

#### Purchasing & Contracts

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TO: Michelle Quinn, Senior Vice President for Finance & Administration & CFO

 Lori Brachtenbach, Assistant to the Vice President of Administration

FROM: Lacey Snyder, UNC Controller

 Cristal Swain, Assistant Legal Counsel & Chief Procurement Officer

DATE: June 6, 2016

RE: Purchase between \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ and the University of Northern

The following information is presented in response to the University of Northern Colorado Fiscal Rule 2.2 and Colorado RevisedStatute, CRS 24-30-202(1) or (3).

1. **Description of the commitment.** Include:
2. Description of the goods or services,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Dollar amount,

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1. Date the commitment arose,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Whether disbursements have been made,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Copies of any relevant correspondence, documents, invoices, purchase orders, and contracts that define the terms of the commitment,

Attached

1. **Explanation of why commitment arose before it was authorized.** Include:
2. The organizational unit and name and title of person or persons responsible,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Description of internal controls and why controls did not prevent the situation from occurring,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Whether either party acted in bad faith or in a fraudulent manner,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

1. **Evaluation of pricing.** Include an assessment of whether the prices or rates are fair and reasonable, and the basis for that conclusion. As appropriate, include state procurement procedures that were used and whether all the other required approvals were obtained.

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1. **Expenditure and unencumbered balance.** Confirm that the expenditure is within the unencumbered balance, that the agency or institution of higher education has the funds to pay for the commitment.

I have confirmed with \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ that the amount spent is within the budget provided to me for this purpose.

1. **Description of preventative steps.** Include measures planned to prevent a reoccurrence of the violation. If similar violations have occurred in the past, explain what prior preventative actions were and why they have not worked.

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In accordance with University of Northern Colorado Fiscal Rule 2.2, I am referring this matter to the University's Chief Fiscal Officer for the purpose of investigating the violation, documenting and submitting the results of the investigation to the State Controller and requesting the State Controller to ratify the procurement. If you approve this request, forward Cristal Swain, Assistant Legal Counsel & Chief Procurement Officer. A copy of the encumbrance order and the initial invoice are attached to this letter.

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Cristal Swain, UNC Assistant Legal Counsel & Chief Procurement Officer

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Lacey Snyder, UNC Controller

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Michelle Quinn, CFO & Vice President for Finance & Administration