1. CALL TO ORDER: 3:00 p.m. in 110 SFEBB

2. MINUTES: September 9, 2013

3. REQUEST FOR NEW BUSINESS:

4. CONSENT CALENDAR

   a. Appendix I: Resignations, Administrative and Faculty Appointments
   b. Appendix II: Career-line, Adjunct and Visiting Faculty Appointments
   c. Appendix III: Emeritus Appointments

5. EXECUTIVE COMMITTEE REPORT:

6. REPORT FROM ADMINISTRATION:

7. REPORT FROM ASUU:

8. SPECIAL ORDERS:

   a. Faculty Budget and Planning Advisory Committee Elections (online)

9. NOTICE OF INTENT:

   a. Proposed Revision to University Policy 6-101, Sec. 3.H-2 “Department and College Admission Criteria”

10. DEBATE CALENDAR:

    a. Name Change for the Division of Cardiovascular Medicine
    b. Discontinuation of Revitalization of Endangered Languages Certificate
    c. Proposal Data Center Engineering Certificate
    d. Senate Career-line elections exception

11. INFORMATION CALENDAR:

    a. Procurement Policy Revisions

12. NEW BUSINESS:

13. ADJOURNMENT:
Call to Order
The regular meeting of the Academic Senate, held on September 9, 2013, was called to order at 3:02 p.m. by Allyson Mower, Senate President. The meeting was held in room 110 Spencer Fox Eccles Business Building.

Present: David Ailion, Peter Alfeld, McKay Allred, Chrisoula Andreou, A.K. Balaji, Keith Bartholomew, Tim Benvegnu, Lyda Bigelow, Michael Blomgren, Kelly Bricker, Nilufer Cagatay, Tully Cathey, Marjorie Chan, Thomas Cheatham, Marcus Chen, Mary Ann Christison, Robin Craig, Sierra Debenham, Kevin DeLuca, Alison Denyer, Justin Diggle, Maria Dobozy, Megan Dolle, Florence Fernandez, Ole Fischer, Francis Friedrich, Sabine Fuhrmann, Jennifer Garvin, William Gershan, Franz Goller, Joan Gregory, Thad Hall, Michael Harris, Mary Elizabeth Hartnett, Leanne Hawken, Rachel Hayes-Harb, Tom Henderson, Robert Hitchcock, Jared Hurdman, Thunder Jalili, Anne Jamison, Xan Johnson, Christian Johnson, William Johnson, Bradley Katz, Jack Longino, William Lorrance, Raina Mahanes, Erminia Martinez, Ashley McMullin, Meredith Metzger, Joel Miller, Jill Moriearty, Alfred Mowdood, Patricia Murphy, Ingrid Nygaard, Sam Ortiz, Patrick Panos, Wanda Pillow, Christina Porucznik, Matthew Potolsky, Mariana Ramiro, Lorie Richards, Stephanie Richardson, Steve Roens, Gerald Root, Gary Rose, Jody Rosenblatt, Clough Shelton, Debra Simmons, Gregory Smoak, David Stevenson, Taylor Thurman, Rachel Wootton, Joanne Yaffe, Jingyi Zhu

Excused with Proxy: Marlene Plumlee (David Plumlee)


Excused: Vivian Lee


Others: Martha Bradley, Eric Denna, Kurt Hegmann, Rod Larson, Octavio Villalpando

Approval of Minutes
The minutes of the Academic Senate meeting on May 6, 2013 were approved following a motion from Joanne Yaffe which was seconded by Sam Ortiz.

Request for New Business
No new business to address
Consent Calendar
This being the first Senate meeting of the year, Allyson Mower, Academic Senate President, held a vote to ratify the decision of the President to make two annual Senate officer appointments: (i) Paul Mogren to continue serving as senate parliamentarian and (ii) Bob Flores to continue serving as Senate Institutional Policy Committee liaison, for the year. The motion was made to approve by Joanne Yaffe and seconded by Jill Moriearty. The motion passed unanimously.

The resignations, retirements, and faculty and administrator appointments dated September 9, 2013, received approval to forward to the Board of Trustees on motion by Joanne Yaffe and seconded by Jill Moriearty. The motion passed unanimously.

Report from Administration
President David Pershing welcomed new and returning senators. President Pershing introduced the new Senior Vice President for Academic Affairs, Ruth Watkins. Ruth was the dean for the College of Liberal Arts and Sciences at the University of Illinois and professor of speech and hearing science, psychology and linguistics. Michael Hardman, who had served as the Interim V.P., has moved into the position of Chief Global Officer for our new Office for Global Engagement.

We don’t have the final numbers for enrollment this year. As of today, the enrollment is over 32,000 for undergraduates. The biggest change is the freshman class with over 500 students who have been admitted but deferred enrolling. The graduate student numbers have increased, making the combined overall undergraduate and graduate enrollment consistent with last year. Administration has begun work on legislative requests. The number one priority for the University is faculty and staff salaries. Other items include funding formulas based on distinctive missions, funding to complete infrastructure updating, and the Crocker Science Center.

The Spencer Eccles Fox Business Building Phase II and the Spencer Eccles Football Center were recently dedicated and the ground breaking for the Dental School was held August 23rd. Other construction on campus includes the Beverley Taylor Sorenson Arts and Education Complex, George Eccles Student Life Center, Sutton parking structure and the new Law School. Items in the planning stages include parking structure in business loop, Lassonde Living Learning Center, Orson Spencer Hall and the basketball facilities renovations.

Executive Committee Report
Steve Alder, Executive Committee Secretary, provided a summary of the Executive Committee meetings held June 17, 2013 and August 19, 2013.

Report from ASUU
Sam Ortiz, the ASUU President for 2013-2014 presented his initiatives to the Senate. Some of those initiatives include student retention, peer to peer mentoring, diversity, parent engagement, PAC 12 student leadership and high school recruitment.

Special Order
A special election was held to fill a vacancy on the Senate’s RPT Standards Committee. Lee Ellington of Nursing was elected.
Notice of Intent
No Items for Notice of Intent

Debate Calendar
The proposal for a new undergraduate Interdisciplinary Certificate in Entrepreneurship, to be offered and administered by the David Eccles School of Business, was presented by Bill Schulze. This certificate for non-business majors will become effective Fall 2013. The certificate provides formal recognition of concentrated coursework and proficiency in the creation and launch of small business and growth ventures. The Certificate requires the completion of a minimum of 18 credit hours of coursework, comprised of four classes taught by the Business College and two classes taught by affiliated Colleges and Departments. The first three classes required for the Certificate provide students with foundation skills and knowledge in the areas of business creation, marketing, and accounting and finance. Students will then take two classes in affiliated Colleges and Departments that provide an overview and knowledge about career and new business opportunities within their major areas of study. The Certificate program will conclude with a capstone course, taught by the Business College, which will teach students how to rigorously test their ideas and plan the launch of a small business or growth venture. The education provided is viewed as a complement to a wide-range of academic disciplines. While the College currently offers courses in entrepreneurship, they are not freely available to students outside of the College due to the College’s special admission requirements and the added cost of upper division classes taught by the College. The College proposes to overcome these barriers by offering open enrollment in the Certificate-related courses to all University of Utah undergraduates and reducing costs by scheduling three of its four required classes in the lower division. The motion to approve and forward to the Board of Trustees was made by Joanne Yaffe and seconded by Xan Johnson. Motion passed with one abstention.

Information & Recommendations Calendar
The proposal for the new Pierre Lassonde Entrepreneur Institute was approved by the Senate Executive Committee June 17, acting on behalf of the Senate during the summer term because of the time-sensitive nature of the proposal (per Policy 6-002), and was presented today for the information and recommendations of the Senate. It was presented by Troy D’Ambrosio. The Center provides and teaches real world business experience to help young entrepreneurs through its competitions and its business discovery program. The business plan competitions are exceptional in that they are conducted by scholarship recipients from various schools in Utah, so these are statewide and collaborative competitions involving both private and public higher education institutions. Four separate business plan competitions are available to undergraduate students.

The proposal for the new James Lee Sorenson Global Impact Investing Center was approved by the Senate Executive Committee June 17, acting on behalf of the Senate during the summer term because of the time-sensitive nature of the proposal (per Policy 6-002), and was presented today for the information and recommendations of the Senate. It was presented by Lewis Hower, Director of the Center. The mission of the SGII Center is to promote the understanding and application of the principle of free enterprise, and study the impact of geographically focused investments aimed at generating measurable social and environmental impact alongside a financial return. The SGII Center will address a range of broad global needs, from healthcare,
education, and housing to sustainable energy and agriculture. Research at the center will focus on how free enterprise can be employed to create large-scale societal change.

University Interim Rule 4-004D: Health Sciences Encryption of Protected Health Information was presented by Phyllis Vetter, office of General Counsel. This Interim Rule will implement Policy 4-004 and is meant to prevent the unauthorized use or disclosure of protected health information by implementing appropriate encryption technologies. A federal agency is requiring the University to implement such a regulation by September or face a series of expensive fines. After consultation with the Senate Executive Committee in August, as recommended by the Committee pursuant to Policy 1-001, President Pershing enacted the Interim Rule on August 20, and set plans for the administration to develop a permanent version of the Rule and present it within one year for Senate processing (by the time of the September 2014 meeting of the Senate).

Senate President Mower reported that at its June 17 meeting, acting on behalf of the Senate during the summer term, the Executive Committee approved a proposal from the Senate’s Annuities & Salaries Committee to change its name to Salaries & Benefits Committee and begin using that new name for the 2013-2014 year. (The membership structure and names of this and all of the Senate’s committees will be undergoing study and likely revision during 2013-2014 as a second phase of the project described below for revising policies to integrate Career-line faculty into shared governance).

PAC – 12 Faculty Senate Leaders Coalition Mission Statement was presented by Allyson Mower.

Robert Payne presented the report regarding revised University Policy 3-232 Operating Regulations for Bicycles, Skateboards, Roller-skates and Scooters. The proposed revised Policy was initially presented at the May Senate meeting, and certain problems with that version were identified. A revised version was presented to and approved by the Senate Executive Committee at its June 17 meeting (acting on behalf of the Senate during the summer term because of the time-sensitive nature of the proposal, per Policy 6-002), and was subsequently approved by the Board of Trustees to take effect August 17, in time for the start of fall classes. The policy has had minor revisions to balance the interests of recreation and campus use. Signage and education materials have been distributed. Additional education material will continue through parking services. It was explained that after experience with implementation of this Policy during this academic year a report on its implementation will be presented to the Senate and contents of the the Policy may be proposed for further revision.

Paul Mogren reported on the Resolution for Brooke Hopkins.. This is to honor retired Emeritus Professor (and former Senate member) Hopkins and express to his family condolences regarding his recent death. The Executive Committee acting on behalf of the Senate approved the resolution at its August 19 meeting, so that the resolution could be included in a memorial service for Prof. Hopkins which was held at the University on August 25.
All of the above items were presented without formal recommendations being made by the Senate members.

**New Business**

Assoc. V.P. Amy Wildermuth updated the Senate on the two task forces created last year as a result of the report on Student Course Feedback from James Anderson. The committee that will be looking at the data included in student course feedback will be chaired by Paul Gore and Hank Liese will chair the other committee to evaluate the use of student course feedback. If anyone would like to serve please contact Amy’s office.

An oral update regarding the Senate’s Faculty Budget and Planning Advisory Committee was given by Howard Horowitz, Chair.

A written update regarding the Senate’s Academic Freedom and Faculty Rights Committee was submitted by Mardie Clayton, Chair.

An oral update and preview regarding the ongoing projects of revising multiple policies to (i) integrate Career-line faculty into Senate and committee membership, and (ii) change official nomenclature of categories of faculty plans, was given by Robert Flores and Hank Liese. Further updates on these projects will be provided regularly throughout this year.

**Adjournment**
The meeting adjourned at 5:12 p.m.

Respectfully submitted,
Shawnee Worsley
ADDENDUM

APPENDIX I

RESIGNATIONS, RETIREMENT & APPOINTMENTS

Resignations

1. Dr. Robert E. Hoesch, Assistant Professor of Neurology, effective September 30, 2013.

2. Dr. Imran Zubair, Assistant Professor (Clinical) of Internal Medicine, effective October 1, 2013.

Retirement

1. Dr. C. Richard Chapman, Professor of Anesthesiology, member of faculty for 13 years, effective September 1, 2013.

Administrative Appointments

1. Dr. Wendy Chapman, Chair, Department of Biomedical Informatics, effective September 1, 2013.

2. Ms. Alberta D. Comer, Dean and Director, Marriott Library, effective August 19, 2013.

3. Dr. Ruth A. Gerritsen-McKane, Associate Director of the BSW program, College of Social Work, effective August 16, 2013.

4. Dr. Gary W. Lowder, Assistant Dean of Admissions, School of Dentistry, effective April 1, 2013.

5. Dr. Craige J. Olson, Assistant Dean of Post-Doctoral Residencies & Community Clinics, School of Dentistry, effective April 1, 2013.

6. Dr. Mary J. Taylor, Associate Dean for Research, College of Social Work, effective August 16, 2013.

Tenure-Line Faculty Appointments

ENGINEERING
1. Dr. Dmitro Bedrov, Associate Professor of Material Science & Engineering, effective August 16, 2013. This supersedes the appointment as Research Assistant Professor of Material Science & Engineering.

2. Dr. Hitesh Bindra, Assistant Professor of Chemical Engineering, effective August 16, 2013.
   
   B.S., 2002, Panjab University  
   M.S., 2007, University of Illinois  
   Ph.D., 2010, University of Illinois

3. Dr. Michael P. Hoepfner, Assistant Professor of Chemical Engineering, effective August 16, 2013.
   
   B.S., 2007, University of Utah  
   M.S., 2009, University of Michigan  
   Ph.D., 2013, University of Michigan

LIBRARY

4. Professor Melissa J. Bernstein, Librarian in the Law Library, effective July 1, 2012. This is in addition to her appointment as Professor (Lecturer) of Law.

5. Ms. Lorelei B. Rutledge, Assistant Librarian in the Marriott Library, effective September 1, 2013. This supersedes the appointment as Visiting Assistant Librarian in the Marriott Library.

   
   B.A., 2007, University of Utah  
   M.L.I.S., 2012, University of Southern Mississippi

MEDICINE

7. Dr. Wendy W. Chapman, Professor of Biomedical Informatics, effective September 1, 2013.
   
   B.A., 1992, University of Utah  
   Ph.D., 2000, University of Utah

8. Dr. Michael R. Deans, Assistant Professor of Surgery, effective October 1, 2013.
   
   B.S., 1996, Michigan State University  
   Ph.D., 2002, Harvard Medical School
NURSING

9. Dr. Nancy A. Allen, Assistant Professor of Nursing, effective September 1, 2013.

   B.N., 1983, Northeast Missouri State University
   M.A., 1991, University of Utah
   Ph.D., 2006, University of Massachusetts

PHARMACY

10. Dr. Christopher A. Reilly, Associate Professor of Pharmacology & Toxicology, effective July 1, 2013. This supersedes the appointment as Research Associate Professor of Pharmacology & Toxicology and is in addition to the appointment as Adjunct Associate Professor of Anesthesiology.

SCIENCE

11. Dr. Thomas K. Alberts, Assistant Professor of Mathematics, effective July 1, 2013.

   B.S., 2002, University of Alberta
   Ph.D., 2008, New York University

APPENDIX II

CAREER-LINE, ADJUNCT AND VISITING FACULTY APPOINTMENTS

Appointments of Clinical, Lecturer, Research, Adjunct, or Visiting Faculty

DENTISTRY

1. Dr. Ramon S. Dickson, Adjunct Instructor in the School of Dentistry, effective August 19, 2013 and ending June 30, 2014.

   B.S., 1981, University of Utah
   D.D.S., 1986, University of Washington

2. Dr. Dale R. Linton, Adjunct Instructor in the School of Dentistry, effective August 16, 2013 and ending June 30, 2014.

   B.S., 1969, Brigham Young University
   D.D.S., 1975, Emory University
ENGINEERING

3. Dr. Charles A. Lewinsohn, Adjunct Professor of Material Science & Engineering, effective September 16, 2013 and ending June 30, 2014.

   Ph.D., 1994, University Pennsylvania College

FINE ARTS

4. Mr. Benjamin D. Burrell, Adjunct Instructor in Film & Media Arts, effective August 16, 2013 and ending June 30, 2016.

   B.A., 2002, University of Utah


   B.F.A., 2002, Syracuse University


   B.A., 2001, University of Utah
   M.A., 2003, University of Utah

7. Professor Charlott Greub, Adjunct Assistant Professor of Art & Art History, effective August 16, 2013 and ending June 30, 2016. This is in addition to the appointment as Adjunct Assistant Professor in the School of Architecture.


   M.F.A., 2012, University of Utah

9. Professor Lisa M. Hoyt, Adjunct Assistant Professor of Ballet, effective August 16, 2013 and ending June 30, 2014.

   B.F.A., 2005, University of Utah
   M.A., 2009, University of Utah

B.F.A., 2008, University of Utah
M.F.A., 2011, Yale University

11. Mr. David Kennedy, Adjunct Instructor in Film & Media Arts, effective August 16, 2013 and ending June 30, 2016.

B.A., 1999, Harvard University

12. Professor Christopher W. Lee, Adjunct Assistant Professor of Film & Media Arts, effective August 16, 2013 and ending June 30, 2016.

B.S., 1997, University of Colorado
M.F.A., 2011, University of Utah

13. Mr. Alexander W. Lee, Adjunct Instructor in Film & Media Arts, effective August 20, 2013 and ending June 30, 2016.

B.A., 2007, Boston University

14. Mr. Kent L. Maxwell, Adjunct Instructor in Film & Media Arts, effective August 16, 2013 and ending June 30, 2016.

15. Professor Kelby L. McIntyre-Martinez, Adjunct Assistant Professor of Theatre, effective August 16, 2013 and ending June 30, 2014.

B.F.A., 2002, Shenandoah College
M.F.A., 2006, University of Hawaii


B.S., 2005, Art Institute Pittsburgh

18. Professor Jana L. Schurig, Adjunct Assistant Professor of Film & Media Arts, effective August 16, 2013 and ending June 30, 2016.

   B.A., 2005, Brigham Young University
   M.F.A., 2010, University of Utah

HEALTH

19. Dr. Arwen A. Fuller, Visiting Assistant Professor of Exercise & Sport Science, effective July 1, 2013 and ending June 30, 2014. This supersedes the appointment as Visiting Instructor in Exercise & Sport Science.


   B.A., 2007, Hope College
   M.S., 2009, University of Utah

LIBRARY


   B.A., 2011, California State University
   M.L.I.S., 2013, University of California


   B.A., 1997, Kalamazoo College
   M.S., 2000, University of Illinois

MEDICINE

23. Dr. Richard L. Anderson, Adjunct Instructor in Internal Medicine, effective September 1, 2013 and ending June 30, 2014.

   B.A., 1973, Occidental College
   M.D., 1977, University of Southern California

M.B.B.S., 2004, All-India Institute of Medical

25. Dr. Brian Berk, Adjunct Instructor in Internal Medicine, effective August 1, 2013 and ending June 30, 2014.

B.A., 1990, Hofstra University
M.D., 1994, University of Chicago

26. Dr. Teresa J. Bormann, Adjunct Instructor in Family & Preventive Medicine, effective September 1, 2013 and ending June 30, 2014.

B.S., 1994, University of South Dakota
M.D., 1998, University of North Dakota

27. Dr. David H. Bradshaw, Adjunct Assistant Professor of Anesthesiology, effective August 1, 2013 and ending June 30, 2014. This supersedes the appointment as Research Assistant Professor of Anesthesiology.

28. Dr. Janice L.B. Byrne, Adjunct Professor of Pediatrics, effective September 1, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Associate Professor of Pediatrics and is in addition to the appointment as Professor (Clinical) of Obstetrics & Gynecology.

29. Dr. Meghan S. Candee, Adjunct Assistant Professor of Neurology, effective September 1, 2013 and ending June 30, 2014. This is in addition to the appointment as Assistant Professor (Clinical) of Pediatrics.

30. Dr. Julia Connelly, Assistant Professor (Clinical) of Psychiatry, effective September 23, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Instructor in Psychiatry and is in addition to the appointment as Adjunct Assistant Professor of Educational Psychology.

31. Dr. Sonya Dhar, Adjunct Assistant Professor of Ophthalmology, effective July 1, 2013 and ending June 30, 2014.

B.A., 1999, Boston University
M.A., 2000, Boston University
M.A., 2002, Boston University
M.D., 2006, Boston University
32. Dr. John R. Doty, Adjunct Professor of Surgery, effective September 15, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Associate Professor of Surgery.

33. Dr. John G. Farr, Adjunct Assistant Professor of Anesthesiology, effective August 1, 2013 and ending June 30, 2014. This supersedes the appointment as Instructor (Clinical) in Anesthesiology.

34. Dr. Rafael Firszt, Adjunct Instructor in Dermatology, effective August 12, 2013 and ending June 30, 2014. This is secondary to the appointment as Instructor in Pediatrics.

35. Dr. Matthew R. Grantz, Adjunct Assistant Professor of Neurology, effective October 1, 2013 and ending June 30, 2014.

   B.S., 1998, Fort Lewis College
   M.D., 2007, University of Colorado

36. Ms. Heidi A. Hanson, Visiting Instructor in Family & Preventive Medicine, effective October 1, 2013 and ending June 30, 2014.

   B.S., 2002, University of Utah
   M.S., 2012, University of Utah


   B.S., 1996, Auburn University
   M.D., 2005, Emory University

38. Dr. Joseph T. Krezowski, Adjunct Instructor in Internal Medicine, effective October 22, 2013 and ending June 30, 2014.

   B.A., 2003, Carroll College
   M.D., 2007, University of Washington

39. Dr. Megan H. Link, Visiting Instructor in Obstetrics & Gynecology, effective September 1, 2013 and ending June 30, 2014.

   B.S., 2003, College of Southern Idaho
   M.D., 2009, University of Washington
40. Dr. Robert S. Macleod, Adjunct Professor of Internal Medicine, effective September 1, 2013 and ending June 30, 2014. This supersedes the appointment as Research Associate Professor of Internal Medicine and is secondary to the appointment as Professor of Bioengineering.

41. Dr. Kathleen M. Mcelligott, Adjunct Associate Professor of Pediatrics, effective October 1, 2013 and ending June 30, 2014. This supersedes the appointment as Associate Professor (Clinical) of Pediatrics.

42. Dr. Michelle L. Palmer, Adjunct Instructor in Family & Preventive Medicine, effective October 1, 2013 and ending June 30, 2014.

   B.S., 1999, Brigham Young University
   M.P.H., 2003, University of Utah
   M.D., 2008, University of Utah

43. Dr. Jane M. Porretta, Adjunct Associate Professor of Surgery, effective October 1, 2013 and ending June 30, 2014.

   B.S., 1984, Marquette University
   M.D., 1989, Wayne State University

44. Dr. Kristina A. Roberts, Visiting Instructor in Pathology, effective September 17, 2013 and ending June 30, 2014.

   B.A., 2000, Wellesley College
   Ph.D., 2009, Harvard Medical School

45. Dr. Joshua D. Schiffman, Adjunct Associate Professor of Oncological Sciences, effective September 4, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Assistant Professor of Oncological Sciences and is secondary to the appointment as Associate Professor of Pediatrics.

46. Dr. Matthew K. Topham, Adjunct Professor of Oncological Sciences, effective September 4, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Associate Professor of Oncological Sciences and is secondary to the appointment as Professor of Internal Medicine.

47. Dr. Charles W. Watts, Adjunct Instructor in Psychiatry, effective August 26, 2013 and ending June 30, 2014.

   B.S., 2003, University of Utah
   M.D., 2009, University of Utah
48. Dr. Xinjie Xu, Assistant Professor (Clinical) of Pathology, effective August 20, 2013 and ending June 30, 2014.

B.S., 2004, Fudan University  
Ph.D., 2009, University of Wisconsin

49. Dr. Suzanne M. Yandow, Professor (Clinical) of Orthopedic Surgery, effective September 1, 2013 and ending June 30, 2014.

B.S., 1979, University of Alabama  
M.D., 1984, University of South Florida

50. Dr. Jeffrey T. Yap, Research Associate Professor of Radiology, effective October 1, 2013 and ending June 30, 2018.

B.S., 1988, University of Texas  
Ph.D., 1998, University of Chicago

MINES

51. Dr. Eric R. Pardyjak, Adjunct Professor of Atmospheric Sciences, effective July 1, 2013 and ending June 30, 2014. This supersedes the appointment as Adjunct Associate Professor of Atmospheric Sciences and is secondary to the appointment as Professor of Mechanical Engineering.

NURSING


B.S., 1990, Brigham Young University  
M.S., 2003, University of Utah


B.A., 1980, University of Houston  
B.N., 1994, University of Colorado  
M.S., 2012, University of Utah

SCIENCE
54. Professor Grigori Avramidi, Research Assistant Professor of Mathematics, effective August 23, 2013 and ending June 30, 2016.

B.S., 2007, California Institute of Technology
M.S., 2009, University of Chicago

SOCIAL WORK

The following individuals have been recommended for appointment as Clinical Instructor in Social Work effective August 1, 2013 and ending June 30, 2014.

55. Ms. Randi L. Garvin, M.S.W., 2011, University of Utah
56. Ms. Mary J. Gramer-Smithe, M.S.W., 1993, University of Utah
57. Ms. Tamara Little, M.S.W., 1997, Brigham Young University
58. Ms. Meghan P. Vickrey, M.S.W., 2008, University of Utah
59. Ms. Amber M. Woodward, M.S.W., 2003, University of Utah

The following individuals have been recommended for appointment as Assistant Professor (Lecturer) in Social Work effective August 16, 2013 and ending June 30, 2014.

60. Mr. Troy C. Andersen, M.S., 2010, University of Utah
61. Mr. Jerry Buie, M.S.W., 1994, University of Utah

The following individual has been recommended for appointment as Clinical Instructor in Social Work effective August 19, 2013 and ending June 30, 2014.

62. Ms. Kimberlee A. Baker, M.S.W., 2009, University of Utah

The following individual has been recommended for appointment as Clinical Instructor in Social Work effective August 20, 2013 and ending June 30, 2014.

63. Mr. Daniel J. Stewart, M.S.W., 2008, University of Utah

APPENDIX III

EMERITUS APPOINTMENT

Emeritus Appointment

1. Dr. Alan D. Fogel, Professor Emeritus of Psychology, member of faculty for 25 years, effective July 1, 2013.
Coversheet & Checklist form—for submitting to Academic Senate Executive Committee

Proposal for addition/revision of University Regulation.

(Rev.2013-8)  http://regulations.utah.edu/info/IPCresources.php

1. Regulation(s) involved (type, number, subject): 6-101

2. Responsible Policy Officer (name & title): Ed Barbanell, Undergraduate Studies

3. Contact person(s) for questions & comments (name, email, phone#): Ed Barbanell
   edward.barbanell@utah.edu  585-6423

4. Presenter to Senate Exec (if different from contact person. name, phone#): Ed Barbanell

5. Approvals & consultation status.

   a. Administrative Officers who have approved (VP/President, name & date):

   b. Date(s) processed through Institutional Policy Committee:

   C. Other Committees/Councils/other Officers consulted: Council of Academic Deans 8/22

6. Check YES or NA (not applicable) of documents submitted--- (In digital form. Preferred file format MS Word doc. Special exception allowed for PDF format if previously arranged.)

   Yes Explanatory memorandum (key points of proposal, rationale).

   Yes VP/Presidential approval signatures (separate sheet, or affixed to memo cover).

   Yes Text of proposed Regulation addition/revision.

   Yes (If revision of existing Regulation) text changes are clearly marked, using permanent font markings (not MS Word ‘Track’ Changes non-permanent markings unless special exception previously arranged).

Date submitted to Senate Office: 8/22/2013

After presentation the Executive Committee will consider whether the proposal is ready for the full Senate, schedule it on a Senate agenda if so, and categorize it either as i) a matter of academic significance—set on the “Intent” & “Debate” Calendars presumptively over two monthly meetings with final “approval” voting at the second, or ii) not academically significant—set on the “Information & Recommendations” Calendar for a single monthly meeting, with opportunity for questions and recommendations from senators to the presenter. See Policy 1-001 http://regulations.utah.edu/general/1-001.php ; Rule 1-001 http://regulations.utah.edu/general/rules/R1-001.php ; Senate procedures http://admin.utah.edu/academic-senate. Further information-- Senate Secretary: Shawnee Worsley 581-5203 shawnee.worsley@utah.edu
April 1, 2013

TO: Ann Darling
    Chair, Undergraduate Council

FR: Ed Barbanell
    Associate Dean, Undergraduate Studies

RE: Proposed Revision to University Policy 6-101, Sec. 3.H-2: "Department and College Admission Criteria"

Earlier this year, we completed a major revision to University Policy 6-404 (Undergraduate Admission). In doing so, we determined that the one-paragraph section of 6-404 covering "Department and College Admission Criteria" really did not belong in the Undergraduate Admission policy and that it should be rewritten to better reflect current practices. In order to expedite approval of the revisions to 6-404, we decided that the paragraph in question should be moved to Policy 6-101 (Undergraduate Study and Degrees), as section 3.H-2, with the following note pre-pended to it: "As of 2013 this subsection H-2 (which formerly appeared in Policy 6-404-Sec.6 Rev. 15—Undergraduate Admissions and has been moved here to 6-101) is under review for substantial revision. Contact the office of Undergraduate Studies for further information."

A broad-based committee was formed to review/revise this policy; it included representatives from Student Affairs (Andrea Roner), University College (Sharon-Aiken Wisnewski), Undergraduate Studies (Ed Barbanell), General Counsel’s Office (Robert Payne) and the Credits and Admissions Committee (Kevin Perry), as well as the Associate Deans from the colleges that have selective admissions to undergraduate majors in their college: Architecture (Keith Bartholomew), Business (Christine Botosan), Engineering (James de St. Germain), Fine Arts (Brent Schneider), and Nursing (Gerrie Barnett).

We looked first to potential guidance from other schools, particularly other PAC-12 schools, and determined to our satisfaction that the University of Utah is probably alone among them as having documented, centralized Policy on this issue. We next looked to the various structures of the extant departmental admissions criteria currently in force here at the University of Utah, to see if there were any outliers, and we determined that there is a high degree of structural commonality among them.

Lastly, we reviewed the process by which the various criteria should come into being and change over time. What we determined is that, conceptually and procedurally, changes to departmental admissions criteria are akin to changes in major requirements, such that they (1) should be vetted through the appropriate college curriculum committee and (2) should implemented and promulgated through the existing curricular change process.

Both the existing 6.101.3.H-2 and the proposed revision to it are attached.
Existing 6-101.3.H-2:

Department and College Admission Criteria:

Admission to the University as a freshman student, or as a student with advanced standing, is not to be construed as assuring acceptance into a specific department or college of the University. Departments or colleges may establish special major admission criteria which differ from the existing general requirements for admission and/or maintenance of good standing for the University at large. When such criteria apply to an entering freshman, the criteria may consist of measures of aptitude or achievement other than high school grades. In cases where an entering freshman student is excluded from a major from a particular department or college because of his/her inability to meet such criteria, provisions must be made by the department or college concerned to ensure the student a subsequent opportunity to meet the criteria. Standards for admission as a major in a department or college for a student with advanced standing may include university grade point achievement, in addition to other performance or aptitude measures. A department or college may require completion of a specified number of student credit hours as one of the criteria for admission as a major. All such criteria must be approved in advance by the appropriate college council and the Academic Senate. In the absence of such approved special criteria, admission to the University at large shall constitute automatic admission as a major into any undergraduate program of study. All special criteria for admission as a major in any department or college shall be published in the General Catalog and in any departmental brochures distributed for student information. The University reserves the right to change at any time the requirements for admission. Unless otherwise provided the effective date of new admission requirements shall be determined by the President.

Proposed revised 6-101.3.H-2:

Department and College Admission:

Admission to the University as an undergraduate student is not to be construed as assuring acceptance into a specific department or college of the University. Departments or colleges may establish special major admission criteria that differ from the existing general requirements for admission and/or maintenance of good standing for the University at large. All such criteria must be approved in advance by the appropriate college council. All special criteria for admission as a major in any department or college shall be published in the General Catalog and in any applicable materials made available for student information.
Council Approval

Note: This form is intended to track the progress of a proposal (whether from Academic Affairs or Health Sciences) through the Undergraduate and Graduate Councils.

Proposal: Name Change for Division of Cardiovascular Medicine

This proposal needs to go through:

- Undergraduate Council
- Graduate Council [X]
- Both Approvals
- Grad Approval/Undergrad Notification

This proposal has been approved by:

Chair of Undergraduate Council

Chair of Graduate Council [signature] Date: 8/27/13

Once the appropriate signature(s) have been obtained, please forward this completed form to the Office of the Senior Vice President for Academic Affairs. (NOTE: The SVP-AA is the Chief Academic Office for the University of Utah and reports to the Board of Regents in this capacity. When necessary, the CAO will get a signature from the SVP-HSC.)

Chief Academic Officer [signature] Date:

Once the Chief Academic Officer’s signature has been obtained, this approval document will be forwarded to the Office of the Academic Senate.
Institution Submitting Request: School of Medicine
Proposed Title: Division of Cardiovascular Medicine
Currently Approved Title: Division of Cardiology
School or Division or Location: School of Medicine/Department of Internal Medicine/Division of Cardiology
Department(s) or Area(s) Location: Department of Internal Medicine/Division of Cardiology/School of Medicine
Recommended Classification of Instructional Programs (CIP) Code¹ (for new programs): N/A
Current Classification of Instructional Programs (CIP) Code (for existing programs): N/A
Proposed Beginning Date (for new programs): 07/01/2013
Institutional Board of Trustees' Approval Date: 07/01/2013

Proposal Type (check all that apply):

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</table>

*Requires "Section V: Program Curriculum" of Abbreviated Template

Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

[Signature]

Date: MM/DD/YEAR

Printed Name: Name of CAO or Designee

¹ CIP codes must be recommended by the submitting institution. For CIP code classifications, please see the "Undergraduate and Graduate Coursework (UGEC) Part 1" for more information.
Proposal: The Department of Internal Medicine and the Division of Cardiology Propose to Change the Name of the Division of Cardiology to the Division of Cardiovascular Medicine.

Request
The Department of Internal Medicine proposes to change the name of the Division of Cardiology to the Division of Cardiovascular Medicine.

Need
The need is to align the name of the Division with the name of its Cardiovascular Disease Fellowship, its ACGME accredited fellowship program. The Department of Internal Medicine and the Division of Cardiology wish to update terminology to be more current and in line with the profession. This change has been recognized by the ABIM, ACGME, and the AHA. The leading academic institutions of this country use this designation.

Institutional Impact
There should be little, if any, institutional impact with changing the name of the Division of Cardiology to the Division of Cardiovascular Medicine.

Costs
At this time the only anticipated costs include printing of stationery. The budgetary impact is expected to be nominal.

Practice Elsewhere
Making this change is consistent with terminology used by other leading academic institutions.

Changes, if any, in precise names of degrees offered
The degree names remain the same. The Division name becomes consistent with the degree granted.

Changes, if any, in catalog prefix descriptions, course designations, etc.
None
May 29, 2013

Vivian S. Lee, M.D., Ph.D., M.B.A.
Senior Vice President for Health Sciences
Dean, School of Medicine
CEO, University Health Care

Re: Division of Cardiovascular Medicine

Dear Dr. Lee:

We would like to update the name of the Division of Cardiology to the Division of Cardiovascular Medicine (also to be known as the “Cardiovascular Division”). This proposal acknowledges the evolution of this discipline over the past 3 decades to encompass the care and study of cardiovascular disease rather than just cardiac disease in isolation.

This change has been recognized by the ABIM, ACGME, and the AHA. The leading academic institutions of this country have also embraced this new designation (e.g. the Cardiovascular Division of the Brigham and Women’s Hospital). Furthermore, the curriculum mandated by the ACGME in “cardiology” fellowship training includes specific topics in vascular medicine; interventional cardiology training in many fellowship programs involves both vascular medicine training and the performance of endovascular procedures outside of the coronary tree.

Finally, this change would be consistent with the vision of University of Utah Healthcare to provide high quality healthcare and innovation along integrated, disease specific lines.

This proposed division name change was voted on the e-vote system by the Division of Cardiology faculty on May 24, 2013. There were 33 approvals, 3 disapprovals and 0 abstentions for this change.

Sincerely,

John Hoidal, M.D.
Clarence M. and Ruth N. Birrer
Presidential Endowed Chair
Department of Internal Medicine

James C. Fang, M.D.
Professor of Medicine and
Chief, Division of Cardiology
June 17, 2013

Dr. Edward M Barbanell
195 CENTRAL CAMPUS DR RM 110
SALT LAKE CITY, UT 84112

Dear Dr. Barbanell:

On June 17, 2013 at Executive Committee Meeting the following name changes about departments were discussed and approved:

- Department of Ophthalmology would like to be recognized as the Department of Ophthalmology and Visual Sciences.
- Department of Orthopedics would like to be recognized as the Department of Orthopaedics.
- The Division of Cardiology would like to be recognized as the Division of Cardiovascular Medicine. This Division is part of the Department of Internal Medicine.

The vote results were as follows:

- Department of Ophthalmology and Visual Sciences – 15 approvals/0 disapprovals/1 abstention
- Department of Orthopaedics – 15 approvals/0 disapprovals/1 abstention
- Division of Cardiovascular Medicine, Department of Internal Medicine – 16 approvals/0 disapprovals/0 abstentions

I am supportive of these department/division name changes.

Sincerely,

Vivian S. Lee, M.D., Ph.D., M.B.A.

VSL/pna
Council Approval

Note: This form is intended to track the progress of a proposal (whether from Academic Affairs or Health Sciences) through the Undergraduate and Graduate Councils.

Proposal: Discontinue the Revitalization of Endangered Languages
Certificate

This proposal needs to go through:

- Undergraduate Council  X
- Graduate Council  
- Both Approvals  
- Grad Approval/Undergrad Notification  

This proposal has been approved by:

Chair of Undergraduate Council  
Date: 2/04/2013

Chair of Graduate Council  
Date:

Once the appropriate signature(s) have been obtained, please forward this completed form to the Office of the Senior Vice President for Academic Affairs. (NOTE: The SVP-AA is the Chief Academic Office for the University of Utah and reports to the Board of Regents in this capacity. When necessary, the CAO will get a signature from the SVP-HSC.)

Chief Academic Officer  
Date:

Once the Chief Academic Officer’s signature has been obtained, this approval document will be forwarded to the Office of the Academic Senate.
Institution Submitting Request: *University of Utah*

Proposed Title: *Revitalization of Endangered Languages and Culture Certificate*

Currently Approved Title: *Revitalization of Endangered Languages and Culture Certificate*

School or Division or Location: *College of Humanities*

Department(s) or Area(s) Location: *Linguistics Department*

Recommended Classification of Instructional Programs (CIP) Code¹ (for new programs): 00.0000

Current Classification of Instructional Programs (CIP) Code (for existing programs): 1.010

Proposed Beginning Date (for new programs): EAR

Institutional Board of Trustees’ Approval Date: EAR

Proposal Type (check all that apply):

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*Requires “Section V: Program Curriculum” of Abbreviated Template

**Chief Academic Officer (or Designee) Signature:**

I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

____________________________________  _____________________
Signature                                      Date:

Printed Name:

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Section I: Request

The Department of Linguistics at the University of Utah is requesting that the Revitalization of Endangered Languages and Culture Certificate be discontinued.

Section II: Need

The Department of Linguistics is no longer able to offer the courses required for the certificate due to recent changes in the faculty.

Section III: Institutional Impact

Because the courses are not offered, there are currently no students pursuing this certificate. The proposed change will not affect existing administrative structure in any way.

Section IV: Finances

The proposed change has no budgetary implications.
August 19, 2013

To: Ann Darling, Senior Associate Dean
   Office for Undergraduate Studies

From: Robert Newman, Dean

RE: Discontinuing Revitalization Certificate

Cc Edward Rubin, Chair, Department of Linguistics

I am writing to support the Department of Linguistics' decision to discontinuing offering the Revitalization Certificate. Due to changes in faculty personnel, the department can no longer offer the courses required for this certificate.
Council Approval

Note: This form is intended to track the progress of a proposal (whether from Academic Affairs or Health Sciences) through the Undergraduate and Graduate Councils.

Proposal: Data Center Engineering Certificate

This proposal needs to go through:

Undergraduate Council [X]
Graduate Council [ ]
Both Approvals [ ]
Grad Approval/Undergrad Notification [ ]

This proposal has been approved by:

Chair of Undergraduate Council [Signature] Date: 9/06/2013
Chair of Graduate Council [Signature] Date:

Once the appropriate signature(s) have been obtained, please forward this completed form to the Office of the Senior Vice President for Academic Affairs. (NOTE: The SVP-AA is the Chief Academic Office for the University of Utah and reports to the Board of Regents in this capacity. When necessary, the CAO will get a signature from the SVP-HSC.)

Chief Academic Officer [Signature] Date:

Once the Chief Academic Officer’s signature has been obtained, this approval document will be forwarded to the Office of the Academic Senate.
Institution Submitting Request: School of Engineering/Scientific Computing and Imaging (SCI) Institute
Proposed Title: Data Center Engineering Certificate
Currently Approved Title: NONE
School or Division or Location: College of Engineering: Center for Extreme Data Management Analysis and Visualization School of Computing
Department(s) or Area(s) Location: School of Computing, Electrical Engineering, Mechanical Engineering
Recommended Classification of Instructional Programs (CIP) Code\(^1\) (for new programs): 14.01
Current Classification of Instructional Programs (CIP) Code (for existing programs): 14.01
Proposed Beginning Date (for new programs): 08/27/2013
Institutional Board of Trustees' Approval Date: \(\text{MM/DD/YEAR}\)

| Proposal Type (check all that apply): Regents' General Consent Calendar Items |
|-------------------------------|-------------------------------|
| \(\text{R401-5 OCHE Review and Recommendation; Approval on General Consent Calendar}\) |
| **SECTION NO.** | **ITEM** |
| 5.1.1 | Minor* |
| 5.1.2 | Emphasis* |
| 5.2.1 | Certificate of Proficiency* |
| 5.2.3 | Graduate Certificate* |
| 5.4.1 | New Administrative Unit |
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Chief Academic Officer (or Designee) Signature:
I certify that all required institutional approvals have been obtained prior to submitting this request to the Office of the Commissioner.

\[\text{Signature}\]

\[\text{Ruth V. Watkins}\]

\[\text{Date: MM/DD/YEAR}\]

\(^1\) CIP codes must be recommended by the submitting institution. For CIP code classifications, please see \(\text{http://nces.ed.gov/ipeds/cipcode/Default.aspx?y=55}\).
Printed Name:  name of CAO oresignee
Program Request
The Center for Extreme Data Management, Analysis and Visualization
(College of Engineering and Scientific Computing and Imaging (SCI) Institute)
Data Center Engineering Certificate
04 11 013

Section I: Request

The Center for Extreme Data Management, Analysis and Visualization (CEDMAV) respectfully requests permission to establish an Undergraduate Data Center Engineering Certificate. This certificate would prepare students to deal with the specific needs and challenges of the complex environments of modern data centers in government, industry, and academia. In particular, the program will provide the students with skills associated with facility planning, decision making supporting operations management, infrastructure design, and resource management for (large scale) data centers.

We seek approval to enable students to earn a certificate by taking 27 credit hours involving areas such as Computer Science, Electrical Engineering, and Mechanical Engineering. Students will choose two classes from each area plus management and capstone class on best practices in data center operations (new class). This program is designed to provide students with the broad foundational preparation needed for managing operations in modern data centers. This interdisciplinary combination of classes addresses the specific needs of this industry sector for a skilled workforce with knowledge in power and thermal engineering, computer science, general management, and best practices for managing large scale facilities.

We expect a diverse student population. Some students, possibly already working in the industry, will be allowed to go through the certificate program at a moderate pace by taking two classes per semester as described in the schedule in appendix A. Other students may take this certificate as a short intensive program and complete the coursework within a year by taking four classes per semester. Overall, the students will be required to take 27 hours of total credit to complete the certificate.

The selection of classes outlined in this certificate proposal has been developed with multiple rounds of intense consultation with faculty of the departments involved. In particular, once we identified this gap in our curriculum, the faculties in each department have been consulted to recommend which classes would best fulfill the combined needs of this interdisciplinary program. During the process, we also relied on the direct involvement of each department chair to guarantee proper coordination and each curriculum committee to validate the sound academic structure of the certificate. The proposal is being submitted after having received positive feedback from all the parties involved, as also indicated by the attached letters of endorsement from the Director of the School of Computing Al Davis, the Chair of the ECE Department Gianluca Lazzi, the Chair of the Mechanical Engineering Department Tim Ameel, and the Director of Information Systems Programs Bradden Blair.

The overall certificate will be coordinated by Valerio Pascucci and Greg Jones. They will focus on maintaining proper coordination among the departments and be available to students for general advice on the program. They will also work at maintaining effective engagement and support from industry partners.
and develop opportunities for site visits to state of the art facilities, internships for hands-on experience, and guest lecturers especially in the capstone class. Given the heterogeneous structure of the program, we have also identified a coordinator in each department to advice students in a specific area. The coordinators currently identified are Jeff Philips for the School of Computing, Tim Ameel for the ME Department, Faisal Khan for the ECE Department and Bradden Blair for the Information Systems Programs.

Section II: Need

The University of Utah is poised to become a world leader in research and education for training Data Center Engineers and, in general, for dealing with the Big Data challenges of the future. Dealing with massive amounts of data is emerging as one of the main challenges in information technology. With both the amount of data and uses of the data expected to grow dramatically, this challenge and the needed workforce to address it will continue to grow at a significant rate. The data growth challenge has led most industries to create data center facilities where large amounts of data are collected and processed with a variety of demands in terms of reliability, efficiency and flexibility. This trend has created a new demand for a skilled workforce with a profile that has not been addressed by the traditional structure of university curricula. In particular, people need the skills to deal with the special challenge of highly concentrated computing and networking infrastructure where one cannot separate the problems of achieving power efficiency, processing data with high performance computing resources, and managing the heat output all within an environment with little to no downtime no matter the outside environment. While the creation of new data center facilities constitutes a growing global trend, it is particularly accentuated in the state of Utah, which has proven to be an ideal ground for developing such large-scale facilities on a basis of energy efficiency principles.

In this effort, students will be trained in project management, which will add value to the Data Center community, and lead to new innovations and ventures in Utah. Our vision is that these students will be enriched with the know-how to manage, entrepreneur, and innovate data center operations, especially in their need to adopt green technologies and achieve sustainable operations. Overall they will also derive an enhanced skillset, by which they will meet a growing need of skilled Data Center Engineers. This certificate will fill the lack of programs offered in the intermountain region, which we are ready to accommodate. Currently, there are no programs offered through Intermountain universities.

Letters of Support in Appendix B

Section III: Institutional Impact

It is expected this new certificate will essentially use classes that already exist. However, we will create one class that will train students in the current best practices used in running large-scale data centers: Current Data Center Operational Practices. This course will be the capstone to the program. The other courses, outlined below, are very suitable for this program and no new facilities or modifications will be needed. With a projected enrollment of 30 students, when the certificate program reaches its maturity, we do not expect a need for additional faculty commitment.
Students will experience the meshing of mechanical, electrical and computer engineering work in the early semesters of the certificate. This will allow them to develop the solid interdisciplinary training needed to work in a facility with large amounts of storage and high performance computing capabilities, which requires dealing efficiently with the power and the thermal challenges involved. The certificate will end with an immersion in the managerial dimension of the skillset required in running a large-scale data center facility and its personnel. As has been the case from the inception of this certificate, during the execution of this program we will continue to maintain direct involvement from industry and government partners both in terms of presentations in our classes as well as in organizing a series of internships where the students will be able to have additional hands-on experience on the field while developing the interactions that can lead to employment opportunities.

Following the course outline, participating students will continue to connect with other students and professionals in this field, which will require students to develop individually and in small groups, understand and identify engineering knowledge leading them to a thorough understanding of the principles of large-scale data center management.

In addition to the capstone course, the program requires students to develop and deliver skills in the Computer Science, Electrical Engineering, Mechanical Engineering and Management fields. These are courses designed to promote this new knowledge at the proper beginning level needed for this certificate.

**Section IV: Finances**

It is projected that there will not be any significant increase in administrative load (recruiting, admissions, orientation, advising, and career management) for the department and any eventual cost will be offset by the increase to overall enrollment with time.

We anticipate that the students will be primarily undergraduates that will pay full tuition for the courses, and include any differentials with accompanying usual and customary fees. The departments and colleges will actively pursue external funding for scholarships/assistantships. Our intent for this is to increase enrollment by 30 undergraduate students enrolled within the first 5 years.
Section V: Program Curriculum

All Program Courses (with New Courses in Bold)

Data Center Engineering Certificate

The central component of the Data Center Engineering program is a certificate that involves 8 classes in Computer Science, Electrical Engineering, Mechanical Engineering, and Management (two in each area). These classes are organized as follows:

- General requirements (6 credits):
  - OIS 5670 – Managing Service Operations (3 credits):
    - 3 credits

  Service companies constitute the largest and fastest-growing segment of the economies of the United States and many other countries. To successfully compete in this emerging service economy, it is critical for business managers to understand the managerial issues and problems unique to designing, producing, marketing and delivering services. This course aims to develop a better understanding of best practices in the service sector through analysis of leading-edge firms and the strategies they have employed to create and maintain competitive advantage. Topics include the design and delivery of breakthrough services, managing the service encounter, and the role of technology, in particular information technology, in changing the nature of the service delivered and/or the way in which the service is delivered. The course relies on the analysis of a number of case studies, and includes a project where the principles developed in the course are applied to a real service organization.

  - CS 5030 – Data Center Operational Practices (3 credits):
    - 3 credits

  This course will focus on the evolving design elements and the latest operational practices employed in modern, large-scale data centers for efficient management of electric power, computational and data load, and cooling. The course will include both seminars by professionals from design firms and local data centers and reports by students who have completed internships at these facilities. We will also tour several local data centers during the term and expose students to the latest green technologies adopted in Utah data centers. Enrollment is limited to those enrolled in the Data Center Engineering program with either senior or masters student standing.

- Two classes in Mechanical Engineering (Thermal Systems and Design) (7 credits):
  - ME EN 3650 Heat Transfer for non-majors (prerequisites waved)
- Credits 4

Basic mechanisms of heat transfer, law of conservation of energy, conduction, convection, radiation, heat transfer with change of phase, heat exchangers.

- One class chosen among the following three:
  - ME EN 5800 Sustainable Energy Engineering:
    - Credits 3

  Engineering of energy collection and production systems that satisfy long-term energy needs while minimizing damage to the earth's ecosystem. Conversion of chemical and nuclear fuels to produce work or electrical energy. Solar, wind, biomass, geothermal, co-generation and direct energy conversion. Conservation, seasonal underground energy storage, and hydrogen production technologies.

  - ME EN 5810 Thermal System Design:
    - Credits 3

  Design of steam-power plants, feed-water heater systems, pumping systems, compressor blades, turbine blades, and heat exchangers. Equation fitting and economic analysis as basis of design decisions. Optimization of thermal systems using Lagrange multipliers, search methods, dynamic programming, geometric programming, and linear programming. Probabilistic approaches to design.

  - ME EN 5820 Thermal Environmental Engineering:
    - Credits 3

  Principles of design of systems for heating and cooling of buildings. Heat-load calculations, psychometrics, thermodynamic systems, and solar-energy concepts.

- Two classes in Computer Science (8 credits):
  - CS 3810 - Computer Organization:
    - Credit hours 4

  An in-depth study of computer architecture and design, including topics such as RISC and CISC instruction set architectures, CPU organizations, pipelining, memory systems, input/output, and parallel machines. Emphasis is placed on performance measures and compilation issues.

  - CS 4400 - Computer Systems:
    - Credit hours 4
Introduction to computer systems from a programmer's point of view. Machine level representations of programs, optimizing program performance, memory hierarchy, linking, exceptional control flow, measuring program performance, virtual memory, concurrent programming with threads, network programming

- Two classes in Electrical and Computer Engineering for Power Engineering (6 credits):
  - ECE 2210 Electrical and Computer Engineering for Non-majors:
    - 3 credits
      Fundamentals of electrical and computer engineering topics for non-electrical and computer engineers. Covers fundamentals of dc and ac circuit theory, active semiconductor devices (diodes, transistors, amplifiers), 60 Hz-power circuits and equipment (2 and 3 phase circuits, transformers, motors), transducers and actuators, safety considerations.
  - ECE 3600 Introduction to Electric Power Engineering:
    - 3 credits
      Introduction to AC power generation, distribution, and use. Topics will include single-phase and 3-phase power, power factors and corrections, transformers, power distribution and the grid, generation plants, and some wiring and AC motors
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<td>Electrical and Computer Engineering for Non-majors</td>
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<tr>
<td>ECE 3600</td>
<td>Introduction to Electric Power Engineering</td>
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<td>ME EN 3650</td>
<td>Heat Transfer for non-majors</td>
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<td>ME EN 5820</td>
<td>Thermal Environmental Engineering</td>
<td></td>
</tr>
<tr>
<td>OIS 5670</td>
<td>Managing Service Operations</td>
<td>3 credits</td>
</tr>
<tr>
<td>CS 5030</td>
<td>Data Center Operational Practices (new class defined by Steve Corbato)</td>
<td>3 credits</td>
</tr>
</tbody>
</table>

Sub-Total 27 credits

| Elective Courses        |                                                            |              |

Sub-Total

| Track/Options (if applicable) |                                                            |              |

Sub-Total

| Total Number of Credits     | 27 credits                                                 |              |
Section VI: Program Offering

The proposed Data Center Engineering program will be offered with two main mechanisms:

(1) as a certificate combined with an undergraduate degree offered by one of the three core departments or

(2) as a standalone certificate offered via continuing education and certified for completion directly by the college of engineering.

The first option targets students that want to pursue a traditional degree while achieving the interdisciplinary preparation provided the certificate. In this option the certificate will be offered by designing a special version of the undergraduate programs in the following four degrees: Computer Engineering, Electrical Engineering, Mechanical Engineering, and Computer Science. For each of these degrees, we have developed a structure that uses most of the technical electives to complete the Data Center Engineering Certificate while satisfying all the requirements of the core undergraduate programs. In this way the students can be awarded a regular undergraduate degree with the addition of the certificate in data center engineering. In appendix A, we attach the four advising sheets that implement this structure and that have been approved by the relative departments.

The second option targets students that need to broaden their existing preparation and experience by pursuing the eight classes of the certificate but that do not need a full degree (e.g. they may already have a BS in computer science). These are students will not be matriculated at the University but will be allowed to register to the classes via the continuing education program (the procedure for cross listing the classes with continuing education will start upon approval of this proposal). CEDMAV and the college of engineering will manage directly this direct admission of the students to the certificate and track their progress. Upon successful completion of all the classes a certificate of completion will be issued to the students cosigned by the director of the program and the dean of the college of engineering. Appendix A also reports a possible plan for students taking the stand-alone option of the certificate.
Appendix A: Advising Forms

STUDENT ID #: __________________________ Name __________________________

COMPUTER ENGINEERING: Data Center Engineering Certificate

2013-2014
Bachelor of Science Degree Requirements

PRE-MAJOR REQUIREMENTS (7)

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Hrs</th>
<th>Sem</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS 1410 CS I or CS 2000 (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>CS 2420 CS II (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>ECE 1250 ECE Design (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>MATH 1210 Calc I (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>MATH 1220 Calc II (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>PHYS 2210 Eng Phys I (4)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>WRTG 2010 or ESL 1060 (3)</td>
<td>/</td>
<td>/</td>
<td></td>
</tr>
</tbody>
</table>

Composite Admission Score

UPPER DIVISION WRITING REQUIREMENT (1)

WRTG 3014 (or 3015) (3) /

ADDITIONAL MATH/SCIENCE CLASSES (4)

Math 2210, Math 2250, and Physics 2220 are required. Additional class required. Choose from
Biol 1210, Chem 1210, Math 3150, Math 5600, CS 3200 or Physics 3740.

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Hrs</th>
<th>Sem</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>MATH 2210 Calc III</td>
<td>(3)</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>MATH 2250 DE &amp; Lin Alg</td>
<td>(4)</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>PHYS 2220 Eng Phys II</td>
<td>(4)</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>ME 3650 Heat Transfer</td>
<td>(4)</td>
<td>/</td>
<td></td>
</tr>
</tbody>
</table>

MAJOR REQUIREMENTS (14 courses – all required)

ECE 1900 Freshman Seminar (5)
ECE 2240 Electric Circuits (4)
CS 2100 Discrete Structures (3)
ECE 2280 Eng Electronics (4)
CS 3500 Software Practice (4)
CS 4400 Computer Systems (4)
ECE 3530 Eng Prob & Stats (3)
CS/ECE 3700 Dig Sys Design (4)
CS/ECE 3710 Comp Design Lab (4)
CS/ECE 5780 Emb Sys Design (4)
CS/ECE 3810 Comp Org (4)
CS/ECE 3991 ECE Jr. Seminar (5)
CS/ECE 3992 Pre-Thesis/Proj (1)
LEAP 1501 Engineering Ethics (3)

CAPSTONE EXPERIENCE (1 of the following required)

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Hrs</th>
<th>Sem</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS/ECE 4710 Sr. Project</td>
<td>(3)</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>OR CS/ECE 4991/4992 Thesis</td>
<td>(4)</td>
<td>/</td>
<td></td>
</tr>
<tr>
<td>OR CS/ECE 4991 Sr Thesis I</td>
<td>/</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OR CS/ECE 4992 Sr Thesis II</td>
<td>/</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECE 4900/4910 Clinic</td>
<td>(5)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECE 4900</td>
<td>(2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECE 4910</td>
<td>(3)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

TECHNICAL ELECTIVES: 6 SEMESTER HOURS

<table>
<thead>
<tr>
<th>Course #</th>
<th>Hrs</th>
<th>Sem</th>
<th>Grade</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS/ECE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CS/ECE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CS/ECE</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>CS/ECE</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CS/ECE</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

DATA CENTER ENG. REQUIREMENTS:
1. CS 5030, Data Center Operations
2. ECE 5600 Introduction to Electric Power Eng.
3. OHS 5670, Managing Service Operations
4. ME EN 5820 Sustainable Energy Engineering or ME EN 5810 Thermal System Design or ME EN 5820 Thermal Environmental Engineering

BREADTH & DEPTH REQUIREMENT
For Accreditation purposes, Computer Engineering students are required to demonstrate a breadth and depth of knowledge outside of the field of Computer Engineering. Regardless of the Intellectual Explorations and General Education requirements being waived by the University of Utah, all CE students must complete the following for the Computer Engineering BS degree: 1 American Institutions (AI), 2 Fine Arts (FA), 2 Humanities (HF), 2 Social / Behavioral Sciences (BF), 1 Diversity (DV), & 1 International Requirement (IR).

Additional Computer Engineering requirements: One course must be an ethics course (will fulfill an HF) and two of the above courses must be upper division (3000 or above).

NOTE: No course can count for multiple requirements within the IE area, but one course can count for both an IE and multiple requirements below the dashed line. (Ex. Phil 4546 will fulfill an IE, an Ethics and Upper Division requirements. See the Undergraduate Bulletin for courses that fulfill multiple requirements.)

AMERICAN INSTITUTIONS (AI)

Intellectual Exploration (IE):

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Hrs</th>
<th>Sem</th>
</tr>
</thead>
<tbody>
<tr>
<td>FF 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>FF 2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HF 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HF 2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

BF 1: LEAP 1501
BF 2: LEAP 1501

Bachelor's Degree Requirements:

DIVERSITY 1)

INTERNATIONAL 1)

* Required of students who enroll for the first time in Fall 2007 and will be required of all students starting Fall 2013, regardless of enrollment date.

Computer Engineering Requirements:

ETHICS 1: LEAP 1501

UPPER DIVISION 1)

UPPER DIVISION 2)
<table>
<thead>
<tr>
<th>Data Center Engineering Certificate Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Group1:</strong> can be used for breadth requirements</td>
</tr>
<tr>
<td>ECE 3600 Electric Pwr Eng</td>
</tr>
<tr>
<td>ECE 3810 Computer Org</td>
</tr>
<tr>
<td><strong>Group2:</strong> can be used for advanced technical electives</td>
</tr>
<tr>
<td>CS 4400 Computer Systems</td>
</tr>
<tr>
<td>CS 5030 Data Center Operations</td>
</tr>
<tr>
<td><strong>Group3:</strong> can be used for non-ECE technical electives</td>
</tr>
<tr>
<td>ME EN 3650 Heat Transfer</td>
</tr>
<tr>
<td>ME EN 5800 Sustainable Energy Eng. or ME EN 5810 Thermal System Design or ME EN 5820 Thermal Environmental Eng.</td>
</tr>
<tr>
<td><strong>Group4:</strong> additional business requirement</td>
</tr>
<tr>
<td>OIS 5670 Managing Service Operations</td>
</tr>
</tbody>
</table>
## Data Center Engineering Certificate – Stand-Alone Program

### Year 1: Fall Semester

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>ECE 2210</td>
<td>Electrical and Computer Eng. for Non-majors</td>
<td>3</td>
</tr>
<tr>
<td>CS 3810</td>
<td>Computer Organization</td>
<td>4</td>
</tr>
</tbody>
</table>

### Year 1: Spring Semester

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>ME EN 3650</td>
<td>Heat Transfer</td>
<td>4</td>
</tr>
<tr>
<td>ECE 3600</td>
<td>Introduction to Electric Power Engineering</td>
<td>3</td>
</tr>
</tbody>
</table>

### Year 2: Fall Semester

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS 4400</td>
<td>Computer Systems</td>
<td>4</td>
</tr>
<tr>
<td>ME EN 5800</td>
<td>Sustainable Energy Eng. or</td>
<td>3</td>
</tr>
<tr>
<td>ME EN 5810</td>
<td>Thermal System Design or</td>
<td></td>
</tr>
<tr>
<td>ME EN 5820</td>
<td>Thermal Environmental Eng.</td>
<td></td>
</tr>
</tbody>
</table>

### Year 2: Spring Semester

<table>
<thead>
<tr>
<th>Course Code</th>
<th>Course Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS 5030</td>
<td>Data Center Operations</td>
<td>3</td>
</tr>
<tr>
<td>OIS 5670</td>
<td>Managing Service Operations</td>
<td>3</td>
</tr>
</tbody>
</table>
March 29, 2013

Professor Pascucci,

I am glad to write this letter in support of the proposal to create a certificate in Data Center Engineering at the University of Utah.

As Director of the School of Computing, we are one of the three main departments involved in this certificate. In addition, I am also personally involved in research that develops technology that I believe will be a key to improving the performance and energy consumption of future data centers. My primary contributions to this space over that last several years has been in the development of photonic devices and architecting their use in high performance, energy efficient, warehouse scale interconnection networks. I have also worked in the development of high-capacity, energy efficient main memory systems utilizing both DRAM and non-volatile memory components. Part of this work has been with colleagues at Hewlett-Packard Laboratories. HP is a major data center manufacturer. I am therefore deeply familiar with the technological challenges involved the development and innovation of large scale data centers and the need for academic institutions to collaborate with industrial partners.

Generally, this new Certificate will fill a void in our curriculum in terms of the combined basic preparation in the three main areas of computer system architecture, power distribution, and thermal engineering. All of these expertise domains are critical for future data center engineers and operators. Students in this program will have a nearly unique opportunity and the University of Utah is one of the few places in the country that currently has both the vision and the faculty expertise to create such a program. Our industrial contacts have expressed a significant interest in helping us to develop this program in a way that is relevant both now and in the future. These industry partners will also provide an opportunity for hands on experience through internships and may also provide guidance and collaborative opportunities for the associated research efforts.

Overall, I believe the creation of this new certificate is very timely and I strongly support its approval by the University of Utah.

Sincerely,

[Signature]

Al Davis
Professor & Director

School of Computing
50 S. Central Campus Dr Rm 3190
Salt Lake City, Utah 84112-9205
(801) 581-8224
FAX (801) 581-5843
April 3, 2013

Dear Dr. Pascucci,

I am writing this letter to show my support for the creation of the Data Center Engineering Certificate at the University of Utah.

As the Director of the Master of Science in Information Systems Programs and an Assistant Professor at the David Eccles School of Business, I am always interested in advancing our curriculum offerings in ways that better prepare our students for the challenges they will face as workforce not only today but more importantly in the future decades. Data center operations have recently been an area of significant growth and job prospects are extremely good for qualified candidates in the coming years. The creation of this Data Center Engineering Certificate addresses a fundamental need: to develop an agile workforce with basic interdisciplinary knowledge in the areas of electrical, mechanical and computer engineering as well as good management practices.

The creation of Data Center Engineering Certificate at the University of Utah is a timely opportunity, as it will provide focused students who will be skilled in the management of data center operations and knowledgeable about fundamental issues related to data center engineering. The program will also attract new talent to the University of Utah, which will lead to continued growth of a talented student base. The University will also benefit more broadly from building this educational program, since it will create close ties to both government and industry, which will continue to have a growing need for medium and large data centers.

I am confident that the new certificate will be very successful under your leadership, and I look forward to new opportunities for collaboration.

Sincerely,

Bradden Blair
Director of Information Systems Programs
Assistant Professor
David Eccles School of Business
Dear Dr. Pascucci,

With this letter I am providing my support for the creation of Data Center Engineering Certificate at the University of Utah. I have been personally involved in this certificate since its inception.

In my capacity as Dean of the College of Engineering I am always concerned that we offer a curriculum that is up to date with latest technological advances in the field, and that properly prepares future generations of engineers for the opportunities they will find in their professions. For this reason I strongly support the creation of this Data Center Engineering Certificate. It will introduce a new professional profile with the basic interdisciplinary knowledge in electrical engineering, mechanical engineering, and computer science, which is highly sought now by the data center management industry, and will be in growing demand going forward. This demand will be particularly strong in our state, since we are witnessing an increasing number and size of data center installations, ranging from the massive ones from NSA and Oracle to smaller ones at local companies such as ViaWest and Center7.

The introduction of this new certificate is part of an organic development that is positioning the University of Utah as a national leader in Big Data initiatives for research and education. I am very excited for the opportunity of creating this new certificate, and I look forward to the skilled workforce that will be developed in this program.

Sincerely,

Richard B. Brown
Dean
Dear Dr. Pascucci,

I offer this letter in support of your work establishing a new Data Center Engineering Certificate at the University of Utah. Founded in 1993, XMission was the first independent Internet Provider in Utah. XMission renovated an adjacent building in 2001, converting it into a 15,000 square foot data center and greatly expanding our colocation services. Starting in 2003, the company began providing free wireless in public libraries and some local businesses and has since expanded free wireless throughout the metropolitan Salt Lake area. XMission provides streaming support for radio stations, including NPR affiliate KCPW-FM and independent radio station KRCL. An ardent support of our community, XMission also provides free accounts to hundreds of non-profit organizations and sponsors many events, including the Utah Open Source Conference, the Living Planet Aquarium, the Living Traditions Festival, the Utah Arts Festival, and the Twilight Concert Series. Additionally, we were the first ISP in Utah to upgrade to 100% renewable energy, including Rocky Mountain Power's Blue Sky program.

Over the past several years Utah has seen a rapid increase in the number and size of data centers our state hosts. The data management industry in Utah now includes large centers built by the likes of eBay, Goldman Sachs, the NSA, and Oracle not to mention the organically growing local centers like ours, Center7, Viawest, and the Tonaquint facility in St. George. Utah offers a number of benefits to these companies but a growing need for a highly trained workforce is a constant challenge. As state and regional economic development managers continue to recruit new data centers, the need for a highly skilled technical workforce will become harder to satisfy. We at XMission applaud Dr. Pascucci and the University’s leadership for their creation of an educational program that will help avert this coming workforce shortage.

I give my enthusiastic support to your efforts and the certificate program and look forward to hiring these students when they finish the program.

Sincerely,

[Signature]

Grant Sperry
VP of Operations
XMission
April 1, 2013

Valerio Pascucci
SCI Institute
Campus

Dear Dr. Pascucci,

This letter is written to give my enthusiastic support for the creation of a Data Center Engineering certificate involving the departments of Mechanical Engineering, Electrical and Computer Engineering, and the School of Computing.

As the Chair of the Department of Mechanical Engineering, I have been actively involved in the design of this certificate program. In fact, I am one of the instructors that typically teach a class in Heat Transfer, which will be an integral part of this program. The proposed certificate will introduce a new professional profile into our curriculum that is clearly in need today and that will be in increasing demand in the future. The data center industry is growing at a rapid pace and requires a new workforce with a particular interdisciplinary background that includes features of mechanical, computer and electrical engineering. This is particularly true for the state of Utah where many large-scale data centers, such as those for NSA, Oracle, eBay and Twitter, have been built in the last few years. These data centers provide excellent training (e.g., with internship programs) and employment opportunities.

Establishing this certificate will allow our students to gain a competitive advantage and our university to establish a strong relationship with the data center industry. I expect this relationship to have lasting benefits since it will be a driver for new research in green technology for efficient energy management and sustainable development of large scale computing installations. Overall, the creation of this certificate will have a strategic value in establishing the University of Utah as a leader in research and education in this sector.

I look forward to the opportunity of contributing to the creation and support of this new program and I am confident that it will be successful in attracting new students to the College of Engineering.

Sincerely,

Tim Ameel, Ph.D.
Professor and Chair
University of Utah
Salt Lake City, Utah

2 April 2013

Dear Colleagues,

In November 2008 following a long proposal and evaluation phase involving more than 35 potential building sites from across the nation, Camp Williams, Utah was selected as the location to house our nation’s first Intelligence Community (IC) Comprehensive National Cybersecurity Initiative (CNCI) data center. Not the least among the reasons for selecting Utah for this data center site was the University of Utah with its solid STEM degree programs and its legacy of continuous state-of-the-art research in computing and engineering fields.

As we prepared to construct the Utah Data Center (UDC) our research indicated it would be difficult to hire the type of individuals we would need to operate our special purpose data center. Accordingly, under the direction of NSA’s Associate Director for Installations and Logistics, Dr. Harvey Davis, in May of 2010 I contacted President Young and Dr. Richard Brown to discuss the possibility of developing a data center engineering degree program within the University’s College of Engineering. It was thought that such a program would produce graduates that would be prepared to successfully meet the rigorous requirements for operating the UDC.

Since those early meetings I have met with Dr. Brown and his staff regularly and often to discuss curriculum development, internship opportunities and associated strategies for student recruitment. Dr. Steve Corbato, Dr. Greg Jones and Dr. Valerio Pascucci have been particularly helpful, enthusiastic and skilled at guiding the development of the Bachelor’s Degree and Master’s Degree curricula. In addition, together with the Governor’s Office of Economic Development (GOED), Dr. Corbato, Dr. Jones and I co-sponsored the creation of the Utah Data Center Consortium (UDCC) in January 2012 to bring government, academia, and private industry together to regularly discuss and consider data center best practices, education development, and to act as an advisory body to state government officials involved in data center development in Utah.

I am very pleased with and grateful for the University’s efforts to develop the data center degree programs and eager to formally implement the programs. I am confident that students who complete the data center certificate program (Bachelor’s) or who are graduates of the Master’s program will have the requisite education to be successful in any small, medium, or large data center anywhere in the world.
I have also spent a good deal of time with other data center operators in the region and can attest that they, too, are very eager to hire graduates from these programs. At the moment there is only one other university in the country offering similar educational opportunities. With its historically superb college of engineering, a terrific school of computing, new high-tech institutes such as SCI and CEDMAV, and the new data center programs the University of Utah will continue to solidify itself as the STEM champion in the west. As such I urge University officials to move forward with approval and implementation of the new Data Center degree programs.

Sincerely,

David M. Winberg
Director, NSA-Utah

cc: Dr. Harvey Davis
Ft. Meade, MD
April 2, 2013

Dr. Valerio Pascucci
University of Utah
Scientific Computing and Imaging Institute
72 S. Central Campus Drive, Room 3750
Salt Lake City, UT 84112

RE: Letter of Support for the Data Center Engineering Program

Dear Dr. Pascucci:

With this letter I would like to submit my formal support to this proposal for the creation of a Data Center Engineering Certificate at the University of Utah.

I am a USTAR Professor and the Chair of the Electrical and Computer Engineering Department. I am really glad to have my department involved in the development of this certificate, since it is introducing a much needed new component to our program. The data center industry is a major source of power management and engineering challenges that requires new research that our department is already engaged in. It also requires a new breed or workforce with a basic knowledge spanning several domains relating to the energy consumption of high performance computing platforms as well as the heat management that is associated with the high concentrations of resources in a single facility. The relevant disciplines in electrical, mechanical, and computer engineering have been traditionally separated and this separation does not serve well the workforce of modern data centers.

Introducing this new certificate will allow our departments to work in concert on the preparation of new students while engaging the relevant industry, which will also spark new possibilities for joint research. This will be of great benefit for our power engineering program that is working at addressing the major challenges of sustainable power production and management for the future generations.

I look forward to contributing to this program that I expect to be very successful in attracting new students and positioning the University of Utah as a national leader in this growing field.

Sincerely,

GIANLUCA LAZZI
USTAR Professor and ECE Department Chair
Editor-in-Chief, IEEE Antennas and Wireless Propagation Letters
(801) 581-6942
lazzi@utah.edu
Career-line Faculty special exception proposal and project overview

A. Proposed special exception for eligibility for candidates for Senate representative of the Career-line faculty of the Qualified Interdisciplinary Teaching Programs.

This special exception is for the limited purposes of the elections occurring from now through spring 2016 for Career-line representatives to the Senate elected, from the Qualified Interdisciplinary Teaching Programs, and from the Dentistry college. The ordinary requirement of Policy 6-002 limiting eligibility to—“members of the faculty who, continuously for the three years preceding the date their term of Senate membership would begin, have had career-line faculty appointments of at least 75 percent Full-Time-Equivalent (.75 FTE) within a single area of representation”—shall be modified—to require only one year (or part of a year) rather than three years with such an appointment.

[Approved by the Senate Executive Committee September 16, 2013.]

Background: The ordinary requirement of three years of experience, while appropriate in all other circumstances, is impractical to apply in the limited circumstances of the initial rounds of elections for a representative of the group of Qualified Interdisciplinary Teaching Programs. The authority for the QIDTP programs to appoint Career-line faculty (Lecturers) was not established until 2010 (through enactment of University Rule 6-310). The earliest small group of their appointments only began taking effect in July 2011, and many were only fully processed and able to take effect in July 2012. Applying the ordinary three-year requirement would result in there being no eligible candidate for this unit. The special exception will only be needed to apply for the QIDTP group for a limited time. After that, the Lecturers appointed in the Programs soon after authorization of the Programs will meet the ordinary three-year requirement, and from that point on there should be an adequate pool of eligible candidates for all future elections. Similarly, the School of Dentistry (an academic college), is only recently established, its first few appointments of Career-line faculty began taking effect recently, others are anticipated being made in subsequent years, and after the limited time for this exception this new college will have an adequate pool of eligible candidates for future elections.
B. Project Overview for 2013-2014 —elections procedures and further Regulations revisions.
This provides further details elaborating on the general description given orally at the September 9th Academic Senate meeting, by Hank Liese and Bob Flores.

This multi-year project has two primary components:

(i) Change faculty nomenclature-- replace “Regular” with “Tenure-line,” & include Library “Continuing-Appointment” Faculty; eliminate label of “Auxiliary,” new label & category of “Career-line” (Clinical. Lecturer, Research).

(ii) Restructure shared-governance system--integrate Career-line faculty into Senate main body, then Senate-elected committees, by revising governing University Regulations, then other University committees nominated by Senate Personnel & Elections Committee.

1. Review of 2012-2013 accomplishments. Spring 2013 Senate & Trustees approved 1st phase Policy revisions:

   Nomenclature: Partially revised Policy 6-300, establishing new nomenclature for faculty categories and requiring other Regulations and official documents to be conformed accordingly;

   Shared-governance restructuring: Partially revised Policy 6-002, to include Career-line faculty into main body of Senate for spring 2014.

   Both: Previewed plans for 2nd phase Policy revisions.

2. Summary overview 2013-2014 work – Next phases:

   Elections--- Fall 2013-- Elections of Career-line representatives to Senate main body, from within college-level units, under guidance of Senate’s Personnel & Elections Committee, seated by January 2014.

   Policy revision---Nomenclature: Further revision of Policy 6-300, and several other Regulations to conform to new nomenclature, and simultaneously accomplish other long-overdue updating and clarification.

   Policy revision-- Shared-governance: Further major revising of Policy 6-002, and revising several other Regulations, to restructure the Senate committee system, and modify various other University committees with faculty membership to integrate Career-line faculty, and to combine or coordinate overlapping policies, and for other updating and clarification of policies.

3. Further details of 2013-2014 project work.

Fall 2013 elections.

The 18 electing units (16 colleges, Libraries as a unit, & Interdisciplinary Teaching Programs as a unit) elect Career-line representatives during fall 2013, to join Senate in January 2014. Personnel and Elections Committee guides college-units through election process. Eligibility for candidates and for voters is as described in Policy 6-002 (as revised spring 2013).
Special limited-time exception on eligibility for candidates to represent the Qualified Interdisciplinary Teaching Programs unit and new Dentistry college.

**Nomenclature-Policy revision:**

*Further* revision of Policy 6-300, and several other Regulations to conform to new nomenclature, and simultaneously accomplish other long-overdue updating and clarification.

Includes substantial or minor revising of Policy 2-004 (Organization of The University—Auxiliary Faculty ranks); Policy 5-001 (Employee Definitions); Policy 6-003 (College Councils); Policy 6-300 (… Committees of the Faculty); Policy 6-301 (Library Faculty continuing appointment); Policy 6-302 (Faculty Appointments – Regular and Auxiliary); Policy 6-303 (RPT procedures for Regular Faculty); Policy 6-304 (UPTAC member elections); Policy 6-305 (RPT Standards for Regular faculty); Policy 6-306 (Library Faculty); Policy 6-310 & Rule 6-310 (Evaluation of Auxiliary Faculty); Policy 6-311 (Regular Faculty tenure); Policy 6-312 (Library Faculty Continuing Appointment); Policy 6-313 (Terminations—Regular & Auxiliary Faculty); Policy 6-314 (Leaves of Absence—Regular Faculty); Policy 6-315 (Parental Leave—Regular Faculty); Policy 6-316 (Faculty Code—Auxiliary Faculty); Policy 6-317 (Visiting Scholars—Auxiliary Faculty); Policy 6-320 (Part-time Regular Faculty); Policy 6-400 (Student Code—definition of “Faculty” includes non-faculty persons); Policy 7-002 (Patents & Inventions—Regular and Auxiliary Faculty); Policy 7-011 (Supplementation of Post-Doctoral Stipends—“Regular Faculty Appointment”); Policy 8-002 Parental Leave—School of Medicine (Regular & Auxiliary Faculty); Rule 9-003 (Endowed Chairs—Regular & Auxiliary Faculty reviews);

6-300 Rev.16: “The categories and names described above are newly adopted as of the effective date of July 1, 2013. They shall be used in place of the prior categories and nomenclature in all other University Regulations and pertinent official documents which are adopted or revised after this effective date. Existing documents using previous nomenclature may be updated in due course.”

**Shared-governance—Policy revision:**

Additional major revising of Policy 6-002 and several other Regulations, to restructure the Senate committee system, and modify various other University committees with faculty membership to integrate Career-line faculty, and to combine or coordinate overlapping policies, and for other updating and clarification. Includes breaking up the excessively lengthy existing 6-002 (main Policy about Senate), into separate policies of more manageable size, particularly to separate out the lengthy descriptions of procedures for Consolidated Hearing Committee and Academic Freedom and Faculty Rights Committee.

Includes substantial or minor revising of: Policy 6-001 (Faculties, Committees & Councils—voting rights of clinical, lecturer, research faculty, overlapping with 6-002 in describing structure and authority of Senate, officers & committees), Policy 6-002 (Senate Committees, procedures for CHC and AFFRC)); Policy 6-003 (College Faculties and
Council—voting rights of faculty); Policy 6-300 (Committees of the Faculty); 6-308 (Grievances-duties of Academic Freedom and Faculty Rights Committee).
Proposal for addition/revision of University Regulation.

1. Regulation(s) involved (type, number, subject):  Policy 3-100 University Procurement; Rule R3-100B Solicitation of Bids, Proposals, and Award of Procurement Contracts; Rule R3-100C Requisition Preparation and Use; Rule R3-100D Delegated Small Purchase Authority; Rule R3-100D Restricted Purchases and Special Purchasing

2. Responsible Policy Officer (name & title): Arnie Combe, VP for Administrative Services

3. Contact person(s) for questions & comments (name, email, phone#): Jeffrey West jeff.west@admin.utah.edu 581-7520

4. Presenter to Senate Exec (if different from contact person. name, phone#):

5. Approvals & consultation status.
   a. Administrative Officers who have approved (VP/President, name & date): VP Admin. Svcs. 7/20/2013; Cabinet 8/22/2013
   b. Date(s) processed through Institutional Policy Committee: 8/16/2013
   C. Other Committees/Councils/other Officers consulted: Council of Academic Deans 9/9/2013; Policy Stakeholder Team (see attachment B)

6. Check YES or NA (not applicable) of documents submitted--- (In digital form. Preferred file format MS Word doc. Special exception allowed for PDF format if previously arranged.)
   Yes  Explanatory memorandum (key points of proposal, rationale). – herein, incl. attachments A & B
   Yes  VP/Presidential approval signatures (separate sheet, or affixed to memo cover).
   Yes  Text of proposed Regulation addition/revision.
   Yes  (If revision of existing Regulation) text changes are clearly marked, using permanent font markings (not MS Word ‘Track’ Changes non-permanent markings unless special exception previously arranged).

Date submitted to Senate Office: 9/26/2013

After presentation the Executive Committee will consider whether the proposal is ready for the full Senate, schedule it on a Senate agenda if so, and categorize it either as i) a matter of academic significance—set on the “Intent” & “Debate” Calendars presumptively over two monthly meetings with final “approval” voting at the second, or ii) not academically significant—set on the “Information & Recommendations” Calendar for a single monthly meeting, with opportunity for questions and recommendations from senators to the presenter. See Policy 1-001 http://regulations.utah.edu/general/1-001.php; Rule 1-001 http://regulations.utah.edu/general/rules/R1-001.php; Senate procedures http://admin.utah.edu/academic-senate. Further information—Senate Secretary: Shawnee Worsley 581-5203 shawnee.worsley@utah.edu
MEMORANDUM:

TO: Arnold B. Combe, VP for Administrative Services
    Jeffrey J. West, Assoc. VP for Financial and Business Services

FROM: James T. Parker, Director of Procurement and Supply Management
      Glendon Mitchell, Associate Director of Purchasing

SUBJECT: Procurement Policy Revisions Packet

DATE: July 10, 2013

Attached are the documents related to the changes proposed in University Policy to bring
the institution into compliance with the Utah Procurement Code. We appreciate the
support from the Administration in ensuring that the changes required by the Legislature
included the concerns of Higher Education.

Please let us know if you need further clarification. The Executive Summary is attached
and provides some detail for these changes.

C: Kori Wetsel
   Laura Howat

Purchasing Department
1901 E South Campus Dr Rm 151
Salt Lake City, Utah 84112-9351
801-581-7241
FAX 801-581-8609
www.purchasing.utah.edu
University of Utah Procurement Policy Revisions Executive Summary
September 26, 2013

Background:

The Utah Procurement Code has been completely revised during the past two legislative sessions. The changes made to the Code are significant, lengthy and detailed. During the 2013 Session the Legislature moved the required implementation date of this new law from October 1, 2013 to May 1, 2013. The University is now subject to the new law and the Purchasing Department has conducted extensive training to the campus and modified processes to ensure that the campus is in compliance.

Because of these recent changes, the institutional Regulations governing procurement do not currently reflect the changes in the law. There is a need to ensure that the campus community has the direction necessary to comply with the new statute. The attached policy and rule drafts submitted for review have received input from the areas on campus affected by the law changes, the University’s Legal Counsel and the leadership of the Purchasing Department.

The review of existing Regulations also allowed for improvements in formatting and content. In some cases older policies were either eliminated or combined with related Rules resulting in fewer Rules and a single new Policy. This effort has essentially resulted in a complete overhaul of the University’s Procurement Policy. These changes are outlined in this executive summary and make the use of a line by line comparison with the old policy impractical.

None of the changes to Regulations resulted in more restrictive requirements to the campus unless these changes were required by the new State Law. Much of the language included in the new policy is directly from the Utah Procurement Code. This ensures that the University is in compliance and provides the justification for many changes that might otherwise be questioned by the campus community and those who will review the policy for approval. Since these changes are driven by current State Law and are in effect, this policy will become effective immediately upon approval of the University’s Board of Trustees.

Approach:

The substantial changes to Utah Law require significant modifications to existing University procurement policy. The following steps were taken to ensure that the revisions meet both the formatting and content needs of the campus:

- The University worked with Legislators, the Attorney General’s Office, State Purchasing, the Utah Procurement Policy Board, and the Commissioner of Higher Education’s Office to ensure that the changes in the law do not adversely or unnecessarily impact Higher Education. Throughout this process numerous revisions were made to the legislation providing more clarity and removing unnecessarily burdensome requirements. There continue to be some issues with the statutory changes that will need to be addressed in future Legislative sessions.
• A committee of campus stakeholders and representatives of using departments was formed last year to review and assist in drafting new procurement policy (See Attachment B). While work began on policy revision more than a year ago, it was necessary to wait until after the 2013 Legislative session ended to make final changes.

• The needs of Facilities and UUHC are reflected in these Regulations changes. The unique requirements of these two areas require some practices that may be in slight variance to the main campus policy (for instance, Facilities is required to follow the State Division of Facilities and Construction Management rules and the hospital has been granted some discretion by the Code in utilizing hospital consortium contracts). The details of these variances will be done by MOU with Campus Purchasing; otherwise these areas will follow the new policy as adopted. The Utah System of Higher Education (Board of Regents and Commissioner’s Office) utilize the University of Utah Purchasing Department and have agreed to follow the rules and policies that are adopted at the U.

Detail of Changes:

An overview of the status of various existing procurement Regulations including renumbering, elimination, and inclusion in a single new Policy (3-100) and Rules (R3-100A through E) is included at the end of this Executive Summary as Attachment A. Additionally, some procurement and procurement related policies were not changed as a result of state law. These are also included in Attachment A.

Below is the detail of changes that were made to policy and rules.

• Policy 3-100 University Procurement
  o The list of definitions has been expanded to be consistent with the definitions in state law. A few older definitions that are no longer utilized or relevant were excluded.
  o The new policy sets forth more clearly the responsibilities and authority of the Purchasing Director and the Purchasing Department.
  o The policy, consistent with the Utah Procurement Code, recognizes the need to make exceptions to the Procurement process including delegation of purchasing authority when necessary. This addition is consistent with and recognizes existing practice.
  o The Office of General Counsel is granted the right to procure outside legal counsel.
  o Recognizes, consistent with state law, items for resale are exempt from policy.
  o Recognizes that contracts signed by unauthorized employees are not binding on the University.
  o Defines when contract review is required by the Office of General Counsel.
  o Prohibits solicitation of students, faculty and staff on campus directly by suppliers unless authorized in advance by the VP for Administrative Services
  o Defines the restrictions on prepayment for goods and services in advance of receipt
  o Defines the need to report donations of goods to the Development Office
  o Defines new restrictions on offering, receiving, “gifts, gratuities, etc. by suppliers to individuals involved in procurement decisions.
  o Defines in more detail the process for Emergency Procurements
  o Allows for the use of State Procurement Rules in the absence of University Rules
- Recognizes use of Small Disadvantaged Business and Environmentally Preferable Purchasing Practices.

- **Rule R3-100B Solicitation of Bids, Proposals and the Award of Procurement Contracts**
  - This rule replaces current Policy 3-101 (Same title)
  - Redefines formal bid limit at $50,000 from $45,000 consistent with other state entities
  - Recognizes that Universities Facilities may choose to follow the rules of the Utah State Building Board. This is consistent with delegation from the state DFCM for construction projects.
  - Recognizes that University Facilities and UUHC will have delegated procurement authority in the form of an MOU from Campus Purchasing to directly handle their own purchasing –this is consistent with existing practice.
  - Removes specific language regarding procurement of construction (consistent with above)
  - Encourages the use of multi-step processes when justified
  - Adds language consistent with the Utah Procurement Code changes regarding posting of bids, RFP’s, and sole sources. Detailed procedural requirements have also been added to ensure consistency with state law. Exception rules have been added consistent with state law.
  - Emphasis has been included in the area of RFP’s consistent with the wording of state law.
  - Provides conditions under which sole source awards may be used and the requirements for approvals, public notice and time limits.
  - Defines the process for handling supplier protests

- **Rule R3-100C Requisition Preparation and Use**
  - This rule replaces current Policy 3-190 (Same Title)
  - Few substantial changes except for moving much of the content out of Rule and into Procedure.
  - This is a short rule, however we believe it is an important section that will likely be expanded when the University installs an e-procurement system, etc.

- **Rule R3-100D Delegated Small Purchasing Authority**
  - This rule replaces current Policy 3-191 (Small Purchases and Expedited Procurement) and incorporates portions of current Rule R3-191A (Maintenance Agreements)
  - As defined in the Utah Procurement code and allowed by Board of Regents Policy R571, allows the establishment of bid limits and other thresholds. These thresholds are consistent with current State Rules with the exception of the small dollar threshold which has been $5000 at the University for almost 15 years. The state is currently at $5,000 per order, and $1,000 per item.
  - The policy acknowledges that establishing Annual Cumulative Thresholds with suppliers may be instituted, but this is not required by state law.
  - Sets a $100,000 bid limit for professional services contracts
  - Defines broadly and comprehensively the use of delegated small purchases by campus. Language in this section is based on the new Utah Procurement Code.
  - Updates restrictions on delegated purchasing processes (P-Cards and Limited Purchase Orders).
  - Removes procedures about small dollar processing from the rule.
  - Adds language consistent with Policy 3-010 limiting the use of personal reimbursements.
  - Defines the use of Blanket Orders
  - Defines areas of campus with existing delegated purchasing authority
• Defines delegation of procurement of outside counsel to the Office of General Counsel.

- **Rule R3-100E Restricted Purchases and Special Purchasing**
  - This rule replaces current Policy 3-192 (Same title) and Polices 3-112 (Acquisition and Use of Printing, Duplicating, and Photocopy Equipment) and 3-151 (Vending Services on Campus)
  - This section involved clarifications by campus stakeholders with responsibility for areas requiring restrictions
  - Clarified restrictions on the purchase consumable alcohol
  - Removed reference to repair of damaged personal property as a University expense
  - Clarified Motor Vehicle purchase restrictions – based on State Law
  - Updated restrictions on commercial level printing equipment (from Policy 3-112)
  - Defined restrictions on construction/facility repair and maintenance consistent with Policy 3-205
  - Restricts the purchase of refrigerators and freezers on campus without prior approval. (This section has already been approved as an addition to policy)
  - Added language regarding restrictions on Import items without the Purchasing Department’s involvement
  - Added language to ensure the University is compliant with federal laws regarding export control.
  - Updated clarifications on the purchase of research animals as recommended by Dr. Jack Taylor
  - Updated restrictions on recruitment advertising of faculty/staff
  - Added a section on restrictions involving University Trademarks and Licensing
  - Deleted reference to GSA contracts (prohibited now by State Law)
  - Updated restrictions on the purchase/contracts for Vending Equipment and Services (from Policy 3-151)
## ATTACHMENT A

### Procurement Policies with Changes

<table>
<thead>
<tr>
<th>Policy/Rule Name</th>
<th>Current Number</th>
<th>Proposed Action</th>
<th>New Policy/Rule Name</th>
<th>New Number</th>
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<td>R3-100E</td>
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<tr>
<td>Vending Services on Campus</td>
<td>3-151</td>
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<td>R3-100D</td>
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<td>Rule: Small Dollar Blanket POs and Maintenance Agreements</td>
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<td>R3-100E</td>
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## Procurement Section & Business Operations Policies - No Changes

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<td>Rule: Equipment Leasing</td>
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<td>Independent Consultant/Contractor Professional Service Agreements</td>
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<td>Insurance Inspections</td>
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<td>Stores and Receiving</td>
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<td>Campus Mailing Services</td>
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## Procedures

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## ATTACHMENT B

### Policy Stakeholder Team

<table>
<thead>
<tr>
<th>Dept.</th>
<th>Name</th>
<th>Position</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accts Payable</td>
<td>Perry Hull</td>
<td>Manager</td>
<td>801-581-6338</td>
</tr>
<tr>
<td>Aux. Services</td>
<td>Jenn Reed</td>
<td>Manager</td>
<td>801-581-4033</td>
</tr>
<tr>
<td>Budget &amp; Analysis</td>
<td>Sandy Hughes</td>
<td>Director</td>
<td>801-581-6455</td>
</tr>
<tr>
<td>Facilities Mgmt</td>
<td>Ken Nye</td>
<td>Director</td>
<td>801-581-4525</td>
</tr>
<tr>
<td>Facilities Mgmt</td>
<td>Michele Keddington</td>
<td>Admin Assistant</td>
<td>801-581-4707</td>
</tr>
<tr>
<td>Hospital Purchasing</td>
<td>Randy Hall</td>
<td>Head of Supply Chain</td>
<td>801-587-6710</td>
</tr>
<tr>
<td>Hospital Purchasing</td>
<td>Dan Sampson</td>
<td>Dir of Value Analysis</td>
<td>801-587-6714</td>
</tr>
<tr>
<td>Internal Audit</td>
<td>Randy VanDyke</td>
<td>Asst. Vice President</td>
<td>801-581-5988</td>
</tr>
<tr>
<td>Office of Gen Counsel</td>
<td>Katie Carreau</td>
<td>Gen. Counsel</td>
<td>801-585-7002</td>
</tr>
<tr>
<td>Plant Ops</td>
<td>Michele Thomas</td>
<td>Supervisor</td>
<td>801-581-8213</td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Cynthia Best</td>
<td>Associate Dean</td>
<td>801-585-0946</td>
</tr>
<tr>
<td>UIT</td>
<td>Syndi Hawood</td>
<td>Assoc. Director</td>
<td>801-581-5899</td>
</tr>
</tbody>
</table>

### Policy 3-192/Rule 3-100E  

**Restricted Policy Subject Matter Experts/Reviews/Stakeholders**

- Comparative Med  
  Jack Taylor
- Facilities Management  
  Craig Bohn
  Orfeo Kostrenoch
  Cory Higgins
  Ken Nye
- Fleet Services  
  Dave Rees
  Cory Higgins
- General Counsel  
  Julie McAdams
  Todd Nilsen
- General Stores  
  Jim Davis
- OSP  
  Brent Brown
- Print & Mail  
  Jane Bushnell
- Radiological Health  
  Karen Langely
- Real Estate Admin  
  Jonathan Bates
- Risk Management  
  Jerry Allred
- Student Services  
  Jerry Basford
  Mike Van Oordt
- Trademarks Licensing  
  Brett Eden
- UIT  
  Milt Burbidge
Policy 3-100: University Procurement

I. Purpose and Scope

To outline the general procurement policies and responsibilities of the University of Utah which include: transparency, ensuring fair and equitable treatment of all suppliers and fostering broad-based competition and ensuring that procurement operations may be conducted efficiently to allow University personnel to effectively carryout the mission of the University. University procurement Policies are written to comply with Board of Regents Policy R571, Delegation of Purchasing Authority and the Utah Procurement Code. This Policy is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions

As used in this Policy, and in the Rules and Procedure adopted to implement this Policy, the following terms shall have the same meaning as in the Utah Procurement Code, adapted to circumstances of the University of Utah:

A. “Annual Cumulative Threshold” means the limit for the University for total purchases from a single supplier without competition during a fiscal year. The cumulative total includes all forms of payment.

B. “Blanket order” means:
   1. Competitive: a contract that is awarded after a competitive process for recurring purchases at the bid price, typically during a fiscal year or contract period.
   2. Non-competitive: a procurement instrument that will allow recurring orders below the Single Procurement Threshold for goods and/or services during a fiscal year or contract period.

C. "Chief procurement officer“ means the person duly authorized to enter into and administer procurement contracts for the University and is delegated duties and responsibilities to administer all procurement activities. This position is filled by the Director of Procurement and Supply Management who acts as the chief procurement officer referred to in the Procurement Code. Hereafter referred to as the Director of Purchasing.

D. "Construction” means the process of building, renovating, altering, improving or repairing any University building or public work. Construction does not include the routine operation, routine repair or routine maintenance of an existing structure, building or real property.

A. "Emergency procurement” means procurement conducted due to circumstances that threaten public health, welfare, safety, property, or other harm, including presenting a risk of causing financial harm to the University or significantly disrupting University operations, or circumstances where timeliness, litigation deadlines or other factors necessitate waiver of provisions of the standard procurement process.
E. “Formal Purchase Threshold” is the minimum total procurement price that requires
formal bid procedures including bid advertising, a minimum number of days for bid
publication, etc. Informal purchases include those less than the Formal Purchase
Threshold.

F. “High Speed Printers/Copiers” means an automated or semi-automated offset press,
digital, xerographic, or similar photo process machine capable of producing duplicate
copies in excess of 90 pages per minute.

G. "Invitation for bids" means all documents, whether attached or incorporated by
reference, utilized for soliciting bids when cost is a major factor in determining the
award.

H. “Limited Purchase Order” or LPO means an official form obtained from the Accounts
Payable Department for organizational use to purchase goods or services below the
Single Procurement Threshold. This delegated purchase authority is for purchases to a
single supplier and a legal obligation is made for payment through Accounts Payable.

I. "Non-standard furnishings" means office furniture, equipment, and accessories that are
by their nature, beyond the functional need of the office, and would generally be
considered to be more deluxe, extravagant or lavish (and therefore much more costly)
than their “standard” counterpart.

J. “Organizational unit” means a department, division, school, college or other campus
entity which is part of the University of Utah.

K. "Procurement" means buying, purchasing, renting, leasing or otherwise acquiring any
supplies, services or construction. It also includes all functions that pertain to the
obtaining of any supply, service or construction, including description of requirements,
selection and solicitation of sources, preparation and award of a contract and all phases
of contract administration using University funds.

L. "Procurement contract or purchase order" means any University agreement for the
procurement or disposal of supplies, services or construction. The word “contract” may
be used interchangeably with procurement contract.

M. “Professionals, Providers and Consultant Threshold” means the maximum total
transaction cost that can be purchased by one Department/employee at one time for
the services of a professional, provider or consultant when competition is encouraged
but not required. The nature of professional, provider or consultant services may be
ongoing. This limit applies when the contract for services is below the threshold or the
fee otherwise expected to be charged for the scope of services is below the
threshold. It is not permissible for a Department to engage in unlawful splitting of the
transaction to meet the Professionals, Providers and Consultants Threshold.

N. “Purchaser” means anyone that has procurement authority, whether direct or
deprecated. Other University employees may participate in the procurement process.

O. “Purchasing Card (PCard)” means an institutional credit card administered by the
Purchasing Department, billed directly to, and paid by the University of Utah,
designated for the direct procurement of non-travel small purchases made by a
University employee.

P. “Restricted Purchases” means acquisitions that are controlled and require special
approvals and processing in compliance with laws, policy, etc.
Q. “Request for proposals (RFP)” means all documents, whether attached or incorporated by reference, utilized for soliciting proposals when other factors, in addition to cost, are considered significant in determining the award.

R. “Requisition” means a document used to initiate the procurement of supplies and services utilizing approved University purchase orders. Requisitions are not purchase orders and shall not be used or represented as such.

S. “Responsible bidder or offeror” means a supplier who has the capability to perform fully the contract requirements solicited in an invitation for bids or a request for proposals and who has the integrity and reliability to ensure good faith performance.

T. “Responsive bidder or offeror” means a supplier who submits a response to an invitation for bids or a request for proposals which conforms in all material respects to the invitation for bids or request for proposals.

U. “Sample” means supplies provided to the University for testing or evaluation purposes. Samples become the property of the University unless agreed otherwise in writing by the supplier and the University. Regarding sample textbooks, see Policy 6-318.

V. “Services” means the furnishing of labor, time or effort by a supplier, not involving the delivery of a specific end product other than a report that is incidental to the required performance.

W. “Single Procurement Threshold” means the maximum total transaction cost that can be purchased by one purchaser at one time from the same supplier when competition is encouraged but not required.

X. “Sole source” means that a contract may be awarded for supplies and/or services or construction to a supplier without competition and will be conducted pursuant to established University processes.

Y. “Special Approvals” means acquisitions that are controlled by law, University Regulation or business practice and requires authorization prior to the purchase.

Z. “Specification” means any description of the physical or functional characteristics, or nature of the supplies and/or services included in an invitation for bids, a request for proposals or contract. It may include a requirement for inspecting, testing, or preparing the supplies and/or services for delivery.

AA. “Split transaction” means any transaction prohibited by law or University Regulation when an individual knowingly or intentionally divides a procurement with the intent to qualify as one or more small purchases; if, before dividing the procurement, it would not have qualified as a small purchase.

BB. “Supplier” means a person, vendor, manufacturer, distributor or company, etc., that provides supplies and/or services.

CC. “Supplies” means all property, including but not limited to equipment, materials and printing.

DD. “University” means the University of Utah.

III. Policy

A. Purchasing Department

1. The Purchasing Department is responsible for the procurement of supplies and services required by the University of Utah and all its organizational units
as required by law, except for purchases specifically exempted under paragraph B, below.

2. The Purchasing Department shall establish organizational procedures to ensure adequate and continuing sources of supply, consistent with legal, budgetary and delivery requirements of organizational units and to provide the necessary assistance to acquire such supplies and services in a timely and economical basis; to assure compliance with all applicable state and federal laws and University Regulations during the procurement process; and to provide assistance, consultation, and advice regarding all procurement needs of the University.

3. The Director of Purchasing is responsible to adopt organizational procedures, procure or supervise the procurement of all supplies, services and construction needed by the University, and ensure compliance with state and federal laws and with University Regulations.

4. The responsibilities of the Purchasing Department are to:
   a. Initiate, conduct and conclude solicitations and negotiations for the purchase of supplies and services for the University.
   b. Obligate the University for the procurement of supplies and services.
   c. Recommend changes in quality, quantity or kind of material requisitioned and/or to suggest appropriate alternatives.
   d. Conduct the selection of suppliers in accordance with legal requirements.

B. Exceptions: Procurement Authority of Organizational Units

1. By virtue of their special needs and the roles they fill at the University, some organizational units may be authorized to solicit bids and may be delegated procurement authority at a higher spend level than normally authorized, compliant with University Regulations, the Utah Procurement Code and written rules found within the organizational unit. Organizational units that qualify for this exception will be identified in Rule and enter into a written memorandum of understanding with the Director of Purchasing. Other organizational units may be extended similar limited procurement exceptions as described in writing, at the discretion of the Director of Purchasing. The Director of Purchasing retains procurement authority for these organizational units and may request periodic audits of the delegated purchase authority.  
(see Rule R3-100D)

2. In addition to the special authorizations referred to in paragraph #1, all organizational units of the University may make small purchases by following requirements provided for in a University Rule implementing this Policy. (see Rule R3-100D)

3. The University of Utah Office of General Counsel shall have authority to conduct procurements for the hiring of outside counsel, expert witnesses and litigation support services.
4. Items purchased by the University for resale are exempt from competitive bid requirements.
5. Supplies and/or services purchased by organizational units from other organizational units within the University are exempt from competitive bid requirements.

C. Limitations and Restrictions on Procurement

1. The University is prohibited from procuring supplies or services for the personal use of any University employee. Organizational unit management is responsible to ensure the University Expenditure Policy and Purchasing Regulations are observed. (see Policy 3-010)
2. Unless specifically approved in writing by the Director of Purchasing or by a University Officer as defined in Policy 3-004, orders or commitments for procurement by University employees are not binding on the University, except as permitted by University Regulation. (see Rule R3-100D) Individuals who do not comply with University policy when placing procurement orders may become personally liable to the supplier for the contract price.
3. Procurement contracts with significant legal implications (excluding contract forms preapproved by the Director of Purchasing or the Office of General Counsel, such as purchase orders, independent contractor agreements, etc.) require review by the Office of General Counsel prior to contract execution. (see Policy 3-004)
4. Additional restrictions on procurement of specified items may apply, as described in a University Rule implementing this Policy. (see Rule R3-100B, C, D and E)
5. Solicitation by suppliers on University property to students and University employees other than for official University business is prohibited unless authorized by the Vice President for Administrative Services or designee.

D. Requirements

1. A purchase order may not be processed unless the organization unit verifies that funds are available to cover the amount of the purchase. In addition, purchases made under federal contracts during the final weeks prior to the end of the contract period may be disallowed. (see Policy R3-100E)
2. Pre-payments to suppliers for supplies or services have restrictions as established by the Utah Procurement Code and University procedure. (see Procedure P3-100A)
3. Donations to the University of supplies, equipment or materials (other than samples) furnished without charge to the University may be accepted but must be reported to the Development Office to assure that the donation is recorded and an appropriate acknowledgment provided to the donor. Donated equipment should also be reported to the Property Accounting Department to assure that the items are properly inventoried. Donations shall not influence or obligate the University in any purchasing decisions
unless the donation will fund the full cost of the supply, service or construction.

4. Samples provided by suppliers, where permitted by University Regulation, for review or testing that are not returned to the supplier become University property.

5. Consistent with the Utah Code, it is unlawful for certain procurement participants and those involved in administration of a procurement contract to accept or receive gifts or gratuities, including money, admission to an event, meals, lodging, travel, among other items for the person’s own use or benefit or the use or benefit of family members when the gift or gratuity is provided by a party interested in the sale of a procurement item to the University.

6. The Purchasing Department shall develop University Rules, Procedures, or Guidelines for the solicitation of Invitation for Bids, Request for Proposals or other procurement processes consistent with the provisions of the Utah Procurement Code. (see Rule R3-100B)

E. Emergency Procurement

1. When an emergency exists as determined by the Director of Purchasing or designee, authorization may be given to make emergency procurements that exceed the single procurement threshold without use of a competitive procurement process, such as bidding or RFP. (see Rule R3-100D) Such emergency procurements may be made by any reasonable means with any available specifications.

2. The Director of Purchasing or designee shall make a written determination of the existence of the emergency after reviewing supporting documentation stating the basis thereof, together with a written statement of justification for the selection of the particular supplier which shall be placed in the contract file.

F. Absence of University Procurement Regulation

In the absence of a University procurement Regulation, the Director of Purchasing may, but is not required to, follow a State of Utah procurement rule

G. Commitments

1. The University is committed to locating and encouraging small, socially/economically disadvantaged and women-owned and veteran owned businesses to become suppliers to the University on a continuing basis, subject to applicable legal requirements and limitations. University commitment to affirmative action extends to all aspects of its affairs, including the procurement function.

2. The Purchasing Department, in cooperation with all University organization units, supports Environmentally Preferred Purchasing (EPP) practices and encourages the purchase of supplies and services that effectively minimize negative environmental impacts and supports sustainability, subject to
University Regulations and federal laws. The University is committed to sustainable behavior in its procurement practices.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rules

R3-100B, Solicitation of Bids, Proposals and the Award of Procurement Contracts

R3-100C, Requisition Use

R3-100D, Delegated Small Purchase Authority

R3-100E, Restricted Purchases and Special Purchasing

B. Procedures

P3-100A, Vendor Prepayments, February, 8, 2011

P3-100B, Requisition Procedures

C. Guidelines [reserved]

D. Forms [reserved]

E. Other related resources [reserved]

V. References

Board of Regents Policy R571

Utah Procurement Code, 1953 Utah Code Annotated, sections 63-6a-101 et seq.

Policy 3-003, Authorizations and Approvals Required for Financial Transactions

VI. Contacts

Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University’s interests in enforcing this policy and authorizing any allowable exceptions.

VII. History

Revision 8: Approved by the Board of Trustees April 12, 2011 to accept content relocated from Policy 4-005, see Executive Summary.

Added Definition for "Non-standard furnishings" to Section II.V., February 8, 2011

Revision 7; Editorially Revised February 19, 2002

Editorially changed to update Rules, format, owner and officer; September 9, 2009
I. Purpose and Scope

To outline the general procurement policies and responsibilities of the University of Utah which include: transparency, ensuring fair and equitable treatment of all suppliers and fostering broad-based competition and ensuring that procurement operations may be conducted efficiently to allow University personnel to effectively carry out the mission of the University. University procurement Policies are written to comply with Board of Regents Policy R571, Delegation of Purchasing Authority and the Utah Procurement Code. This Policy is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions

As used in this Policy, and in the Policy Rules and Procedures provisions cited in the references below adopted to implement this Policy, the following terms shall have the same meaning as in the Utah Procurement Code, adapted to circumstances of the University of Utah:

A. “Annual Cumulative Threshold” means the limit for the University for total purchases from a single supplier without competition during a fiscal year. The cumulative total includes all forms of payment.

B. “Blanket order” means:
   1. Competitive: a contract that is awarded after a competitive process for recurring purchases at the bid price, typically during a fiscal year or contract period.
   2. Non-competitive: a procurement instrument that will allow recurring orders below the Single Procurement Threshold for goods and/or services during a fiscal year or contract period.

A. "Chief procurement officer" means the person duly authorized to enter into and administer procurement contracts for the University and is delegated duties and responsibilities to administer all procurement activities. This position is filled by the Director of Procurement and Supply Management who acts as the chief procurement officer referred to in the Procurement Code. Hereafter referred to as the Director of Purchasing.

C. "Construction" means the process of building, renovating or demolishing, altering, improving or repairing any University structure or building or major developmental work public work or landscaping of University real property. Construction does not include the routine operation, routine repair or routine maintenance of an existing structures, buildings or real property.
D. "Emergency procurement" means procurement conducted due to circumstances that threaten public health, welfare, safety, property, or other harm, including presenting a risk of causing financial harm to the University or significantly disrupting University operations, or circumstances where timeliness, litigation deadlines or other factors necessitate waiver of provisions of the standard procurement process.

E. “Formal Purchase Threshold” is the minimum total procurement price that requires formal bid procedures including bid advertising, a minimum number of days for bid publication, etc. Informal purchases include those less than the Formal Purchase Threshold.

F. “High Speed Printers/Copiers” means an automated or semi-automated offset press, digital, xerographic, or similar photo process machine capable of producing duplicate copies in excess of 90 pages per minute.

G. 1. "Invitation for bids" means all documents, whether attached or incorporated by reference, utilized for soliciting bids when cost is a major factor in determining the award.

H. “Limited Purchase Order” or LPO means an official form obtained from the Accounts Payable Department which is used to purchase goods or services below the Single Procurement Threshold.

I. 4. "Non-standard furnishings" means office furniture, equipment, and accessories that are not routinely available on an existing procurement contract. Such furnishings, by their nature, go well beyond meeting the functional need of the office, and would generally be considered to be more deluxe, extravagant or lavish (and therefore much more costly) than their “standard” counterpart.

J. “Organizational unit” means a department, division, school, college or other campus entity which is part of the University of Utah.

K. "Procurement" means buying, purchasing, renting, leasing or otherwise acquiring any supplies, services or construction. It also includes all functions that pertain to the obtaining of any supply, service or construction, including description of requirements, selection and solicitation of sources, preparation and award of a contract and all phases of contract administration using University funds.

L. “Professionals, Providers and Consultant Threshold” means the maximum total transaction cost that can be purchased by one Department/employee at one time for the services of a professional, provider or consultant when competition is encouraged but not required. The nature of professional, provider or consultant services may be ongoing. This limit applies when the contract for services is below the threshold or the fee otherwise expected to be charged for the scope of services is below the threshold. It is not permissible for a Department to engage in unlawful splitting of the transaction to meet the Professionals, Providers and Consultants Threshold.
M. "Procurement contract or purchase order" means any University agreement for the procurement or disposal of supplies, services or construction. The word "contract" may be used interchangeably with procurement contract.

N. "Purchaser" means anyone that has procurement authority, whether direct or delegated. Other University employees may participate in the procurement process.

O. "Purchasing Card (PCard)" means an institutional credit card administered by the Purchasing Department, billed directly to, and paid by the University of Utah, designated for the direct procurement of non-travel small purchases made by a University employee.

P. "Restricted Purchases" means acquisitions that are controlled and require special approvals and processing in compliance with laws, policy, etc.

Q. "Request for proposals (RFP)" means all documents, whether attached or incorporated by reference, utilized for soliciting proposals when other factors, in addition to cost, are considered significant in determining the award.

R. "Requisition” means a document used to initiate the procurement of supplies and services utilizing approved University purchase orders. Requisitions are not purchase orders and shall not be used or represented as such.

S. "Reasonable Responsible bidder or offeror" means a person supplier who has the capability in all respects, to perform fully the contract requirements solicited in an invitation for bids or a request for proposals and who has the integrity and reliability which will assure to ensure good faith performance.

T. "Responsive bidder or offeror " means a person supplier who has submitted submits a response to an invitation for bids or a request for proposals which conforms in all material respects to the invitation for bids or request for proposals.

U. "Sample" means supplies provided to the University for testing or evaluation purposes. Samples become the property of the University unless agreed otherwise in writing by the supplier and the University. Regarding sample textbooks, see Policy 6-318.

V. "Services" means the furnishing of labor, time of or effort by a contractor supplier, not involving the delivery of a specific end product other than a report which are merely that is incidental to the required performance. It does not include employment agreements or collective bargaining agreements.

W. Single Procurement Threshold” means the maximum total transaction cost that can be purchased by one purchaser at one time from the same supplier when competition is encouraged but not required.
X. “Sole Source” means that a contract may be awarded for supplies and/or services or construction to a supplier without competition and will be conducted pursuant to established University processes.

Y. “Special Approvals” means acquisitions that are controlled by law, University Regulation or business practice and requires authorization prior to the purchase.

Z. "Specification" means any description of the physical or functional characteristics, or of the nature of the supplies and/or services or construction item, included in an invitation for bids, a request for proposals or contract. It may include description of any requirement for inspecting, testing, or preparing the supplies, and/or services or construction item for delivery.

AA. “Split transaction” means any transaction prohibited by law or University Regulation when an individual knowingly or intentionally divides a procurement with the intent to qualify as one or more small purchases; if, before dividing the procurement, it would not have qualified as a small purchase.

BB. “Supplier” means a person, vendor, manufacturer, distributor or company, etc., that provides supplies and/or services.

CC. “Supplies” means all property, including but not limited to equipment, materials, and printing, and leases of real property, excluding land or a permanent interest in land.

DD. “University” means the University of Utah.

A. “Architect-engineer services” means professional services within the scope of the practice of architecture as defined in section 58-3, or professional engineering as defined in section 58-22, Utah Code Annotated, 1953.

B. "Business" means any corporation, partnership, individual sole proprietorship, joint stock company, joint venture or any other private legal entity.

C. "Change order" means a written order signed by the purchasing agent or designee, directing the contractor to suspend work or make changes, which the appropriate clauses of the contract authorize without the consent of the contractor of any written alteration in specifications, delivery point, rate of delivery, period of performance, price, quantity or other provisions of any contract accomplished by mutual action of the parties to the contract.
F. “Cost-reimbursement contract” means a contract under which a contractor is reimbursed for costs which are allowable and allocable in accordance with the contract terms and the provisions of this policy, and a fee, if any.

G. “Multiple primary vendor award” means the award of procurement contracts to more than one vendor to furnish the same or similar supplies, services or construction so as to afford alternate sources to satisfy particular delivery, service or other unique procurement requirements.

H. “Established catalogue price” means the price included in a catalogue, price list, schedule or other form that:
   i. is regularly maintained by a manufacturer or contractor;
   ii. is either published or otherwise available for inspection by customers; and
   iii. states prices at which sales are currently or were last made to a significant number of any category of buyers, or buyers constituting the general buying public, for the supplies or services involved.

I. “Grant” means the furnishing of financial or other assistance by the state or by any other public or private source, to any person to support a program authorized by law. It does not include an award whose primary purpose is to procure an end product, whether in the form of supplies, services or construction a contract resulting from such an award is not a grant but a procurement contract.

K. “Person” means any business, individual, union, committee, club, other organization or group of individuals, not including a state agency, political subdivision, public authority or local public entity.

M. “Purchase description” means the words used in a solicitation to describe the supplies, services or construction to be purchased, and includes specifications attached to or made a part of the solicitation.

Q. “Requisition” means a form used to initiated the procurement of supplies, and services or construction utilizing approved University forms. Requisitions are not purchase orders and shall not be used or represented as such.

T. “Surplus supplies” means any supplies that are no longer needed for public use. It includes expendable supplies, scrap materials and nonexpendable supplies that have completed their useful life cycle.

III. Policy
   A. Procurement & Supply Management Responsibilities Purchasing Department
1. **Procurement & Supply Management** The Purchasing Department is responsible for the procurement of all supplies and services required by the University of Utah and all its departments, organizational units as required by law, including services, departments, and auxiliaries except for (1) purchases specifically exempted under paragraph B, below; (2) any purchases under $5,000 made in accordance with Policy 3-191; and (3) procurement relating to building construction and architect-engineer services obtained by the State Division of Facilities Construction and Management.

2. **Procurement & Supply Management** The Purchasing Department shall establish operating organizational procedures with which to locate and ensure adequate and continuing sources of supply, consistent with legal, budgetary and delivery requirements of user departments, organizational units, and to provide the necessary assistance to acquire such supplies and services in a timely and economical basis; to assure compliance with all applicable state and federal laws and University Regulations during the procurement process; and to provide assistance, consultation, and advice regarding all procurement needs of the University.

3. The Director of Purchasing and Supply Management is the chief procurement officer for the University. The responsibilities are to adopt organizational procedures, procure or supervise the procurement of all supplies, services and construction needed by the University, and ensure compliance with state and federal laws and with University Regulations.

4. **In discharging its responsibilities of Procurement & Supply Management the Purchasing Department may are to:**
   
a. Initiate, conduct and conclude solicitations and negotiations for the purchase of goods, supplies, and services for the University.

b. Obligate the University for the purchase of goods, supplies, and services.

c. Recommend changes in quality, quantity or kind of material requisitioned and/or to suggest appropriate alternatives.

d. Fill requisitions with items of equal usability and quality that are currently available in the inventories of the University.

e. **Conduct The** selection of suppliers in accordance with legal requirements is the responsibility of Procurement. However, suggestions by departments will be considered.

5. **The selection of suppliers in accordance with legal requirements is the responsibility of Procurement. However, suggestions by departments will be considered, whenever they are competitive with other sources or when delivery requirements or other unique requirements so demand. The University of Utah Surplus and Salvage Department in all cases will be considered a primary University supplier.**
B. Exceptions: Procurement Authority of Organizational Units

1. By virtue of their special needs and the roles they fill at the University, the following operating some organizational units are may be authorized to solicit bids and issue purchase orders independent of the provisions of this section, may be delegated procurement authority at a higher spend level than normally authorized, but in keeping with written policies found within each department compliant with University Regulations, the Utah Procurement Code and written rules found with the organizational unit, and with maximum practicable competition in all such contracting. Organizational units that qualify for this exception will be identified in Rule and will enter into a written memorandum of understanding with the Director of Purchasing. Other organizational units may be extended similar limited procurement exceptions as described in writing, at the discretion of the Director of Purchasing. The Director of Purchasing retains procurement authority for these organizational units and may request periodic audits of the delegated purchase authority (see Rule R3-100D)
   a. Associated Students of the University of Utah
   b. Marriott Library (books and periodicals only)
   c. Eccles Health Sciences Library (books and periodicals only)
   d. S.J. Quinney Law Library (books and periodicals only)
   e. Physicians' Billing Office University Medical Group
   f. University Bookstore (resale items only)
   g. Hospital Purchasing Department
   h. University Food Service operations (when prior authorization has been extended in the form of blanket purchase orders resale items only)
   i. Travel Accounting (travel related only)
   j. Study Abroad (student travel related only)
   k. Athletics (only athletic charter travel and medical services for athletes)
   l. Procurement relating to building construction and architect-engineer services by Facilities Management as delegated by the State Division of Facilities Construction and Management.

The operating units specified above will be expected to comply with applicable University policies and Procedures and to use substantially the same sound business practices in their purchasing activities as those followed by Procurement. Other operating units may be extended similar procurement exceptions at the discretion of Procurement.

2. In addition to the special authorizations referred to in paragraph #1, all organizational units of the University may make small purchases (i.e.,
purchases of items under $5,000, without going through Procurement by following requirements provided for in a University Rule implementing this Policy. (see Rule R3-100D)

3. The University of Utah Office of General Counsel shall have authority to conduct procurements for the hiring of outside counsel, expert witnesses and litigation support services.

4. Items purchased by the University for resale are exempt from competitive bid requirements.

5. Supplies and/or services purchased by organizational units from other organizational units within the University are exempt from competitive bid requirements.

C. Limitations and Restrictions on Procurement

1. The University is prohibited from making purchases procuring supplies or services for the personal use of any University employee. All property, supplies, and services purchased with University funds should be used only in the operation of the University. They may not be used for personal business, except in circumstances explicitly allowed by University policy. Supervisors are Organizational unit management is responsible to ensure the University Expenditure Policy and Purchasing Regulations are is observed. (see Policy 3-010)

(2) Purchase of supplies, services or construction from faculty or staff is authorized if special procedures are followed including disclosure to avoid a violation of the Utah Public Officers' and Employees' Ethics Act, and when there is evidence that the purchase price is fair and reasonable. (See Policy 1-006.)

2. Unless specifically approved in writing by the Purchasing Agent, the Director of Purchasing or signed by a University officer as defined in Policy 3-004, orders or commitments for procurement by faculty or staff members University employees are not binding on the University, except as permitted by Policy 3-191 University Regulations. (see Rule R3-100D) Small Purchases and Expedited Procurement). Individuals who do not comply with University policy when placing procurement orders may become personally liable to the supplier for the contract price.

3. Procurement contracts with significant legal implications (excluding contract forms preapproved by the Director of Purchasing or the Office of General Counsel, such as purchase orders, independent contractor agreements, etc.) require review by the Office of General Counsel prior to contract execution. (see Policy 3-004)

4. For Additional restrictions on procurement of specified items may apply, as described in a University Rule implementing this Policy. (see Rule R3-100B, C, D and E)
D. Procedures

1. A purchase order may not be processed unless the organization unit verifies that funds are available to cover the amount of the purchase. In addition, purchases made under federal contracts during the final weeks prior to the end of the contract period may be disallowed. (see Policy R3-100E)

2. Advance payments may not be made except to specified government agencies, vendors with minimum prepayment requirements and in certain other cases as determined appropriate in rule by Procurement or written authorization.

Pre-payments to suppliers for supplies or services have restrictions as established by the Utah Procurement Code and University procedure. (see Procedure P3-100A)

1. Any departmental correspondence relating to acquisition of goods or services must be processed through Procurement in order to avoid any unnecessary confusion or delay in the procurement process.

2. University commitment to affirmative action extends to all aspects of its affairs, including the procurement function. As a vital part of this commitment, emphasis is placed on locating and encouraging small, socially/economically disadvantaged and women-owned and veteran owned businesses to become suppliers to the University on a continuing basis. Such purchases will remain consistent with University needs and vendor capabilities and be subject to applicable legal requirements and limitations. Accordingly, a program has been established in Procurement to ensure the maximum practicable opportunity for these businesses to participate as suppliers to the University. All individuals with authority to request purchasing services or commit University obligations are expected to familiarize themselves with this program.

3. Gifts Donations to the University of supplies, equipment or materials (other than samples) furnished without charge to the University may be accepted but must be reported to the Development Office to assure that the gift donation is recorded and an appropriate acknowledgment provided to the donor. Donated equipment should also be reported to the Property Accounting Department to assure that the items are properly inventoried. Donations shall not influence or obligate the University in any purchasing decisions unless the donation will fund the full cost of the supply, service or construction.
4. Samples provided by suppliers, where permitted by University Regulation, for review or testing and not returned to the supplier become University property.

(5) Information is available for inspection at Procurement relative to legal and contractual remedies available to the University, or vendors contracting business with the University, suspension of bidding privileges, vendor debarment Procedures, waiver of immunity, claims Procedures and other legal provisions binding upon the University under the Utah Procurement Code. 1953 Utah Code Annotated sections 63-56-45 to 63-56-50 and 63-56-59 to 63-56-63.

(6) Questions regarding existing orders, vendors, product availability or other procurement problems should be directed to Procurement. Reports of delays and suggestions for improvement of the purchasing process should be directed to the Purchasing Agent.

5. Consistent with the Utah Code, it is unlawful for certain procurement participants and those involved in administration of a procurement contract to accept or receive gifts or gratuities, including money, admission to an event, meals, lodging, travel, among other items for the person’s own use or benefit or the use or benefit of family members when the gift or gratuity is provided by a party interested in the sale of a procurement item to the University.

6. The Purchasing Department shall develop University Rules, Procedures, or Guidelines for the solicitation of Invitation for Bids, Request for Proposals or other procurement processes consistent with the provisions of the Utah Procurement Code. (see Rule R3-100B)

E. Emergency Procurement

1. When an emergency exists as determined by the Director of Purchasing or designee, authorization may be given to make emergency procurements that exceed the single procurement threshold without use of a competitive procurement process, such as bidding or RFP. Such emergency procurements may be made by any reasonable means with any available specifications.

2. The Director of Purchasing or designee shall make a written determination of the existence of the emergency after reviewing supporting documentation stating the basis thereof, together with a written statement of justification for the selection of the particular supplier which shall be placed in the contract file.

F. Absence of University Procurement Regulation

1. In the absence of a University procurement Regulation, the Director of Purchasing may, but is not required to, follow a State of Utah procurement rule.

G. Commitments

1. The University is committed to locating and encouraging small, socially/economically disadvantaged and women-owned and veteran owned businesses to become suppliers to the University on a continuing basis.
subject to applicable legal requirements and limitations. University commitment to affirmative action extends to all aspects of its affairs, including the procurement function.

2. The Purchasing Department, in cooperation with all University organizational units, supports Environmentally Preferred Purchasing (EPP) practices and encourages the purchase of supplies and services that effectively minimize negative environmental impacts and supports sustainability, subject to University policies and state and federal laws. The University is committed to sustainable behavior in its procurement practices.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rules

R3-100A, Solicitation by Suppliers, 5/8/1996

R3-100B, Solicitation of Bids, Proposals and the Award of Procurement Contracts

R3-100C, Requisition Preparation and Processing

R3-100D, Delegated Small Purchase Authority

R3-100E, Restricted Purchases and Special Purchasing

B. Procedures

P3-100A, Vendor Prepayments, February, 8, 2011

P3-100B, Requisition Procedures

C. Guidelines [reserved]

D. Forms [reserved]

E. Other related resources [reserved]

V. References

Board of Regents Policy R571

Policy 3-190, Requisition Preparation and Processing

Policy 3-191 Small Purchases and Expedited Procurement

Policy 3-192, Restricted Purchases and Special Procurement

Policy 3-101, Solicitation of Bids, Proposals, and the Award of Procurement Contracts

Policy 3-161, Stores and Receiving

Policy 1-006, Conflict of Interest

Policy 3-045, Equipment Inventory Screening and Requisitioning
Policy 3-003, Authorizations and Approvals Required for Financial Transactions

VI. Contacts

Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

VII. History

Revision 8: Approved by the Board of Trustees April 12, 2011 to accept content relocated from Policy 4-005, see Executive Summary.

Added Definition for "Non-standard furnishings" to Section II.V., February 8, 2011

Revision 7; Editorially Revised February 19, 2002

Editorially changed to update Rules, format, owner and officer; September 9, 2009
Rule R3-100B: Solicitation of Bids, Proposals, Sole Source and the Award of Procurement Contracts

I. Purpose and Scope
To implement Policy 3-100 and outline Rules for the solicitation of bids and proposals, and award of University procurement contracts, consistent with the provisions of the Utah Procurement Code. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions
See Policy 3-100, University Procurement

III. Rule
A. Competitive Bidding
1. Except as otherwise provided in this Rule, procurement of items in excess of the formal purchase threshold ($50,000) will be awarded only after solicitation of sealed competitive bids or proposals. (see Rule 3-100D for all procurement thresholds)
2. Bids and proposals shall be invited from a reasonable selection of firms from whom, in the judgment of Procurement & Supply Management (Purchasing Department), the procurement needs of the University can be satisfied.
3. Facilities Management is responsible to conduct procurement for construction and architect and engineering services as delegated by the Vice President for Administrative Services or his/her designee and the Director of Purchasing and the Utah State Building Board. Under this delegation, Facilities Management may follow procurement rules adopted by the Utah State Building Board.

B. Specifications
1. The Purchasing Department is responsible for the approval, issuance, revision, maintenance and monitoring of specifications for supplies and services required by the University. Organizational units of the University will prepare specifications for the supplies or services they require.
2. Facilities Management is responsible for the approval, issuance, revision, maintenance and monitoring of construction, architect and engineer specifications, procurement solicitations and contracts within their delegation. This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and Facilities Management.
3. University of Utah Hospitals & Clinics Purchasing is responsible for the approval, issuance, revision, maintenance and monitoring of specifications, procurement solicitations and contracts for University of Utah Hospital & Clinics. This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and University of Utah Hospital & Clinics.
4. All specifications shall seek to promote overall economy and best use for the purposes intended, shall encourage competition when applicable in satisfying University needs and may not be unduly restrictive.
5. Subject to the nonrestrictive clause stated in paragraph 4, specifications and/or requests for bids or proposals may designate a brand name "or equal" as a means to identify the performance or other specific requirements of procurement. When so used, the salient features of the brand name that must be met by bidders/offerors shall be clearly specified.

6. A supplier who has participated in the writing of a specification shall not be eligible to participate in or receive a contract award for any University procurement using such specification.

C. Bidding Requirements

1. The Director of Purchasing is responsible for assuring that all bidding procedures, including the invitation to bid, giving of notice, establishment of criteria for bid evaluation, opening and evaluation of bids received, acceptance of bids and awarding of contracts are in compliance with the requirements of the Utah Procurement Code and University Regulations.

2. Public notice of invitations for bids shall be given a reasonable time, not less than seven (7) consecutive days, prior to the date for the opening of bids. The Director of Purchasing may determine in writing that a shorter time is deemed necessary for a particular procurement.

3. The amount of each bid, together with the name of each bidder, shall be recorded in writing or electronically at the time and place of bid opening.

4. Correction or withdrawal of inadvertently erroneous bids before or after award, and the cancellation of awards or contracts based on such bid mistakes, may be authorized by the Director of Purchasing or his/her designee, when requested in writing and accompanied by full documentation of the facts leading to presentation of the erroneous bid. After bid opening, no changes in bid prices or other provisions of bids prejudicial to the interest of the University or fair competition will be permitted.

5. The award of a bid shall be made to the lowest responsive and responsible bidder who meets the objective criteria described in the invitation for bids.

6. A multiple stage bidding process may be initiated requesting the submission of unpriced offers to be followed by an invitation for bids limited to those bidders whose offers have been qualified under the criteria set forth in the first solicitation.

D. Request for Proposals

1. A request for proposals process may be used instead of bidding if the Director of Purchasing determines in writing that the request for proposal process will provide the best value to the organizational unit, and if criteria in addition to cost must be considered.

2. The Director of Purchasing or designee is responsible for ensuring the integrity of the request for proposal process in conformance with the Utah Procurement Code.

3. Public notice of request for proposals shall be given a reasonable time, not less than seven (7) consecutive days, prior to the date for the opening of proposals. A longer time period may be required.

4. The request for proposals process shall include:
a. a description of the procurement items sought;
b. a description of the subjective and objective criterion that will be used to evaluate the proposal;
c. the standard contractual terms and conditions;
d. the relative weight that will be given to each criterion including cost;
e. the formula that will be used to determine the score for cost;
f. a description of each stage and the criteria and scoring that will be used to screen offerors at each stage for multi-stage request for proposals;
g. all other requirements of the Utah Procurement Code.

5. An evaluation committee shall be appointed consisting of at least three individuals that:
   a. do not have a conflict of interest;
   b. can fairly evaluate each proposal;
   c. during the time of the procurement, do not contact or communicate with an offeror for any reason other than conducting the procurement process or University business not related to the procurement;
   d. unless an exception is made in writing by the Director of Purchasing, shall not know or have access to any information relating to the cost proposals from suppliers until after the evaluation committee submits its final recommended scores on all other criteria to Purchasing;
   e. meets all other requirements of the Utah Procurement Code.

6. Award shall be made to the responsive and responsible offeror whose proposal is the highest scored. If the highest scored offeror is disqualified, the award shall be made to the next highest scored responsive and responsible offeror or the request for proposal may be cancelled. The contract file shall contain the basis on which the award is made.

   If the contract is awarded to an offeror other than the lowest cost offeror, and the difference between the cost of the accepted proposal and the lowest proposal exceeds the greater of $10,000 or 5% of the lowest cost offer, Purchasing shall obtain from the organizational unit:

   a. a written cost-benefit analysis that explains in general terms the advantage to the organizational unit of the higher cost offeror
   b. an estimated added financial value to the organizational unit for each criterion that justifies the award to the higher cost offeror
   c. to the extent that assigning a financial value to a particular criterion is not practicable, a written statement why it is not practicable to assign a financial value and the advantage to the organizational unit, based on the particular criterion, of awarding the contract to the higher cost offeror
   d. an explanation that the value of the advantage to the organizational unit exceeds the value of the difference between the cost of the higher and the lower cost offerors

E. Exceptions: Procurement without Competition

1. Small purchases up to the single procurement threshold or the professionals, providers and consultants threshold shall be processed in accordance with University Regulations.  
   (See Rule R3-100D, E)

2. The Purchasing Department may utilize contracts authorized by the Utah Procurement Code without additional competitive processes.
3. Sole source contracts. A contract exceeding the formal purchase threshold may be awarded for a supply, service or construction item without competitive bidding when the Director of Purchasing determines in writing that there is only one source for the requisitioned item. This may include, but not be limited to, any of the following considerations: (See Rule R3-100D)
   a. the award is a condition of a donation that will fund the full cost of the supply, service or construction
   b. compatibility of equipment, technology, software, accessories, replacement parts or service
   c. an item is needed for trial use or testing
   d. transitional costs (which include training, conversion, compatibility, system downtime, disruption of service, installation, or ancillary costs) to change from an existing supplier or type of item to another is unreasonable or cost prohibitive
   e. procurement of public utility services
   f. delays due to a procurement process and resulting contract that may impact the timely delivery of goods or services and would cause financial harm to the University

4. Publication of notice of sole source.
   a. Public notice of a sole source shall be made for a procurement that exceeds the formal purchase threshold. The notice shall be given a reasonable time, not less than seven (7) consecutive days, prior to the date when comments are due.
   b. The Director of Purchasing may make a written determination that a shorter time period is needed.
   c. A public notice for sole source items or services will allow for additional purchases of the like items or services for a period of up to five (5) years.
   d. A public notice for a category or categories of sole source items or services will allow for additional purchases from the category or categories for a period of up to five (5) years.

5. An authorized buyer in the Purchasing Department may utilize alternative procurement methods, such as informal price quotations and direct negotiations to purchase items that include, but are not limited to, the following when determined to be more practicable or advantageous to the University:
   a. used vehicles, equipment, etc.
   b. live animals
   c. hotels, conference facilities and services

6. Emergency Procurement (See details in Policy 3-100)

F. Prequalification

When determined to be necessary or appropriate by the Purchasing Department, prospective suppliers may be prequalified for particular types of supplies, services and construction. Solicitation mailing lists of potential suppliers shall include but shall not be limited to prequalified suppliers.

G. Contractual Terms

1. Contractual terms permitted by law may be used for University procurement purposes, as the best interests of the University may require; except that the use of a cost-plus-a-percentage-of-cost contract is prohibited.
2. The Director of Purchasing is responsible for assuring compliance with procedural requirements of the Utah Procurement Code applicable to the terms and provisions of procurement contracts, including requirements that specified determinations be made as a condition precedent to the inclusion or modification of specified contractual provisions or the use of change orders.

3. The Purchasing Department shall develop, modify and maintain a file of standard contract clauses to be used in University procurement contracts, and such clauses shall be deemed incorporated herein by reference. The Director of Purchasing may modify any such clause for inclusion in any particular contract upon a written determination that such variation will promote the interests of the University or encourage fair and open competition, provided that notice of any such material variation must be given in the invitation to bid or request for proposals. Facilities Management shall use standard contract clauses for contracts for construction and architect and engineering services as required by state law and adopted by the Utah State Building Board.

H. Protest

Protests filed by aggrieved bidders, offerors, or potential bidders or offerors, shall be handled by the Purchasing Department in consultation with legal counsel and in accordance with state law. Facilities Management or University of Utah Hospital & Clinics Purchasing in consultation with legal counsel and in accordance with state law, shall handle protests on their delegated purchases and shall notify the Director of Purchasing of all protests.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rule R3-100C, Requisition Use
   Rule R3-100D, Delegated Small Purchase Authority
   Rule R3-100E, Restricted Purchases and Special Procurement

B. Procedures [reserved]

C. Guidelines [reserved]

D. Forms [reserved]

E. Other related resource materials [reserved]

V. References

A. Utah Code Annotated, sections 63-6a-101 et seq. (Utah Procurement Code)

VI. Contacts

A. Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

VII. History

A. Approved: Institutional Council, January 14, 1985
B. Editorially revised: March 5, 2002
C. Editorially changed to update format and contact information, August 9, 2012
Rule R3-100B Policy 3-101 Solicitation of Bids, Proposals, Sole Source and the Award of Procurement Contracts

I. Purpose and Scope
   A. To establish procedures to implement Policy 3-100 and outline rules for the solicitation of bids and proposals, and award of University procurement contracts, consistent with the provisions of the Utah Procurement Code. This rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

   References
   B. Policy 3-100, University Procurement
   C. Rule R3-100C, Requisition Preparation and Processing
   D. Rule R3-100D, Delegated Small Purchase Authority
   E. Rule R3-100E, Restricted Purchases and Special Procurement
   F. Utah Code Annotated, sections 63-6a-101 et seq. (Utah Procurement Code)

II. Definitions
   A. See Policy 3-100, University Procurement

III. Policy Rule
   A. Competitive Bidding
      1. Except as otherwise provided in this policy rule, procurement of items in excess of $45,000 (the formal purchase threshold ($50,000) will be awarded only after solicitation of sealed competitive bids or proposals. (see Rule 3-100D for all procurement thresholds)
      2. Bids and proposals shall be invited from the widest practical a reasonable selection of firms with proven performance from whom, in the judgment of Procurement & Supply Management (Procurement, Purchasing Department), the procurement needs of the University can be satisfied.
      3. Procurement of items estimated to cost $45,000 or less shall be processed pursuant to Policy 3-191.
      4. Facilities Management is responsible to conduct procurement for construction and architect and engineering services as delegated by the Vice President for Administrative Services or his/her designee and the Director of Purchasing and the Utah State Building Board. Under this delegation, Facilities Management may follow procurement rules adopted by the Utah State Building Board.

   B. Specifications
      1. Procurement The Purchasing Department is responsible for the preparation, approval, issuance, revision, maintenance and monitoring of specifications for supplies, and services and construction required by the University. In the preparation of specifications, the purchasing agent may obtain the advice and assistance of requisitioning departments as needed and, in connection with construction contracts, shall request such advice and
assistance from the director of Campus Design and Construction. Organizational units of the University will prepare specifications for the supplies or services they require.

2. Facilities Management is responsible for the approval, issuance, revision, maintenance and monitoring of construction, architect and engineer specifications, procurement solicitations and contracts within their delegation. This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and Facilities Management.

3. University of Utah Health Care (UUHC) Purchasing is responsible for the approval, issuance, revision, maintenance and monitoring of specifications, procurement solicitations and contracts for UUHC. This delegation will be in the form of a memorandum of understanding entered into by the Director of Purchasing and UUHC.

4. All specifications shall seek to promote overall economy and best use for the purposes intended, shall encourage competition when applicable in satisfying University needs and shall not be unduly restrictive.

5. Subject to the nonrestrictive policy stated in paragraph 24, specifications and/or requests for bids or proposals may designate a brand name "or equal" as a means to identify the performance or other specific requirements of a procurement. When so used, the salient features of the named brand name that must be met by bidders/offerors shall be clearly specified.

6. An individual A supplier who has participated in the preparation writing of a specification shall not be eligible to participate in or receive a contract award for any University procurement using such specification. Exceptions to this rule may be granted by the Vice President for Administrative Services, or his/her designee, upon recommendation of the purchasing agent chief procurement officer, if (a) an exception is justified by the existence of emergency conditions (see Section E.3 below); (b) there is only one practicable source of supply for the contract requirements, (see Section E.23 below); or (c) it is not practicable or advantageous to the University to deny an award to the individual or to a bidder/supplier with which that individual is associated.

C. Bidding Procedures Requirements

1. The purchasing agent Director of Purchasing is responsible for assuring that all bidding procedures, including the invitation to bid, giving of notice, establishment of criteria for bid evaluation, opening and evaluation of bids received, acceptance of bids and awarding of contracts are in compliance with the requirements of the Utah Procurement Code and University Regulations.

2. Public notice of invitations to for bids shall be given a reasonable time, not less than seven (7) calendar-consecutive days, prior to the date for the opening of bids. The Director of Purchasing may determine in writing that a shorter time is deemed necessary for a particular procurement.

3. The amount of each bid, together with the name, business address, telephone number and identification number of any applicable contractor’s license, of each bidder, shall be recorded in writing or electronically at the time and place of bid opening.

4. Correction or withdrawal of inadvertently erroneous bids before or after award, and the cancellation of awards or contracts based on such bid mistakes, may be authorized by the
vice president for administrative services, Director of Purchasing or his/her designee, when requested in writing and accompanied by full documentation of the facts leading to presentation of the erroneous bid. After bid opening, no changes in bid prices or other provisions of bids prejudicial to the interest of the University or fair competition will be permitted. A decision to permit the correction or withdrawal of a bid, or to cancel an award or contract based on an alleged bid mistake shall be in writing, with a statement of reasons that takes into consideration the written evaluation and recommendation of the purchasing agent.

5. The award of a bid shall be made to the lowest responsive and responsible bidder who meets the objective criteria described in the invitation for bids.

6. When it is considered impractical to prepare initially a purchase description to support an award based on price, an invitation A multiple stage bidding process may be issued initiated for bids may be issued requesting the submission of unpriced offers to be followed by an invitation for bids limited to those bidders whose offers have been qualified under the criteria set forth in the first solicitation.

7. When it is considered impractical to prepare initially a purchase description to support an award based on price, an invitation for bids may be issued requesting the submission of unpriced offers to be followed by an invitation for bids limited to those bidders whose offers have been qualified under the criteria set forth in the first solicitation.

D. Request for Proposals

1. A request for proposals process may be used instead of bidding if the purchasing agent Director of Purchasing determines in writing, with the approval of the vice president for administrative services or his/her designee, that the use of competitive sealed bids for a particular procurement contract, or for particular types of recurring procurement contracts, is either not practicable or not advantageous to the University, a contract within the scope of such determination may be entered into by competitive sealed proposals. request for proposal process will provide the best value to the organizational unit and, if criteria in addition to cost must be considered.

2. The purchasing agent Director of Purchasing or designee is responsible for ensuring the integrity of the request for proposal process and in conformance the preparation, issuance, giving of notice, opening, registering, evaluating, negotiating and awarding of contracts pursuant to requests for proposals; when the use of requests for proposals is authorized; provided that all such proceedings shall be in conformity with the Utah Procurement Code, and, in order to assure maximum practicable competition, shall be subject to the applicable time limitations and other Procedures specified in Section III. C. above relating to competitive bidding.

3. Public notice of request for proposals shall be given a reasonable time, not less than seven (7) consecutive days, prior to the date for the opening of proposals. A longer time period may be required.

4. The request for proposals process shall include:
   a. a description of the procurement items sought;
   b. a description of the subjective and objective criterion that will be used to evaluate the proposal;
c. the standard contractual terms and conditions;
d. the relative weight that will be given to each criterion including cost;
e. the formula that will be used to determine the score for cost;
f. a description of each stage and the criteria and scoring that will be used to screen offerors at each stage for multi-stage request for proposals;
g. all other requirements of the Utah Procurement Code.

5. An evaluation committee shall be appointed consisting of at least three individuals that:
   a. do not have a conflict of interest;
   b. can fairly evaluate each proposal;
   c. during the time of the procurement, do not contact or communicate with an offeror for any reason other than conducting the procurement process or University business not related to the procurement;
   d. unless an exception is made in writing by the Director of Purchasing, the evaluation committee shall not know or have access to any information relating to the cost proposals from suppliers until after the evaluation committee submits its final recommended scores on all other criteria to Purchasing;
   e. meets all other requirements of the Utah Procurement Code.

6. Award shall be made to the responsive and responsible offerer whose proposal is determined in writing to be the most advantageous to the University, taking into consideration price and the evaluation factors set forth in the request for proposals. No other factors or criteria shall be used in the evaluation of the highest scored. If the highest scored offeror is disqualified, the award shall be made to the next highest scored responsive and responsible offeror or the request for proposal may be cancelled. The contract file shall contain the basis on which the award is made.

   If the contract is awarded to an offeror other than the lowest cost offeror, and the difference between the cost of the accepted proposal and the lowest proposal exceeds the greater of $10,000 or 5% of the lowest cost offer, Purchasing shall obtain from the organizational unit:
   a. a written cost-benefit analysis that explains in general terms the advantage to the organizational unit of the higher cost offeror
   b. an estimated added financial value to the organizational unit for each criterion that justifies the award to the higher cost offeror
   c. to the extent that assigning a financial value to a particular criterion is not practicable, a written statement why it is not practicable to assign a financial value and the advantage to the organizational unit, based on the particular criterion, of awarding the contract to the higher cost offeror
   d. an explanation that the value of the advantage to the organizational unit exceeds the value of the difference between the cost of the higher and the lower cost offerors

E. Exceptions: Procurement without Competition
1. Small purchases up to the single procurement threshold or the professionals, providers and consultants threshold shall be processed in accordance with University Regulations. (see Rules R3-100D, E)

2. The Purchasing Department may utilize contracts authorized by the Utah Procurement Code without additional competitive processes.

3. Sole source contracts. A contract exceeding the formal purchase threshold may be awarded for a supply, service or construction item without competitive bidding when the purchasing agent, with the approval of the Vice President for Administrative Services or his/her designee, Director of Purchasing, determines in writing that there is only one practicable source for the requisitioned item. This may include, but not be limited to, any of the following considerations: (see rule R3-100D)
   a. the award is a condition of a donation that will fund the full cost of the supply, service or construction
   b. compatibility of equipment, technology, software, accessories, replacement parts or service
   c. an item is needed for trial use or testing
   d. transitional costs (which include training, conversion, compatibility, system downtime, disruption of service, installation, or ancillary costs) to change from an existing supplier or type of item to another is unreasonable or cost prohibitive
   e. procurement of public utility services
   f. delays due to a procurement process and resulting contract that may impact the timely delivery of goods or services and would cause financial harm to the University

4. Publication of notice of sole source.
   a. Public notice of a sole source shall be made for a procurement that exceeds the formal purchase threshold. The notice shall be given a reasonable time, not less than seven (7) consecutive days, prior to the date when comments are due.
   b. The Director of Purchasing may make a written determination that a shorter time period is needed.
   c. A public notice for sole source items or services will allow for additional purchases of the like items or services for a period of up to five (5) years.
   d. A public notice for a category or categories of sole source items or services will allow for additional purchases from the category or categories for a period of up to five (5) years.

5. An authorized buyer in the Purchasing Department may utilize alternative procurement methods, such as informal price quotations and direct negotiations to purchase items that include, but are not limited to, the following when determined to be more practicable or advantageous to the University:
   a. used vehicles, equipment, etc.
   b. live animals
   c. hotels, conference facilities and services

6. Emergency procurement. When emergency conditions exist that create a threat to public health, welfare or safety, procurement without full competition may be authorized pursuant to Section D of Policy 3-191. (see details in Policy 3-100)
7. Records. Procurement shall maintain, in accordance with the Utah Archives and Records Act, an official record of all contracts made under paragraphs 3 and 4 above summarizing with respect to each contract (a) the contractor’s name, (b) the amount and type of the contract and (c) the supplies, services or construction procured.

F. Prequalification

1. When determined to be necessary or appropriate by Procurement the Purchasing Department, prospective suppliers may be prequalified for particular types of supplies, services and construction. Solicitation mailing lists of potential suppliers shall include but shall not be limited to prequalified suppliers.

G. Contractual Terms

1. Any Contractual terms permitted by law may be used for University procurement purposes, as the best interests of the University may require; except that the use of a cost-plus-a-percentage-of-cost contract is prohibited.

2. The purchasing agent Director of Purchasing is responsible for assuring compliance with procedural requirements of the Utah Procurement Code applicable to the terms and provisions of procurement contracts, including requirements that specified determinations be made as a condition precedent to the inclusion or modification of specified contractual provisions (see Utah Code Annotated sections 63-56-32, 63-56-40—now 63G-6a-1202) or the use of change orders (see Utah Code Annotated section 63-56-41).

3. When the best interests of the University so require, the purchasing agent may include in University procurement contracts any or all contract clauses, so far as relevant, that are authorized by the Utah Procurement Code (Utah Code Annotated sections 63-56-40 to 63-56-41) with respect to adjustments in price, time of performance, scope of contract work, variations between estimated and actual quantities, site conditions, remedies and other contract provisions.

4. Procurement The Purchasing Department shall develop, modify and maintain a file of standard contract clauses to be used in University procurement contracts pursuant to paragraph 3 above, and such clauses shall be deemed incorporated herein by reference. The purchasing agent Director of Purchasing may modify any such clause for inclusion in any particular contract upon a written determination that such variation will promote the interests of the University or encourage fair and open competition, provided that notice of any such material variation must be given in the invitation to bid or request for proposals. Facilities Management shall use standard contract clauses for contracts for construction and architect and engineering services as required by state law and adopted by the Utah State Building Board.

H. Protest

1. Protests filed by aggrieved bidders, offerors, or potential bidders or offerors, shall be handled by the Purchasing Department in consultation with legal counsel and in accordance with state law. Facilities Management or University of Utah Health Care purchasing in consultation with legal counsel and in accordance with state law, shall handle protests on their delegated purchases and shall notify the Director of Purchasing of all protests.

I. Procurement of Construction Work
1. Construction contracts will be entered into with responsible licensed contractors, subject to the provisions of the Utah Procurement Code (see Utah Code Annotated sections 63-56-36 to 63-56-39). For the purpose of this provision, the term "construction" has the same meaning as in the Utah Procurement Code, Utah Code Annotated section 63-56-5(4) and includes remodeling, renovation and landscaping.

2. Construction and remodeling contracts are subject to the provisions outlined in **Policy 3-100.IV.B**

3. **Bid security.**
   a. Bid security in an amount equal to at least five (5) percent of the amount of the bid shall be required for all competitive sealed bidding for construction contracts with an estimated cost of $50,000 or more, and for any other contracts where such bid security is deemed essential by the purchasing agent. Bid security shall be a bond provided by a surety company authorized to do business in this state, the equivalent in cash or any other form satisfactory to the University and consistent with the Utah Procurement Code.
   b. When a bidder fails to comply with the requirement for bid security set forth in the invitation for bids, the bid shall be rejected unless the purchasing agent determines in writing that the failure to comply with the security requirements is nonsubstantial.

4. **Performance and payment bonding.**
   a. When a construction contract is awarded for an amount exceeding $50,000 and performance and payment bonding is stipulated in the bid solicitation, performance and payment bonds, or other forms of security satisfactory to the University must be delivered to the University, and shall be binding on the parties upon the execution of the contract, subject to the provisions of the Utah Procurement Code (see Utah Code Annotated section 63-56-39).
   b. The form of the performance and payment bonds shall be substantially the same as for similar bonds required in connection with construction contracts awarded by the Utah State Building Board.
   c. Performance and payment bonds may be required for construction contracts of $50,000 or less in amount; provided that to promote the best interest of the University, the purchasing agent, with the approval of the vice president for administrative services, or his/her designee, may waive the requirement of performance and payment bonds on contracts either below or over $50,000 in amount.

5. **Architect-Engineering Services**
   1. Except as otherwise provided herein (see Section III.E. above), it is the policy of the University publicly to announce on an annual basis all requirements for architect-engineer services and to negotiate contracts for architect-engineer services on the basis of demonstrated competence, qualification for, and express interest in the type of services required, and at fair and reasonable prices. This paragraph does not affect the authority of and does not apply to Procedures undertaken by the University to obtain the services of architects or engineers in the capacity of employees.
   2. **Procurement process.**
a. In order to procure architect-engineer services, the director of Campus Design and Construction shall encourage firms engaged in the lawful practices of their profession to submit annually an expression of interest, together with a statement of qualifications and performance data, responsive to published criteria approved by the director.

b. A selection committee for architect-engineer services contracts, appointed by the director of Campus Design and Construction or his/her designee, shall evaluate current statements of qualifications and performance data on file, together with those that may be submitted by other firms in response to the announcement.

c. The selection committee shall, where feasible, consider not less than three firms, and based upon the established criteria, shall select therefrom not less than three of the firms deemed to be the most highly qualified to provide the services required.

3. Procurement shall award a contract to a qualified firm at compensation which the purchasing agent, after consultation with the selection committee, determines to be fair and reasonable to the University, after taking into account the estimated value, scope, complexity and professional nature of the services to be rendered. Should the purchasing agent be unable to negotiate a satisfactory contract with the firm first selected, at a price determined to be fair and reasonable to the University, discussions with that firm shall be formally terminated and undertaken with a second qualified firm. Failing accord with the second firm, discussions shall be formally terminated and shall then be undertaken with a third qualified firm. Should agreement not be reached or the University be unable to negotiate a contract at a fair and reasonable price with any of the selected firms, the purchasing agent, upon recommendation of the committee, shall undertake discussions with additional firms until an agreement is reached.

4. When determined by the purchasing agent, with approval of the vice president for administrative services or his/her designee, the award of multiple primary vendor contracts for supplies, services or construction is authorized. The contract file shall contain the basis upon which this determination is made.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rule R3-100C, Requisition Use
   Rule R3-100D, Delegated Small Purchase Authority
   Rule Re-100E, Restricted Purchases and Special Procurement

B. Procedures [reserved]

C. Guidelines [reserved]

D. Forms [reserved]

E. Other related resource materials [reserved]

V. References

A. Policy 3-100, University Procurement Utah Code Annotated, sections 63-6a-101 et seq. (Utah Procurement Code)

B. Policy 3-190, Requisition Preparation and Processing

C. Policy 3-191, Small Purchases and Expedites Procurement

D. Policy 3-192, Restricted Purchases and Special Procurement

E. Utah Code Annotated, sections 63-61-101 et seq. (Utah Procurement Code)
VI. Contacts
   A. Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University's interests in enforcing this policy andAuthorizing any allowable exceptions.

VII. History
   A. Approved: Institutional Council, January 14, 1985
   B. Editorially revised: March 5, 2002
   C. Editorially changed to update format and contact information, August 9, 2012
Rule R3-100C: Requisition Use

I. Purpose and Scope

To implement Policy 3-100 and outline the use of purchase requisitions. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definition’s

See Policy 3-100, University Procurement

III. Rule

A. Use of Requisitions

1. Except as provided in paragraph 2 below, a requisition must be submitted to initiate the procurement of supplies and/or services by the Purchasing Department for purchases that exceed the single procurement threshold.

   Note: University organizational units that are authorized to engage in direct procurement without going through the Purchasing Department are listed in rule. (See Rule 3-100D)

2. Items or services not requiring a requisition include:

   a. Purchases under the single procurement threshold not restricted by rule. (See Rule 3-100D, E)

   b. Purchases from the University Campus Store, General Stores and Receiving, Dining Services, Print & Mail Services or other University organizational units using campus orders. (See Policy 3-193)

3. Organizational units may request that the Purchasing Department obtain price only quotations without obligating an award by clearly marking "Request for Quotation Only" on the face of the requisition. A request for quotation will not obligate an organizational unit nor encumber funds until the organizational unit authorizes the Purchasing Department to acquire the requested item.

4. Blanket orders are requested by submission of a requisition for indefinite quantity and indefinite delivery from a supplier for a defined period of time. A blanket order is valid only for a specified time period and/or for a specific dollar value. Most general fund blanket orders expire on June 30 of each year. Restricted fund blanket orders are assigned individual expiration dates, usually 30 days before the contract expires. Blanket orders may not be used to purchase capital equipment items (items costing in excess of $5,000) or single invoices billing in excess of $5,000 unless authorized on the order by the Purchasing Department.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rule R3-100B  Solicitation of Bids, Proposals, Sole Source and the Award of Procurement Contracts

   Rule R3-100D, Delegated Small Purchase Authority

   Rule R3-100E, Restricted Purchases and Special Purchasing

B. Procedures

   Procedure P3-100B, Requisition Procedures

C. Guidelines [reserved]
D. Forms [reserved]
E. Other related resource materials [reserved]

V. References
A. Utah Code Annotated, sections 63-6a-101 et seq. (Utah Procurement Code)
B. Policy 3-003, Authorizations and Approvals Required for Financial Transactions

VI. Contacts
A. Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

VII. History [reserved]
Policy 3-190 Rule R3-100C: Requisition Preparation and Processing Use

I. **Purpose and Scope**

To implement Policy 3-100 and outline requirements and instructions for preparing and processing the use of procurement requisitions. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. **References**

2. **Policy 3-100**, University Procurement
3. **Rule 3-100D**, Delegated Small Purchase Authority
4. **Policy 3-193**, Requesting Service from Campus Agencies

II. **Definition’s**

1. **Requisition**: A form used to initiate the procurement of supplies, and services or construction utilizing approved university purchase orders. Requisitions are not purchase orders and shall not be used or represented as such.

   See Policy 3-100, University Procurement

III. **Rule**

A. **Use of Requisitions**

1. Except as provided in paragraph 2 below, a requisition must be submitted to initiate the procurement of supplies, and/or services or construction by Procurement & Supply Management (Procurement) the Purchasing Department for purchases that exceed the single procurement threshold.

   Note: University operating organizational units that are authorized to engage in direct procurement without going through Procurement the Purchasing Department are listed in rule. **Policy 3-100, Section IV. B. 1**

2. Items or services not requiring a requisition include:

   a. Purchases under $5,000 the single procurement threshold not restricted by rule. See **Policy 3-191**, (see Rule 3-100D,E)

   b. Payroll or attendance reports. (See Policy 5-402.)

   c. Travel. Hotel accommodations for university guests should generally be made through preparation of a purchase order, requisition or request for travel. (See Policy 3-031.)

   d. Telegrams, telephone and TWX services. All questions concerning these services should be directed to the manager of Telecommunications.

   e. Maintenance of university buildings or grounds. For maintenance of departmental equipment, (see Policy 3-210.)

   f. Purchases from the Bookstore University Campus Store, General Stores and Receiving, Food Dining Services, Printing & Mail Services Services or other
campus agencies University organizational units using campus orders. (See Policy 3-193.)

3. Orders which are of an urgent nature may be placed by telephone call to Procurement. Telephone requests must be followed up by a written requisition, which must be marked "confirmation of telephone order" to avoid duplicate shipment. (Also see Policy 3-191.)

3. Departments Organizational units may request that Procurement the Purchasing Department obtain price only quotations without obligating an award only, by clearly marking "Request for Quotation Only" on the face of the requisition. A request for quotation will not obligate an organizational unit department nor encumber funds until the department organizational unit authorizes the Purchasing Department to acquire the requested item.

4. Blanket orders may be requested when services or supplies are required with some degree of regularity, but the exact quantities are not easily determined in advance by submission of a requisition for indefinite quantity and indefinite delivery from a supplier for a defined period of time. A blanket order will generally be valid only for a specified time period and/or for a specific dollar value. Most general fund blanket orders expire on June 30 of each year. Restricted fund blanket orders are assigned individual expiration dates, usually 30 days before the contract expires. The blanket order number must be given to the vendor each time an order is placed. Blanket orders may not be used to purchase capital equipment items (items valued costing in excess of $5,000) or single billings in excess of $5,000 unless authorized on the order by Procurement the Purchasing Department.

B. Requisitions for Purchases Charged to Research Contracts

1. Requisitions submitted during the final weeks of a contract or grant period cannot be processed unless they have the approval of Grants & Contracts Accounting, after consultation with the Office of Sponsored Projects.

2. A requisition for the purchase of equipment under a research contract or grant must be received no later than thirty (30) days prior to the end of the contract or grant period.

3. No equipment may be ordered on a research contract or grant after the contract or grant has terminated.

4. Supplies for use on a research contract or grant must be requisitioned a sufficient time prior to the termination of the contract or grant so that the supplies (a) will be received prior to the termination date, and (b) will in fact be used or expended for the benefit of the project.

C. Equipment Screening

1. Equipment purchases from funds controlled by the university are not authorized if the university already possesses identical, substantially similar or functionally equivalent equipment that is reasonably available for use by the requisitioning unit.

2. Before submitting a requisition for purchase of equipment estimated to cost more than $5,000, the requisitioning department is expected to conduct a conscientious search to determine the existence on the campus of equivalent equipment and its availability for departmental use.
3. Signatures affixed to equipment requisitions of $5,000 or more shall be deemed to certify that such a departmental search has been made, but that the department was unable to identify suitable equipment that was reasonably available for department use in lieu of the equipment being requisitioned.

4. All requisitions for the purchase of capital equipment with an anticipated price of $10,000 or more must be systematically screened campuswide for availability of equivalent equipment, with the assistance of the Property Accounting Office, before the requisition can be processed. (See Policy 3-045.)

IV. Procedure

— Form and Contents of Requisition

1. Each requisition must include as a minimum the following information:
   a. An accurate description and specification for every article listed, including catalog numbers, size, color, etc., but not so restrictive as to unduly limit competitive bidding.
   c. Delivery instructions, stating specifically (1) when delivery is required, and (2) where delivery should be made, e.g., department, name of responsible individual, building and room number, and location/ship-to-code.
   d. Estimated cost of each item.
   e. Possible sources of supply—list suggested sources and provide copies of any price information or correspondence referring to specialty items.
   f. Signature of the account executive, department head or authorized representative. Requisitions must be signed, not rubberstamped.

2. Requisitions should be typed whenever possible.

3. The following guidelines are prescribed for use of detail codes on requisitions.
   a. Equipment accounting distribution codes should be used for items with unit costs in excess of $1,000 and an estimated life expectancy exceeding one year.
   b. Supply accounting distribution codes should be used for purchases of supplies and services, including the replacement of items originally purchased in large quantities with unit values of less than $1,000, and items that cannot be inventoried (glassware, surgical instruments, etc.).
   c. Travel accounting distribution codes should be used for car rentals and special transportation services properly chargeable to travel budgets. Normal requests for individual travel arrangements should be processed as required by Policy 3-030.

4. Separate requisitions should be prepared for each different account number used. However, when the cost of a single item is to be allocated to more than one account, only one requisition form should be used and the dollar amount allocated to each account detailed thereon.

5. Each requisition should, so far as possible, be limited to similar or related items that are known, or can reasonably be expected, to be available from the same vendor.
6. All equipment, supplies or services that are intended to be acquired at or about the same time as component parts of a single transaction should be included in the same requisition or series of related requisitions submitted simultaneously. It is improper under the law to divide or split procurement transactions into small units that are artificially devised to avoid the bidding requirements and other Procedures applicable to larger unit transactions. See 1953 Utah Code Annotated 63-56-22.

A. Processing of Requisitions

1. Upon receipt of a properly prepared requisition, Procurement will initiate proceedings leading to purchase of the requisitioned item in accordance with statutory requirements and university policy. (See Policy 3-100.)

2. Procurement will seek to correct by informal means errors and omissions on requisitions in consultation with the requisitioning unit and, so far as possible, consistent with legal requirements.

3. Requisitions sent to Procurement will result in the encumbrance of departmental funds only upon issuance of a purchase order.

4. Departments will receive an information copy of each purchase order awarded bearing the order number assigned to the transaction. Requests for information related to any requisition should refer to the purchase order number assigned by Procurement.

5. The department copy of the purchase order should be checked promptly by the requisitioning department to assure that the order is correct. Any errors or discrepancies noted should be reported promptly to Procurement.

IV. Rules, Procedures, Guidelines, Forms and Other Related Resources

A. Rule R3-100B Solicitation of Bids, Proposals, Sole Source and the Award of Procurement Contracts
   Rule R3-100D, Delegated Small Purchase Authority
   Rule R3-100E, Restricted Purchases and Special Purchasing

B. Procedures
   Procedure P3-100B, Requisition Procedures

C. Guidelines [reserved]

D. Forms [reserved]

E. Other related resource materials [reserved]

V. References

A. Utah Code Annotated, sections 63-6a-101 et seq. (Utah Procurement Code)

B. Policy 3-003, Authorizations and Approvals Required for Financial Transactions

VI. Contacts

A. Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.
VII. History [reserved]
Rule R3-100D: Delegated Small Purchase Authority

I. Purpose and Scope
To implement Policy 3-100 and outline Rules for delegated purchase authority to organizational units to make small purchases up to the relevant procurement threshold. Delegated purchase authority includes conformance with the Utah Procurement Code and is subject to penalties contained therein. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions
See Policy 3-100, University Procurement

III. Procurement Rule
   A. Procurement Thresholds:
      1. Single procurement threshold: $5,000
      2. Formal purchase threshold: $50,000
      3. Professionals, providers and consultants threshold: $100,000
      4. The Director of Purchasing and the Vice President for Administrative Services may establish an annual cumulative threshold through a Memorandum of Understanding.
   B. Single Procurement and Consultants Thresholds
      1. Small purchases up to the single procurement threshold of $5,000 shall be made in accordance with this Rule and University Procedures established by the Purchasing Department. Small purchases by organizational units up to the single procurement threshold may be made by use of a purchasing card (PCard) or limited purchase order. Requisitions may be required for restricted purchases. (See Rule R3-100E)
      2. Organizational units may make small purchases totaling up to $5,000 by selecting the best source. For these purchases, organizational units are not required but are encouraged to obtain and retain competitive quotes.
      3. Organizational units may also make purchases up to the professionals, providers and consultants threshold by selecting the best source and submitting a requisition to the Purchasing Department. For these purchases, organizational units are not required but are encouraged to obtain and retain competitive quotes. (See Policy 3-111)
      4. Organizational units are responsible for the availability of funds prior to initiating a small purchase.
      5. Delegated purchasing authority includes compliance with recommendations established by the Purchasing Department which encourage purchases from Small, Minority, Veteran and Woman-owned businesses.
      6. The Director of Purchasing may modify or revoke the single procurement threshold for an individual or an organizational unit.
   C. Restrictions on delegated purchase authority
      Dividing or splitting of a purchase: It is a violation of Utah law and University Policy 3-100 for a person to intentionally or knowingly divide a procurement into smaller procurements with the intent to make a procurement qualify as a small purchase, if, before dividing the procurement, it would not have qualified as a small purchase.
   D. Limited Purchase Order Usage
1. University LPOs provide a maximum delegated authority for a single purchase below $5,000 to a single supplier and are subject to restrictions in section III. E. Instructions for use of LPOs are contained on the form. Misuse of this Purchase Order may result in withdrawal of privileges.

2. Sales tax should not be paid on small purchases including LPOs and PCards as the University is tax exempt. Organizational units are to provide a copy of the Utah State sales tax exempt form to suppliers that require such. (See http://fbs.admin.utah.edu/download/purchasing/TC-721G.pdf)

3. Organizational units are responsible for all unused LPOs which must be retained in a secure place and must not be countersigned until issued. Unused LPO forms should be returned to Accounts Payable.

E. Prohibitions on use of Limited Purchase Orders:

1. Purchases over $5,000.
2. Capital equipment. (See Policy 3-045.)
3. Purchases charged to University of Utah Hospital & Clinics accounts.
4. Restricted purchases and special procurement items such as controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, and compressed or liquid gases.
5. Procurement of live animals. (See Rule R3-100E)
6. Purchases from government agencies requiring prepayment.
7. Repair or alterations to University physical facilities. Contact Facilities Management.
8. Prepayments for supplies or services. (See Procedure P3-100A)
9. Advertisements for personnel (staff or academic) recruiting.
10. Procurement of new telephones or other telecommunications service. Contact University Technology with questions.
11. Purchases from suppliers outside of the United States. (See Rule R3-100E)
12. Employee travel expenses. (See Policy 3-030.)
13. Additional prohibitions or restrictions to the use of LPOs may be made by Accounts Payable.

F. Purchasing Card (PCard) Usage

1. Authorized individuals within organizational units may make direct purchases of supplies and services less than $5,000 by utilizing a PCard, except as restricted by University Regulations (See Rule R3-100E).
2. PCards are generally issued to a named individual within an organizational unit.
3. Authorization to use a PCard requires individuals to apply for a card and requires adherence to terms and conditions of a University PCard contract issued by the Purchasing Department.
4. PCard procedures are established and administered by the Purchasing Department.
5. The Purchasing Department is responsible to issue, approve credit limits, suspend or cancel PCards.
6. Organizational units are responsible for review and approval of PCard transactions and documentation.
7. Organizational units are responsible to maintain PCard records for each transaction including original receipts, invoices, statements, correspondence, etc., based on the records retention schedule. Periodic auditing of PCard transactions will be conducted by the Purchasing Department and/or University Internal Audit and the State of Utah. (See PCard website)
8. PCards can be used at campus organizational units that accept credit cards.
G. Prohibitions on use of PCards for purchases totaling $5,000 or less: (See Rule 3-100E)

1. Capital and fabricated equipment. (See Policy 3-045)
2. Restricted purchases and special procurement items such as: controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, and compressed or liquid gases.
3. Procurement of live animals. (See Rule R3-100E)
4. Purchases from government agencies requiring prepayment. (See Procedure P3-100A)
5. Repair or alterations to University physical facilities. Contact Facilities Management.
6. Purchases from University faculty or staff.
7. Purchase of items for which advance payment is required. (See Procedure P3-100A)
8. Advertisements for personnel (staff or academic) recruiting.
9. Procurement of new telephones or other telecommunications services. Contact University Information Technology. Payment for existing services may be made with the PCard, with approval by University Information Technology and the Purchasing Department.
10. Foreign purchases except those made on a PCard that are less than $1,000 and do not require customs clearance such as conference registrations and publications. (See Rule R3-100E)
11. Employee and visitor travel expenses provided however, that the PCard may be used for visitors at the University Guest House or for local shuttle services. (See Policy 3-030.)
12. Gifts including gift certificates, employee incentive/benefits, retirement gifts and flowers. However, condolences are allowed.
13. Employee parking.
14. Gas or fuel for vehicles.
15. New memberships that have not been previously approved by appropriate organizational unit administration.
16. Services from independent contractors, performers, consultants, speakers
17. Student services, events, travel, tuition, scholarships, health insurance or stipends.
18. AOCE professional development courses.
19. Additional prohibitions, restrictions or exceptions to the use of PCards may be made by the Purchasing Department. (See Purchasing Card restricted list)

H. Reimbursements
The Purchasing Department and Accounts Payable discourage the use of reimbursements for the purchase of goods and services. Reimbursements to individuals for the purchase of goods and services are subject to Policy 3-010 Expenditure and Reimbursement Requirements and any associated University Regulations. There are limitations to the use of personal funds to conduct University transactions. (See Policy 3-010)

I. Blanket Orders
1. Blanket orders are intended for use when multiple orders are made to the same supplier during the course of a year. Multiple payments are allowed on a blanket order.
2. Organizational units shall submit a requisition to the Purchasing Department for competitive and non-competitive blanket orders.
3. Non-competitive blanket orders shall not exceed the formal purchase threshold. Approval of a non-competitive blanket order request is at the discretion and the sole responsibility of the Purchasing Department.

4. Competitive blanket orders may be renewable multi-year agreements for the total price specified in the solicitation.

J. Exceptions: Procurement Authority of Organizational Units
   1. By virtue of their special needs and the roles they fill at the University, some organizational units may be authorized to solicit bids and may be delegated procurement authority at a higher spend level than normally authorized, compliant with University Regulations, the Utah Procurement Code and written rules adopted by the organizational unit.
   2. Organizational units that qualify for this exception are identified below and will enter into a written memorandum of understanding with the Director of Purchasing. Other organizational units may be extended similar limited procurement exceptions as described in writing at the discretion of the Director of Purchasing.
      a. Associated Students of the University of Utah
      b. Marriott Library (books and periodicals only)
      c. Eccles Health Sciences Library (books and periodicals only)
      d. S.J. Quinney Law Library (books and periodicals only)
      e. University Medical Group
      f. University Campus Store (resale items only)
      g. University Hospital Purchasing Department
      h. University Food Service operations (resale items only)
      i. Travel Accounting (travel related only)
      j. Study Abroad (student travel related only)
      k. Athletics Department (only athletic charter travel and medical services for athletes)
      l. Procurement relating to building construction and architect-engineer services by Facilities Management as delegated by the Utah State Building Board and using the procedures allowed in Rule 3-100B III. A3.
      m. Natural History Museum of Utah (items for display only)
   3. These organizational units of the University may make small purchases by following procedures established in this Rule.

K. Small Purchases between $5,000 and $50,000.
   1. Requests for procurement of supplies and services between $5,000 and $50,000 must be submitted by organizational units to the Purchasing Department on a requisition. Purchases within these thresholds may require competition but may not require a formal process.
   2. Informal purchases may be solicited by electronic means including email, electronic bids, telephone or a request for written quotes.
   3. Informal purchases should be documented with three (3) written quotes or proposals, whenever possible.
   4. Award shall be made to the supplier offering the lowest responsive and responsible quotation based on objective criteria described in the solicitation.
   5. Names of suppliers offering quotations and the date and amount of each quotation shall be recorded and maintained as a public record.

L. Office of General Counsel Small Purchases and Emergency Procurement
1. The University of Utah Office of General Counsel shall have authority to conduct procurements for the hiring of outside counsel, expert witnesses and litigation support services pursuant to the professionals, providers and consultant threshold.

2. If an emergency condition exists necessitating the need for immediate hiring of outside counsel, expert witnesses or litigation support services, the General Counsel shall make a written determination of the existence of the emergency and a written statement of justification for choosing a specific supplier.

IV. Rules, Procedures, Guidelines, Forms, and other related resources
   A. Rules
      A. 1. R3-100C, Requisition Use
      A. 2. R3-100E, Restricted Purchases and Special Purchasing
   B. Procedures
      P3-100A, Vendor Prepayments
   C. Guidelines [reserved]
   D. Forms
      D. 1. Utah State Tax Commission Exemption Certificate for Governments & Schools
      D. 2. Business Associate Agreement
   E. Other related resources [reserved]

V. References
   A. Policy 3-003, Authorizations and Approvals Required for Financial Transactions
   B. Policy 3-100, University Procurement
   C. Policy 3-111, Independent Consultant/Contractor Professional Service Agreements
   D. Policy 3-193, Requesting Service from Campus Agencies (Campus Orders)

VI. Contacts
    Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services has the authority to allow exceptions to this policy.

VII. History
    A. Revision 8; Policy changed to implement changes approved by Academic Senate Executive Committee March 15, 2010 and Board of Trustees, April 13, 2010 to delete content associated with Limited Purchase Checks, see Memo to Executive Committee of the Academic Senate (changes did not require approval by the full Academic Senate). Also editorially changed term "Check Request" to "Payment Request," updating content to current payment tool terminology. Changes implemented April 27, 2010.
    B. Revision 7; Editorially revised August 29, 2006
    C. Editorially changed to update Rules, Procedures, Format, Owner and Officer; August 31, 2009
Rule 3-100D: Delegated Small Purchase and Expedited Procurement Authority

I. Purpose and Scope
   A. To implement Policy 3-100 and establish expedited procedures outline Rules for delegated purchase authority to organizational units to make small purchases ($5,000 or less) up to the single procurement threshold and for handling procurement requirements on a "rush" basis or under emergency conditions. Delegated purchase authority includes conformance with the Utah Procurement Code and is subject to penalties contained therein. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions (1)
   A. “Small purchase” means the procurement of supplies or services for which the total cost is less than $5,000.
   B. “Emergency” means a condition that threatens public health, welfare or safety, arising from natural forces (e.g., fire, wind, flood, storm, earthquake, epidemic or other natural disaster), from riot, unlawful assembly or mob violence; or from hostile acts of a public enemy.
   C. “Rush order” means a requisition for supplies or services that requires expedited handling on a special basis to meet urgent program needs.
   D. See Policy 3-100, University Procurement

III. Procurement Rule
   A. Procurement Thresholds:
      1. Single procurement threshold: $5,000
      2. Formal purchase threshold: $50,000
      3. Professional services threshold: $100,000
      4. The Director of Purchasing and the Vice President for Administrative Services may establish an annual cumulative threshold through a Memorandum of Understanding.

IV. Policies and Procedures
   (A) Expedited Procedures Not Mandatory
      1. The special expedited procedures for small purchases, rush orders and emergency procurement, as established herein, are optional. Operating units may invoke normal procurement procedures if they prefer. (See Policy 3-100.)
   (B) Small Purchases Totaling $5,000 or less
      1. $5,000 Limited Purchase Order (LPO). Except as provided in paragraphs 2 and 3 (dividing or splitting section and Prohibitions section), departments and other operating units may make direct purchases of supplies and services costing $5,000 or less by using a Limited Purchase Order (LPO) marked "Total Not to Exceed $5,000." These purchase orders are prepared and mailed by the ordering department directly to the vendor, without preparing a requisition or obtaining the approval of Procurement & Supply Management (Procurement). Persistent improper use of LPO’s by University organizational units may result in withdrawal of their privilege to use this means of making small purchases. Note: Part of the procurement responsibility includes compliance with the University’s policy.
governing Small, Minority, and Woman-owned businesses is available from Procurement's Small Business Liaison or the Utah Supplier Development Council's website.

B. Single Procurement and Consultants Threshold

1. Small purchases up to the single procurement threshold of $5,000 shall be made in accordance with this Rule and University Procedures established by the Purchasing Department. Small purchases by organizational units up to the single procurement threshold may be made by use of a purchasing card (PCard) or limited purchase order. Requisitions may be required for restricted purchases. (See Rule R3-100E)

2. Organizational units may make small purchases totaling up to $5,000 by selecting the best source. For these purchases, organizational units are not required but are encouraged to obtain and retain competitive quotes.

3. Organizational units may also make purchases up to the professionals, providers and consultants threshold by selecting the best source and submitting a requisition to the Purchasing Department. For these purchases, organizational units are not required but are encouraged to obtain and retain competitive quotes. (see Policy 3-111)

4. Organizational units Departments are responsible for the availability of funds prior to submitting initiating a small $5,000 purchase order.

5. Delegated purchasing authority includes compliance with recommendations established by the Purchasing Department which encourage purchases from Small, Minority, Veteran and Woman-owned businesses.

6. The Director of Purchasing may modify or revoke the single procurement threshold ($5,000) for an individual or an organizational unit.

C. Restrictions on delegated purchase authority

Dividing or splitting of a $5,000 purchase is forbidden. It is a violation of Utah law and University Policy 3-100 for person to intentionally or knowingly divide a procurement into smaller procurements with the intent to make a procurement to qualify as a small purchase, if, before dividing the procurement, it would not have qualified as a small purchase.

D. Limited Purchase Order Usage

1. $5,000 Limited Purchase Order (LPO). A form of purchase order authorized for the direct use by organizational units. University LPOs provide a maximum delegated authority for a single purchase of $5,000 to a single supplier and are subject to restrictions in section III. E. When issued to a supplier, a legal obligation is made for payment through Accounts Payable. Instructions for use of LPOs are contained on the form. Misuse of this Purchase Order may result in withdrawal of privileges.

2. Sales taxes should not be paid on small purchases including $5,000 purchase orders LPOs and PCards as the University is tax exempt. Organizational units are to provide a copy of the Utah State sales tax exempt form to suppliers that require such. All persons who, either in person or by telephone, initiate small purchases must advise the vendor that the University, as a state agency, is exempt from the Utah sales and use tax. (See statement of sales and use tax exemption status in the signature area of the $5,000 purchase order form.) (see http://fbs.admin.utah.edu/download/purchasing/TC-721G.pdf Security and accountability for $5,000 purchase orders.
3. Organizational units are responsible for all unused $5,000 purchase orders. LPO’S which must be retained in a secure place and must not be countersigned until issued. Unused LPO forms should be returned to Accounts Payable.

E. Prohibitions on use of Limited Purchase Orders. Purchase orders totaling $5,000 or less may not be used for the following purposes: (See Policy 3-192.)
1. Purchases over $5,000. (See Policy 3-190.)
2. Capital equipment. (See Policy 3-045)
3. Purchases from campus agencies. (Bookstore, Printing Service, Facilities, etc.) (See Policy 3-193.)
4. LPO purchases charged to University Hospital of Utah Health Care Accounts.
5. Restricted purchases and special procurement items such as foreign purchases, controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, live animals, and compressed or liquid gases. (See Policy 3-192.)
6. Procurement of live animals. (See Rule R3-100E)
7. Purchases from government agencies requiring prepayment. (See Policy 3-100, Section IV.D.2 and Policy 3-192)
8. Repair or alterations to University physical facilities. Contact Campus Design and Construction Facilities Management.
9. Purchase of items for which advance payment is required. Prepayments for supplies or services. (See Policy Procedure 3-100A, Section IV.D.2 XXX)
10. Advertisements for personnel (staff or academic) recruiting.
11. Procurement of new telephones or other telecommunications service. Contact the Telecommunications Department University Information Technology with questions.
12. Purchases from suppliers outside of the United States. (See Rule R3-100E).
13. Employee travel expenses. (See Policy 3-030)
14. Additional prohibitions or restrictions to the use of LPOs may be made by Accounts Payable.
15. Purchases from University faculty or staff members. (See Policy 3-101.)
   i. Items or services that cost more than $5,000 may not be divided among two or more purchase orders of $5,000 or less in order to avoid normal requisitioning Procedures.
   ii. The simultaneous procurement of multiple units or identical items, each of which costs $5,000 or less but aggregating more than $5,000 in total cost, must be requisitioned through normal Procedures. (See Policy 3-190.)
   (F) Preparation and processing of $5,000 purchase orders. Official forms of $5,000 purchase orders, which may be obtained from the Accounts Payable Department, must be used to make direct purchases, subject to the following guidelines:
   iii. Each purchase order for $5,000 or less must include the following information:
      a. An accurate description of every article listed, including catalog numbers, sizes, colors, etc.
      b. Appropriate accounting distribution code to be charged.
      c. Explicit delivery instructions, including department, name of receiving individual, building and room number.
      d. Estimated cost of the total order.
      e. Signature of account executive, department head or other authorized representative of the purchasing unit. To be valid, the purchase order must be signed, not stamped.
f. When used for subscriptions not requiring advance payment, the purchase order must indicate the department mailing address.

iv. The procedure for processing $5,000 purchase orders includes the following steps:
   a. Because the $5,000 purchase order is comprised of multiple copies, the form should be typed.
   b. The signature of an authorized individual must be obtained (See paragraph 4.a.5 above.)
   c. The copies of the purchase order must be distributed as follows:
      i. Original to vendor,
      ii. Second copy to be sent to Accounts Payable
      iii. Third copy to be retained by the ordering department or unit.

v. Orders given to a vendor orally must be clearly identified as subject to written confirmation by purchase order, and the purchase order must state that it is in confirmation thereof, so as to avoid the possibility of duplicate shipments or payments.

vi. Sales taxes should not be paid on $5,000 purchase orders. All persons who, either in person or by telephone, initiate small purchases must advise the vendor that the University, as a state agency, is exempt from the Utah sales and use tax. (See statement of sales and use tax exemption status in the signature area of the $5,000 purchase order form.)

vii. Departments are encouraged to have vendors deliver or mail items to the Receiving Department. To avoid unnecessary costs, direct pick-up of items by requisitioning departments is discouraged, except in rush or emergency situations.

viii. Departments are responsible for the availability of funds prior to submitting a $5,000 purchase order.

(G) Security and accountability for $5,000 purchase orders. All unused $5,000 purchase orders must be retained in a secure place and must not be countersigned until issued.

(H) Cash purchases of $25 or less. Purchases costing $25 or less may be made with petty cash funds without use of a $5,000 purchase order. In the absence of a petty cash fund, personal funds may be used. Individuals and operating units may obtain reimbursement for such expenditures by sending a completed Payment Request form, with a copy of the paid receipt, to the Accounts Payable office.

F. Purchasing Card (PCard) Usage

1. Authorized individuals within organizational units may make direct purchases of supplies and services less than $5,000 by utilizing a PCard, except as restricted by University Regulations (see Rule 3-100E).

2. PCards are generally issued to a named individual within an organizational unit.

3. Authorization to use a PCard requires individuals to apply for a card and requires adherence to terms and conditions of a University PCard contract issued by the Purchasing Department.

4. PCard procedures are established and administered by the Purchasing Department.

5. The Purchasing Department is responsible to issue, approve credit limits, suspend or cancel PCards.
6. Organizational units are responsible for review and approval of PCard transactions and documentation.
7. Organizational units are responsible to maintain PCard records for each transaction including original receipts, invoices, statements, correspondence, etc., based on the records retention schedule. Periodic auditing of PCard transactions will be conducted by the Purchasing Department and/or University Internal Audit and the State of Utah. (See PCard website)
8. PCards can be used at campus organizational units that accept credit cards.

G. Prohibitions on use of PCards for purchases totaling $5,000 or less: (See Rule R3-100E)
1. Purchases over $5,000. (See Policy 3-100)
2. Capital and fabricated equipment. (See Policy 3-045)
3. PCards can be used at campus organizational units that accept credit cards.
4. Restricted purchases and special procurement items such as: controlled drugs and narcotics, non-denatured ethyl alcohol, radioactive materials, and compressed or liquid gases.
5. Procurement of live animals. (See Rule R3-100E)
6. Purchases from government agencies requiring prepayment. (See Procedure P3-100A)
7. Repair or alterations to University physical facilities. Contact Facilities Management.
8. Purchases from University faculty or staff.
9. Purchase of items for which advance payment is required. (See Procedure P3-100A)
10. Advertisements for personnel (staff or academic) recruiting.
11. Procurement of new telephones or other telecommunications services. Contact University Information Technology. Payment for existing services may be made with the PCard, with approval by University Information Technology and the Purchasing Department.
12. Foreign purchases except those made on a PCard that are less than $1,000 and do not require customs clearance such as conference registrations and publications. (See Rule R3-100E)
13. Employee and visitor travel expenses provided however, that the PCard may be used for visitors at the University Guest House or for local shuttle services. (See Policy 3-030)
14. Gifts including gift certificates, employee incentive/benefits, retirement gifts and flowers. However condolences are allowed.
15. Employee parking.
16. Gas or fuel for vehicles.
17. New memberships that have not been previously approved by appropriate organizational unit administration.
18. Services from independent contractors, performers, consultants, speakers
19. Student services, events, travel, tuition, scholarships, health insurance or stipends.
20. AOCE professional development courses.
21. Additional prohibitions, restrictions or exceptions to the use of PCards may be made by the Purchasing Department. (See Purchasing Card restricted list)

H. Reimbursements
1. The Purchasing Department and Accounts Payable discourage the use of reimbursements for the purchase of goods and services. Reimbursements to individuals for the purchase of goods and services are subject to Policy 3-010 Expenditure and Reimbursement Requirements and any associated University Regulations. There are limitations to the use of personal funds to conduct University transactions. (See Policy 3-010)

I. Blanket Orders

1. Blanket orders are intended for use when multiple orders are made to the same supplier during the course of a year. Multiple payments are allowed on a blanket order.
2. Organizational units shall submit a requisition to the Purchasing Department for competitive and non-competitive blanket orders.
3. Non-competitive blanket orders shall not exceed the formal purchase threshold. Approval of a non-competitive blanket order request is at the discretion and the sole responsibility of the Purchasing Department.
4. Competitive blanket orders may be renewable multi-year agreements for the total price specified in the solicitation.

J. Exceptions: Procurement Authority of Organizational Units

1. By virtue of their special needs and the roles they fill at the University, some organizational units may be authorized to solicit bids and may be delegated procurement authority at a higher spend level than normally authorized, compliant with University Regulations, the Utah Procurement Code and written rules adopted by the organizational unit.
2. Organizational units that qualify for this exception are identified below and will enter into a written memorandum of understanding with the Director of Purchasing. Other organizational units may be extended similar limited procurement exceptions as described in writing at the discretion of the Director of Purchasing.
   a. Associated Students of the University of Utah
   b. Marriott Library (books and periodicals only)
   c. Eccles Health Sciences Library (books and periodicals only)
   d. S.J. Quinney Law Library (books and periodicals only)
   e. University Medical Group
   f. University Campus Store (resale items only)
   g. University Hospital Purchasing Department
   h. University Food Service operations (resale items only)
   i. Travel Accounting (travel related only)
   j. Study Abroad (student travel related only)
   k. Athletics Department (only athletic charter travel and medical services for athletes)
   l. Procurement relating to building construction and architect-engineer services by Facilities Management as delegated by the Utah State Building Board and using the procedures allowed in Rule 3-100B. III. A3.
   m. Natural History Museum of Utah (items for display only)
   n. These organizational units of the University may make small purchases by following procedures established in this Rule.

K. Small Purchases: Costing less than $45,000 between $5,000 and $50,000.
1. Informal procurement. Small purchases of Requests for goods procurement of supplies and services (i.e., purchases estimated to cost less than $45,000) may be effected by Procurement on an informal basis. between $5,000 and $50,000 must be submitted by organizational units to the Purchasing Department on a requisition. Purchases within these thresholds may require competition but may not require a formal process. Purchases costing $20,000 to $45,000 should be documented with three (3) written bids or proposals. Purchases costing $5,000 to $20,000 may be made based on documented verbal bids, or without bidding, when the purchasing agent determines from available information that the use of formal bidding Procedures would not be sufficiently cost effective or expeditious to meet the needs of the requisitioning department or unit in a timely and economical manner.

2. Splitting of small purchases forbidden. Procurement requirement may not be artificially divided among two or more small purchase orders of less than $45,000 in order to avoid normal bidding Procedures.

3. $5,000 purchase orders. Small purchases totaling $5,000 or less may be made directly, without submission of a requisition to Procurement, pursuant to Section IV.B, above.

2. Informal purchases may be solicited by electronic means including email, electronic bids, telephone or a request for written quotes.

3. Informal purchases should be documented with three (3) written quotes or proposals, whenever possible.

4. Award shall be made to the supplier offering the lowest responsive and responsible quotation based on objective criteria described in the solicitation.

5. Names of suppliers offering quotations and the date and amount of each quotation shall be recorded and maintained as a public record.

K—Rush Orders

6. Planned procurement. Departments should anticipate procurement requirements as far in advance as possible to provide sufficient lead time to apply established procurement Procedures and still meet delivery requirements.

7. Special handling requests. Upon request, Procurement will make every effort to obtain requisitioned supplies and services in the most expeditious manner possible, and will attempt to honor special handling and delivery instructions as appropriate.

8. Small purchases. Departments are encouraged in appropriate cases to use the direct purchase order Procedure, as provided in section IV.B, above, or University approved credit cards (see Purchasing Card website) to expedite small purchases. In cases of urgency, where the needed procurement is estimated to cost less than $20,000, the department may specifically request that informal procurement Procedures be used by Procurement by providing appropriate written justification.

9. Expedited Procedures. Requisitions for supplies or services needed on an urgent, high priority basis may be delivered in person to Procurement, together with a written request that the requisition be processed on a rush order basis. Such requests will be processed immediately and with maximum feasible speed consistent with bidding and other legal requirements.
a. The cost of long distance telephone calls, FAX and sending required paperwork air overnight to secure rush orders will be charged to the requisitioning department.

b. Purchase orders to be placed with vendors outside the continental limits of the United States will ordinarily be sent by facsimile machine or U.S. mail.

c. When appropriate, a requisitioning department may be authorized by the purchasing agent to deliver a duly authorized purchase order directly to a particular vendor and to take immediate possession of the purchased goods. In such cases, all memoranda, receipts, packing lists, invoices and other documents relating to the purchases and received from the vendor must be immediately transmitted to Procurement.

6. Organizational units shall notify Purchasing of special handling requests.

G. Emergency Procurement

i. When there exists a threat to public health, welfare or safety as the result of emergency conditions, as determined in writing by the president or vice president for administrative services, or his/her designee, the purchasing agent is authorized to make emergency procurements. Such emergency procurements shall be made with as much competition as practicable under the circumstances.

ii. The written determination of the existence of the emergency, stating the basis thereof, together with a written statement of justification for the selection of the particular supplier/vendor shall be placed in the contract file.

K. Office of General Counsel Small Purchases and Emergency Procurement

1. The University of Utah Office of General Counsel shall have authority to conduct procurements for the hiring of outside counsel, expert witnesses and litigation support services pursuant to the professionals, providers and consultant threshold.

2. If an emergency condition exists necessitating the need for immediate hiring of outside counsel, expert witnesses or litigation support services, the General Counsel shall make a written determination of the existence of the emergency and a written statement of justification for choosing a specific supplier.

IV. Rules, Procedures, Guidelines, Forms and other related resources

A. Rules

A. 1. R3-100C, Requisition Use

A. 2. R3-100E, Restricted Purchases and Special Purchasing

B. R3-191A, Small Dollar Blanket POs and Maintenance Agreements; 4/5/05

B. Procedures

P3-100A, Vendor Prepayments

C. Guidelines [reserved]

D. Forms

D. 1. Utah State Tax Commission Exemption Certificate for Governments & Schools

D. 2. Business Associate Agreement

E. Other related resources [reserved]

V. References

A. Policy 3-003, Authorizations and Approvals Required for Financial Transactions

B. Policy 3-100, University Procurement
VI. Contacts
A. Acting as the Policy Owner, the Office of the Director of Procurement & Supply Management is responsible for answering questions regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services has the authority to allow exceptions to this policy.

VII. History
A. Revision 8; Policy changed to implement changes approved by Academic Senate Executive Committee March 15, 2010 and Board of Trustees, April 13, 2010 to delete content associated with Limited Purchase Checks, see Memo to Executive Committee of the Academic Senate (changes did not require approval by the full Academic Senate). Also editorially changed term "Check Request" to "Payment Request," updating content to current payment tool terminology. Changes implemented April 27, 2010.
B. Revision 7; Editorially revised August 29, 2006
C. Editorially changed to update Rules, Procedures, Format, Owner and Officer; August 31, 2009
Rule R3-100E: Restricted Purchases and Special Procurement

I. Purpose & Scope

To implement Policy 3-100 and outline Rules, including prohibitions, special approvals, limitations, and restrictions, governing the purchasing and control of specific categories of supplies and services. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions

A. See Policy 3-100, University Procurement

III. Rule

A. Prohibited Procurements

1. The use of University funds to procure supplies or services for personal use is prohibited. This prohibition does not include employee recognitions which are outlined in Rule R3-011A.

2. Alcoholic beverages may not be acquired with state appropriated funds.

3. Donations to charitable, scientific or educational organizations are only permissible if: 1) the organization has a 501c(3) status with the Internal Revenue Service or is an equivalent nonprofit organization; 2) the mission of the organization is consistent with that of the University; 3) the money so donated is from a permitted source and not from state, federal or other restricted funds; and 4) is no more than $1,000. Exceptions from the above guidelines require the signed written approval of the cognizant Vice President or designee.

B. Procurements that Require Special Approvals

1. Organizational or association memberships paid from University funds may be procured only if necessary to meet program needs or to secure other benefits for the University, and must contribute to the University's mission. Memberships that include a charitable donation to associations or private organizations must meet the criteria of section III.A.3. above. Memberships may not be purchased on grants or contracts unless allowed by the award. New memberships must be approved by the cognizant dean, director, or designee or, in the case of University of Utah Hospital & Clinics personnel, the hospital administrator.

2. Requisitions for nonstandard furnishings, office equipment, and accessories require the authorizing signature of the cognizant Vice President, or of the Vice President for Administrative Services or his/her designee.

3. Ownership, procurement, maintenance, licensing and disposal of vehicles shall be administratively managed by Fleet Services. (see Policy 3-215)

4. Printing and Mailing Equipment

a. Organizational units other than Print & Mail Services are not authorized to procure, lease, or operate high speed printing, or mailing equipment without
prior written approval of the cognizant dean or director and the Vice President for Administrative Services or his/her designee.

b. Such authorization will normally be granted only if:
   i. the proposed equipment can be justified by significantly lower overall organizational unit operating costs than would be incurred if the printing/copying/mailing were done by Print & Mail Services;
   ii. there is a reasonable expectation that the identified needs and cost justification will continue over the time period used to amortize the cost of the proposed equipment; and
   iii. the loss of volume to Print & Mail Services resulting from organizational unit operation of related equipment will not jeopardize the ability of Print & Mail Services to provide services to other organizational units on a self-supporting basis.
   iv. In justifying cost-effectiveness, organizational unit operating costs shall include compensation and fringe benefits of employees involved in providing the service, amortization and maintenance costs of equipment, costs of all supplies and materials used, cost of space to house equipment, and a pro rata share of the general and administrative expense of the organizational unit.

c. Printing, high speed printers/copiers, digital press, and mailing equipment procured and operated by University organizational units other than Print & Mail Services ordinarily shall not be used to perform work for other organizational units, because Print & Mail Services has been established for that purpose. Any exceptions, other than minor work aggregating less than $100 in monthly revenue, must have prior written approval of the cognizant dean(s) or director(s), and the Vice President for Administrative Services.

d. Non-University owned or operated printing, copying, and mailing services may be used by organizational units when justified by demonstrated lower costs or by service requirements that cannot be met by Print & Mail Services. Such services must be obtained in accordance with applicable University procurement Regulations.

e. Non-University entities are not authorized to establish printing, duplicating, or mailing facilities or services on campus without the prior written approval of the Vice President for Administrative Services.

5. All construction work (as defined in Policy 3-100) shall be administered as provided for in Policy 3-205. Other alterations and repairs to existing facilities must have the prior approval of the University organization responsible for maintaining that facility such as Facilities Operations, Hospital Facilities and Engineering, and the Facilities group within Housing and Residential Education. These alterations and repairs include, but are not limited to changes, connections or additions in utility systems, air conditioning, heating, electrical, plumbing, air, gas, etc. This also includes interior decorating, painting, floor coverings, window coverings and systems.
furnishings. Major equipment installations requiring utilities connections or other requirements, such as cooling, etc., need prior approval from Facilities Management. When applicable, work described in this paragraph will also involve review and approval by the University Building Official (the authority having jurisdiction for enforcing building codes).

6. Refrigerators and freezers (-20°C) may be procured or installed only with the authorizing signature of the Vice President for Administrative Services or his/her designee or the cognizant Vice President. Exceptions may be granted by the Cognizant Vice President.

7. Intradepartmental radio communications and licensing require the approval of Facilities Operations or the Vice President for Administrative Services or his/her designee. (see policy 3-235)

8. The Health Insurance Portability and Accountability Act of 1996 (HIPAA) requires that security of protected health information of individuals comply with applicable federal and state confidentiality and security laws. Contact the University Information and Security office at http://privacy.utah.edu/contact.php or http://www.secureit.utah.edu/ispo/index.html if any potential purchase transactions with suppliers (including delegated small purchases) have the potential to impact the security of private health information.

C. Procurement Funded by Research Grants and Contracts

1. Requisitions calling for expenditures to be funded by grants or contracts for capital equipment or remodeling of facilities are subject to review by Grants & Contract Accounting to ensure only allowable procurement based upon the terms of the grant or contract.

2. Requisitions calling for capital equipment not specifically authorized by the grant or contract will not be processed until approval is obtained from the granting agency.

3. A requisition for capital equipment will not be processed if the requisition is dated 30 days or less prior to the project ending date, unless the requisition is accompanied by documentation, approved by the Vice President for Research, or his/her designee, demonstrating that procurement of such equipment is necessary to achieve the objectives of the contract or grant.

4. A requisition for either supplies or equipment will not be processed if it appears probable that the requisitioned items will not be received by the University within a reasonable period of time prior to the project ending date.

5. All federally funded procurements must comply with applicable federal Purchasing Procedures, regulations, terms and conditions. Purchases based on single price quotations must meet price reasonableness/cost analysis criteria prior to award. Questions regarding these regulations should be directed to the Purchasing Department.

6. Memberships in organizations and associations as defined in Section III.B.1. may not be purchased with grant and contract funds unless allowed by the award.

D. Procurements Subject to Special Limitations, Restrictions or Procedures
1. Narcotics and Controlled Substances
   a. Requisitions for narcotics and controlled substances must be accompanied by a properly completed Drug Enforcement Administration order form (DEA form 222C).
   b. Individuals using form DEA 222C must be registered with the State of Utah Department of Business Regulations and with the U.S. Drug Enforcement Administration.
   c. Further information regarding the purchase of controlled substances may be obtained from the Purchasing Department.

2. Tax-Free Alcohol
   a. Procurement of tax-free alcohol must be requested from the Purchasing Department on a Campus Order and the organizational unit is responsible to complete the Tax-Free Alcohol Report form (available from the Purchasing Department).
   b. The Tax-Free Alcohol Report must be kept current by each organizational unit using tax-free alcohol. With each usage of tax-free alcohol, the quantity issued, user’s name, and balance on hand shall be indicated on the Tax-Free Alcohol Report to bring the record into balance with existing stock. As the existing supply of alcohol reaches the appropriate reorder point, additional alcohol may be reordered by sending the completed Tax-Free Alcohol Report to Purchasing.
   c. The University permit to use tax-free alcohol currently limits such use to the following purposes:
      i. preserving specimens
      ii. experimental, research, and laboratory work for scientific purposes
      iii. the preparation of laboratory and medical solutions
      iv. hospital chemical use
      v. medical treatment of patients
      vi. compounding medicines for use of patients in the hospital
   d. The use of tax-free alcohol for purposes other than those defined in paragraph (c) is prohibited, and violation is subject to federal law. Organizational units requiring tax-free alcohol for use other than authorized above should contact the Purchasing Department.
   e. Organizational unit alcohol records and alcohol on hand are subject to federal audit by the Internal Revenue Service.

3. Items Imported from a Foreign Country
   a. Import items must be procured through a standard University requisition form as all matters pertaining to customs are handled by the Purchasing Department. All documents concerning foreign orders (customs declarations, customs invoices, shipping papers, shipping notices, etc.) must be forwarded to the Purchasing Department. Limited import purchases below $1,000 such as conference registrations and publications that do not require customs clearance may be purchased on a PCard. (see Rule 3-100D)
b. Most foreign purchases are subject to customs clearance and possible duty charges. The University has engaged the services of a professional customs broker to provide assistance in clearing foreign shipments. All correspondence or contact with this broker must be made through the Purchasing Department.

c. Organizational units requisitioning import items should include estimated customs duties and freight charges in estimating the cost of the items requisitioned. Exact customs duties on import items cannot be determined until the items have cleared customs. Information relating to customs and procedures applicable to customs clearance may be obtained from the Purchasing Department.

d. Some research grants and contracts prohibit the purchase of import items. Before submitting a requisition for imported items, the organizational unit must determine that no such restriction is found in any grant or contract to which the cost of procurement is to be charged in whole or in part.

4. Procurement of Export Restricted Items
   a. Export regulations apply to the export of items to foreign countries AND to access to controlled items by foreign nationals in the United States (“deemed export”).
   b. Organizational units procuring items subject to export control restrictions are responsible for recognizing the item as subject to export control and for identifying the applicable United States Munitions List (USML) classifications or Export Control Classification Number (ECCN). Selling entities may be able to provide assistance in identifying the USML classification or ECCN for their product(s).
   c. Organizational units procuring items subject to export control restrictions must obtain approval from the Vice President of Research prior to the procurement.
   d. Organizational units procuring items subject to export control restrictions must implement a Technology Control Plan to ensure compliance with export control regulations.
   e. Assistance with the requirements of this section can be obtained from the University’s Export Control Officer.

5. Radioactive Materials and Radiation-Generating Equipment
   a. Radioactive material and radiation-generating equipment must be requisitioned with the standard University requisition form.
   b. Requisitions for these purchases require prior approval from the Director of Radiological Health. A request for such approval will be initiated by the organizational unit requesting the materials or equipment. The Purchasing Department will confirm approval from Radiological Health’s Authorized Users List.
   c. Whenever required, applications for licenses or other approval forms from the Department of Energy (DOE) will be initiated and processed by the Director of Radiological Health.
d. Questions regarding licensing requirements relating to radioactive materials should be directed to the Director of Radiological Health.

6. Research Animals, Birds, Fish and Amphibians
   a. Requisitions for the purchase of these research subjects require the approval of the Office of Comparative Medicine. The requisition and Animal Request Form shall be sent to Comparative Medicine for approval. The Animal Request Form can be obtained from the Office of Comparative Medicine.
   b. Select species of research birds and animals require written certification of disease-free status on import into the State of Utah. The Director of the Office of Comparative Medicine is responsible to perform this inspection and furnish such certification to the State of Utah Division of Wildlife Resources.
   c. Questions regarding this procedure should be directed to the Office of Comparative Medicine.

7. Compressed Gases
   a. Bottled gases are restricted due to the compressed nature of the cylinder. This restriction covers small disposable as well as large metal cylinders.
   b. Common gases and gas mixtures excluding propane must be ordered through General Stores on a campus order form. All other gases must be requisitioned with the standard University requisition form so cylinder demurrage and delivery can be arranged.

8. Recruitment Advertising
   a. Faculty Positions: Requests for procurement of advertising for recruitment of paid faculty positions must be requisitioned with the standard university requisition form and include the job posting number. Faculty recruitment requisitions require a Vice President’s approval. Questions regarding this process should be directed to the Purchasing Department.
   b. Staff Positions:
      i. Requests for on-line recruitment advertising of staff positions should be sent to the Human Resources Department and questions directed to them.
      ii. Requests for all other advertising for recruitment of staff positions must be requisitioned with a standard University requisition form and a purchase order will be issued by the Purchasing Department. Staff position requisitions should reference the job posting number.

E. Items Restricted by University Contract

1. Product’s or Merchandise with University of Utah Trademark
   a. All purchases must be made from an approved or licensed supplier. A current list of suppliers is maintained by Auxiliary Services, Trademarks & Licenses Office. (See [www.trademarks.utah.edu](http://www.trademarks.utah.edu))
   b. All artwork must be reviewed and approved by the Trademarks & Licensing Office.

F. Procurement of Government Property
1. **Surplus University Property**  
   a. Surplus University property is available through the University Surplus and Salvage Department. *(See Policy 3-040 and 3-041)*  
   b. Information regarding the availability of surplus property may be obtained from the Surplus and Salvage Department. *(See University Surplus & Salvage)*

2. **Excess Federal Property**  
   Excess federal government property may be available at little or no cost for use on federal government contracts or grants. Information regarding such items may be obtained from the Property Accounting Department.

G. **Procurement of Vending Services**

1. Student Affairs Contract Administration is responsible to provide or contract for all vending services and equipment to employees, students and visitors on campus and at other University controlled buildings, except as outlined below:  
   a. The Director of the A. Ray Olpin University Union is responsible for video and other amusement machines, and dispensers of personal hygiene products located in the Olpin Union.  
   b. The Director of Residential Living is responsible for coin or credit card operated washers and dryers, stamp machines, video and other amusement machines, and dispensers of personal hygiene products located in the residence halls.  
   c. The Director of the University Student Apartments is responsible for coin or credit card operated washers and dryers and dispensers of personal hygiene products located in the University Student Apartments.  
   d. The Director of Facility Operations is responsible for dispensers of personal hygiene products located in all buildings on campus, except those referred to in paragraphs a., b., and c. above.  
   e. Without prior written approval from Student Affairs Contract Administration and the cognizant Dean/Vice President, organizational units other than Student Affairs Contract Administration and those specifically exempted in this Rule are not authorized to:  
      i. Purchase, lease or operate vending machines.  
      ii. Negotiate or contract with non-university vending operators for vending services.  
   f. Student Affairs Contract Administration may, under unusual and special circumstances, delegate responsibility for a vending machine to an organizational unit. A written agreement must outline the specific responsibilities of each party. Cash, sales and inventory must be accounted for in accordance with all applicable University Regulations.

H. **Requests for Vending Services**  
   Requests for vending services, except those referred to in paragraph G., shall be submitted to the manager of Student Affairs Contract Administration for review and response.
I. New Locations and Remodeling of Existing Locations - Vending Requirements
   1. For planned new construction projects or remodeling, the Director of Campus Planning in cooperation with Student Affairs Contract Administration, Safety Services and Facility Operations shall evaluate the location, size, safety and ease of maintenance of the planned space for vending service.
   2. Vending machines shall be installed in compliance with all applicable building, fire, safety, and other codes and regulations.

J. Maintenance and Repair of Vending Machines
   Student Affairs Contract Administration shall be responsible for all maintenance and repair of vending machines, except those referred to in paragraphs G. 1.

IV. Rules, Procedures, Guidelines, Forms, and other related resources
   A. R3-100D, Delegated Small Purchase Authority
   B. Procedures [reserved]
   C. Guidelines [reserved]
   D. Forms
      D1. Animal Request Form
      D2. DEA Form 222
      D3. Tax-Free Alcohol Report Form
   E. Other related resource materials [reserved]

V. References
   Policy 3-003, Authorizations and Approvals Required for Financial Transactions
   Policy 3-031, Recruitment and Entertainment Expense Reimbursement Policy
   Policy 3-040, Property Accounting
   Policy 3-041, Accountability for Noncapital Equipment
   Policy 3-100, University Purchasing
   Policy 3-215, University Motor Vehicles
   Policy 3-235, Campus Intradepartmental Radio Communications and Licensing

VI. Contacts
   Acting as the Policy Owner, the Office of the Director of Purchasing & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Affairs is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

VII. History
Added Reference for "Non-standard furnishings" to Section III.B.3., February 8, 2011
Revision 5: Editorially changed to update format, owner, officer; September 21, 2010
Approved: Board of Trustees: December 10, 2001
Approved: Academic Senate: November 5, 2001
Policy-192 Rule R3-100E: Restricted Purchases and Special Purchasing

I. Purpose & Scope

To outline University policies to implement Policy 3-100 and outline Rules, including prohibitions, special approvals, limitations, and restrictions, governing the purchasing and control of specific categories of supplies and services. This Rule is binding for all University colleges, departments, and units, including University Hospitals & Clinics.

II. Definitions

A. See Policy 3-100, University Purchasing Procurement

III. Policy Rule

A. Prohibited Acquisitions Procurements

1. The use of University funds to procure supplies or services for personal use is prohibited. This prohibition does not include employee recognitions which are outlined in Rule R3-011A.

2. Alcoholic beverages may not be acquired with state appropriated funds.

3. Donations to charitable, scientific or educational organizations are only permissible if: 1) the organization has a 501c(3) status with the Internal Revenue Service or is an equivalent nonprofit organization; 2) the mission of the organization is consistent with that of the University; 3) the money so donated is from a permitted source and not from state, federal or other restricted funds; and 4) is no more than $1,000. Exceptions from the above guidelines require the signed written approval of the cognizant Vice President or designee.

B. Acquisitions Procurements that Require Special Approvals

1. Repairs to personal property (except automotive equipment) damaged while its owner is engaged in university business may not be procured unless the requisition bears the authorizing signature of the appropriate dean or director.

2. Organizational or association memberships paid from University funds may be procured only if necessary to meet program needs or to secure other benefits for the University, and must contribute to the University’s mission. Memberships that include a charitable donation to associations or private organizations must meet the criteria of section III.A.3. above. Memberships may not be purchased on grants or contracts unless allowed by the award. New memberships must be approved by the cognizant dean, director or designee or, in the case of University of Utah Health Care personnel, by the hospital administrator.

2. Requisitions for nonstandard office furniture, office equipment, and accessories require the authorizing signature of the cognizant Vice President, or of the Vice President for Administrative Services or his/her designee. (See Policy 3-100, Section II.V.) (see Policy 3-215)
3. Motor vehicles may be acquired for departmental use, and may be licensed and maintained, only with the approval of the director of the Motor Pool and subject to the restrictions of Policy 3-215, University Motor Vehicles.

Ownership, acquisition procurement, maintenance, licensing and disposal of vehicles shall be administratively managed by Fleet Services. (see Policy 3-215, University Motor Vehicles)

4. Printing, Duplicating, and Digital Printing/Copying Mailing Equipment
   a. Printing equipment may be acquired for use by departments other than Publications and Printing Services only with the prior written approvals required by Section IV.A of Policy 3-112, Campus Printing Policy. Organizational units other than Print & Mail Services are not authorized to procure, lease, or operate high speed printing, or mailing equipment without prior written approval of the cognizant dean or director and the Vice President for Administrative Services or his/her designee.

b. The acquisition of duplicating and digital printing/copying equipment must be in conformity with section IV.B of Policy 3-112, Campus Printing Policy. Purchasing & Supply Management (Purchasing) may request an evaluation by Printing Services of a proposed acquisition of duplicating or digital printing/copying equipment before processing the requisition. Such authorization will normally be granted only if:
   i. the proposed equipment can be justified by significantly lower overall organizational unit operating costs than would be incurred if the printing/copying/mailing were done by Print & Mail Services;
   ii. there is a reasonable expectation that the identified needs and cost justification will continue over the time period used to amortize the cost of the proposed equipment; and
   iii. the loss of volume to Print & Mail Services resulting from organizational unit operation of related equipment will not jeopardize the ability of Print & Mail Services to provide services to other organizational units on a self-supporting basis.

iv. In justifying cost-effectiveness, organizational unit operating costs shall include compensation and fringe benefits of employees involved in providing the service, amortization and maintenance costs of equipment, costs of all supplies and materials used, cost of space to house equipment, and a pro rata share of the general and administrative expense of the organizational unit.

c. Questions regarding these Procedures should be addressed to the Vice President of Administrative Services.

Printing, high speed printers/copiers, digital press, and mailing equipment procured and operated by University organizational units other than Print & Mail Services ordinarily shall not be used to perform work for other organizational units, because Print & Mail Services has been established for
that purpose. Any exceptions, other than minor work aggregating less than $100 in monthly revenue, must have prior written approval of the cognizant dean(s) or director(s), and the Vice President for Administrative Services.

d. Non-University owned or operated printing, copying, and mailing services may be used by organizational units when justified by demonstrated lower costs or by service requirements that cannot be met by Print & Mail Services. Such services must be obtained in accordance with applicable University procurement Regulations.

e. Non-University entities are not authorized to establish printing, duplicating, or mailing facilities or services on campus without the prior written approval of the Vice President for Administrative Services.

6. All construction work (as defined in Policy 3-100) shall be administered as provided for in Policy 3-205. Other alterations and repairs to existing facilities, must have the prior approval of the University organization responsible for maintaining that facility such as Facilities Operations, Hospital Facilities and Engineering, and the Facilities group within Housing and Residential Education. These alterations and repairs include, but are not limited to changes, connections or additions in utility systems, air conditioning, heating, electrical, plumbing, air, gas, etc. This also includes interior decorating, painting, floor coverings, window coverings and systems furnishings. Major equipment installations requiring utilities connections or other requirements, such as cooling, etc., need prior approval from Facilities Management. When applicable, work described in this paragraph will also involve review and approval by the University Building Official (the authority having jurisdiction for enforcing building codes).

7. Refrigerators and freezers (−20°C) may be procured or installed only with the authorizing signature of the Vice President for Administrative Affairs or his/her designee or the cognizant Vice President. Exceptions may be granted by the Cognizant Vice President.

8. Intradepartmental radio communications and licensing require the approval of Facilities Operations or the Vice President for Administrative Affairs or his/her designee. (see policy 3-235)

4. Coin-operated vending equipment, including washers, dryers, stamp dispensing machines, food and beverage dispensers, etc., may be acquired or installed only with the prior written approval of the director for Auxiliary Services or his/her designee.

9. The Health Insurance Portability and Accountability Act of 1996 (HIPAA) requires that security of protected health information of individuals comply with applicable federal and state confidentiality and security laws. Contact the University Information and Security office at http://privacy.utah.edu/contact.php or http://www.secureit.utah.edu/ispo/index.html if any potential purchase transactions with suppliers (including delegated small purchases) have the potential to impact the security of private health information.
C. Acquisitions procurement Funded by Research Grants and Contracts

1. Requisitions calling for expenditures to be funded by grants or contracts for capital equipment or remodeling of facilities are subject to review by Grants & Contract Accounting to determine the ensure only allowableility procurement based upon of the proposed Purchasing under the terms of the grant or contract.
2. Requisitions calling for capital equipment not specifically authorized by the grant or contract will not be processed until approval is obtained from the granting agency.
3. A requisition for capital equipment will not be processed if the requisition is dated 30 days or less prior to the project ending date, unless the requisition is accompanied by documentation, approved by the Vice President for Research, or his/her designee, demonstrating that acquisition procurement of such equipment is necessary to achieve the objectives of the contract or grant.
4. A requisition for either supplies or equipment will not be processed if it appears probable that the requisitioned items will not be received by the University within a reasonable period of time prior to the project ending date.
5. All federally funded purchases procurements must comply with applicable federal Purchasing Procedures, regulations, terms and conditions. Purchases based on single price quotations must meet price reasonableness/cost analysis criteria prior to award. Questions regarding these regulations should be directed to the Purchasing Department.
6. Memberships in organizations and associations as defined in Section III.B.1. may not be purchased with grant and contract funds unless allowed by the award.
7. Alcoholic Beverages may not be acquired with grant and contract funds unless allowed by the award.

D. Acquisitions Procurements Subject to Special Limitations, Restrictions or Procedures

1. Narcotics and Controlled Substances
   a. Requisitions for narcotics and controlled substances must be accompanied by a properly completed Drug Enforcement Administration order form (DEA form 222C).
   b. Individuals using form DEA 222C must be registered with the State of Utah Department of Business Regulations and with the U.S. Drug Enforcement Administration.
   c. Further information regarding the purchase of controlled substances may be obtained from the Purchasing Department.
2. Tax-Free Alcohol
   a. Acquisition Procurement of tax-free alcohol must be requested from Procurement the Purchasing Department on a Campus Order and the organizational unit is responsible to complete the Tax-Free Alcohol Report form (available from Procurement the Purchasing Department).
   b. The Tax-Free Alcohol Report must be kept current by each department organizational unit using tax-free alcohol. With each usage of tax-free alcohol, the quantity issued, user’s name, and balance on hand shall be indicated on the
Tax-Free Alcohol Report to bring the record into balance with existing stock. As the existing supply of alcohol reaches the appropriate reorder point, additional alcohol may be reordered by sending the completed Tax-Free Alcohol Report to Purchasing.

c. The University permit to use tax-free alcohol currently limits such use to the following purposes:
   i. preserving specimens
   ii. experimental, research, and laboratory work for scientific purposes
   iii. The preparation of laboratory and medical solutions
   iv. Hospital chemical use
   v. Medical treatment of patients
   vi. Compounding medicines for use of patients in the hospital

d. The use of tax-free alcohol for purposes other than those defined in paragraph (c) is prohibited, and violation is subject to federal law. Departments Organizational units requiring tax-free alcohol for use other than authorized above should contact the Purchasing Department.

e. Department Organizational unit alcohol records and alcohol on hand are subject to federal audit by the Internal Revenue Service.

3. Import Items Imported from a Foreign Country

a. Import items may must be procured through a standard University requisition form, as all matters pertaining to customs are handled by the Purchasing Department. All documents concerning foreign orders (customs declarations, customs invoices, shipping papers, shipping notices, etc.) must be forwarded to the Purchasing Department. Limited import purchases below $1,000 such as conference registrations and publications that do not require customs clearance may be purchased on a PCard. (see Rule 3-100D)

b. Most foreign purchases are subject to customs clearance and possible duty charges. The University has engaged the services of a professional customs broker to provide assistance in clearing foreign shipments. All correspondence or contact with this broker must be made through the Purchasing Department.

c. Departments Organizational units requisitioning import items should include estimated customs duties and freight charges in estimating the cost of the items requisitioned. Exact customs duties on import items cannot be determined until the items have cleared customs. Information relating to customs and procedures applicable to customs clearance may be obtained from the Purchasing Department.

d. Some research grants and contracts prohibit the purchase of import items. Before submitting a requisition for imported items, the department organizational unit must determine that no such restriction is found in any grant or contract to which the cost of acquisition procurement is to be charged in whole or in part.
e. All matters pertaining to customs are handled by Purchasing. All documents concerning foreign orders (customs declarations, customs invoices, shipping papers, shipping notices, etc.) must be forwarded to Purchasing.

4. Procurement of Export Restricted Items
   a. Export regulations apply to the export of items to foreign countries AND to access to controlled items by foreign nationals in the United States (“deemed export”).
   b. Organizational units procuring items subject to export control restrictions are responsible for recognizing the item as subject to export control and for identifying the applicable United States Munitions List (USML) classifications or Export Control Classification Number (ECCN). Selling entities may be able to provide assistance in identifying the USML classification or ECCN for their product(s).
   c. Organizational units procuring items subject to export control restrictions must obtain approval from the Vice President of Research prior to the procurement.
   d. Organizational units procuring items subject to export control restrictions must implement a Technology Control Plan to ensure compliance with export control regulations.
   e. Assistance with the requirements of this section can be obtained from the University’s Export Control Officer.

5. Radioactive Materials and Radiation-Generating Equipment
   a. Radioactive material and radiation-generating equipment must be requisitioned with the standard University requisition form.
   b. Requisitions for these purchases require prior approval from the Director of Radiological Health. A request for such approval will be initiated by the organizational unit requesting the materials or equipment. The Purchasing Department will confirm approval from Radiological Health’s Authorized Users List.
   c. Whenever required, applications for licenses or other approval forms from the Department of Energy (DOE) will be initiated and processed by the Director of Radiological Health.
   d. Questions regarding licensing requirements relating to radioactive materials should be directed to the Director of Radiological Health.

6. Research Animals, and Birds, Fish and Amphibians
   a. Requisitions for the purchase of these research animals subjects require the approval of Animal Resources the Office of Comparative Medicine. The requisition and Animal Request Form shall be sent to the Office of Comparative Medicine Animal Resources for approval. The Animal Request Form can be obtained from the Animal Resources Department Office of Comparative Medicine.
   b. Select species of research birds and animals require written certification of disease-free status on import into the State of Utah. The Director of the
Animal Resources the Office of Comparative Medicine is responsible to perform this inspection and furnish such certification to the State of Utah Division of Wildlife Resources.

c. Questions regarding this procedure should be directed to the Animal Resources Department Office of Comparative Medicine.

7. Compressed Gasses
a. Bottled gases are restricted due to the compressed nature of the cylinder. This restriction covers small disposable as well as large metal cylinders.

b. Common gases and gas mixtures excluding propane may must be ordered through General Stores on a campus order form. All other gasses must be requisitioned with the standard University requisition form so cylinder demurrage and delivery can be arranged.

8. Recruitment Advertising
a. Faculty Positions: Requests for procurement of advertising funds for recruitment of full time staff and paid faculty positions must be requisitioned with the standard University requisition form and include the job posting number. Staff position requisitions should reference the Human Resources Specialist name, Job number, and placement information. Faculty recruitment requisitions require a Vice President’s signature approval. Questions regarding this procedure process should be directed to the Purchasing Department.

b. Staff Positions:
   i. Requests for on-line recruitment advertising of staff positions should be sent to the Human Resources Department and questions directed to them.
   ii. Requests for all other advertising for recruitment of staff positions must be requisitioned with a standard University requisition form and a purchase order will be issued by the Purchasing Department. Staff position requisitions should reference the Human Resources Specialist name, job posting number.

E. Items Restricted by University Contract
1. Product’s or Merchandise with University of Utah Trademark
a. All purchases must be made from an approved or licensed supplier. A current list of suppliers is maintained by Auxiliary Services, Trademarks & Licenses Office. (see www.trademarks.utah.edu)

b. All artwork must be reviewed and approved by the Trademarks & Licensing Office.

F. Acquisition Procurement of Government Property
1. Surplus University Property
a. Surplus University property is available through the University Surplus and Salvage Department. (see Policy 3-040 and 3-041)

b. Information regarding the availability of surplus property may be obtained from the Surplus and Salvage Department. (see University Surplus & Salvage)
2. Excess Federal Property
   Excess federal government property may be available at little or no cost for use on federal government contracts or grants. Information regarding such items may be obtained from the Surplus and Salvage Property Accounting Department.
   a. Excess federal property may be requisitioned with the standard university requisition form.

3. General Services Administration (GSA) Purchasing
   a. In requesting the purchase of supplies or equipment from the General Services Administration, it is the responsibility of the requisitioning department to identify the requisition as eligible for GSA Purchasing.
   b. The appropriate contract number and clause enabling such acquisition must be listed on the requisition. All product identification numbers or stock numbers from the federal supply catalog must be identified on the requisition.

G. Procurement of Vending Services
1. Student Affairs Contract Administration is responsible to provide or contract for all vending services and equipment to employees, students and visitors on campus and at other University controlled buildings, except as outlined below:
   a. The Director of the A. Ray Olpin University Union is responsible for video and other amusement machines, and dispensers of personal hygiene products located in the Olpin Union.
   b. The Director of Residential Living is responsible for coin or credit card operated washers and dryers, stamp machines, video and other amusement machines, and dispensers of personal hygiene products located in the residence halls.
   c. The Director of the University Student Apartments is responsible for coin or credit card operated washers and dryers and dispensers of personal hygiene products located in the University Student Apartments.
   d. The Director of Facility Operations is responsible for dispensers of personal hygiene products located in all buildings on campus, except those referred to in paragraphs a., b., and c. above.
   e. Without prior written approval from Student Affairs Contract Administration and the cognizant Dean/Vice President, organizational units other than Student Affairs Contract Administration and those specifically exempted in this Rule are not authorized to:
      i. purchase, lease or operate vending machines
      ii. Negotiate or contract with non-university vending operators for vending services.
   f. Student Affairs Contract Administration may, under unusual and special circumstances, delegate responsibility for a vending machine to an organizational unit. A written agreement must outline the specific responsibilities of each party. Cash, sales and inventory must be accounted for in accordance with all applicable University Regulations.
H. Requests for Vending Services

    Requests for vending services, except those referred to in paragraph G., shall be submitted to the manager of Student Affairs Contract Administration for review and response.

I. New Locations and Remodeling of Existing Locations- Vending Requirements

    1. For planned new construction projects or remodeling, the Director of Campus Planning in cooperation with Student Affairs Contract Administration, Safety Services and Facility Operations shall evaluate the location, size, safety and ease of maintenance of the planned space for vending service.

    2. Vending machines shall be installed in compliance with all applicable building, fire, safety, and other codes and regulations.

J. Maintenance and Repair of Vending Machines

    Student Affairs Contract Administration shall be responsible for all maintenance and repair of vending machines, except those referred to in paragraphs G.1.

IV. Rules, Procedures, Guidelines, Forms, and other related resources

    Rules [reserved]

    A. R3-100D, Delegated Small Purchase Authority

    B. Procedures [reserved]

    C. Guidelines [reserved]

        D1. Animal Request Form

        D2. DEA Form 222

        D3. Tax-Free Alcohol Report Form

    D. Forms [reserved]

    E. Other related resource materials [reserved]

V. References

    Policy 3-003, Authorizations and Approvals Required for Financial Transactions

    Policy 3-031, Recruitment and Entertainment Expense Reimbursement Policy

    Policy 3-040, Property Accounting

    Policy 3-041, Accountability for Noncapital Equipment

    Policy 3-100, University Purchasing

    Policy 3-112, Campus Printing Policy

    Policy 3-215, University Motor Vehicles

    Policy 3-235, Campus Intradepartmental Radio Communications and Licensing

VI. Contacts
Acting as the Policy Owner, the Office of the Director of Purchasing & Supply Management is responsible for answering questions and providing information regarding the application of this policy. Acting as the Policy Officer, the Office of the Vice President for Administrative Services Affairs is responsible for representing the University's interests in enforcing this policy and authorizing any allowable exceptions.

VII. History

Added Reference for "Non-standard furnishings" to Section III.B.3., February 8, 2011

Revision 5: Editorially changed to update format, owner, officer; September 21, 2010

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