



UC SANTA BARBARA - PROCUREMENT SERVICES

Form D

Purchase Order Transaction Checklist *(to be completed by Procurement Services only)*

Gateway #	Dollar Amount: \$	Your Initials:	Date:
Supplier:		Within Delegation of Authority: Yes <input type="checkbox"/> No <input type="checkbox"/>	
Goods/Routine Services <input type="checkbox"/>	Prof/Personal Svs <input type="checkbox"/>	Consultant <input type="checkbox"/>	Facilities-Use <input type="checkbox"/> Other:

Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Is this a Federally-funded acquisition over \$9,999.99? (note: this only applies if the federal portion exceeds \$9,999.99 on the Prime Contract) ALL CERTIFICATIONS and FORM A's are required ANNUALLY</p> <p>If yes:</p> <ul style="list-style-type: none"> <input type="checkbox"/> UC Federal Funds Checklist completed and attached <input type="checkbox"/> For PO annual renewals, attach a renewed Form A and Debarment/Anti-Lobby Cert as applicable
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Is the transaction for Professional or Personal Services?</p> <p>(Examples: translation services, technical editing, technical appraisals, transaction valuation, coaching, interior decorating, and contracts with musicians, artists and others in the performing arts, medicine and related medical services, and legal, accounting, architectural, and engineering services)</p> <p>If yes:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Over \$99k, for <i>non-federal funds only</i>. Form A completed & attached <input type="checkbox"/> Considered whether the supplier should instead be a hired employee & discussed with HR if needed <input type="checkbox"/> Considered whether the supplier will be providing actual consulting services
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Is the transaction for a true Consultant?</p> <p><i>If yes:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Determined services are urgent, special or technical, which no University position can fill <input type="checkbox"/> Verified the dept. acknowledges prohibition against follow-on Agreements (CA PCC 10515), AND that the prohibition is incorporated into the purchase order (clause #53) <input type="checkbox"/> Phase I and II drafted into Scope of Work for consulting and implementation, if requested <input type="checkbox"/> If over \$100k, formal bid conducted, and Form A attached
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Are the services for IaaS or SaaS**, and/or will the supplier have access to <u>personal info, UC systems, or UC information</u>?</p> <p><i>If yes:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> ETS ad-hoc'ed into the Workflow <input type="checkbox"/> Data Security Policy clause added to requisition <input type="checkbox"/> Data Security drop-down selected to "yes" on requisition
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Will this supplier process information from people in the EEA/EU?</p> <p><i>If yes:</i> <input type="checkbox"/> do not proceed: route order to Contracts</p>
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Will this supplier process credit card information on behalf of the UC? (Flexcard N/A)</p> <p><i>If yes:</i> <input type="checkbox"/> do not proceed: route order to Contracts</p>
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Will this supplier have access to personal health care information?</p> <p><i>If yes:</i> <input type="checkbox"/> do not proceed: route order to Contracts</p>
Yes <input type="checkbox"/> No <input type="checkbox"/>	<p>Is this transaction for design, installation (permanent infrastructure install must go thru DCS), repair, maintenance, or alteration of any UCSB real property?</p> <p><i>If yes:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Design & Construction consulted, or DCS Decision Matrix used; ok to proceed in Gateway <input type="checkbox"/> If maintenance & <u>not</u> Housing or FM, Chris Kelsey's group consulted; ok to proceed in Gateway <input type="checkbox"/> Prevailing Wage dropdown selected on Requisition <input type="checkbox"/> Fair Wage/Fair Work dropdown selected on Requisition <input type="checkbox"/> If order exceeds \$1k: Clause 15 added to the purchase order <input type="checkbox"/> If order exceeds \$15k: PWC 100 Form submitted to DIR
Yes <input type="checkbox"/> N/A <input type="checkbox"/>	<p>For non-federal service orders, does the vendor or any subcontractors of the vendor provide the services on campus?</p> <p><i>If yes:</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Fair Wage/Fair Work dropdown selected on Requisition & Clause 26 added for PO's <input type="checkbox"/> If over \$100k, FW/FW database fully completed



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Yes <input type="checkbox"/> No <input type="checkbox"/>	Will the UC name or logo be used, even on a website landing? <i>If yes:</i> <input type="checkbox"/> University Marks language included in signed contract <input type="checkbox"/> For goods such as T-shirts, supplier is registered and current with Learfield registration
Yes <input type="checkbox"/> No <input type="checkbox"/>	Does this include temporary Staffing, stand-in Instructors, or an Executive Search? <i>If yes:</i> <input type="checkbox"/> PPACA provision included in written text of contract <input type="checkbox"/> UCOP Agreement; already taken care of at UCOP
Yes <input type="checkbox"/> No <input type="checkbox"/>	Do the services require we collect an insurance certificate (use this list only)? <i>If yes:</i> <input type="checkbox"/> Insurance on file and current, or, <input type="checkbox"/> Requested insurance from ITS, or <input type="checkbox"/> Insurance Waiver approved and attached, if applicable
Yes <input type="checkbox"/> No <input type="checkbox"/>	Did this order go out to bid? <i>If yes:</i> Bid number: _____ Check here if all attachments below are attached to a previous PO <input type="checkbox"/> <input type="checkbox"/> Scoring Matrix attached and posted to the Server <input type="checkbox"/> RFx attached and posted to the Server <input type="checkbox"/> Awarded Bidder's full proposal attached & on the Server, non-awarded bids posted to Server only <input type="checkbox"/> Award Notifications attached and posted to the Server <input type="checkbox"/> Offshoring of services certification received from supplier (AB 848) – Bidder's Attachment A
Yes <input type="checkbox"/> No <input type="checkbox"/>	Is this order over \$100k, but did not go out to bid? <i>If yes:</i> <input type="checkbox"/> Sole Source Form A attached, or <input type="checkbox"/> This purchase is for resale only; or <input type="checkbox"/> This a competitively bid UCOP or GPO contract; or <input type="checkbox"/> This is an extension or increase to an existing Vendor Blanket, but the annual services are under \$100k; or <input type="checkbox"/> This is a Professional Services Agreement (Competitive Bidding not required & Form A attached)
Yes <input type="checkbox"/> No <input type="checkbox"/>	Is this a UCOP Agreement supplier? <i>If yes:</i> <input type="checkbox"/> UCOP Agreement number referenced on quote. <input type="checkbox"/> If the UCOP number is not referenced, state the reason why not: _____
Yes <input type="checkbox"/> No <input type="checkbox"/>	Is the other party International, or are the goods being sent <u>to or from</u> any foreign country? <i>If yes:</i> <input type="checkbox"/> Customs Broker listed on the PO (Art Museum uses a unique process), <u>or</u> <input type="checkbox"/> The vendor is paying for shipment (including customs) AND vendor is the Importer on Record <input type="checkbox"/> If order is over \$1k, link to the Application for Foreign Transit Insurance has been sent to dept, <u>or</u> <input type="checkbox"/> The vendor is paying for the full value of the insurance <input type="checkbox"/> Export Control approved the requisition, or is Ad-Hoc'd into the workflow
Yes <input type="checkbox"/> No <input type="checkbox"/>	Did you call to obtain discounts from the vendor? <i>If yes:</i> <input type="checkbox"/> Buyer Savings field populated on the Req If No: <input type="checkbox"/> UCOP/UCSB Bid Agreement <input type="checkbox"/> No discount available, or no further discount <input type="checkbox"/> Unique services; pre-negotiated; rush
Yes <input type="checkbox"/> No <input type="checkbox"/>	Does the quote specify the item(s) are EAR, ITAR regulated, or have Export language? <i>If yes:</i> <input type="checkbox"/> Export Control approval step added into the workflow on the requisition
Yes <input type="checkbox"/> No <input type="checkbox"/>	Does this transaction require EH&S Approval? If yes: <input type="checkbox"/> Requisition routed and approved by appropriate department(s)
Requisition Accuracy: N/A <input type="checkbox"/>	<input type="checkbox"/> Purchase order clauses added or removed <input type="checkbox"/> If Vendor Blanket, description is full and accurate for Supplier acceptance <input type="checkbox"/> Object and Commodity Code Correct <input type="checkbox"/> Warranty written on PO if applicable <input type="checkbox"/> FOB clause matches quote, or if Catalog or PunchOut, Destination is selected, if applicable <input type="checkbox"/> If order is subject to Partial Tax Exemption, sales tax has been adjusted and BB entry sent

****Appendix DS** must be used when services may involve access to UC systems, or the passing of UC-owned information (including trade secrets), or confidential information that is subject to state or federal laws restricting use and disclosure of personally identifiable information, student data & records, protected health information, or individual financial records. ETS must be ad-hoc'd on all IaaS or SaaS orders. [Click here for more.](#)