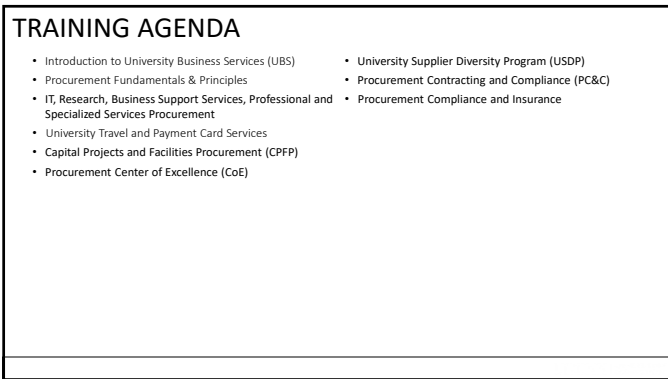




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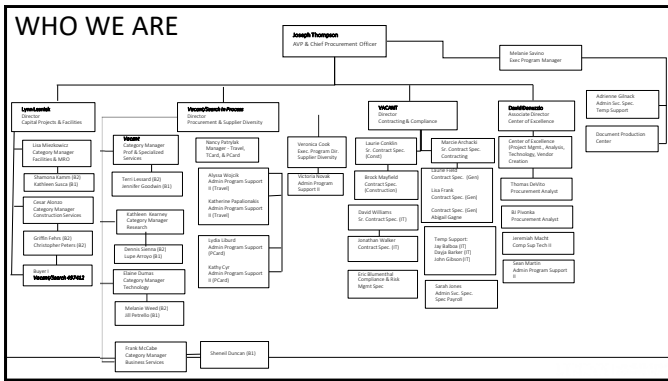


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WHO WE ARE



4

WHAT IS OUR PURPOSE?

To assist our customers in the acquisition of the goods and services required by the university that are **fit for the purpose intended** at the best possible **value** while ensuring **compliance with all Federal, State and University Requirements**.

5

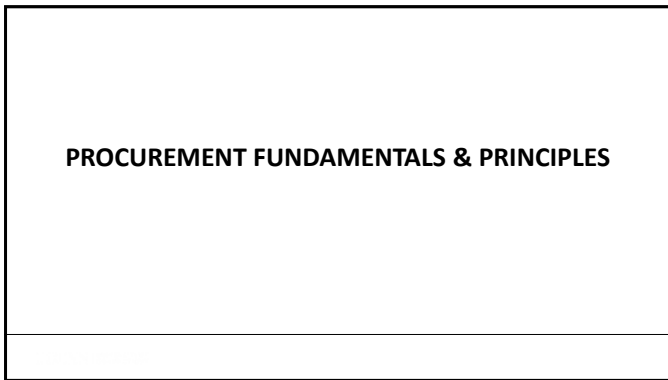
SOME OF OUR GUIDING PRINCIPLES

- Do What is Best For The University Community As A Whole
- Be Valued Strategic Partners To Our Stakeholders & Customers
- Provide High Quality Customer Service
- Add Value Through Our Expertise
- Provide Solutions...Solving Problems & Unlocking Opportunities
- Focus On Continuous Improvement
- Provide A Growth Oriented & Creative Environment

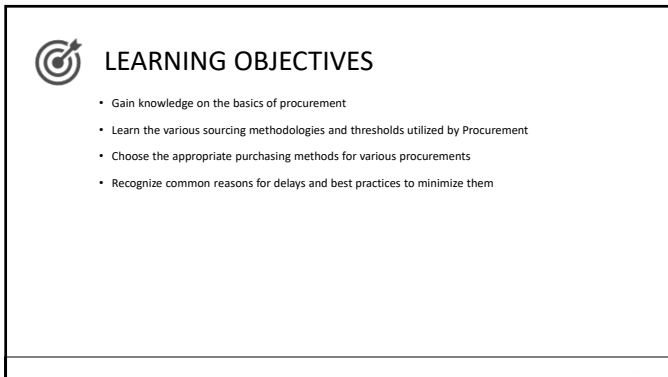
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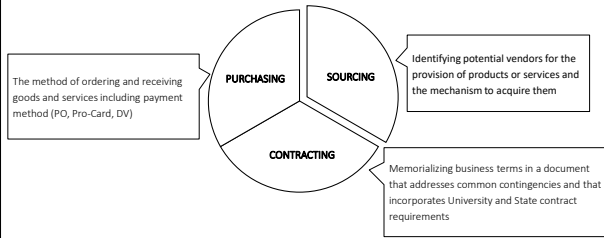


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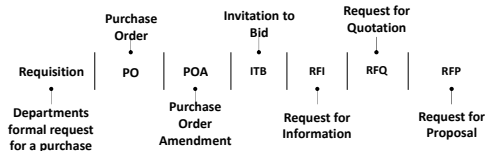
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WHAT IS PROCUREMENT?



10

GLOSSARY OF PROCUREMENT "TERMS"



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PUBLIC INSTITUTION THRESHOLD GUIDELINES

- Established by State & Federal Laws and Regulations
- Guidelines for our Procedures – University Policies
- Uniform Guidance for Federal Funds

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UNIFORM GUIDANCE

1. Applies to purchases made with sponsored programs/federal funds.
2. In practice, does not apply to Construction purchases
3. A set of regulations that consolidate federal guidelines impacting research administration.
 - a. Located at 2 CFR 200...effective 7/1/18.
4. Reformed federal grant making to focus resources on improving performance and outcomes.
5. Micro-purchase Threshold (MPT) –increased to \$25,000.00 effective 10/1/2023. The Pro-Card threshold remains at its current \$4,999.99 threshold for individual transactions, meaning that there is no change in procurement practices for any Pro-Card purchases under UG.
6. See <https://purchasing.ubs.uconn.edu/uniform-guidance/>

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SOURCING THRESHOLDS (STATE V UNIFORM GUIDANCE)

State:Less than \$25,000.00	\$25,000.00 - \$99,999.99	\$100,000.00 and over (UBS support required)	Less than \$25,000.00	\$25,000.00 - \$249,999.99	\$250,000.00 and over (Procurement Services Support Required)
<ul style="list-style-type: none"> • Threshold applies to the total value of the procurement transaction • 1 quote required, multiple encouraged 	<ul style="list-style-type: none"> • Requires three quotes; stakeholder justifies the best value selection in writing if the lowest cost is not selected 	<ul style="list-style-type: none"> • Requires a publicly advertised solicitation process; Procurement support/ management required. 	<ul style="list-style-type: none"> • Threshold applies to the total value of the procurement transaction • 1 quote required, multiple encouraged 	<ul style="list-style-type: none"> • Requires three quotes; stakeholder justifies the best value selection in writing if the lowest cost is not selected 	<ul style="list-style-type: none"> • Requires a publicly advertised solicitation process; Procurement support/ management required.

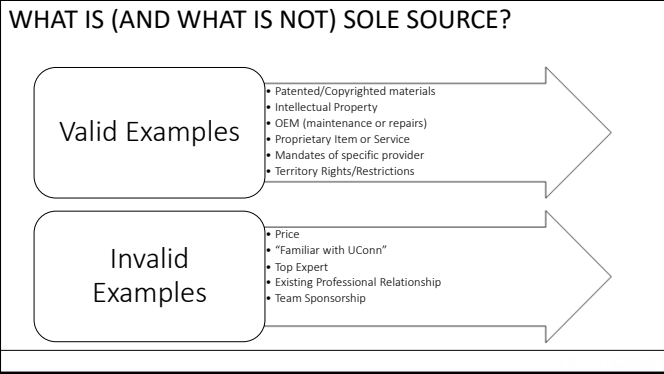
14

WHAT IS SOLE SOURCE?

- Documented single source for goods or services
 - Only one supplier (source) can deliver the required good or service.
 - *Multiple resellers/distributors voids Single Source classification
- A sole source purchase is a method of acquisition. It is not to be used to avoid competition.
- Sole source justification requests must be approved by Procurement prior to an order being placed and/or services being provided.
 - Price is not justification: it indicates the existence of a competitive marketplace.
- Continuity of services

Form Link:
https://media.procurement.uconn.edu/purchasing/images_resources/forms/SoleSource.pdf

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PURCHASING METHODS

Type	What is it?	When Should I use it?
HuskyBuy Purchase Orders	Catalog (HuskyBuy) Non-catalog (HuskyBuy) transactions	Purchase of Goods & Services Preferred method for ordering
Disbursement Vouchers Note: Processed by Accounts Payable	A payment mechanism for goods/services that have already been delivered to the University up to \$2,500 per supplier per fiscal year	When the use of HuskyBuy or Pro-Card is not possible, e.g., payments to other universities, utilities, postal charges, real estate payments, professional services, awards & Fellowships (non-student) journals, periodicals, etc.
Pro-Card	Method of purchasing low dollar value purchases from suppliers that accept credit cards	Purchase of low dollar transactions or if the items cannot be purchased through HuskyBuy
Travel Card	Method of paying for travel-related business expenses incurred <u>while</u> traveling on legitimate University business	Purchase of travel-related expenses (while traveling), e.g., transportation, meals (if not claiming Per Diem), baggage fees, incidentals, etc.

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HUSKYBUY

Catalog	Non-Catalog
<ul style="list-style-type: none"> • All on Contract • No Spend Limitations 	<ul style="list-style-type: none"> • Contract • Non-Contract • Disbursement Vouchers

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THINGS TO CONSIDER

- Unsolicited telephone sales/emails should be referred to Purchasing
- Be mindful of potential conflicts of interest (CT State Code of Ethics)
- Contact the appropriate Purchasing Team early in the process
- Discuss all aspects of the need
- All vendors should be given the same information
- Conduct all business dealings in an impartial and ethical manner
- Do not commit the University (e.g., by signing a contract or quote) without proper review and/or signature authority

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COMMON REASONS FOR DELAYS

- Supplier registration errors or conflicts
- Internal processing delays in department
- Obtaining required approvals
- Unauthorized purchases/signatures
- Failure to include specifications and/or supporting documentation with requisition

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**IT, Research, Business Support Services,
Professional and Specialized Services
Procurement**

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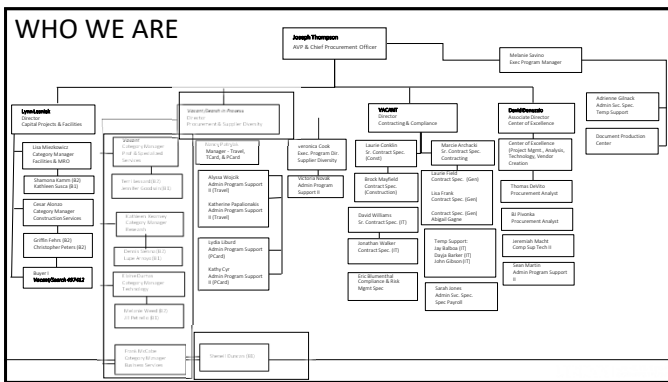


LEARNING OBJECTIVES

- Overview of IT, Research, Business Support Services, Professional and Specialized Services Procurement
- Understand the role and responsibilities of the Procurement Services Team supporting these areas

25

WHO WE ARE



26

WHAT WE DO

Goods and Services We Procure

- **Research**
 - Medical Services, Lab and Classroom Equipment, Supplies and Services
- **Business Support Services**
 - Subscriptions/Dues, Fees/Sponsorship, A/V Equipment and Supplies, Furniture, Advertising
- **Information Technology**
 - Software Licenses, Maintenance and Support, Software as a Service, Desktop and Tablet Computers
- **Professional and Specialized Services**
 - Banking Services, Athletic Equipment and Supplies, Education Abroad, Transportation, Hotels/Lodging, Food, Catering, Consulting Services

HUSKYBUY

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SPEND UNDER MANAGEMENT BY CATEGORY FY 23

Category	Overall Spend
Research	\$43,658,787
Information Technology	\$46,759,591
Business Support Services	\$73,041,386
Professional and Specialized Services	\$92,204,511
TOTAL	\$255,664,275

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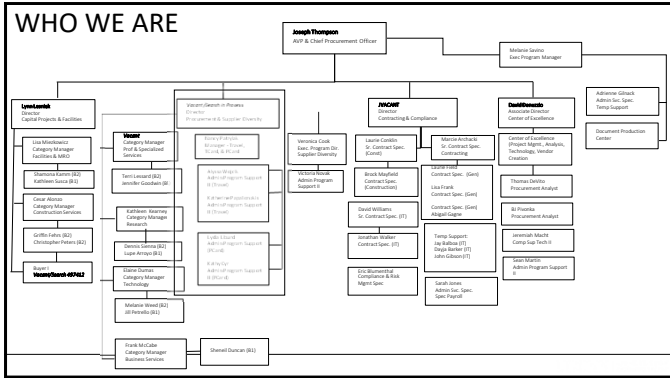
Travel and Payment Card Services

29

 **LEARNING OBJECTIVES**

- To educate the University community about Concur, University Travel and Card Services (Pcard and Tcard) policies and procedures to ensure that all cardholders and travelers are compliant.

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PROCUREMENT CARD (PRO-CARD)

The University Pro-Card issued by, JP Morgan Chase, is a MasterCard which acts as a procurement tool offering an alternative to the existing University procurement processes. It provides an extremely efficient and effective method of purchasing and paying for goods and services with a value less than \$4,999.99.

<https://purchasing.ubs.uconn.edu/purchasing-card/>

Limits
<ul style="list-style-type: none"> • Single purchase limit not to exceed \$4,999.99 • Spending limit per month \$10,000.00
Contacts
<ul style="list-style-type: none"> • Phone 860-486-2289 (option 2) • Pcard@uconn.edu

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WHAT IS CONCUR?

- SAP Concur, is a cloud-based Travel & Expense management software application available to UConn. Concur allows UConn employees and students to capture travel and other UConn business expenses on a Concur report.
- The following modules are included:
 - **Request Module:** To seek pre-approval for travel.
 - **Travel (Booking) Module:** Concur's online booking tool.
 - **Expense Module:** To record business expenses — includes out-of-pocket expenses as well as University Card products.

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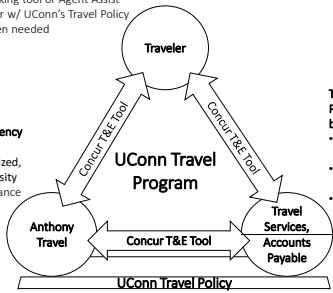
ELEMENTS OF THE TRAVEL PROGRAM

Traveler supports the program by:

- Using online booking tool or Agent Assist
- Becoming familiar w/ UConn's Travel Policy
- Seeking help when needed

Anthony Travel is the travel agency that supports the program by:

- Handles individual, specialized, and group travel for university
- Industry best practice guidance
- Manages unused tickets



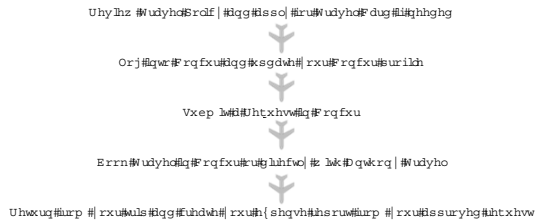
Travel Services & Accounts Payable support the program by:

- Offering assistance to travelers
- Providing training & job aids
- Maintaining effective and efficient process

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TRAVEL FROM START TO FINISH



35

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WHY DO WE HAVE A TRAVEL POLICY?

The Policy is meant to support the travelers' contributions to the university's mission while assuring accountability for the use of resources for travel.

Fiduciary responsibility of State Funds

- As an agency of the State of Connecticut, we must respect and safeguard our travel privileges and funds and practice fiscal, ethical, and public responsibility.

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TRAVEL CARD

The University Travel Card is a MasterCard issued by JP Morgan Chase, that reduces the time and effort involved in the expense reporting process for University employees, automates the approval process, and improves reporting. In addition, it is corporate liability and will not affect personal credit.

<https://concurproject.uconn.edu/travel-cards/>

Limits
<ul style="list-style-type: none"> • Single purchase limit not to exceed \$4,999.99 • Spending limit per month: <ul style="list-style-type: none"> - \$5,000.00 for standard traveler - \$10,000.00 for frequent traveler
Contacts
<ul style="list-style-type: none"> • Phone 860-486-2289 (option 2) • Pcard@uconn.edu



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TRAVEL CARD REMINDERS

- Once your Travel Card Request Form is fully approved, it takes 7-10 days to process your card and receive it in our office. We will send you an email when it has arrived and can be picked up.
- Please be aware of your limits. Your limits will reset at midnight on the 23rd of each month. If you require an increase, you will need to submit a travel card update request. Increases, once approved, cardholders will be sent an email and the increases are effective immediately.
- If your Travel Card is set to expire, no action is needed. We will receive your new card about a month before expiration and will inform you for pickup. The current card will not expire until the end of the expiration month.
- If you are putting your travel expenses on your Travel Card, you will still need to reconcile those charges in Concur.



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FO & SUPERVISOR CONSIDERATIONS WHEN APPROVING TRAVEL REQUESTS and EXPENSE REPORTS

Fiscal Officer Approvals

Travel Requests:

- Review to ensure the correct KFS number is used and there is enough available money
- If approving a travel request for a student, be sure to make a BEC selection before approving

Expense Reports:

- Ensuring there is enough funds for the trip/expense
- Escalation to Supervisor for several reasons, including:
 - Unusual transactions or items that may be out of policy
 - If Expense report total exceeds the approved request by a substantial amount
 - Personal transactions

Supervisor Approvals

Determine if the entire trip has a business purpose, is reasonable and benefits the University

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WAYS TO MAKE CONCUR WORK FOR YOU!

Concur Mobile App- Take pictures of receipts on the go!
Plans@concur.com- Forward the itinerary here and import it directly into Concur!
Receipts@concur.com- Send receipt pictures directly into Concur!
Receipts@expenseit.com- Automated expense itemization (Great for hotels!)
[Training and Resources](#)

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TRAVEL PROGRAM CONTACT INFORMATION

Contact	Travel and Payment Card Services	Anthony Travel
Website	Travel.uconn.edu	
Phone Number	860-486-2289 (option 2)	860-325-2558 (After Hours number: 800-523-5819)
Email	travel@uconn.edu	uconncampustravel@anthonytravel.com

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**CAPITAL PROJECTS AND FACILITIES
PROCUREMENT (CPFP)**

45

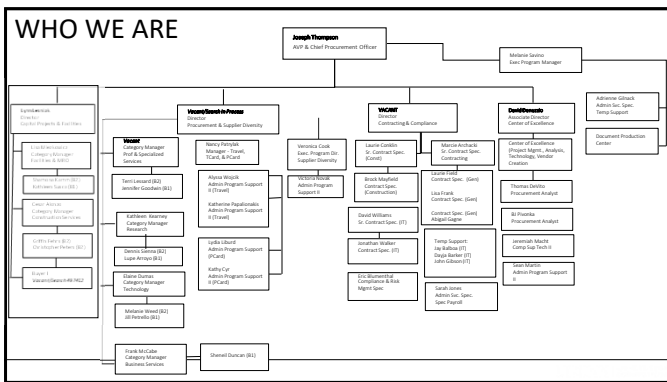


LEARNING OBJECTIVES

- Overview of Capital Projects and Facilities Procurement
- Understand the role and responsibilities of CPFP in the University's procurement process
- Gain knowledge on the basics of CPFP procurement
- Choose the appropriate CPFP purchasing methods

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WHO WE ARE



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WHAT WE DO

Goods and Services We Procure

- **Construction Services**
 - General Contractor/Trade Contractor, Construction Manager
 - Including new construction and renovation projects
- **Facilities Related Goods and Services**
 - Landscaping, Snow Plowing, Janitorial, MRO (Maintenance, Repair, Operations), Utilities, Alternative Energy, Fire Safety and MEP
- **Professional Services (related to construction)**
 - Architects, Engineers, Specialty Consultants (i.e., Haz. Mat., PMO, Commissioning)



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SPEND UNDER MANAGEMENT BY CATEGORY FY23

Category	Overall Spend
Construction	\$192,177,782
Facilities	\$56,300,949
TOTAL	\$248,478,731

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WHO WE SUPPORT

Primary Customers

- University Planning Design and Construction (UPDC)
- Facilities Operations (FOBs)
- Information Technology Services (ITS)
- Athletics
- Public Safety
- UConn Health
- Other University Departments (as needed)



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HOW WE PROCURE

Construction Services



- **On-Call Programs:**
 - \$0-\$100K On-Call Trade/General Contractor
 - \$100K-\$1M On-Call Trade/General Contractor
 - Examples of Trade Categories: Asphalt, Electrical, Flooring, HVAC, Insulation, Masonry, Painting, Plumbing, Roofing, Site Work, Telecommunications
- **Annual Prequalification Program:**
 - For Projects with a construction cost greater than \$1 million
 - General Contractor/Trade Contractor/Construction Manager
- **Individual Project Prequalification:**
 - For unique Projects with a construction cost greater than \$1 million
 - General Contractor/Trade Contractor/Construction Manager

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HOW WE PROCURE

Professional Services (related to construction):

- **On-Call Program**
 - For Projects with a design cost less than \$1 million
 - Architects, Engineers, Specialty Consultants

- **Individual Project Prequalification**
 - For Projects with a design cost over \$1 million



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HOW WE PROCURE

Facilities Goods and Services:

- Invitation to Bid or Request for Proposal for Services
- Master Contracts for maintenance and repair work
 - Examples of Master Contracts: Janitorial, Landscaping, Mechanical, Electrical, Plumbing, Fire Alarms, Sprinklers, Security Systems, Trash & Recycling, and Water Treatment



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FURTHER INFORMATION

- Contact any member of the CPFP team:
 - <https://ubs.uconn.edu/ubs-staff-directory-2/#staffcpfp>

- Visit our Website:
 - <https://cpfp.ubs.uconn.edu/>

- For a list of CPFP Commodities:
 - https://media.procurement.uconn.edu/purchasing/images_commodities/Commodity_List.pdf




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BREAK (10 Mins)

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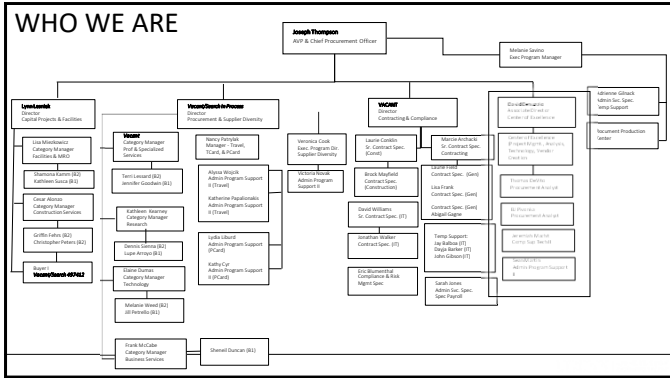
**PROCUREMENT CENTER OF EXCELLENCE
(CoE)**

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 **LEARNING OBJECTIVES**

- Understand the role and responsibilities of Procurement CoE in the University's procurement process
- Gain a basic understanding of the Supplier Registration process
- Identify tools and resources to aid in Supplier Registration and HuskyBuy shopping

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PURPOSE OF THE COE

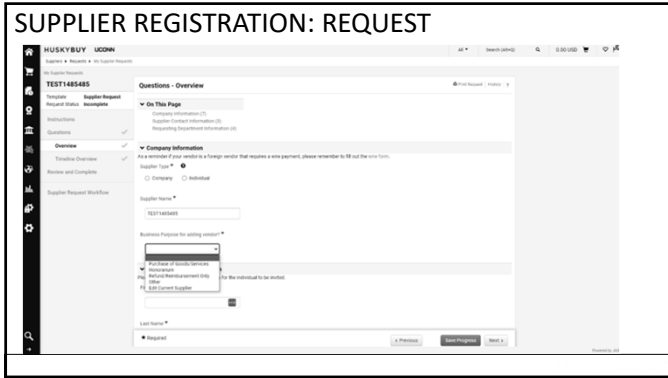
To establish and maintain the “infrastructure” of the Procurement organization to enable UBS Staff and its customers do their jobs effectively and efficiently

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- ### HOW DO WE ACHIEVE OUR PURPOSE?
- Operational/Tactical Procurement Support
 - HuskyBuy customer and system support
 - Supplier registration and support
 - Training (UBS Staff/University Community)
 - Strategic Procurement Support
 - Technology review and implementation
 - Business process improvement
 - Policy and procedure development

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SUPPLIER REGISTRATION: REQUEST



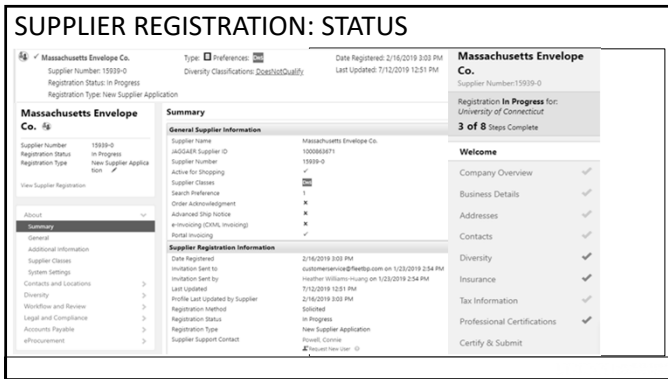
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SUPPLIER REGISTRATION: INVITATION AND SETUP



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SUPPLIER REGISTRATION: STATUS



63

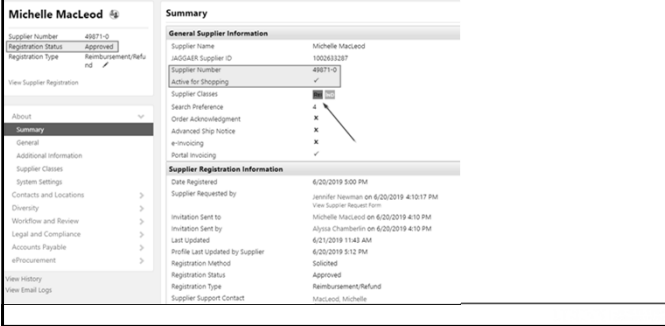
SUPPLIER REGISTRATION: PROCESS FOR SUPPLIER

- A star (*) denotes required content
- A green checkmark denotes a section where all required information has been completed.
 - Some of these are filled by default, indicating that the section is optional!
- If there is a warning sign for a section, then it still requires fields to be completed.



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SUPPLIER REGISTRATION: APPROVAL AND FLAGS




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SUPPLIER MANAGEMENT: COMMON PITFALLS AND SOLUTIONS

Common Issue	Solution
Supplier cannot receive e-mail invite from the HuskyBuy	Have Supplier provide a different e-mail address and/or whitelist domains and IPs (CoE can help identify which ones to whitelist)
Supplier has provided incorrect tax information	CoE returns form to Supplier to correct and/or consult with tax professional. All forms must be signed and dated.
Supplier doesn't remember their password to login to Jaggaer Network	Direct Supplier to Jaggaer toll-free number to reset password
The Supplier after repeated attempts cannot receive the link or complete the registration process	Contact Associate Director of CoE to discuss solutions and troubleshoot
Supplier shows as "Approved" but is not active for shopping (red X mark)	Contact CoE- there may be a sync error that can be easily corrected. Also, CoE periodically inactivates Suppliers infrequently used Suppliers. If this is the case, CoE can send registration link so the Supplier can update their profile.
Supplier has completed registration but isn't approved	The status of "Completed" indicates the Supplier has filled out all the forms, but they are still pending review and approval. This takes 1-2 business days, depending on volume and if any corrections are required.

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RESOURCES CONTINUED

- HuskyBuy Support Contact
 - Hours of Operation
 - Mon-Fri, 8:30am-4:30pm
 - Contact Methods
 - Email: HuskybuySupport@uconn.edu
 - Phone: 860-486-2289 (2BUY) Option 1
 - Microsoft Teams 

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UNIVERSITY SUPPLIER DIVERSITY PROGRAM (USDP)

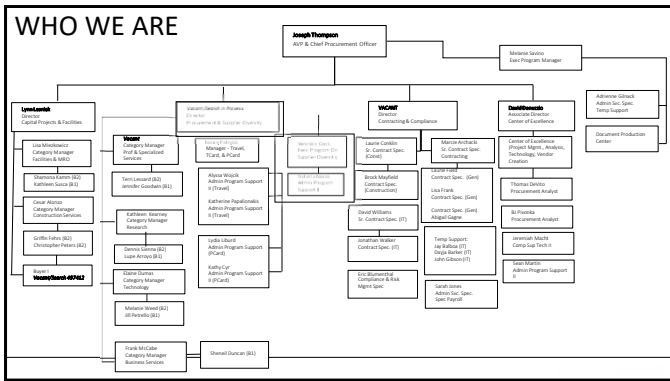
71



LEARNING OBJECTIVES

- Understand the importance of supplier diversity and inclusion in procurement, on all campuses and at UConn Health
- Understand the Mission and Core Values of the USDP
- Awareness of the eLearning Course, "Embracing Supplier Diversity at UConn" on SABA
- Understand the part that you can play in aiding the success of the USDP and UConn Mission

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IMPORTANCE OF SUPPLIER DIVERSITY AND INCLUSION

- Supplier diversity is a business strategy that involves the active inclusion of Small and Minority Business Enterprises (S/MBEs) in the development, planning and execution of the University's procurement strategies.
- When the University actively includes S/MBE in our procurement processes, we are not only providing them the opportunity to compete for our business, but also promoting economic growth for their businesses, their communities and our state.

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USDP STATUTORY REQUIREMENTS

- CGS Sec. 4a-60g. Establishes the set aside program for small contractors, minority business enterprises, individuals with disabilities and nonprofit corporations.
- State of Connecticut Agencies (including UConn and UConn Health) and political subdivisions of the State must set aside each fiscal year, after approved exemptions by the Department of Administrative Services, 25% of their budgets for construction, housing rehabilitation, and purchasing supplies and services to be awarded to certified Small Business Enterprises (SBEs), with 25% of this amount to be awarded to certified Minority Business Enterprises (MBEs).

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USDP MISSION AND CORE VALUES

USDP Mission and Core Values

To expand enrollment and participation of small/minority businesses on University contracts, by facilitating the opportunity for said businesses to provide valuable, quality, timely goods and services, while building mutually beneficial, respectful, lasting business relationships with the University community.

Encouraging Participation	Managing Relationships	Educating Contractors/Vendors and University Community	Measuring Compliance
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<https://supplierdiversity.ubs.uconn.edu/>

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USDP CORE VALUES

Encouraging

- Expos and Matchmaker Events
- Panel Discussions
- S/MBE Vendor Showcasing
- Advocacy to Remove Obstacles

Managing Relationships

- State Agency Collaborations
- Stakeholder Engagement
- Legislative Meetings
- Memberships and Committee Participation

Educating

- UConn Outreach Events
- Project Meetings
- SD Website
- Encouraging Corrective Action
- eLearning Course - SABA

Measuring Compliance

- Goal setting
- Reporting
- Tracking Results
- Determining Means of Improvement

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EMBRACING SUPPLIER DIVERSITY AT UCONN

The USDP has developed an e-learning course to inform our communities about the University's commitment and expectations regarding supplier diversity and inclusion on our UConn campuses and at UConn Health.

It is intended that through the course, you will come to understand the importance of partnering with the USDP efforts to increase S/MBE participation in our procurement processes.



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MANAGING RELATIONSHIPS

- USDP has developed an on-line tool to assist S/MBEs in connecting to our Buying Professionals in Procurement Services.
- After utilizing this tool, S/MBEs are placed on our "Prospective S/MBE Contractors/Vendors/Consultants" page, making their company and contact information accessible to our UConn Community.



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MEASURING COMPLIANCE

- The USDP regularly reports UConn's S/MBE utilization achievements for all of its campuses and UConn Health. Fiscal Year Summaries can be viewed on the USDP website, under "Measuring Compliance," and they are also included as part of the Office of Institutional Equity (OIE) annual Affirmative Action Plan filings.

Campus	Fiscal Year	Total Available Dollars	S/MBE Utilization	Percentage
UConn Storrs	2022-2023	\$1,234,567,890	\$123,456,789	10.00%
UConn Waterbury	2022-2023	\$456,789,012	\$45,678,901	10.00%
UConn Hartford	2022-2023	\$789,012,345	\$78,901,234	10.00%
UConn Meriden	2022-2023	\$123,456,789	\$12,345,678	10.00%
UConn Middletown	2022-2023	\$234,567,890	\$23,456,789	10.00%
UConn New Britain	2022-2023	\$345,678,901	\$34,567,890	10.00%
UConn Stamford	2022-2023	\$456,789,012	\$45,678,901	10.00%
UConn Southington	2022-2023	\$567,890,123	\$56,789,012	10.00%
UConn Torrington	2022-2023	\$678,901,234	\$67,890,123	10.00%
UConn Wallingford	2022-2023	\$789,012,345	\$78,901,234	10.00%
UConn Waterbury	2022-2023	\$890,123,456	\$89,012,345	10.00%
UConn Danbury	2022-2023	\$901,234,567	\$90,123,456	10.00%
UConn Groton	2022-2023	\$123,456,789	\$12,345,678	10.00%
UConn New Britain	2022-2023	\$234,567,890	\$23,456,789	10.00%
UConn Storrs	2022-2023	\$345,678,901	\$34,567,890	10.00%
UConn Waterbury	2022-2023	\$456,789,012	\$45,678,901	10.00%
UConn Hartford	2022-2023	\$567,890,123	\$56,789,012	10.00%
UConn Meriden	2022-2023	\$678,901,234	\$67,890,123	10.00%
UConn Middletown	2022-2023	\$789,012,345	\$78,901,234	10.00%
UConn New Britain	2022-2023	\$890,123,456	\$89,012,345	10.00%
UConn Stamford	2022-2023	\$901,234,567	\$90,123,456	10.00%
UConn Southington	2022-2023	\$123,456,789	\$12,345,678	10.00%
UConn Torrington	2022-2023	\$234,567,890	\$23,456,789	10.00%
UConn Wallingford	2022-2023	\$345,678,901	\$34,567,890	10.00%
UConn Waterbury	2022-2023	\$456,789,012	\$45,678,901	10.00%
UConn Danbury	2022-2023	\$567,890,123	\$56,789,012	10.00%
UConn Groton	2022-2023	\$678,901,234	\$67,890,123	10.00%
UConn New Britain	2022-2023	\$789,012,345	\$78,901,234	10.00%
UConn Storrs	2022-2023	\$890,123,456	\$89,012,345	10.00%
UConn Waterbury	2022-2023	\$901,234,567	\$90,123,456	10.00%
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USDP RESOURCES TO ASSIST YOU

- To assist you in finding S/MBEs, when deciding where to make your purchases, we have included links to a few sites where both State and Federal S/MBEs can readily be found. These links are located on the USDP website, under "SMBE Resources."
- HuskyBuy also offers a list of State and Federally-certified SMBEs. These can be accessed through the HuskyBuy Link provided at <https://purchasing.ubs.uconn.edu/>.



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USDP CONTACT INFORMATION

Veronica Cook, Executive Program Director Email: veronica.cook@uconn.edu Phone: (860) 486-0990
Victoria Novak, Administrative Services Specialist II Email: victoria.novak@uconn.edu Phone: (860) 486-2614
USDP Webpage: https://supplierdiversity.ubs.uconn.edu/ USDP Email: supplierdiversity@uconn.edu

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PROCUREMENT CONTRACTING AND COMPLIANCE (PC&C)

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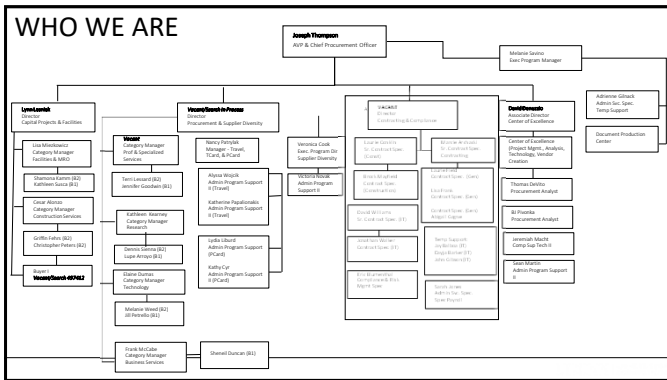


LEARNING OBJECTIVES

- Understand the role and responsibilities of UBS Contracting and Compliance professionals in the University's procurement process
- Review the University contract lifecycle and elements essential to each of its phases
- Understand the importance of addressing business terms early in the process to protect the University's interests and expedite contracting timeline
- Understand the implication of signing contracts on behalf of University
- Review resources available on Contracting website.

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WHO WE ARE



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CONTRACTING AND COMPLIANCE RESPONSIBILITIES

Contracting and Compliance:

Institutional risk review
Legal, regulatory and University policy compliance
Contract negotiations
OGC/OAG submissions
Contract status notification
Assist procurement/stakeholder with contract selection and strategy

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REVIEW OF CONTRACTS

Preapproved Templates	Office of General Counsel review of the legal terms of contracts is required when:	Office of the Attorney General review of the legal terms of contracts is required when:
Pre-approved templates/form agreements do NOT require further legal review unless modifications have been made to the agreement	The actual or estimated value of a contract is \$25,000 or more	The actual or estimated value of a contract is \$500,000 or more

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WHAT ARE THE IMPLICATIONS OF SIGNING A CONTRACT?



Signing a contract on behalf of UConn may have legal implications for the individual signatory and for the University. Therefore, contracts signed without obtaining legal approval may, if the University chooses not to honor the contract, result in personal liability for the individual who signs the contract.



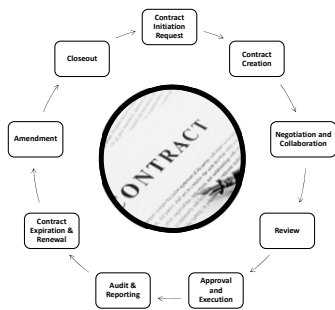
University administrators, faculty, staff or students who enter into unauthorized agreements may also be subject to disciplinary action, up to and including dismissal.

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WHAT IS A UNIVERSITY CONTRACT?

A University "contract" is any written agreement, which creates a University obligation, whether or not it is entitled "contract."

An agreement may be a binding contract even though one party provides something of value to the other party at no charge (i.e., a Deed of Gift to the University). Therefore, the University may have an interest even though there is no financial transaction.



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SIGNATURE REQUIREMENTS

University Board of Trustees' resolution grants the President with signing authority for all University Contracts and grants authority to delegate such signing authority (See [President's Delegation of Contract Approval and Signatory Authority for the Storrs, Regional Campuses, Law School, and School of Social Work \(2023.03.20\)](#))

Only those individuals named in the President's contract signing authority are authorized to sign on behalf of the University

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TYPES OF CONTRACTS

Types of Contracts include, but are not limited to:

- | | |
|---|---------------------------------------|
| Professional Service Agreement | Goods and Services Agreements |
| Communication Agreement | Construction and Facilities Contracts |
| Maintenance and Repair Contracts | Memorandum of Understanding/Agreement |
| Real Property Related Transactional Documents | Lease Agreements |
| Rental Agreements | License Agreements |
| Loans | Research & Laboratory Agreements |
| Insurance Policies | Collaboration Agreements |
| Waiver/Release | Facilities Use Agreements |

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ROLES IN BUSINESS TERM NEGOTIATION

Stakeholder Department	Category Manager	Buyer	Contract Specialist
<ul style="list-style-type: none"> Settles business terms. Considers regulatory/policy compliance Monitors vendor performance Contract Administration Provide overall procurement goals/objectives 	<ul style="list-style-type: none"> Develops purchasing strategies/plans for departmental needs (present/future), executing on plans, and sustaining their respective categories. Managing vendor and department relationships Consults department and industry benchmarking resources to advise on strategy, market conditions, industry practices, and available contract vehicles. 	<ul style="list-style-type: none"> Collaborate with Contract Specialist to select purchasing vehicle (e.g., contract, PO, etc.) Determines if and when to engage Business Analyst and/or Contract Specialist. Ensures business term accuracy Issues Purchase Order when contract vehicle is finalized. 	<ul style="list-style-type: none"> Advise on contract type Reviews business terms with Buyer and advises on best contract vehicle to memorialize business terms. Drafts and negotiates legal terms in contract. Memorializes settled business terms in contract. Manages contract execution. Secures Office of General Counsel and State Attorney General review and approval (where applicable).

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CONTRACTING PHASES BY CONTRACTING DIVISION

- Contracting Phase**
1. Allocation
 2. Assessment
 3. Business Discussions
 4. Drafting
 5. Buyer/Dept. Draft Review
 6. PSA Administration
 7. Internal/Legal Revisions
 8. Negotiations
 9. Vendor Review
 10. Vendor Revisions
 11. Assemble for Vendor Execution
 12. Vendor Execution
 13. Assemble for University Execution
 14. University Execution
 15. Assemble for OGC/OAG Review
 16. OGC/OAG Review
 17. OGC/OAG Revisions
 18. Close-out

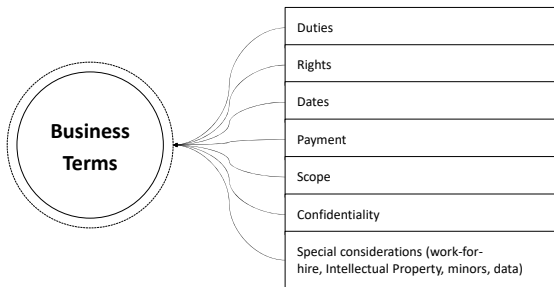
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HOW LONG DOES THE CONTRACTING PROCESS TAKE?

Step in Contracting Process	Average Time (business days)
File Assessed to Ensure Business Terms Provided	5
Unaddressed Business Terms are Developed (when not previously negotiated)	19
Contract is Drafted	3
Vendor Review	6
Legal Terms are Negotiated	2
Contract is Executed by Vendor	4
Contract is Executed by University	3
Office of the General Counsel (for contracts over \$25k)	5
Attorney General Reviews (for contracts over \$500k)	25
TOTAL:	72

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BUSINESS TERMS



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TECHNOLOGY SOLUTIONS

IT Software and Cloud-hosted Solutions have special considerations.

- EULA (End User License Agreements)
- SaaS (Software as a Services)
- Software and Cloud services Acquisition and Renewals ordering process (questionnaire)
[Software-and-Cloud-Services-Acquisition-and-Renewals-Process.pdf \(uconn.edu\)](#)
- Licensing models: per named user, per FTE, per processor

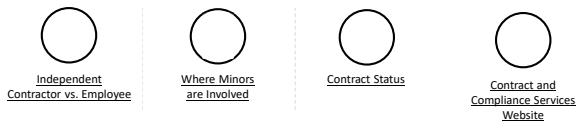
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WHAT PROVISIONS SHOULD NOT BE INCLUDED IN UNIVERSITY CONTRACT?

Attorney Fees	The state cannot agree to pay any attorneys fees.
Governing Law	UConn cannot agree to be governed by another state's or country's law, or to resolve a dispute in another state's or country's courts (venue).
Indemnification of any party	UConn cannot agree to indemnify or hold harmless another party.
Confidential Information	UConn's ability to keep information confidential is limited by the Connecticut Freedom of Information Act.

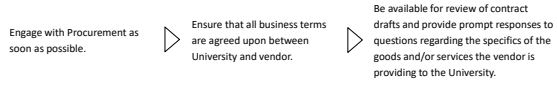
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CONTRACTING WEBSITE RESOURCES



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HOW TO EXPEDITE THE CONTRACTING PROCESS



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PC&C CONTACT INFORMATION

Website: https://contracting.ubs.uconn.edu/
Email: ubscontracts@uconn.edu

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PROCUREMENT COMPLIANCE AND INSURANCE

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RESTRICTED SUPPLIERS

	State ethics rules prohibit payment to current employees and former employees
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“Suppliers” are not only vendors; they can be recipients of awards, grants, fellowships or other payments. Departments need to work with the Ethics office and Human Resources prior to making such award or grant to a potentially restricted individual.

Former University Employees, Affiliates and State of Connecticut employees are all subject to strict ethics regulations that we all must comply with. Suppliers self-identify during their HuskyBuy registration.

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ETHICS COMPLIANCE

Contracts with the State:

Employees, their immediate family members, and/or a business with which an employee or his/her family member is associated may not enter into a contract with the state valued at \$100 or more, unless the contract has been awarded through an open and public process. The Office of State Ethics has ruled that immediate family members may not be hired as an independent contractor unless there has been an open and public process.

Options for Compliance:

- Explore the possibility of paying the person via special payroll or a Personal Services Agreement
- Work with a procurement professional and run a bid for the goods/services

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OTHER PROCUREMENT COMPLIANCE MATTERS

	Agreements and amendments to contracts must be "timely." Services may not commence prior to Board of Trustees approval, as required, and the execution of a contract or amendment
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It is the position of the Attorney General that no expired contracts can be revived or otherwise amended. Further, services cannot start prior to the execution of a contract, or continue after a contract for the same has expired.

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WHAT IS COMMERCIAL GENERAL LIABILITY INSURANCE?

Commercial General Liability (CGL) insurance is insurance carried by organizations to protect them against liability. This insurance typically covers claims for bodily injury (BI) and property damage (PD) arising out of premises, operations, products, and completed operations; and advertising and personal injury (PI) liability.

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<p></p> <p>Why should we require a vendor to carry CGL insurance?</p> <ul style="list-style-type: none"> • Our contracts with vendors generally require them to indemnify the University. The CGL insurance serves as part of the financial backing for that liability. • Should a vendor cause damage, the University can go straight to the vendor's insurance company with a claim as long as the University is named as an Additional Insured on a Certificate of Insurance (COI). 	<p></p> <p>What do we ask the vendor to provide as evidence of insurance?</p> <ul style="list-style-type: none"> • The University should require a vendor to provide us with a Certificate of Insurance (COI). • The University of Connecticut and its Board of Trustees and their agents, officers and employees should be named as Additional Insured with the proper endorsements made to the insurance policy and evidenced on a COI.
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WHAT SHOULD I LOOK FOR ON A CERTIFICATE?

When reviewing a certificate of insurance, look for the following:

MAKE SURE THE POLICY IS IN EFFECT (TERM)

MAKE SURE THE LIMITS MATCH ANY CONTRACT REQUIREMENTS

MAKE SURE THAT ALL REQUIRED COVERAGES ARE SHOWN (e.g. CGL, AUTO, UMBRELLA, WORKER'S COMPENSATION AND PROFESSIONAL LIABILITY)

MAKE SURE THAT THE DOCUMENT DOES NOT CONTAIN LANGUAGE THAT ALLOWS FOR INDEMNIFICATION BY THE UNIVERSITY OR WAIVES THE UNIVERSITY'S SUBROGATION RIGHTS

If you have questions about a supplier's coverage, please reach out to Eric Blumenthal
Eric.Blumenthal@uconn.edu

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UConn – INSURANCE

As an agency of the State of Connecticut, UConn relies upon sovereign immunity, primarily, as a defense to claims.
The State does carry some specialty policies (athletic injury, liquor liability, etc.)
UConn equipment, with a value of \$250k or above, is covered under the State's property policy. The policy has \$1.0M deductible.
UConn can only name another party as an Additional Insured where required by written agreement
If another party causes damage to University property, contact Compliance & Risk Management as soon as possible

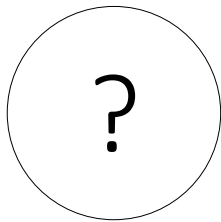
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COMPLIANCE/INSURANCE CONTACT INFORMATION

Eric Blumenthal <i>Compliance & Risk Management Specialist</i>
University Business Services 3 Discovery Drive, Unit 6076 Storrs, Connecticut 06269-6076 Tel: (860) 486-0621 E-mail: Eric.Blumenthal@uconn.edu www.insurance.uconn.edu

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QUESTIONS



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