

# THE UNIVERSITY OF TEXAS SYSTEM

## BUSINESS AFFAIRS CONTRACT PROCESSING CHECKLIST

TO: <b>U. T. SYSTEM OFFICE OF BUSINESS AFFAIRS</b>	<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><u>signed or initialed the Contract</u></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**

- |                          |                          |                         |   |                         |                         |                         |                         |                         |    |    |    |    |    |
|--------------------------|--------------------------|-------------------------|---|-------------------------|-------------------------|-------------------------|-------------------------|-------------------------|----|----|----|----|----|
| <input type="checkbox"/> | <input type="checkbox"/> | 1.                      | a. Procurement requirements met (including HUB/HSP for a contract ≥\$100,000. <sup>1</sup> )<br><input type="checkbox"/> Responsible purchaser: _____   |                         |                         |                         |                         |                         |    |    |    |    |    |
| <input type="checkbox"/> | <input type="checkbox"/> | b.                      | The contract was issued following a formal competitive procurement. If yes,<br><input type="checkbox"/> Approved GPO (Group Purchasing Organization)<br><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)<br><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.<br><input type="checkbox"/> <b>Attach</b> signed <a href="#">Exclusive Acquisition Justification</a> , if yes.  |                         |                         |                         |                         |                         |    |    |    |    |    |
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- |                          |                          |    |  |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Department/Departmental Contract Administrator has complied with <a href="#">UTS145</a> .<br><b>Attach</b> any required reviews and approvals:<br><input type="checkbox"/> U. T. System Office of General Counsel (Contracts >\$100,000)<br><input type="checkbox"/> U. T. System Office of Systemwide Information Services <sup>2</sup><br><input type="checkbox"/> U. T. System Office of Information Security <sup>3</sup><br><input type="checkbox"/> Other approvals <sup>4</sup> , correspondence, relevant information<br><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.

- |                          |                          |  |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 3. The contract is for the procurement of an <a href="#">electronic and information resource (EIR)</a> , 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 <a href="#">UTS150</a> .<br><input type="checkbox"/> <b>Attach</b> for signature a proposed written U. T. System Administration Exception for the EIR, if required, and OTIS' concurrence. |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. The contract is for the purchase of software or for the development of software and the contract value is \$100,000 or more.<br><input type="checkbox"/> <b>Attach</b> completed <a href="#">APS questionnaire</a> , if yes.  |
| <input type="checkbox"/> | <input type="checkbox"/> | 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.<br><input type="checkbox"/> <b>Attach</b> the <a href="#">System Administration Information Security Officer's</a> analysis, if yes   |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. The contract has a value of \$1 million or more. If yes,<br><input type="checkbox"/> <b>Attach</b> the <a href="#">State Agency Uniform Nepotism Disclosure Form</a> <sup>8</sup> executed by all contract processing personnel, including a space for the contract signatory to sign as a purchaser.<br><input type="checkbox"/> <b>Attach</b> signed and notarized Texas Ethics Commission <a href="#">Form 1295</a> .<br><input type="checkbox"/> <b>Attach</b> a completed print-ready LBB attestation letter, if required. <sup>9</sup>            |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Approval of the contract by the Board of Regents is required. <sup>10</sup><br><input type="checkbox"/> Board approval received at the _____, 20__ meeting.<br><input type="checkbox"/> OGC-approved provision relating to required Board approval is included in the contract and Board approval is anticipated at the _____, 20__ meeting.  |
| <input type="checkbox"/> | <input type="checkbox"/> | 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.<br><input type="checkbox"/> If yes, describe (add page(s) if needed) _____  |

❧ Thank you for completing this checklist. ❧

Questions: Please email [llloyd@utsystem.edu](mailto:llloyd@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](#)