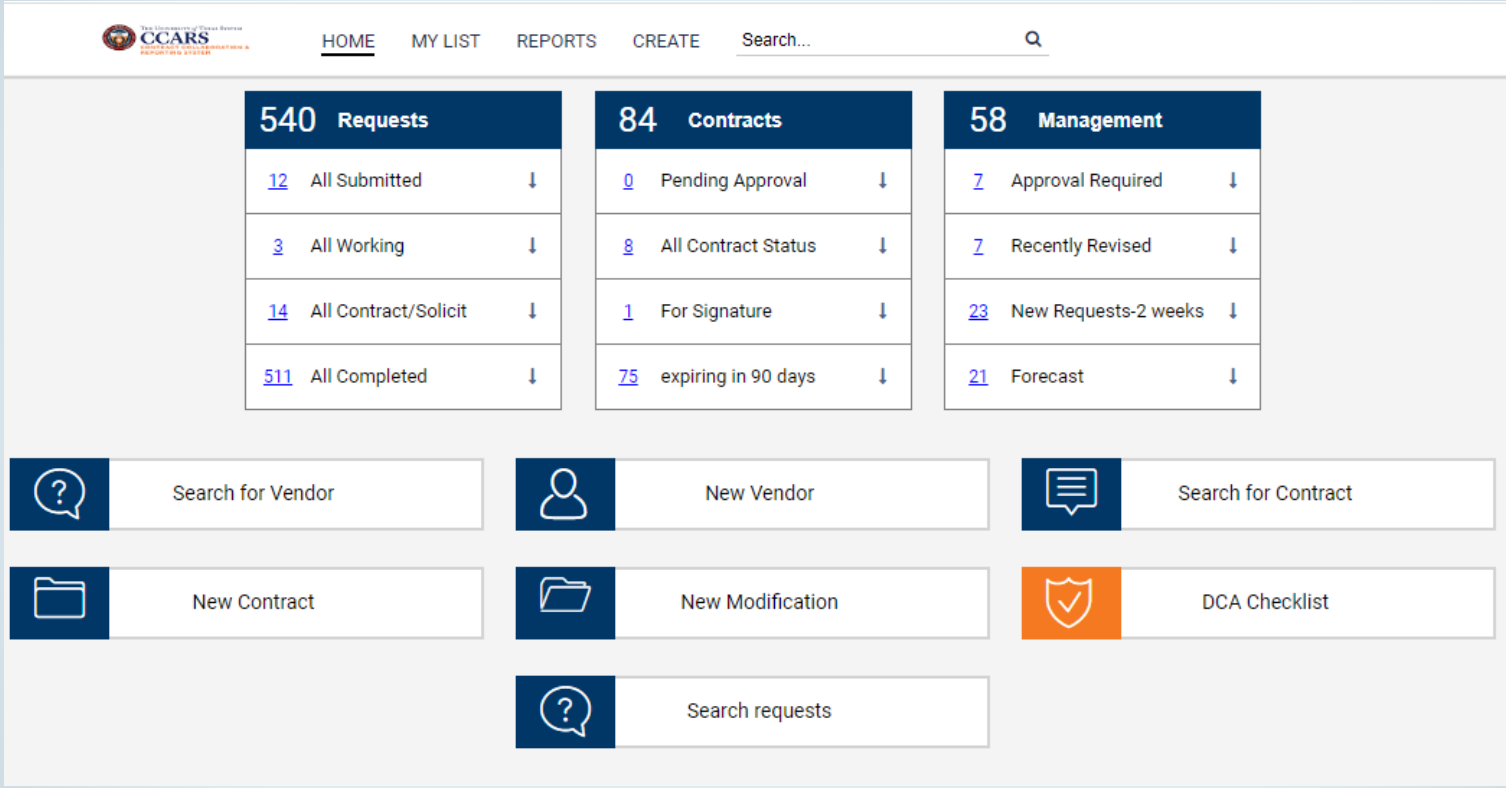
Use a contract tracking tool to monitor

Tip 3 - Tracking Tool

	Invoice #	Invoice Date	Invoice Total	Total Remaining on Contract
1	13760	12/19/2022	$106,785.00	$427,140.00
2				$427,140.00
3	Need HUB Forms with invoice			$427,140.00
4				$427,140.00
5				$427,140.00
6				$427,140.00
7				$427,140.00
8				$427,140.00
9			**$106,785.00**	**$427,140.00**
0				

Use a contract tracking tool to monitor

CCARS


CCARS
HOME
MY LIST
REPORTS
CREATE
Search...
540 Requests
12 All Submitted
3 All Working
14 All Contract/Solicit
511 All Completed
84 Contracts
0 Pending Approval
8 All Contract Status
1 For Signature
75 expiring in 90 days
58 Management
7 Approval Required
7 Recently Revised
23 New Requests-2 weeks
21 Forecast
Search for Vendor
New Vendor
Search for Contract
New Contract
New Modification
DCA Checklist
Search requests

DCA Feedback and CCARS Training

1. A huge plus would be if we could view agreements between departments like we used to in the old system. I found it very helpful!
2. The ability to search for uploaded agreements by date.
3. Being able to search for the agreements within your department, regardless of who uploads the agreement.
4. Visibility into my team's contracts.

- How to search?

1. Are we able to run reports on our previous and existing agreements?

- How to run reports?

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Main Takeaways

- CnP's volume is substantial (667 last year)
- Software purchases MUST go by IT
- Purchase Orders contact is Patrick Condra
- ISOTRAQ has been updated and now includes the PSQ review
- Plan early
- Avoid Non-Compliance
- Leverage Best Practices
- CCARS- Continue Feedback Loop

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Future State

- Enhanced CnP website
- Annual Information Sessions
- FAQ’s
- Resource Guide updated
- Terms and Definitions
- Continuous feedback loop

Thank You!
Any questions?