

UNIVERSITY OF NORTHERN COLORADO

Fiscal Rule Violation and Ratification Form

University of Northern Colorado Fiscal Rule 2.2 and Colorado Revised Statute § 24-30-202 (1) and (3) policy for After the Fact Purchases that Violate state statute (an "Unauthorized Purchase"), require a purchase order be created prior to an order being placed when the total purchase amount is \$10,000 or greater. University Fiscal Rule was not followed when placing this purchase between _____ and the University of Northern Colorado.

The following violation information is presented in response to the University of Northern Colorado Fiscal Rule 2.2 and Colorado Revised Statute § 24-30-202 (1) and (3).

Department Information:

Department Name and Organizational Unit: _____

Name of Individual who placed the order (Responsible Party): _____

Description of the commitment:

Description of the goods and services, attach additional description if necessary:

Order Total: _____

Date the order was placed: _____

Have any payments been made against this order: _____

Please attach any copies of relevant correspondence documents, invoices, purchase order, and contracts that define the terms of the commitment.

Explanation of why commitment arose before it was authorized:

Describe your department's internal controls and why these controls did not prevent the situation from occurring:

Evaluation of Pricing:

Please include an assessment of whether the prices or rates are fair and reasonable, and the basis for that conclusion. As appropriate, include UNC Procurement procedures that were used and whether all of the other required approvals were obtained.

Expenditure and unencumbered balance:

Confirm that the department has the funds to pay for the commitment and indicate the appropriate FOAP the expense will be charged to.

Description of preventative steps:

Describe the corrective action that will be taken to prevent future Unauthorized Purchases. If similar violations have occurred in the past, explain what prior preventative actions were taken and why they have not worked.

Is this your department or school's first offense in a 12 month period?**Yes****No**

If no, please list the date(s) of the prior offense(s). If you are unsure of the last offense that your school or department made, please contact the Purchasing Office and they can look that information up for you.

Signatures:

For your school or department's first offense, this form must be signed by the person who made the Unauthorized Purchase, the school or department's Director, and the college's Dean or Assistant Vice President. Should two or more offences occur in a rolling 12 month period, the form will also require the signature of the area Vice President.

Please obtain **original** signatures below. **Stamped or electronic signatures will not be accepted.**

The Responsible Party understands that they may be held personally liable for the attached invoice and is requesting payment be made by the University.

Responsible Party

Signature	Name Printed	Title	Date
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School or Department Director

Signature	Name Printed	Title	Date
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College Dean or area AVP

Signature	Name Printed	Title	Date
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Vice President

Signature	Name Printed	Title	Date
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Once the above signatures are obtained, send the form along with a Purchase Requisition and the vendor invoice to the Purchasing & Contracts Office at Campus Box 61.

In addition, the purchase must be ratified by the Director of Purchasing & Contracts, Controller, and Associate Vice President for Finance & Administration.

John Chaplain, CPO & Director of Purchasing & Contracts

Alex LeBlanc, Controller

Blaine Nickeson, Associate Vice President for Administration