



INSTITUTE FOR COLLABORATIVE HEALTH, INTERVENTION, AND POLICY

Subject: Purchasing Guidelines & Procedures

Date First Put into Effect: March 25, 2008
Date of Latest Revision: February 26, 2016
To: InCHIP PIs, Staff, & Students
From: InCHIP Director & Associate Director

These guidelines and procedures are in effect until superseded.

➤ **InCHIP Business Office Staff Responsible for Purchasing**

- Melissa Stone (Financial Assistant II)
 - ❖ Phone: (860) 486-4529
 - ❖ E-mail: purchasing@chip.uconn.edu
- Lynne Hendrickson (Administrative Services Specialist II)
 - ❖ Phone: (860) 486-8970
 - ❖ E-mail: purchasing@chip.uconn.edu

* **IMPORTANT NOTE: Faculty and other staff should contact their home department if they wish to make purchases using an indirect account.**

➤ **Purpose**

- To define the procedures for the purchase of goods and/or services through the InCHIP Business Office.
- To ensure that goods and/or services are purchased of the right quality, in the right quantity, at the right price, from the right source, and at the right time.

➤ **Procedures**

- It is recommended that Principal Investigators (PIs) and other staff identify those areas where they can plan ahead for procurement. The more time that the InCHIP Business Office, the UConn Purchasing Department, and the vendor have to process an order, the more efficient they can be in acquiring the needed goods and services.
- In order to make a purchase, the ***InCHIP Purchase Request Form*** should be completed; this form can be found on the CHIP website at <http://www.chip.uconn.edu/chip-business-office/purchasing/>. Once completed, the form should be e-mailed to purchasing@chip.uconn.edu, or placed in the PURCHASING IN-BOX located on Melissa's desk. On the form, the following information must be provided, as required by the Purchasing Department:
 - ❖ Item description, including part number or manufacturer number, if applicable.

- ❖ Number of items required and proper unit of issue (e.g., 10 each, 5 bottles, 1 case, etc.).
 - ❖ Cost of item(s).
 - ❖ If a PI or staff member contacts a vendor for a price quote, s/he should provide Melissa and Lynne with a copy of the quote, the name and phone number of the person who provided the quote, and the date of the quote.
 - ❖ If the PI or staff member finds the desired item(s) online, s/he should provide Melissa and Lynne with the link to that website.
 - ❖ Suggested vendor or vendors.
 - ❖ Date by which the item(s) is needed.
 - ❖ Account/KFS funding source to be charged.
 - ❖ Please email Melissa and Lynne a justification explaining how the purchase will benefit the grant.
 - ❖ Complete delivery information (i.e., name and address). If this is not provided, the purchase will be sent to CHIP.
 - ❖ Any special instructions.
- A PI or staff member may not authorize a vendor to process an order. Only an authorized Purchasing Department designee may sign and approve purchases from vendors. If the PI or staff member enters into an agreement without the proper authority, s/he may be held personally liable for payment under Connecticut law.

➤ **Guidelines**

- All grant- and InCHIP-funded purchases must be processed by the InCHIP Business Office.
- The InCHIP Business Office reviews every grant- and InCHIP-funded purchase request to ensure that it is an allowable expense based on University and Federal guidelines.
- All purchase requests must comply with University of Connecticut regulations regardless of the source of funds (grant or non-grant KFS numbers) and with any specific grant-related restrictions.
- The InCHIP Business Office will verify that sufficient funds are available in the budget. If funds are not available or not available in the budget sub code, a re-budget request may need to be processed before the purchase request can be processed and finalized.
- To ensure that the necessary funds are available when a PI or staff member wishes to make a purchase, budget projection meetings with the Grants & Contracts Specialist can be established to determine what funds remain and to initiate a re-budget request, if needed. These meetings are also a good time to discuss whether certain purchases are allowable on one's grant.
- There are contracted vendors that must be used for many purchases. If a PI or staff member purchases an item without getting the proper approval, s/he risks not getting reimbursed.

➤ **Timeline for Processing Purchase Requests:**

- Normally, the InCHIP Business Office will process a purchase request within 3 to 5 business days, if they have everything they need to initiate the purchase.
- The total amount of time it will take to receive the goods and/or services once the request is submitted, will depend on many factors:
 - ❖ If a purchase must go out to bid, it will add considerable time to the processing of the request (see below for information about purchases requiring competitive bidding).
 - ❖ If there is a requirement for sole source purchasing, this may delay the purchase because the Purchasing Department will have to review and approve the PI's or staff's justification. If the sole source justification is denied, then they will proceed to the bid process.
 - ❖ Purchases can be accomplished more quickly if they are not complicated and all the information is available.

➤ **Purchases Requiring Competitive Bids**

- Competitive bidding is required for all purchases over \$10,000 (per fiscal year).
- For further information regarding Requests for Quotes (RFQs) and Requests for Proposals (RFPs), please refer to the following Purchasing Department webpage:
- <http://www.purchasing.uconn.edu>
- If a PI or staff member wants to order a product/service unique to one vendor, s/he needs to fill out a Sole Source Justification form. A sole source justification is documentation that establishes the reasons that competition could not satisfy the University's requirements. This form can be found at the following website:

http://www.purchasing.uconn.edu/procurement_forms/

➤ **Out-of-Pocket Purchases**

- University employees may be reimbursed for out-of-pocket purchases of **emergency** allowable goods and services for official University use up to a limit of \$499.99 per item. Out-of-pocket purchases should be made only when circumstances are such that the use of a regular purchase order or the InCHIP ProCard is not practical. This procedure does not in any way replace the established purchasing procedures. In addition, in order for a staff member to get reimbursed for a purchase, s/he must have permission from the Principal Investigator for grant-funded work or from the InCHIP Director.
- To be reimbursed for an out-of-pocket purchase, the original receipt must be submitted along with an explanation of why it was an emergency. If the purchase involved the entertainment of guests, a list of all attendees must also be submitted.

➤ **Subaward Agreements and Consultant Purchase Orders (PO)**

- Grant-funded research collaborations usually involve issuing a Subaward to the collaborating institution. Subaward Agreements are used to issue grant funds to Subrecipients. A Consultant

PO should be used to contract for consulting services. All grant-funded Agreements must be reviewed by the Sponsored Program Services (SPS) before they are sent to and signed by the Subrecipient or Consultant.

- Please refer to the following link for further details:

<http://research.uconn.edu/sps-awards/subawards>