

THE UNIVERSITY OF TEXAS SYSTEM BUSINESS AFFAIRS CONTRACT PROCESSING CHECKLIST

TO: U. T. SYSTEM OFFICE OF BUSINESS AFFAIRS	BA ASSIGNED DOC ID 20__--__ <i>For office use only</i> <input type="checkbox"/> LBB Reportable <input type="checkbox"/> Transparency
DATE: _____ DEPARTMENT: _____	
Departmental Contract Administrator with Contract Management Handbook Responsibilities Name: _____ Email: _____	
Requested document return: <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)	
Additional information/requests: <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 <u>signed or initialed the Contract</u> beside the Executive Vice Chancellor for Business Affairs' signature line	
Contractor/Vendor Name: _____ Telephone: _____ Address: _____	
Contract Summary and Purpose Statement: 	
Contract Effective Date: _____ Expiration Date (all renewals included): _____ Is this document an amendment, addendum, renewal, or modification of an existing Contract? Yes Original Contract Document Number: 20__ - ____ Amendment Date: _____ Amended End Date: _____	
Maximum Contract Value includes renewals, amendments & addendums: \$ _____ Revenue?: _____	
UTShare PeopleSoft Cost Center from which Contract will be funded: _____	

Yes No

- | | | | | | | | | | | | | | |
|--------------------------|--------------------------|-------------------------|---|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|----|----|----|----|----|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | a. Procurement requirements met (including HUB/HSP for a contract ≥\$100,000. ¹)
<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;"><u>FY Amount</u></td> <td style="text-align: center;"><u>FY Amount</u></td> <td style="text-align: center;"><u>FY Amount</u></td> <td style="text-align: center;"><u>FY Amount</u></td> <td style="text-align: center;"><u>FY Amount</u></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> | <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | \$ | \$ | \$ | \$ | \$ |
| <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | <u>FY Amount</u> | | | | | | | | | |
| \$ | \$ | \$ | \$ | \$ | | | | | | | | | |
| <input type="checkbox"/> | | d. | The contract is over \$15,000 and was not competitively procured.
<input type="checkbox"/> Attach signed Exclusive Acquisition Justification , if yes. | | | | | | | | | | |
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- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Department/Departmental Contract Administrator has complied with UTS145 .
Attach any required reviews and approvals:
<input type="checkbox"/> U. T. System Office of General Counsel (Contracts >\$1,000,000)
<input type="checkbox"/> U. T. System Office of Systemwide Information Services ²
<input type="checkbox"/> U. T. System Office of Information Security ³
<input type="checkbox"/> Other approvals ⁴ , correspondence, relevant information
<input type="checkbox"/> Concurrence form(s) from the affected U. T. institutions' chief business officers ⁵ |
|--------------------------|--------------------------|----|--|

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

² 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](#).

³ 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.

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

⁵ 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 equipment⁶ 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 [AS questionnaire](#), if yes.
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- ☐ ☐ 5. The contract is for the purchase or development of an electronic system that will use Confidential Data⁷ 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](#)⁸ 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.⁹
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- ☐ ☐ 7. Approval of the contract by the Board of Regents is required.¹⁰
☐ 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.
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- ☐ ☐ 9. The contract has a value of \$250,000 or if the value is less than \$250,000 and "High Risk" factors are known to exist requiring a contract monitoring plan
Attach the completed [Contract Risk Assessment](#).
Attach a Routine or Enhanced Contract Monitoring Plan, if required.

☞ Thank you for completing this checklist. ☞

Questions: Please email lloyd@utsystem.edu or call 512-499-4560

⁶ See [UTS150](#) for a complete definition of EIR and the requirements related to exception approval.

⁷ Confidential Data is defined in [INT124](#) and [UTS165](#). [UTS165](#) Standard 9 describes specific categories of Confidential Data.

⁸ Required by [Texas Government Code, Section 2262.004](#)

⁹ Attestation letters are required for exclusive acquisition contracts of >\$1 million and any contract >\$10 million

¹⁰ If required by [Regents' Rule 10501, Sections 2.1 and 3](#)