



ST. JOHN'S
UNIVERSITY

University Purchasing Policies and Procedures Manual

PURCHASING POLICIES AND PROCEDURES

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I. ORGANIZATION AND OBJECTIVES

1.01 Organization Structure

The Purchasing Office is the primary procurement arm of the University and is assisted by Science Supply and Facilities Services. It monitors the procurement activities performed by both these departments to ensure that University policies and procedures are followed. Science Supply primarily procures scientific and medical type supplies, services and equipment while Facilities Services procures facilities type supplies, services and equipment. Facilities Services also develops and obtains proposals for buildings and grounds projects, services and coordinates repairs and maintenance including renovation type projects. (Please note: that the Office of Design and Construction manages the University's capital construction program from program inception through occupancy and has adopted its own procurement policies and procedures.) The Purchasing Office is responsible for the procurement function for everything else excluding the procurement, lease or annual maintenance of photocopying equipment and the procurement of printing, copying and mail services, which is handled by Printing, and Distribution Services.

1.02 Mission

The mission of the Purchasing Office at St. John's University is the timely and efficient procurement of quality goods and services for the academic and administrative departments of the University from qualified suppliers at the lowest possible price.

1.03 Objectives

To fulfill its mission, the Purchasing Office: develops and maintains reliable sources of supply; obtains competitive bids; negotiates major contracts; consolidates University purchases; issues all relevant Purchase Orders and develops, monitors and enforces the University's procurement policies. It also creates and ensures standards of quality, safety and compatibility; and acts as the University's designated agent for the commitment of resources.

1.04 Code of Ethics

The following Code of Ethics is based on the purchasing ethics established by the National Association of Educational Procurement (NAEP):

1. To give first consideration to the objectives and policies of St. John's University.
2. To strive to obtain, without prejudice, the maximum value for each dollar expenditure.
3. To conduct business with current and potential suppliers in an atmosphere of good faith, devoid of intentional misrepresentation.

4. To grant all competitive suppliers equal consideration.
5. To demand honesty in sales representation whether offered through the medium of verbal, written statement, an advertisement, or a sample product.
6. To foster fair, ethical and legal purchasing practices.
7. To receive the consent of the originator of proprietary ideas and designs before using them for competitive purchasing practices.
8. To make every reasonable effort to negotiate an equitable and mutually agreeable settlement of any controversy with a supplier; and/or be willing to submit any major controversies to arbitration or other third party review, insofar as the established policies of St. John's University permits.
9. To accord prompt and courteous reception, insofar as conditions permit, to all who call for legitimate business purposes.
10. To cooperate with trade, industrial and professional associations, and with governmental and private agencies for the purpose of promoting and developing sound business methods.
11. To be receptive to knowledgeable counsel from colleagues and to be guided by such counsel without impairing the dignity and responsibility of one's position.
12. To counsel and cooperate with other universities, colleges, government offices and other such entities to promote a spirit of unity and a keen interest in professional growth.

1.05 Conflicts of Interest

The University, as a rule, does not enter into purchasing contracts with students, faculty and staff or members of their immediate families. A transaction with a business in which a St. John's employee has an interest is prohibited unless full disclosure of the background facts is presented in writing to the Director of Internal Audit for approval.

Transactions with outside firms must be conducted in a professional manner, on an arms-length basis, in accordance with established University procedures, and free of any conflict of interest. An actual or potential conflict of interest occurs when employees or their family members derive an economic benefit of \$10,000 or more annually from such entity. A conflict of interest would always arise whenever a person or entity seeking business or a business relationship with the University offers to compensate an employee for influencing the University's decision on such matters, whether in the form of a "commission," "significant gift" or otherwise.

1.06 Gifts and Gratuities

University policy prohibits all employees from accepting gifts of any kind in excess of \$100 in value, or kickbacks of any value from vendors or service providers to the University.

Non-cash gifts of less than \$100 in value are not deemed to violate this policy. Gift certificates or cash gifts of any value should be returned or donated.

Non-cash business entertainment, such as an invitation to dinner, to a sports event, or to a golf outing, are not prohibited by this policy.

1.07 Kickbacks

University policy prohibits the acceptance of kickbacks.

“Kickbacks” means any money, fee commission, credit, gift, gratuity, thing of value, or compensation of any kind, which is provided directly or indirectly, for the purpose of improperly obtaining or rewarding favorable treatment.

1.08 Reporting Suspected Conflicts of Interest, Unauthorized Gifts and Gratuities and Kickbacks.

In the event that an employee becomes aware of a suspected conflict of interest, unauthorized gift or a kickback, the employee should contact the Office of General Counsel (extension 6337).

II. PROCUREMENT PROCEDURE

2.01 Purchase Requisition

The Purchase Requisition starts the procurement process. The Purchase Requisition is used to request the Purchasing Office, Science Supply or Facilities Services to acquire materials, parts, supplies, equipment or services.

Schools and departments should use the on-line Purchase Requisition System whenever possible¹. The on-line Purchase Requisition System was created to be used by schools and departments to process Purchase Requisitions via the University Information System (UIS) and the Banner Receiving process eliminates the need for golden rods. The process was developed to improve customer service by reducing processing time and simplifying the Purchase Requisitioning and Receiving Payment Approval System for user departments. For more information and detailed step by step instructions for using the on-line Purchase Requisition System, please see the On-Line Purchasing User Reference Manual

www.stjohns.edu/sites/default/files/uploads/2018_-_final_revised_purchman.pdf

Whenever, the on-line Purchase Requisition System is not available, or for other unusual or exceptional circumstances a completed Purchase Requisition form (See Appendix 1) along with original copies of all documentation and Summary Bid Form where applicable (see Appendix 2) should be forwarded to the Purchasing Office, Science Supply or Facilities Services for review and processing. The requisitioning department should keep copies of all Purchase Requisitions and documentation submitted for future reference and/or inquiry.

Purchase Requisitions must include a complete organization, fund and account number and authorized budget administrator signature and title as well as any required approvals.²

Before submission, the requisitioning department must attach the following supporting documentation: bids, quotations, proposals, or letter of Sole Source Justification or Sole Source Justification Form. The Purchasing Office, Science Supply or Facilities Services reserves the right to seek additional bids, quotations or proposals from other qualified sources.

Departments should anticipate their requirements to allow adequate lead time for order processing and product delivery. Item descriptions should be complete and accurate (including manufacturer's product number and vendor stock number if known) to allow buyers to review the request to purchase, compare bids, quotations or proposals and if necessary to obtain additional bids.

¹ The On-Line Purchase Requisition System is not available for Purchase Requisitions that are to be submitted to Science Supply.

² It is the responsibility of the Department to ensure that the organization, fund and account numbers are valid, there is adequate funding available for the purchase and to obtain any other prior approval that may be needed.

Employees should not purchase goods and services using their own out-of-pocket funds (except for situations described in Section 2.07, Petty Cash).

2.02 Purchase Order

Purchase Orders can only be issued by the Purchasing Office, Science Supply, and Facilities Services. The Purchase Order is a four (4)-part form that is used to place orders with vendors for all materials, parts, supplies, equipment, repairs or services. The establishment of a Purchase Order is required for all purchases (excluding, photocopying, photocopy equipment and printing). In addition to being the official order of St. John's University, it is the mechanism by which encumbrance information is input into the Banner System.

When a Purchase Order is generated, a copy is sent to the vendor and two copies (green and goldenrod) are sent to the Requisitioner. (See Appendix 3.)

The Purchase Order instructs vendors to mail all original invoices to Accounts Payable. As such, in order for payments to be made for items acquired via a Purchase Order, the goldenrod copy of the Purchase Order must be sent to Accounts Payable with an Authorized Budget Administrators signature and the date when the items were received. Original invoices received by departments, which relate to Purchase Orders, must be sent to Accounts Payable before payment can be made. It is the responsibility of the Department to remit the goldenrod copy of the Purchase Order to Accounts Payable in a timely manner in order for invoice payment due dates to be met.

2.03 Emergency Purchase Order

An emergency is defined as any situation which, if not corrected immediately, would result in a hazard to persons or property, could result in damage to buildings or facilities, would result in a violation of law, statute or ordinance established by governmental or regulatory authority, or in any other fashion, if not acted upon, would be seriously detrimental to the interest of the University. Failure to anticipate a need is not, of itself, considered a bonafide emergency. Emergency orders are generally used for repairs.

To initiate an emergency purchase, the department authorized Budget Administrator must call the Purchasing Office, Science Supply or Facilities Services and discuss the nature of emergency. In addition, he/she must fax a fully executed requisition to the appropriate office/department. The requisition must state the nature of the emergency and must include a description of the goods and/or services requisitioned vendor's name, address and telephone number, department number, budget account number, total dollar amount of the order and authorized Budget Administrator's signature and title.

2.04 Change Order--Cancellation or Modification of Order

Only the Purchasing Office, Science Supply and Facilities Services are authorized to issue a Change Order. Changes to a previously issued Purchase Order can be made only by a Change Order.

The changes may affect price, quantities ordered, terms and conditions, delivery point, etc. Because of these or any other changes, the accounting information in the Banner System may have to be altered.

To request a Change Order, the authorized Budget Administrator or authorized department representative must notify the Purchasing Office, Science Supply or Facilities Services in writing. When requesting a Change Order the Purchase Order Number, Vendor Name and the nature of the requested change (Please be specific.) must be provided.

When the Purchasing Office, Science Supply or Facilities Services generates a Change Order, a copy is transmitted to the requisitioner. In addition, a copy will either be transmitted to the vendor or filed in the area that prepared the Change Order. This depends on the instructions given by the requisitioning department when requesting a Change Order. Please contact the Purchasing Office, Science Supply or Facilities Services for assistance.

2.05 Purchasing Card (P-Card)

The University Bank of America Purchasing card is designed to be a tool for making both purchases and payments. The card may be used for dues, membership, subscriptions, misc. supplies, travel and other goods and services. However, the card cannot be used for certain purchases. The following is a partial list of items that CANNOT be purchased with the P-Card. This list is not all-inclusive. If there are any questions about whether or not the P-Card can be used for a particular product or service, please contact Maria Plakas, the Purchasing Card Administrator at plakasm@stjohns.edu or call (718) 990-7557. Exceptions to the partial list will be handled on a case by case basis.

- Animals
- Cash Advances, Money Orders
- Charitable Donations
- Chemicals
- Computer Hardware and Peripheral Equipment
- Construction, Renovation or Installation Services
- Gift Cards
- Leases/Rentals requiring a signed agreement
- Liquor Stores
- Maintenance/Service Agreements requiring a signed agreement
- Medical Services
- Motor Vehicle Violations
- Narcotics and other Drugs
- Personal Purchases
- Professional and Consulting Services
- Radioactive and Hazardous Material
- Sales Tax

➤ Software Licensing Agreements

In addition, to the above all goods and/or services where the University has a University-wide contract or program in place is also prohibited.

- Coffee and Water Services
- Fax Machines
- Flooring
- Furniture
- Printers, Toner Cartridges
- Staples Office Supplies
- Window Treatment

All purchases must be made in accordance with established University policies. Use of the purchasing card for unauthorized, inappropriate or personal items may result in penalties as indicated in the University Purchasing Card Policies and Procedures Manual. For additional information, please see the Purchasing Card Policies and Procedures Manual at:

www.stjohns.edu/sites/default/files/2023-04/P-Card%20Policies%20and%20Procedures.pdf

2.06 Check Request³

A Check Request should only be used by departments for honoraria, registration fees, membership dues, subscriptions, and payment to consultants or other service providers under an executed contract.

Check Requests should not be used by departments to pay for purchases that should be processed through the Purchasing Office, Science Supply or Facilities Services (e.g., furniture, equipment, services, supplies, etc.). However, a Check Request may have to be initially forwarded to the Purchasing Office to initiate certain leases and/ or Purchase Orders that require an advance payment (e.g., first month's payment).

2.07 Purchases Paid with Petty Cash

Certain departments have petty cash funds that can only be used to meet miscellaneous, unusual or infrequent expenditures of less than \$50.00.

Disbursements from the Petty Cash Fund must be properly documented and be for a valid University

³ Check Requests may be used by Facilities Services for the following:

- For emergency situations when the University is closed and it is not possible to obtain three bids nor generate a Purchase Order. However, appropriate documentation must be attached to the Check Request.
- For the payment of utilities (e.g., Con Edison) and contracted out sourced facilities that submit recurring weekly invoices.
- There is a time sensitive factor that precludes securing a Purchase Order as determined by the Assistant Vice President of Facilities Services. However, appropriate documentation must be attached to the Check Request.

business purpose. Receipts should include a description of the business purpose of the transaction, goods or services purchased and the date.

Petty cash funds may be used for emergency stationery and office supply purchases of less than \$50.

Petty cash funds may not be used for travel expenses, business meeting meals, personal loans, registration fees, equipment purchases, consultant fees or any other type of consultant payments, salary advances or the cashing of personal checks.

Sales taxes should not be paid on purchases paid with petty cash funds. An Exempt Organization Certificate should be given to each vendor at the time of purchase. Exempt Organization Certificates for New York and a number of other states can be found and down loaded from the University's intranet

<https://www.stjohns.edu/who-we-are/leadership-and-administration/administrative-offices/business-affairs#resources>

A petty cash voucher must be submitted to the Bursar's Office with the appropriate original receipts, budget codes and signed by the Department's Budget Administrator. Routine or recurring business expenditures paid by employees with their own funds must be reported on a Travel Request & Expense Reimbursement form. All tolls and mileage for travel must be submitted on a Travel Request & Expense Reimbursement form. Petty cash can be replenished on Tuesdays and Thursdays between the hours of 9:00 a.m. and 11:00 a.m. in the Bursar's Office.

Petty Cash reimbursements are not processed by the Purchasing Office, Science Supply or Facilities Services.

For further information, call Accounts Payable at extension 1963.

2.08 Authorization to Purchase

The University's Budget Office publishes and distributes a list of authorized Budget Administrators who have signatory authority for each organization.

Authorized Budget Administrators are authorized to approve all financial transactions on accounts attributed to his/her organization. An Authorized Budget Administrator must be a full-time Administrator of the University. The Authorized Budget Administrator is expected to ensure that all transactions, regardless of dollar amount, conform to University Policy.

The Budget Office's list controls signature authority. Requisitions may be initiated at any level, but only the organization's Authorized Budget Administrator can authorize approval.

Requisitions submitted without the Authorized Budget Administrators signature will not be processed.

2.09 Insurance

Insurance requirements governing the purchase of goods and services are printed on the back of the St. John's University Purchase Order, which is sent to vendors. When goods and services are purchased under a written contract with a vendor, insurance requirements should be reviewed with the Office of General Counsel.

When required by contract, before the commencement of any work or services being performed for the University, evidence of appropriate insurance coverage must be submitted to the Purchasing Office, Science Supply or Facilities Services (whichever is appropriate) and to the Controller in the Office of Business Affairs. For further information or assistance, call The Office of Business Affairs at extension 6340.

2.10 Multi-Year Leases/Lease Purchase, Rentals and Other Agreements

All forms of Leases, Lease Purchases, Rentals and Other Agreements that obligate the University for more than one (1) budget year must be signed on behalf of St. John's University by one of the following Officers:

- President
- Provost
- Executive Vice President for Mission
- Vice President for Business Affairs, CFO and Treasurer

Departments should complete and submit to the Purchasing Office, Science Supply or Facilities Services a purchase requisition that fully describes the equipment to be leased and the proposed term (number of years). In addition, all leasing documents must be attached.

Prior to accepting Lease Agreements submitted by the requisitioning department, the Purchasing Office, Science Supply or Facilities Services will analyze each one. An analysis will be made to determine the economic soundness of whether the goods should be leased or purchased and to protect the rights of the University.

Depending upon the item or value of what is being leased, the lease may be reviewed by the Office of General Counsel. The time frame for this process may be lengthy; therefore, requisitioners should plan accordingly and allow sufficient time for this process.

III. VENDOR SELECTION AND QUOTATION PROCEDURE

3.01 Sources of Supply

A database of vendors is maintained by the Purchasing Office, Science Supply and Facilities Services in the Banner System. The buying staff actively seeks new vendors, and departments are encouraged to notify the Purchasing Office, Science Supply or Facilities Services of vendors interested in doing business with St. John's University.

3.02 Minority, Women Owned and Local Business Enterprises Policy

St. John's University is committed to assisting minority, women-owned and local business enterprises (M/W/LBE's) in their long-term growth and development, thereby enhancing the economic stability and vitality of the community it serves through its student body. This commitment is rooted in our tradition as a Vincentian University dedicated to promoting the core values of truth, love, respect, opportunity, excellence and service within the University and in our relationships with the community at large. It also serves to complement the University's Diversity Initiative, which seeks to identify and address personal, institutional and social injustice.

In line with this commitment, it is the policy of St. John's University to identify and register qualified (M/W/LBE's) for the specific purpose of affording them the opportunity to work with the University.

This policy recognizes the University's obligation to identify, promote and develop small business firms and brings them into the mainstream of American economic society. Further, it is the policy of the University to award competitively bid orders to these business groups when they have been pre-qualified and are the lowest bidder. Departments are encouraged to notify the Purchasing Office, Science Supply, Printing and Distribution Services or Facilities Services of M/W/S/D/LBE vendors interested in doing business with St. John's University.

3.03 Suggested Source

When completing the purchase requisition, departments are strongly encouraged to list a suggested source for the procurement of needed goods or services. Depending on the value of the purchase, urgency of delivery and the nature of the item(s) being requisitioned, the buying staff is required to review all bids, quotations and/or proposals. In addition, where and when appropriate the buying staff may solicit bids from other prequalified vendors or negotiate discounts with the suggested source.

3.04 Requests for Bids/Quotations/Proposals and Dollar Thresholds

Requests for bids, quotations and proposals are mandated for the purchase of all goods and services according to the guidelines listed below. However, bidding requirements may be waived when the procurement is being made via an established University contract or by utilizing a government contract, consortium,

cooperative or other organization where competitively bid and/or negotiated contracts have been established. (See Sections 3.08 and 3.09 for additional information and requirements.)

The guidelines below apply to all University Departments other than Facilities Services, Design and Construction and Auxiliary Services. Facilities Services, Design and Construction and Auxiliary Services follow a separate set of guidelines as stated in their Campus Facilities and Purchasing Policies and Procedures Manual

\$ 1 - \$ 2,499	Bids, quotations or proposals are recommended but not required.
\$ 2,500 - \$ 4,999	Two (2) telephone, written or faxed bids, quotations or proposals are required.
\$ 5,000 and over	Three (3) written or faxed bids, quotations or proposals are required.

Faxed or written bids, quotations or proposals can be obtained either by the requisitioning department or by the Purchasing Office, Science Supply or Facilities Services. All bids, quotations or proposals obtained must include shipping and handling charges, if applicable. (See Appendix 4.) All bids, quotations and/or proposals will be reviewed by the Purchasing Office, Science Supply or Facilities Services and additional bids may be obtained. The timeframe for soliciting this information is generally five (5) business days for faxed bids and ten (10) business days for written bids. The submission of split requisitions in an attempt to circumvent the dollar threshold policy is prohibited.

The Purchasing Office, Science Supply and Facilities Services may, at its discretion, secure competitive bids regardless of the dollar thresholds listed at anytime. Furthermore, the Purchasing Office, Science Supply and Facilities Services may at its discretion, conduct negotiations with more than the apparent low bidder when it is deemed to be in the University's best interest to do so.

If bidding is not performed and a sole source justification does not apply, departments should obtain the approval of the Director of Purchasing before proceeding with the selected vendor.

3.05 Confidentiality of Bids/Quotations/Proposals

In accordance with fair and sound business practices, all information supplied by vendors in their bids, quotations or proposals must be held in strict confidence by the person(s) evaluating the bid, quotation or proposal and may not be revealed to any other vendor or unauthorized individual.

3.06 Late Bids/Quotations/Proposals

All bids, quotations and proposals involving a formal Request for Proposals (RFP) where a submission deadline is stated, are to be date and time stamped when they are received. This is to ensure that they are received prior to the stated deadline for submission. It is the responsibility of the vendors to ensure that bids are submitted by the stated due date and time. The University reserves the right to reject late submissions.

3.07 Errors in Bids/Quotations/Proposals

Vendors are responsible for the accuracy of their quoted prices. In case of an error between a unit price and its extension, the unit price will govern. Quotations may be amended or withdrawn by the bidder up to the bid opening date and time, after which, in the event of an error, bids may not be amended but may be withdrawn prior to the acceptance of the bid. After an order has been issued, no bid may be withdrawn or amended unless the Purchasing Office, Science Supply or Facilities Services considers the change to be in the University's best interests.

3.08 Procurement Utilizing a Government Contract, Consortium, Cooperative or Other Organization

Bidding requirements may be waived when the procurement is being made utilizing a government contract, consortium, cooperative or other organization with whom competitively bid and/or negotiated contracts have been established. The name and/or number of the government contract, consortium, cooperative or other organization being utilized must be stated on the Purchase Requisition form along with the vendor selected.

3.09 Sole Source Procurement and Justification

The procurement of materials, parts, supplies, equipment or services without competition, is done under exceptional and limited circumstances.

Sole source procurement requires detailed documentation from the requisitioning department to justify the purchase and to ensure that the cost charged by the vendor is reasonable and customary. Sole Source Justification forms, (which can be photocopied from this manual), or a Sole Source Justification Letter must accompany the requisition and may be used in the following instances:

- . When products or services can be obtained only from one (1) person or firm.
- . When competition is precluded because of the existence of patent rights, copyrights, secret processes, control of raw material or other such conditions.
- . When the procurement is for technical services in connection with the assembly, installation or servicing of equipment of a highly technical or specialized nature.
- . When the procurement involves construction where a contractor is already at work on the site (based on an existing Purchase Order or Contract) and it would not be practical to engage another contractor.

(See Appendix 5.)

3.10 Consultants

Contractual agreements with consultants are not processed through the Purchasing Office. Such agreements must be reviewed and approved by the Office of General Counsel before execution. Payments to consultants are made by submitting a Check Request Form directly to Accounts Payable.

3.11 Demonstration Equipment and Sample Material

Vendors who supply demonstration equipment or sample material to departments must provide the University with the appropriate certificate of insurance. If the Department is interested in purchasing the demonstration equipment or sample material, the normal Purchase Requisition procedure must be followed.

IV. SPECIAL PROCUREMENT POLICIES

4.01 Terms and Conditions

Terms and conditions governing the purchase of goods and services are printed on the back of the St. John's University Purchase Order, which is sent to vendors. When procurement is pursuant to the terms of a specific contract, a copy of the contract must accompany the completed Purchase Requisition. Contracts may be reviewed by the Director of Purchasing, Controller (Risk Management) and the Office of General Counsel. In addition, when purchasing items on a sponsored project account, please ensure that the proposed purchase is allowable under the terms of the applicable grant agreement. Questions concerning allow ability may be referred to the Office of Grants and Sponsored Research.

4.02 Capital Expenditures

St. John's University has established a comprehensive policy governing capital expenditures. As defined, any single item, the cost of which, including freight and installation, is \$5,000 or greater is considered a capital item. To be classified as capital, the item must have a useful life of more than one (1) year. (Please note: all rules pertaining to St. John's bidding policies apply for capital expenditures.)

4.03 Equipment Replacement

It is the policy of the University to ensure that every effort is made to avoid the purchase of unnecessary or duplicate equipment. Prior to submitting a purchase requisition for equipment, the requisitioner should screen the Department's equipment inventory to determine if the item is already available or whether the item can be shared.

4.04 Furniture, Flooring and Window Treatments

The University has developed a Standards Program⁴ for the purchase of furniture, flooring and window treatments. The program developed by the University, ensures that quality furniture (e.g., desks, chairs, partitions, file cabinets, etc.), flooring (e.g., carpeting, tile, roll goods, etc.) and window treatments (e.g., blinds, curtains, shades, etc.) that meet and/or exceed fire code regulations, are purchased at a cost savings. In addition, it ensures that there is uniformity and compatibility throughout the University.

⁴ A Standards Program is used to procure repetitively purchased items or products usually bought in quantity at a cost savings to fit a need. It insures product uniformity and compatibility throughout the University.

4.05 Computer Equipment

The University has developed a Standards Program for the purchase of microcomputer (e.g., desktops, laptops, towers, etc.) and peripheral equipment (e.g., printers, scanners, data storage devices, diskette drives, etc.). Therefore, departments planning the acquisition of microcomputer and/or peripheral equipment should contact Information Technology for assistance with computer systems and peripheral recommendations and configurations prior to submission of a purchase requisition.

All purchase requisitions for microcomputers must first be sent to Information Technology for review and written approval before submission to the Purchasing Office. Once reviewed and approved, Information Technology will then forward the Requisition to Purchasing for processing. Requisitions submitted to the Purchasing Office without the prior review and written approval of Information Technology will not be processed and will be returned to the Department.

4.06 Printing Solutions

All printing solutions acquired by the University will meet standards for support, security and feature set. IT currently maintains a list of printer models that conform to this standard. Requests for printing solutions that retain user files (data) in non-volatile memory (hard drives, flash drives, SSD) must be further scrutinized for appropriate business need. IT will work with Purchasing and the requesting department to explain the policy and recommend alternatives that do not contain such memory. If an alternative cannot be identified, IT will ensure the management and security of the printing solution, preventing unauthorized access with password protection and implementation of data erasure feature.”

Disposition of obsolete and/or broken Printing Solutions must be reviewed by IT before Disposal.

4.07 Computer Software

The University has established software-licensing agreements for many different types of computer software. Therefore, departments planning the acquisition of computer software should contact the Information Technology for review and written approval prior to submission to the Purchasing Office. Once reviewed and approved, Information Technology will forward the Requisition to Purchasing. Requisitions for computer software submitted to the Purchasing Office without the prior review, and written approval of Information Technology will not be processed.

4.08 Vehicles

The University has established a vehicle Fleet Management Program that provide guidelines for the use, maintenance and repair of University owned, leased and bartered vehicles which enables the University to monitor and control usage and costs according to appropriate standards of accountability.

Certain departments and employees are assigned vehicles in order to conduct business on behalf of the

University. Although assignment of a vehicle to an individual employee is not guaranteed (regardless of title, rank or position), such factors including, but not limited to, duties, responsibilities, need and vehicle availability, contribute to the decision as to who is assigned a vehicle.

For policies and procedures regarding employer provided vehicles, please consult the Employer Provided Vehicles Policies and Procedures Manual.

All requests for the lease or purchase of vehicles should be discussed with your Vice President or Dean and then requested via the Capital Request process.

4.09 Major Contracts/Discounts with Vendors

The Purchasing Office competitively bids, negotiates and awards major contracts/discounts with vendors for a variety of products and services (e.g., Office Supplies). By consolidating the University's purchasing power, St. John's University has been able to obtain significant cost savings and efficiencies for supplies, furniture, equipment and services.

4.10 Maintenance Agreements for Scientific and Other Equipment of a Highly Technical Nature

Competitive Bidding and Sole Source Justification may be waived for maintenance agreements for scientific and other equipment of a highly technical nature. In conjunction with the appropriate Authorized Budget Administrator, the person with the most technical expertise will make this determination.

4.11 Animals

Pursuant to Federal regulations, the purchase of animals must be made under the supervision and assistance of a qualified veterinarian. Requisitions from University departments, laboratories and offices for animals must be sent to the Director of the Animal Care Center for approval and signature before forwarding to Science Supply.

Science Supply will process requisitions only after receiving written approval from the Director of the Animal Care Center.

4.12 Narcotics

Requisitions for controlled substances (e.g., narcotics, barbiturates, tranquilizers, etc.) must have a Drug Enforcement Administration (DEA) form (#222) completed by the Principal Investigator with a DEA registration number. In addition, a photocopy of the current New York State license issued by the Bureau of Controlled Substances must be attached to the purchase requisition. Requisitions from University departments, laboratories and offices for Narcotics must be sent to the Department Chair for approval and signature before forwarding to Science Supply.

The Science Supply will process requisitions only after receiving written approval from the Department Chair.

4.13 Radioactive Material and Equipment

Requisitions from University departments, laboratories and offices for radioactive material and equipment must be sent to the University's Radiation Safety Officer for approval and signature before forwarding to Science Supply.

The Science Supply will process requisitions only after receiving written approval from the University's Radiation Safety Officer.

4.14 Space Allocation, Renovations and Alterations to Physical Space

The Office of Design and Construction monitors space allocation, furniture standards and offers preliminary design for space renovation. All requests for moves, reallocation of space or space renovations must be directed, in writing, to the Office of Design and Construction.

4.15 Advertising

The procurement of advertising is not processed through the Purchasing Office, Science Supply or Facilities Services. All University advertising (i.e., recruitment, college, journal or program-oriented) must be approved by and placed through the Office of Communications and Marketing to maintain and capitalize on the University's current advertising image and visibility.

For more information on advertising and publications procedures, contact the Office of Communications and Marketing at extension 6366.

4.16 Printing and Distribution Services

The procurement, lease or annual maintenance of photocopying equipment as well as the procurement of printing, copying and mail services is processed and managed by Printing and Distribution Services. Employees should consult Printing and Distribution Services for all print, copy and mail needs.

Printing and Distribution Services business operations include front office services, print procurement, on-campus reproduction, variable data printing, mail handling, receiving, daily supply delivery, resident hall delivery, convenience coin and office copying, messenger service, off-campus warehousing, Xerox Business Services for the Staten Island campus, and inter-campus messenger runs among the Eastern Long Island, Manhattan, Queens, and Staten Island campuses.

To ensure the uniformity of the University's image and message, all publications to be distributed outside the University must be produced through or approved by the Office of Communications and Marketing.

For detailed information on all of the available services provided by Printing and Distribution Services, refer to the Printing and Distribution Handbook.

V. MISCELLANEOUS POLICIES AND PROCEDURES

5.01 Damages, Shortages, Mistakes in Shipping or Invoices and Returns for Credit

In case of damage or shortage of a shipment, a written report should be submitted immediately by the Department to the vendor with a copy to Purchasing, Science Supply or Facilities Services and the Accounts Payable Department of the Office of Business Affairs. Please include the following details: Purchase Order number, date, vendor and extent of damage or shortage. Claims must be filed within seven (7) days from the date of delivery. Failure to comply within this period may result in a disallowment of the claim.

Mistakes in shipping or invoicing should be reported promptly by the Department in writing to the vendor with copies to Accounts Payable and either Purchasing, Science Supply or Facilities Services. Reference to the Purchase Order number should be made and departments should give sufficient details concerning the mistake or problem so that the vendor can make the necessary corrections.

When a vendor has shipped items as specified on a Purchase Order, they have legally complied with their part of the contract. The vendor is under no obligation to accept returns for credit for items delivered as specified. Acceptance of a return by the vendor is by no means automatic, and a restocking charge may be incurred. In these instances, this charge will be assessed to the requisitioning department.

If the vendor is willing to accept items for return, the vendor will give you instructions concerning how the item is to be returned. The vendor may also assign a Return Authorization (RA) number. This number should appear on all return packaging and future correspondence to the vendor. All items for return should be repackaged in its original packaging (if available) and delivered or sent to the Receiving Department with detailed return instructions.

Please be aware that not all items are returnable. In most instances, carpet, furniture, custom made goods, certain equipment, etc. are not returnable.

If items ordered on a Purchase Order are returned or will not be delivered, it is the Department's responsibility to forward copies of all vendor correspondence including Return Authorization Numbers (RA) to both Accounts Payable and Purchasing. All refund checks must be delivered to the Bursar's Office for processing. You must note the budget code to be credited when submitting refund checks.

5.02 Travel and Entertainment

Purchase Orders will not be issued for travel and entertainment expenses.

Please refer to the Business Expense Policies and Procedures Manual concerning travel and business expense policies, procedures and reimbursement.

[www.stjohns.edu/sites/default/files/2019-02/final -
revised_july_2018_business_expense_policies_and_procedures_manual1_0.pdf](http://www.stjohns.edu/sites/default/files/2019-02/final_-_revised_july_2018_business_expense_policies_and_procedures_manual1_0.pdf)

5.03 Bank Accounts and Credit Card Accounts

No bank account or credit card accounts can be opened by departments without the express written consent from the Vice President for Business Affairs, Chief Financial Officer and Treasurer.

5.04 Disposal, Sale, Trade-In or Movement of Furniture, Equipment and Other University Assets

The University has established a comprehensive policy governing the acquisition, control and disposition of University furniture, equipment, and other University assets. As such, the University keeps records of those items with a unit cost of \$5,000 or more and which have a useful life of one (1) or more years.

Asset Disposal

Furniture, equipment or other assets of the University should not be sold, traded, donated or otherwise disposed without the approval of the Office of Business Affairs. Disposal of assets involves accounting, and insurance considerations that must be resolved prior to taking action.

If disposal of an asset is being considered, the following information must be obtained and communicated to the Office of Business Affairs:

1. Description of the Asset;
2. The asset's original cost;
3. Location of asset (campus, building, room).

An asset's original cost can be obtained from the purchase order or invoice. If a copy is not readily available, the budget administrator should provide the Office of Business Affairs with an estimate of the asset's original cost and the year the asset was acquired.

Purchase Requisitions involving a trade-in must include pertinent information about the item that is to be traded (i.e., complete description, manufacturer, serial number, etc.).

Disposal of computer monitors must comply with New York State law, as some components may contain potential hazardous waste materials. When a monitor is no longer functional, employees should contact their department's IT liaison or call extension 5000 to request its removal.

Movement of Assets

All departments are responsible for the safeguarding of University assets. In the event of office relocation or equipment movement the Office of Business Affairs must be notified, in writing of this activity. Items must not be moved until approval is obtained from the Office of Business Affairs.

The following information should be included in the correspondence to the Office of Business Affairs:

1. Items moving;
2. Original location;
3. New location (campus, building, room);
4. Asset ownership (department responsible for asset).

Stolen Assets

In the event furniture, equipment or other assets have been identified as stolen, it is the Department's responsibility to immediately notify and to file a report with the Department of Public Safety. The information on the report should include as detailed a description of the item(s) as possible, asset model number and location.

It is then the Department's responsibility to forward a copy of the completed security report to the Office of Business Affairs, so the item(s) can be accounted for properly, and, where applicable, insurance reimbursement may be sought.

5.05 Personal Purchases

The purchase of used St. John's-owned furniture and equipment for personal use is normally not permitted. However, occasionally, University employees are given the opportunity to purchase St. John's old equipment and/or furniture for their own personal use only after schools and departments have had the opportunity to obtain these items. Please contact the Purchasing Office at extension 6196 for additional information.

5.06 Charitable Contributions/Donations/Sponsorships

The procedures for handling all charitable contributions, donations and sponsorship activity within each unit must be adhered to as follows:

1. All requests for donations, contributions or sponsorships must be submitted to the Unit Vice President or Dean before a commitment is made.
2. The activity must justify how it supports and benefits the mission of the University. A description of such benefit must be submitted with the request.
3. Approvals should be requested as early as possible but no later than 2 weeks before the event.

4. Upon receipt of the invoice(s), the Unit Vice President/Dean will manually sign on each invoice. Invoice(s) can then be processed in the normal fashion through the check requisition system along with supporting documentation. PCards cannot be used.
5. Accounts Payable staff will review each invoice for the Unit Vice President/Dean approval before issuing the check.
6. Check requisitions which do not contain proper approval will remain on-hold pending the Unit Vice President/Dean sign off.

VI. APPENDICES⁵

APPENDIX 1 Purchase Requisition Form

APPENDIX 2 Summary Bid Form

APPENDIX 3 Purchase Order Form

APPENDIX 4 Requests for Quotations Form

APPENDIX 5 Sole Source Justification Form

⁵ All forms can be found and down loaded from the University's intranet:
<https://www.stjohns.edu/employee-resources#bizaffairs>