



Federal Fund Purchase Requirements

*Procurement Services Department Buyer Training Session
Thursday, August 18, 2022*

UCI Division of Finance and Administration | With U • For U

2022 Supplier Showcase

Register Now!

<https://bit.ly/2022SupplierShowcase>

Wednesday, September 7

11:00 a.m. to 1:30 p.m.

UCI Student Center Pacific Ballroom

Meet Vendors

Networking

Lunch

Raffle Prizes



Procurement Training

Robust **training guides** are available on the Procurement website and can be accessed from the top of our website.

UCI | [DFA | With U • For U](#) | [About Us](#) | [FAQs](#) | [Policies](#) | [Forms](#) | **[Training](#)** | [Trademarks](#) | [For Suppliers](#)

UCI Procurement
Services



In addition to the PDF training guides, you may find our interactive online courses on UCLC. You can also request personalized individual or group training available via [Zoom](#) or in person.



Capital Asset



PALCard



UCIBuy



Requisition



Purchase Order

Procurement Training

Table of Contents

How to: Enter a KFS Requisition	1
Step 1: Access the Portal	1
Step 2: Document Header displays information to assist in retrieving or tracking a Requisition.	1
Step 3: Document Overview Tab	2
Step 4: Delivery Tab	3
Step 5: Vendor Tab	3
Step 6: Items Tab	5
Step 7: Capital Asset Tab	9
Step 8: Additional Institutional Info Tab	15
Step 9: Notes and Attachments Tab (if applicable)	15
Step 10: Calculate and Submit the Requisition	16
Step 11: Reload	17
Step 12: Route Log Tab Tutorial	17
How to: Perform a Search in KFS	19
Building Lookup	20
Vendor Lookup	20
Commodity Code Lookup*	21
Search Hints	22
Account Lookup	22
How to: Set up a Recurring Payment Requisition	25
Recurring Payment Guidelines	25
Multi-Year Contracts	25
Document Overview Tab	25
Delivery and Vendor Tab	25
Items Tab	25
Payment Info	26
Notes and Attachments Tab	26
Calculate and Submit the Requisition	26
How to: Copy a Requisition	27
Step 1: Copy the Requisition	27

In addition to our guides and micro-learnings, you can request a **one-on-one session** conducted via Zoom for a more personalized learning experience.

Please contact Shauna Niswonger at shauna.n@uci.edu.

Today's Agenda

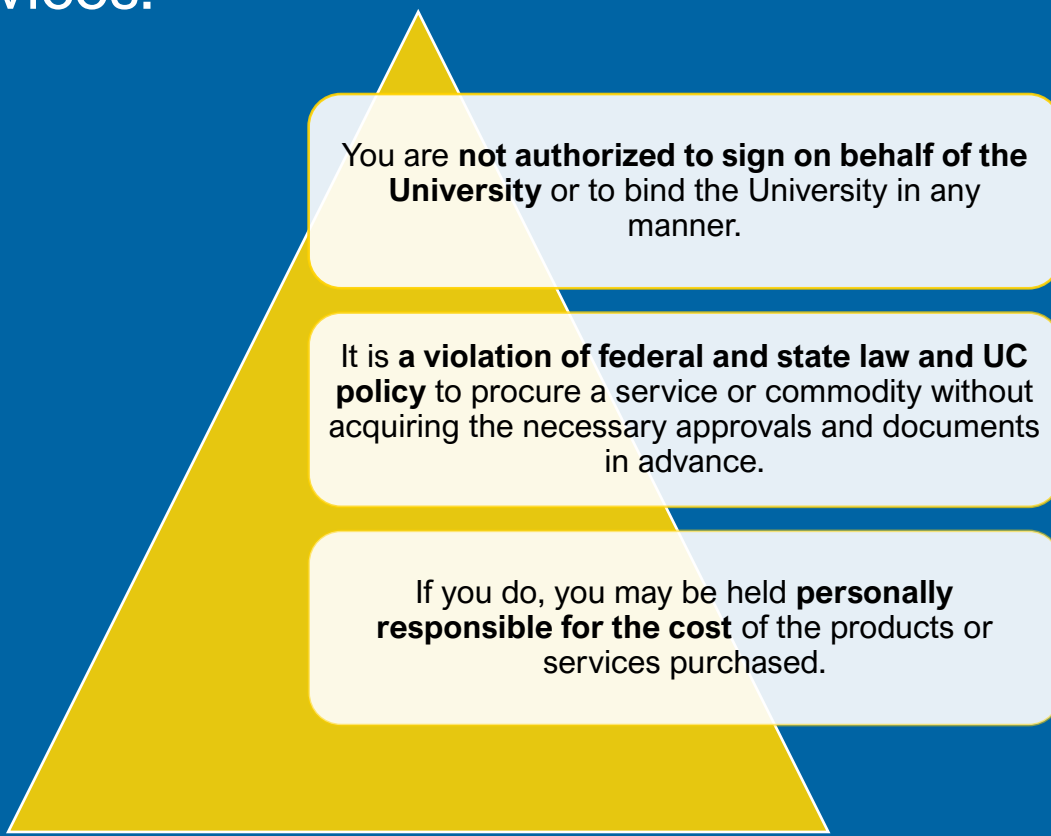
- Welcome
- Federal Fund Purchase Requirements
- Debarment and Anti-Lobby Verification
- SAM.gov Registration and Search
- Additional Documentation
- Resources
- Q & A



Remember

As an employee of a public university, it is your responsibility to comply with all procurement laws, rules, regulations, executive orders, policies and procedures concerning the purchase of goods and services:

- UCOP BUS-43
- UCI 707-10
- UCI 701-23
- California Public Contract Code
- Uniform Guidance
- Small Business First
- Covered Services



You are **not authorized to sign on behalf of the University** or to bind the University in any manner.

It is a **violation of federal and state law and UC policy** to procure a service or commodity without acquiring the necessary approvals and documents in advance.

If you do, you may be held **personally responsible for the cost** of the products or services purchased.

Debarment and Anti-Lobby Requirement

Debarment Definition: Debarment or suspension of an organization or individual excludes that company or individual from doing business with the Federal Government. These exclusions are intended to ensure that only responsible companies or individuals participate in contracts and financial assistance awards with the Federal government.

When purchasing any goods or services with federal funds, it is required to check the debarment status of the supplier you propose to work with, based on established dollar thresholds and criteria.

To assist with maintaining compliance with this very important requirement, we are asking that you perform the debarment verification at the time when you choose a supplier to purchase goods or services from.

Debarment verification can be performed using SAM.gov. It is crucial to make sure that there are no exclusions, and that the entity profile is Active. If the supplier is not found in SAM.gov, the supplier is required to sign the Debarment Verification form.

Performing this task up-front will ensure compliance and help save time with PO processing.

Federal Funds Threshold Requirements

Please use this table to identify required documents for different use and thresholds.

Form Title	Use	Threshold	Federal Regulation
Federal Funds Checklist	All Federally-funded transactions	≥ \$10,000	UC Systemwide
Source Selection & Price Reasonableness (SSPR)	All Federally-funded transactions	≥ \$10,000	Uniform Guidance (UG)
Debarment & Anti-Lobby Certification Form	All Federal Grants & Cooperative Agreements	All Orders (Debarment) ≥\$100,000 (Anti-Lobby)	Uniform Guidance Federal Acquisition Regulations (FAR)
Debarment & Anti-Lobby Certification Form	Federal Contracts	≥ \$35,000 (Debarment) ≥150,000 (Anti-Lobby)	Uniform Guidance Federal Acquisition Regulations (FAR)
Federal Funding Accountability & Transparency (FFATA)	Federal Contracts	≥ \$30,000 (Suppliers must be 'active' status in SAM.gov system)	Federal Acquisition Regulations (FAR)
Small Business Solicitation Documentation	Federal Contracts	≥ \$250,000	Federal Acquisition Regulations (FAR)
Certificate of Current Cost or Pricing Data	Federal Contracts	≥ \$750,000	Federal Acquisition Regulations (FAR)
Certificate of Current Cost or Pricing Data for CHANGE ORDERS	Required for change orders where original TINA was certified for different amount	≥ \$750,000	Federal Acquisition Regulations (FAR)

Strategic Initiatives & Communications Team



Doreen Tannenbaum

*Strategic Initiatives & Communications
Manager*



Shauna Niswonger

*Procurement Training &
Communications Assistant
Small Business Coordinator*



Loryn Carter

*Small Business First Compliance
Coordinator*



Lily Zaprianoff

*Procurement Assistant
Sustainability Coordinator*

smallbusiness@uci.edu
procurement@uci.edu

Federal Funds Checklist – Page 1

UNIVERSITY
OF
CALIFORNIA

UC PROCUREMENT SERVICES FEDERAL FUNDS CHECKLIST

For all Federally-funded purchases ≥ \$10,000

DATE: _____	BUYER NAME: _____
FUND #: _____	CUMULATIVE P.O. TOTAL: _____
REQUISITION or P.O. #: _____	PRIME/SPONSOR AWARD #: _____

1. GENERAL REQUIREMENTS

IN FILE	DOCUMENTATION REQUIREMENT
---------	---------------------------

- | | |
|--------------------------|---|
| ☐ | <u>Prime/Sponsor Award number</u> – include in P.O. or agreement |
| ☐ | <u>Source Selection and Price Reasonableness (SSPR) Form</u>
https://sp.ucop.edu/sites/procurement/PPLDT/Pages/Federal-Funds-Resources.aspx |

AWARD TYPE

PRIME¹: ☐ GRANT (Go to section 2) ☐ COOPERATIVE AGREEMENT (Go to section 2) ☐ CONTRACT (Go to section 3)

FEDERAL FLOW-THROUGH¹: ☐ GRANT (Go to section 2) ☐ CONTRACT (Go to section 3)

2. REQUIREMENTS FOR FEDERAL GRANTS AND COOPERATIVE AGREEMENTS

IN FILE	N/A	DOCUMENTATION REQUIREMENT	P.O. \$ LIMIT
		<u>Uniform Guidance 2 CFR 200 Flow Downs</u> - covered in the following articles in the UC Terms & Conditions. The articles listed below cannot be deleted or edited:	All Orders
☐		<u>Article 2 Term and Termination</u> : Termination for cause & convenience by the non-Federal entity, including manner by which it will be affected and the basis for settlement;	
☐		<u>Article 6 Warranties, H. Debarment and Suspension</u>	
☐		<u>Article 6 Warranties, K. Prohibition on certain surveillance/telecommunications</u>	
☐		<u>Article 11 Federal Funds, C.a. Rights to Inventions</u>	
☐		<u>Article 11 Federal Funds, C.b. Clean Air Act</u> (42 U.S.C. 7401-7671q., 3 CFR Part 401)	
☐		<u>Article 11 Federal Funds, C.c. Byrd Anti-Lobbying</u>	
☐		<u>Article 11 Federal Funds, C.d. Procurement of Recovered Materials</u>	
☐		<u>Article 11 Federal Funds, C.e. Domestic Preferences</u>	
☐		<u>Article 12 Equal Opportunity Affirmative Action</u>	
☐		<u>*Debarment Verification</u>	All Orders
		Campus locations to select documentation process from options listed in the "Notes" section at the bottom of page 2.	
☐	☐	<u>*Anti-Lobby Verification</u>	≥ \$100,000
		Campus locations to select documentation process from options listed in the "Notes" section at the bottom of page 2.	
☐	☐	<u>Price Analysis/Price Reasonableness (2 CFR 200.324(a))</u> – Ensure Section III ^A is filled out completely on the SSPR.	≥ \$250,000
☐	☐	<u>Profit Analysis (2 CFR 200.324(b))</u> – For purchases <u>without</u> price competition (such as only receiving one bid or a sole source), the vendor's profit has been negotiated and documented in Section III on the SSPR.	≥ \$250,000

Federal Funds Checklist – Page 2



UC PROCUREMENT SERVICES FEDERAL FUNDS CHECKLIST

For all Federally-funded purchases ≥ \$10,000

3. REQUIREMENTS FOR FEDERAL CONTRACTS

IN FILE	N/A	DOCUMENTATION REQUIREMENT	P.O. \$ LIMIT
		<u>Federal Acquisition Regulations (FAR) Flow Downs</u> - covered in the UC Terms & Conditions as stated below. The articles listed below cannot be deleted or edited during contract negotiations with suppliers:	All Orders
☐	☐	**Commercial Goods and/or Services – Article 11 Federal Funds, subsection A; or	
☐	☐	**Non-Commercial Goods and/or Services – Article 11 Federal Funds, subsection B	
☐		<i>Article 6 Warranties, K. Prohibition on certain surveillance/telecommunications</i>	
☐		<i>Article 2 Term and Termination – UC <u>must</u> be able to terminate for convenience (FAR 49.502)</i>	
		<u>Equipment Title</u> – If the Prime Award states government takes title to equipment:	All Goods Orders
☐	☐	The purchase is tax exempt; and	
☐	☐	Insert the following language in P.O. or agreement: “Sales tax is not included because title to the item(s) will vest in the federal government upon acquisition.”	
		<u>Federal Funding Accountability and Transparency Act (FFATA) – Flow-through N/A</u>	≥ \$30,000
☐	☐	Suppliers must be registered in the System for Award Management (SAM) to be issued a P.O. or agreement when FFATA applies. The supplier’s registration status must be “active”. Verify this by going to https://www.sam.gov and entering the supplier’s nine-digit DUNS number (no dashes), business name, or CAGE code.	
☐	☐	The FFATA Reporting Form must be completed and signed – Flow-through N/A (https://sp.ucop.edu/sites/procurement/PPLDT/Pages/Federal-Funds-Resources.aspx)	
☐	☐	<u>*Debarment Verification</u> Campus locations to select documentation process from options listed in the “Notes” section at the bottom of page 2.	≥ \$35,000
☐	☐	<u>*Anti-Lobby Verification</u> Campus locations to select documentation process from options listed in the “Notes” section at the bottom of page 2.	≥ \$150,000
☐	☐	<u>Small Business Solicitation Documentation</u> Documentation process to be determined by Campus locations	≥ \$250,000
☐	☐	<u>Supplier Small Business Subcontracting Plan (SBSP)</u> If supplier is a large business, a SBSP is required. If using a small business, SBSP is not required. Small business certification is required. Documentation process to be determined by Campus locations	≥ \$750,000
☐	☐	<u>Truth In Negotiations Act (TINA)</u> Complete the Certificate of Current Cost or Pricing Data, including for any modification transactions (https://sp.ucop.edu/sites/procurement/PPLDT/Pages/Federal-Funds-Resources.aspx)	≥ \$2,000,000

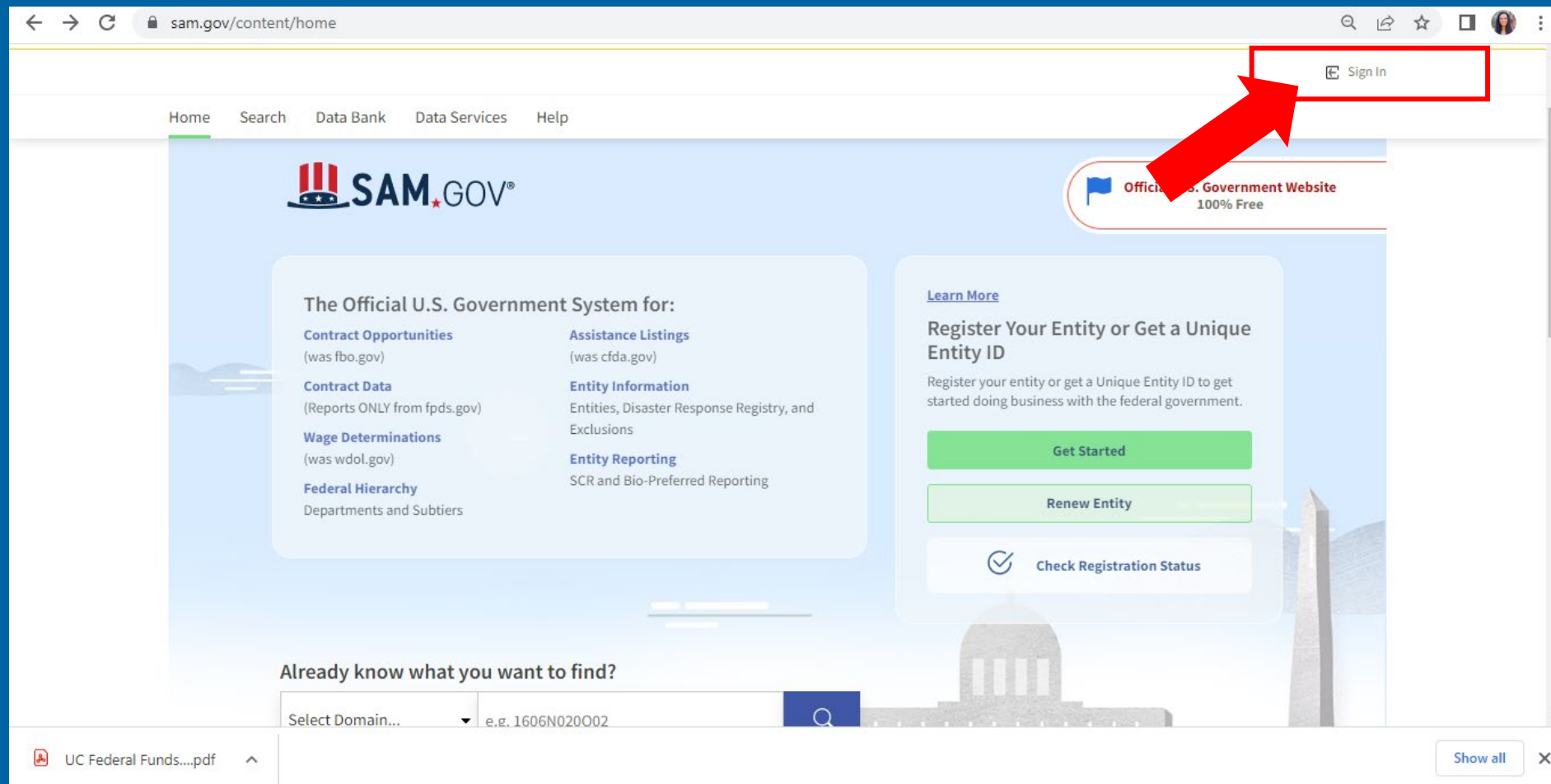
What is SAM.gov?

The System for Award Management (SAM.gov) is an official website of the U.S. Government. There is no cost to use SAM.gov. You can use this site to:

- Register to do business with the U.S. Government
- Update, renew, or check the status of your entity registration
- **Search for entity registration and exclusion records**
- Search for assistance listings (formerly CFDA.gov), wage determinations (formerly WDOL.gov), contract opportunities (formerly FBO.gov), and contract data reports (formerly part of FPDS.gov).
- View and submit BioPreferred and Service Contract Reports
- Access publicly available award data via data extracts and system accounts

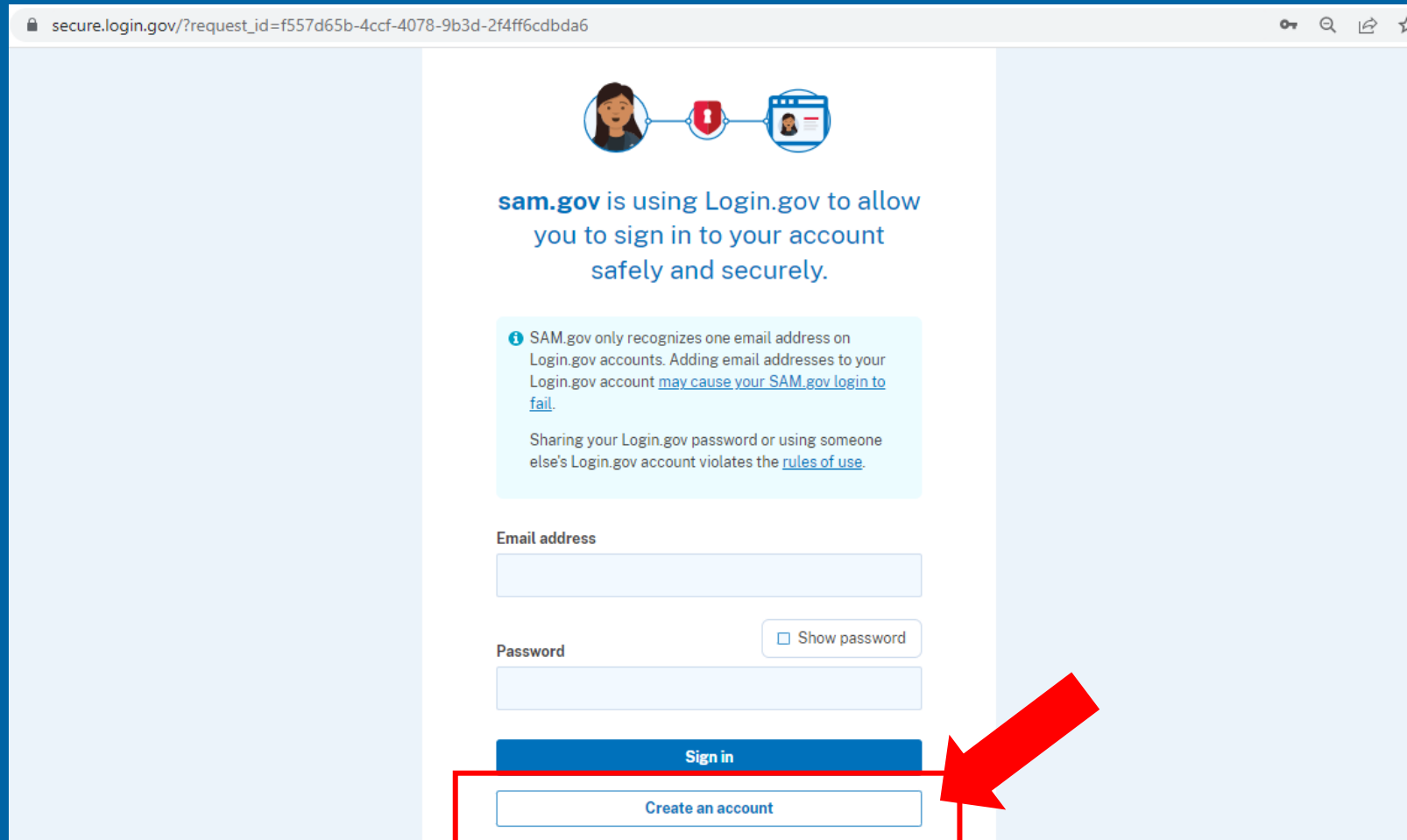
Creating a SAM.gov Account

- To conduct entity searches in **SAM.gov**, you must create an account.
- Please navigate to SAM.gov and press sign in the top right corner.



Creating a SAM.gov Account

- Click "create an account"



secure.login.gov/?request_id=f557d65b-4ccf-4078-9b3d-2f4ff6cdbda6



sam.gov is using Login.gov to allow you to sign in to your account safely and securely.

i SAM.gov only recognizes one email address on Login.gov accounts. Adding email addresses to your Login.gov account [may cause your SAM.gov login to fail](#).

Sharing your Login.gov password or using someone else's Login.gov account violates the [rules of use](#).

Email address

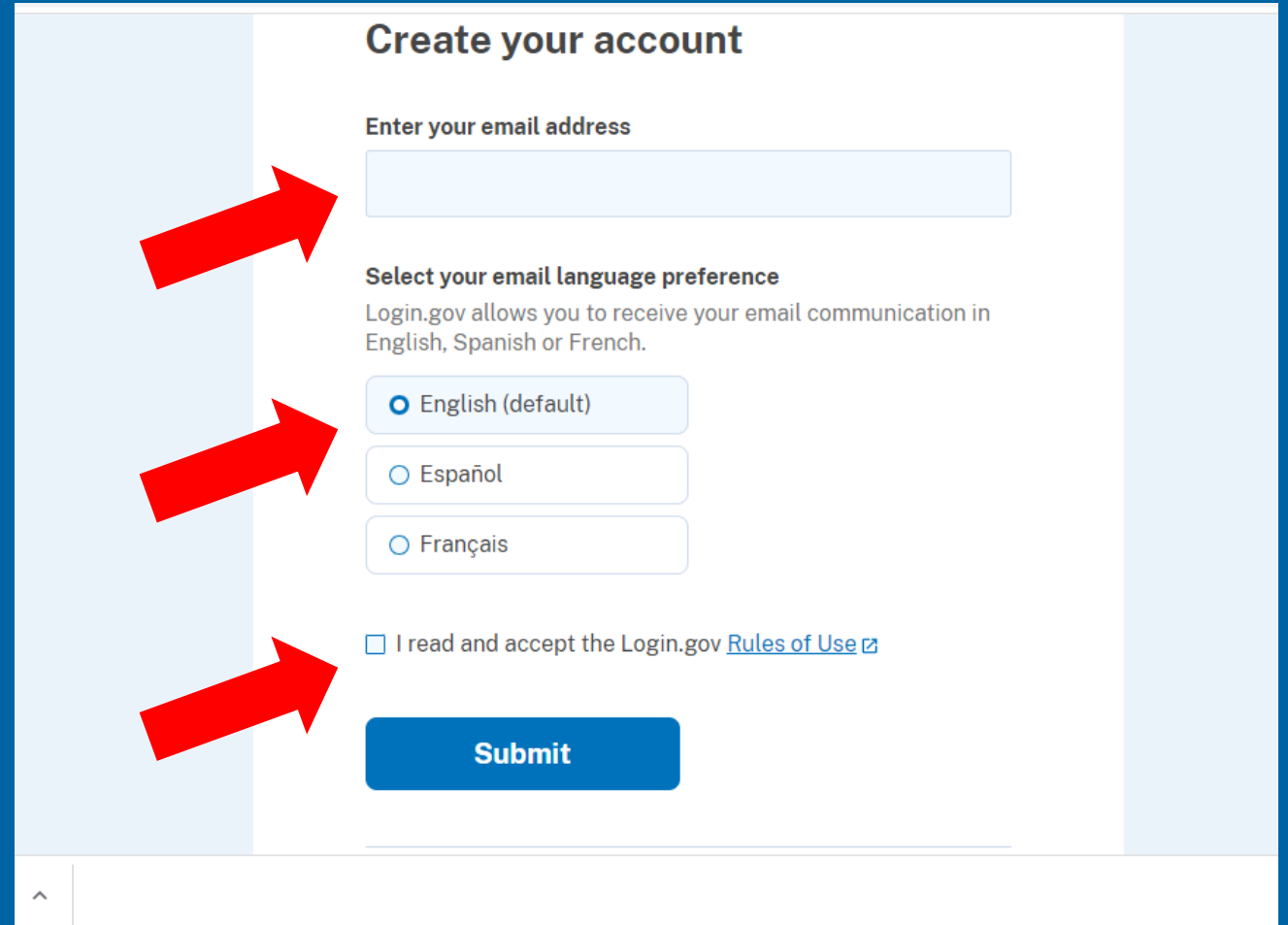
Password ☐ Show password

Sign in

Create an account

Creating a SAM.gov Account

- Enter your email address
- Select language preference
- Accept the Rules of Use



Create your account

Enter your email address

Select your email language preference

Login.gov allows you to receive your email communication in English, Spanish or French.

☒ English (default)

☐ Español

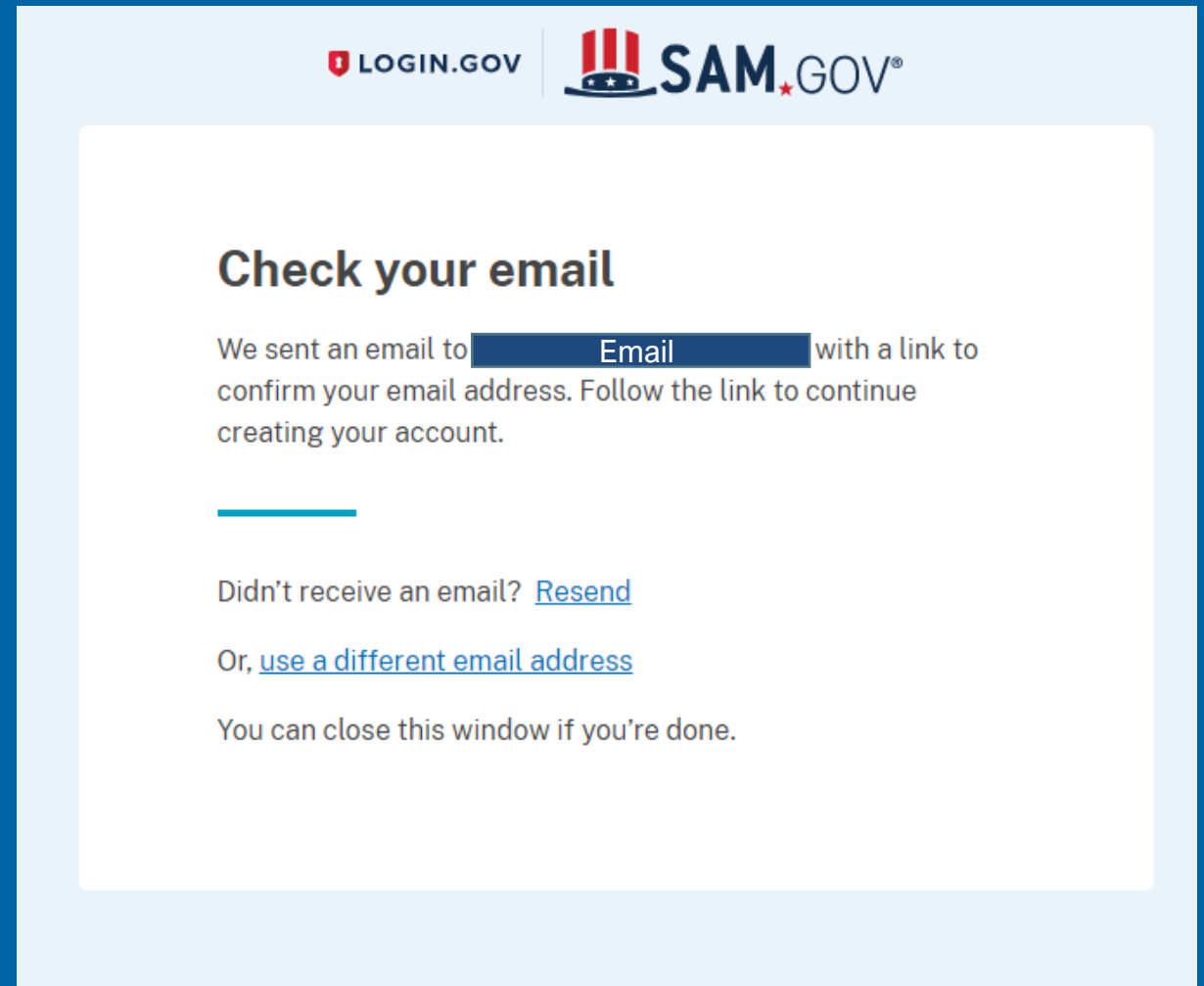
☐ Français

☐ I read and accept the Login.gov [Rules of Use](#)

Submit

Creating a SAM.gov Account

- Check your email to confirm your email address
- Click the "Confirm Email Address" link.
- Create a Password



Creating a SAM.gov Account

After creating a password, you will be prompted to choose a multi-factor authentication method (recommended to choose 2)

- Touch or face unlock
- Security Key
- Authentication Application
- Text or Voice Message
- Backup Codes

 An official website of the United States government
[Here's how you know](#) ▼

Authentication method setup

Add another layer of security by selecting a multi-factor authentication method. We recommend you select at least (2) two different options in case you lose one of your methods.

☐  **Face or touch unlock**

Your device scans your face or fingerprint and confirms the information is a match to the images you already have stored on your device. We do not copy or store these images.

☐  **Security key**

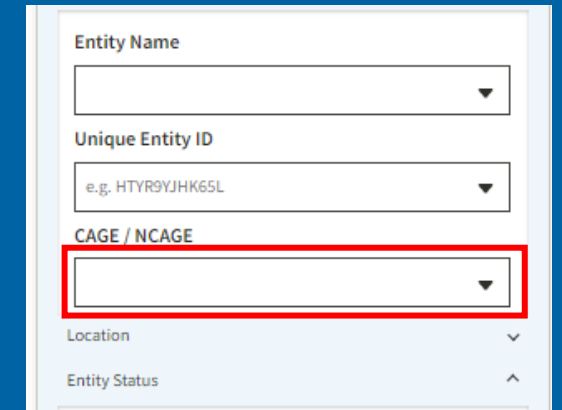
Searching in SAM.gov



Tips for Entity Searches in SAM.gov

For exact search results in SAM.gov we would encourage you to do the following:

- **Locate an organization's Commercial and Government Entity (CAGE) code.** The CAGE Code is a five-character ID number used by the Federal Government to identify vendors.
- To find the CAGE code search in your browser "Name of organization CAGE code." If the organization is registered in SAM.gov, then accurate search results should appear. Once the CAGE code is located, enter it into the "CAGE/NCAGE"

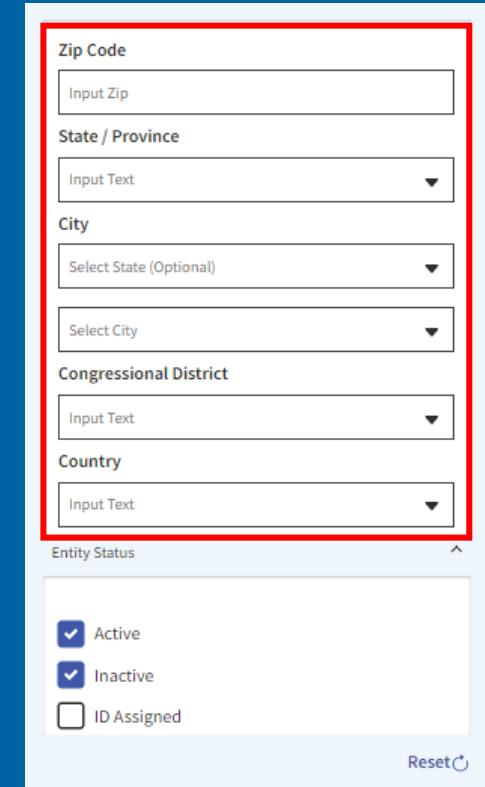


The image shows a screenshot of the SAM.gov search interface. It features several filter fields: 'Entity Name', 'Unique Entity ID' (with an example 'e.g. HTYR9YJHK65L'), 'CAGE / NCAGE', 'Location', and 'Entity Status'. The 'CAGE / NCAGE' field is highlighted with a red rectangular border, indicating it is the field to be used for entering the CAGE code.

Tips for Entity Searches in SAM.gov

For exact search results in SAM.gov we would encourage you to do the following:

- Locate the company address and enter the information into the "Location" field
- When Vendors have multiple entries in SAM.gov double-check against the address in KFS to verify the most accurate entry.



The image shows a screenshot of the SAM.gov search filters. A red rectangular box highlights the "Location" section, which includes the following fields:

- Zip Code:** Input Zip
- State / Province:** Input Text
- City:** Select State (Optional), Select City
- Congressional District:** Input Text
- Country:** Input Text

Below the highlighted section, the "Entity Status" section is visible, showing three checkboxes: "Active" (checked), "Inactive" (checked), and "ID Assigned" (unchecked). A "Reset" button is located at the bottom right of the form.

Conducting a Debarment Search in SAM.gov

VIDEO TRAINING:
Searching Exclusions

TOPIC	
Overview	What will be covered in this video?
USING FILTERS AND KEYWORDS	We will review how to search and view exclusions on SAM.gov
SEARCHING FROM ENTITY INFORMATION PAGE	
VIEWING AN EXCLUSIONS RECORD	

What is an exclusion?

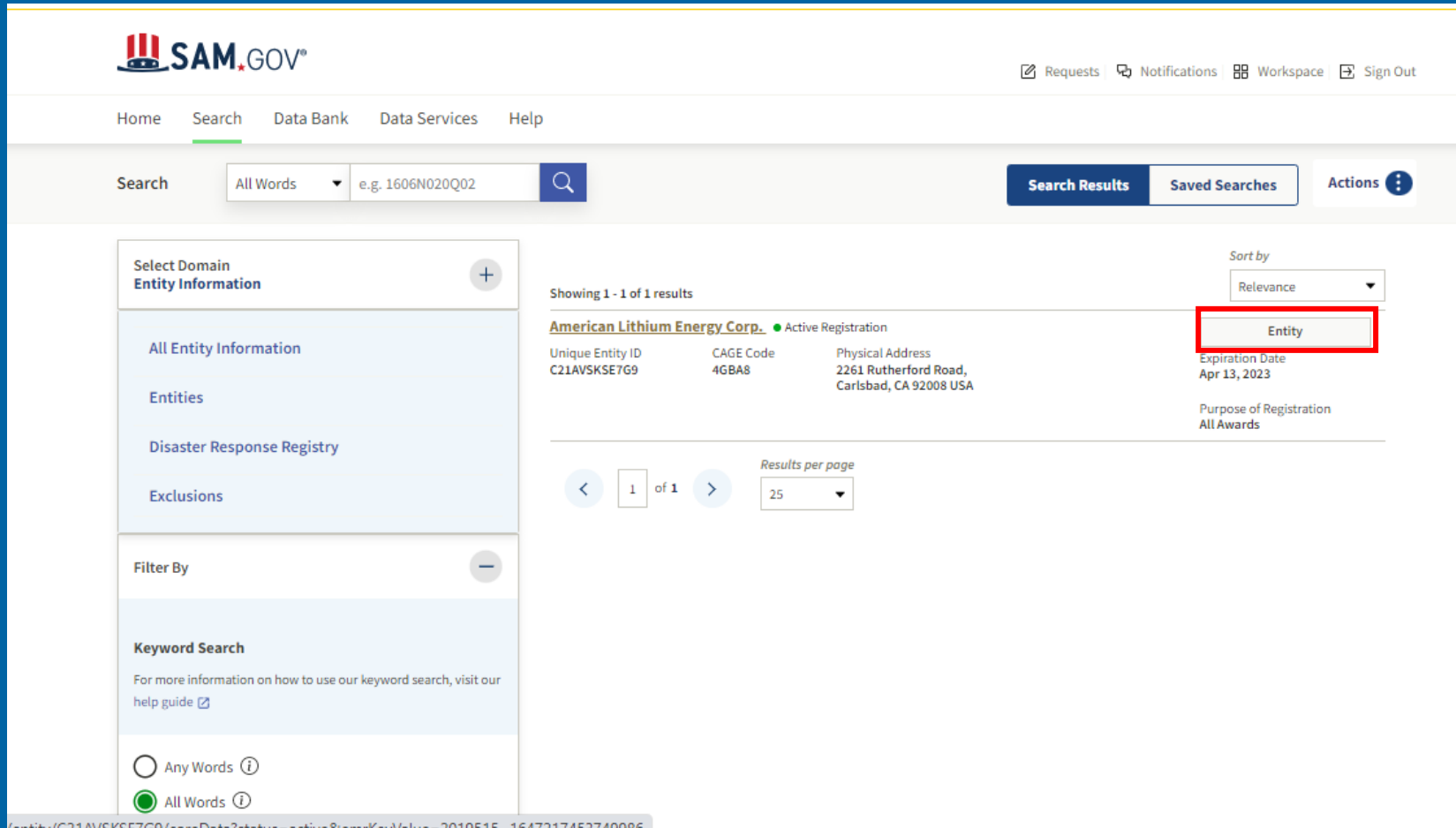


*Ineligible

SAM.gov

Debarment Searching in SAM.gov

- After completing the entity search. Click on the "Entity" button to view the profile



The screenshot shows the SAM.gov search results page. The top navigation bar includes the SAM.gov logo, a search bar with the text "e.g. 1606N020Q02", and links for Requests, Notifications, Workspace, and Sign Out. Below the navigation bar, the "Search" tab is active, and the search results are displayed. The results show one entity, "American Lithium Energy Corp.", with a green dot indicating "Active Registration". The entity's details are listed: Unique Entity ID C21AVSKSE7G9, CAGE Code 4GBA8, and Physical Address 2261 Rutherford Road, Carlsbad, CA 92008 USA. The "Entity" button is highlighted with a red box. The left sidebar contains a "Select Domain" section with "Entity Information" selected, and a "Filter By" section with "Keyword Search" selected. The bottom of the page shows a URL and a logo with the text "With U. For U."

SAM.GOV

Requests Notifications Workspace Sign Out

Home Search Data Bank Data Services Help

Search All Words e.g. 1606N020Q02 Search Results Saved Searches Actions

Select Domain Entity Information

All Entity Information

Entities

Disaster Response Registry

Exclusions

Filter By

Keyword Search

For more information on how to use our keyword search, visit our help guide

Any Words

All Words

Showing 1 - 1 of 1 results

American Lithium Energy Corp. Active Registration

Unique Entity ID C21AVSKSE7G9 CAGE Code 4GBA8 Physical Address 2261 Rutherford Road, Carlsbad, CA 92008 USA

Sort by Relevance

Entity

Expiration Date Apr 13, 2023

Purpose of Registration All Awards

1 of 1 Results per page 25

entib/C21AVSKSE7G9/coreData?status=active&empKeyA/blue=2010515-1647217453740086

With U. For U.

Debarment Searching in SAM.gov

- In the entity profile click "Exclusions" on the left side

Download Follow

Entity Registration	AMERICAN LITHIUM ENERGY CORP.
Core Data	Unique Entity ID C21AVSKSE7G9
Business Information	Registration Status Active Registration
Entity Types	Expiration Date Apr 13, 2023
Financial Information	CAGE/NCAGE 4GBA8
Points of Contact	Purpose of Registration All Awards
Assertions	Physical Address 2261 Rutherford Road Carlsbad, California 92008-8815, United States
Reps and Certs	Mailing Address 2261 Rutherford Road Carlsbad, California 92008, United States
Exclusions	Version Current Record
Responsibility / Qualification	

BUSINESS INFORMATION

Doing Business As (blank)	Division Name (blank)
URL http://www.americanlithiumenergy.com	Division Number (blank)
State / Country of Incorporation Delaware, United States	Congressional District California 49

Registration Dates

Activation Date Mar 15, 2022	Initial Registration Date Jul 7, 2006
Submission Date Mar 14, 2022	

Debarment Searching in SAM.gov

- After clicking Exclusions on the left, the sections "Active Exclusions" and "Inactive Exclusions" will appear.
- If an organization has an **"Active Exclusion,"** then the organization is debarred and an alternate vendor must be found.
- If an organization does not have an active exclusion, click "Download" in the top right corner.

The screenshot displays the SAM.gov Exclusions page for AMERICAN LITHIUM ENERGY CORP. On the left, a sidebar menu includes 'Entity Registration', 'Exclusions', 'Active Exclusions', 'Inactive Exclusions', and 'Responsibility / Qualification'. The main content area shows the company's registration details, including its Unique Entity ID (C21AVSKSE7G9), CAGE/NCAGE (4GBA8), and physical and mailing addresses. A 'Download' button is located in the top right corner, and a 'Follow' button is next to it. Below the registration details, a 'Version' dropdown menu is set to 'Current Record'. A warning message states: 'There may be instances when an individual or firm has the same or similar name as your search criteria, but is actually a different party. Therefore, it is important that you verify a potential match with the excluding agency identified in the exclusion's details. To confirm or obtain additional information, contact the federal agency that took the action against the listed party. Agency points of contact, including name and telephone number, may be found by navigating to the Agency Exclusion POCs page within Help.'

2

3

ACTIVE EXCLUSIONS

There are no active exclusion records associated to this entity by its Unique Entity ID.

INACTIVE EXCLUSIONS

There are no inactive exclusion records associated to this entity by its Unique Entity ID.

Debarment Searching in SAM.gov

- Press "Download" for a PDF of the company profile

The screenshot shows the SAM.gov interface for a company profile. A modal window titled "Download Options" is open, allowing the user to download a PDF of the company profile. The modal includes a "Select File Type" section with a ".pdf" icon, a "Name File" input field containing "EntityInformation-20220812-094335", and a "Download" button. A red arrow points to the "Download" button. The background shows the company profile details, including "BUSINESS INFORMATION" and "Registration Dates".

Download Options

Select File Type

 .pdf

Name File Required

EntityInformation-20220812-094335

☐ Follow

DOWNLOAD

BUSINESS INFORMATION

Doing Business As (blank)

URL <http://www.americanlithiumenergy.com>

State / Country of Incorporation Delaware, United States

Division Name (blank)

Division Number (blank)

Congressional District California 49

Registration Dates

Activation Date Mar 15, 2022

Submission Date Mar 14, 2022

Initial Registration Date Jul 7, 2006

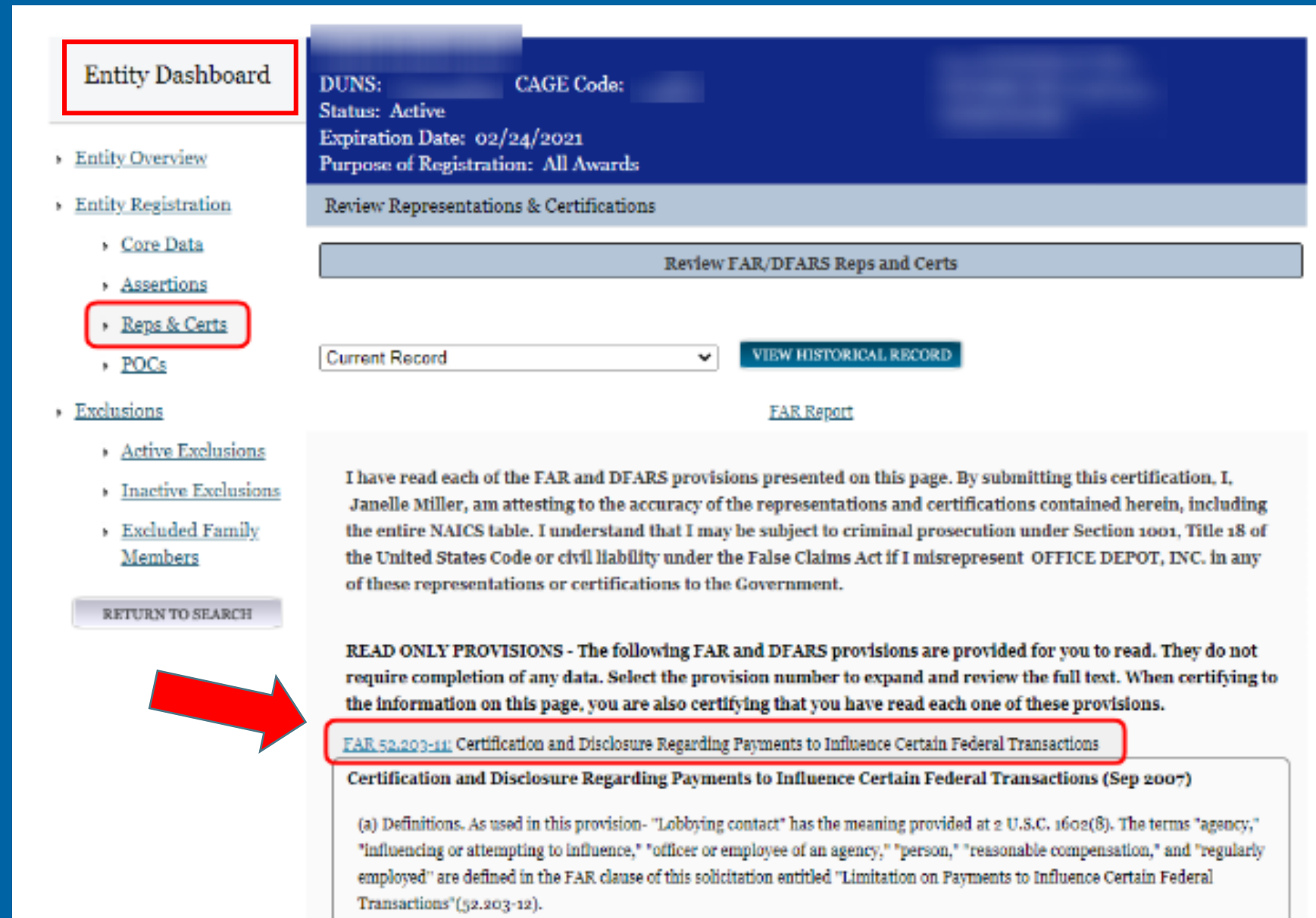
Debarment Searching in SAM.gov

- The PDF will have the information listed on SAM.gov and state whether there are active exclusions
- Attach the PDF to the requisition

Congressional District California 49	State / Country of Incorporation Delaware / United States	URL http://www.americanlithiumenergy.com
Registration Dates		
Activation Date Mar 15, 2022	Submission Date Mar 14, 2022	Initial Registration Date Jul 7, 2006
Entity Dates		
Entity Start Date Jun 1, 2006	Fiscal Year End Close Date Dec 31	
Immediate Owner		
CAGE (blank)	Legal Business Name (blank)	
Highest Level Owner		
CAGE (blank)	Legal Business Name (blank)	
Executive Compensation		
Registrants in the System for Award Management (SAM) respond to the Executive Compensation questions in accordance with Section 6202 of P.L. 110-252, amending the Federal Funding Accountability and Transparency Act (P.L. 109-282). This information is not displayed in SAM. It is sent to USAspending.gov for display in association with an eligible award. Maintaining an active registration in SAM demonstrates the registrant responded to the questions.		
Proceedings Questions		
Registrants in the System for Award Management (SAM) respond to proceedings questions in accordance with FAR 52.209-7, FAR 52.209-8, or 2.C.F.R. 200 Appendix XII. Their responses are not displayed in SAM. They are sent to FAPIS.gov for display as applicable. Maintaining an active registration in SAM demonstrates the registrant responded to the proceedings questions.		
Exclusion Summary		
Active Exclusions Records? No		
SAM Search Authorization		
I authorize my entity's non-sensitive information to be displayed in SAM public search results: Yes		
Entity Types		
Business Types		
Entity Structure Corporate Entity (Not Tax Exempt)	Entity Type Business or Organization	Organization Factors Manufacturer of Goods
Profit Structure For Profit Organization		

Anti-Lobby Verification in SAM.gov (if applicable)

- Search supplier in SAM.
- Go to the "Reps & Certs" page(s) and locate "FAR 52.203.11". Print or save page for PO file.



Entity Dashboard

DUNS: [REDACTED] CAGE Code: [REDACTED]
Status: Active
Expiration Date: 02/24/2021
Purpose of Registration: All Awards

Review Representations & Certifications

Review FAR/DFARS Reps and Certs

Current Record [v] [VIEW HISTORICAL RECORD](#)

[FAR Report](#)

I have read each of the FAR and DFARS provisions presented on this page. By submitting this certification, I, Janelle Miller, am attesting to the accuracy of the representations and certifications contained herein, including the entire NAICS table. I understand that I may be subject to criminal prosecution under Section 1001, Title 18 of the United States Code or civil liability under the False Claims Act if I misrepresent OFFICE DEPOT, INC. in any of these representations or certifications to the Government.

READ ONLY PROVISIONS - The following FAR and DFARS provisions are provided for you to read. They do not require completion of any data. Select the provision number to expand and review the full text. When certifying to the information on this page, you are also certifying that you have read each one of these provisions.

FAR 52.203-11: Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions

Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (Sep 2007)

(a) Definitions. As used in this provision- "Lobbying contact" has the meaning provided at 2 U.S.C. 1602(8). The terms "agency," "influencing or attempting to influence," "officer or employee of an agency," "person," "reasonable compensation," and "regularly employed" are defined in the FAR clause of this solicitation entitled "Limitation on Payments to Influence Certain Federal Transactions"(52.203-12).

Debarment Verification Form – page 1



UC PROCUREMENT SERVICES DEBARMENT AND ANTI-LOBBY CERTIFICATION

Suppliers **must** sign this form in the designated location on page 2.

To be completed by UC Procurement:

Supplier Name: _____

Requisition/Contract/Purchase Order Number: _____

A. Debarment Certification

To be completed by UC Procurement

- ☐ Federal grant or cooperative agreement: all purchases
- ☐ Federal contract: $\geq$ \$35,000

Suppliers, please complete the following certification and sign the bottom of page 2.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS (FIRST TIER SUBCONTRACTOR)

(a) (1) The Offeror certifies, to the best of its knowledge and belief, that—

(i) The Offeror and/or any of its Principals—

- (A) Are ☐ are not ☐ presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;
- (B) Have ☐ have not ☐ within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and
- (C) Are ☐ are not ☐ presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in subdivision (a)(1)(i)(B) of this provision.

(ii) The Offeror has ☐ has not ☐ within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

Debarment Verification Form – page 1 continued

- (2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001, TITLE 18, UNITED STATES CODE.

- (b) The Offeror shall provide immediate written notice to the University if, at any time prior to subcontract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the University may render the Offeror nonresponsible.
- (d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

Debarment Verification Form - page 2



UC PROCUREMENT SERVICES DEBARMENT AND ANTI-LOBBY CERTIFICATION

- (e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the University, the University may terminate the contract resulting from this solicitation for default.

(B) Anti-Lobby Certification

To be completed by UC Procurement:

- ☐ Federal grant or cooperative agreement: $\geq$ \$100,000
☐ Federal contract: $\geq$ \$150,000

CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (SEPT 2007)

- (a) *Definitions.* As used in this provision-"Lobbying contact" has the meaning provided at [2 U.S.C. 1602\(8\)](#). The terms "agency," "influencing or attempting to influence," "officer or employee of an agency," "person," "reasonable compensation," and "regularly employed" are defined in the FAR clause of this solicitation entitled "Limitation on Payments to Influence Certain Federal Transactions" ([52.203-12](#)).
- (b) *Prohibition.* The prohibition and exceptions contained in the FAR clause of this solicitation entitled "Limitation on Payments to Influence Certain Federal Transactions" ([52.203-12](#)) are hereby incorporated by reference in this provision.
- (c) *Certification.* The offeror, by signing its offer, hereby certifies to the best of its knowledge and belief that no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on its behalf in connection with the awarding of this contract.

Debarment Verification Form – page 2 continued

- (d) *Disclosure.* If any registrants under the Lobbying Disclosure Act of 1995 have made a lobbying contact on behalf of the offeror with respect to this contract, the offeror shall complete and submit, with its offer, OMB Standard Form LLL, Disclosure of Lobbying Activities, to provide the name of the registrants. The offeror need not report regularly employed officers or employees of the offeror to whom payments of reasonable compensation were made.
- (e) *Penalty.* Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by [31 U.S.C. 1352](#). Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure required to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

This certification must be signed by an authorized representative of your organization.

Certified by (Signature): _____

Printed Name: _____

Company Name: _____

Date: _____

SSPR Form



UC PROCUREMENT SERVICES SOURCE SELECTION & PRICE REASONABLENESS JUSTIFICATION FORM For Federally-funded purchases $\geq \$10,000$ and non-Federally-funded purchases $\geq \$100,000$

This document must be completed by the requesting Department for all federally funded purchases $\geq \$10,000$ (including tax and shipping) & non-federally funded purchases $\geq \$100,000$ (excluding tax, but including shipping), to substantiate the appropriateness of source selection and price reasonableness. Locations are strongly encouraged to seek competition even in cases where goods and/or services are exempt from the requirement to competitively bid.

Requisition #: Dollar Amount:
Desired Supplier: Campus Department:

I. **SOURCE SELECTION (REQUIRED):** Check the applicable box from one of the funding sections below. For mixed funding where the federal portion exceeds \$10,000, check Federal side only.

Federal Funds:

- ☐ New or Existing Formal Competitive Bid/Contract#
- ☐ Competitive Proposals of < \$100K (Complete II, VII, VIII)
- ☐ Sole Source (Complete III, IV, VII, VIII)
- ☐ Certified Small Business (Only <\$250K; Complete III, VII, VIII)

Non-Federal Funds:

- ☐ New or Existing Formal Competitive Bid/Contract #
- ☐ Certified Small Business or DVBE (Only <\$250k; Complete III, VII, VIII)
- ☐ Sole Source (Complete III, IV, VII, VIII)
- ☐ Professional/Personal Services (Complete III, V, VII, VIII)
- ☐ Unusual & Compelling Urgency (Complete VI, VII, VIII)

New Notification in KFS

The following flag/message will be displayed when a requisition is submitted for purchases using Federal Funds in KFS:

1. This purchase contains spend from one or more federal accounts.
2. This purchase requires Contract Manager (or Requisition Requestor) to follow UC Federal Funds Check List and attach all required documents.
3. A minimum of three comparison quotes must be secured and documented, and the Conflict-of-Interest section VIII of the Source Selection & Price Reasonableness (SSPR) Justification Form must be completed, signed, and attached for a purchase over \$10,000 on federal funds.

FAQ - page 1

Question: When will the updated messaging happen in KFS?

Answer: *Implementation is expected to be completed in September.*

Question: At what dollar threshold is debarment verification required?

Answer: *For all purchases on Federal Grants and Cooperative Agreements over \$10K and on Federal Contracts over \$35K.*

Question: At what dollar threshold is Anti-Lobby verification required?

Answer: *For all purchases on Federal Grants and Cooperative Agreements over \$100K and on Federal Contracts over \$150K.*

FAQ – page 2

Question: Does verification checks apply for PALCard purchases?

Answer: Yes, the same requirements apply for all purchases. There is a hard block on purchases over \$10K on PALCard.

Question: Do we have to perform the verification checks for contracted suppliers?

Answer: Yes, debarment and anti-lobby verification need to be performed even if the purchase is from a contracted supplier (UCOP or local).

Question: Do we have to perform verification checks for purchases with mixed funding?

Answer: Yes, debarment and anti-lobby verification need to be performed for purchases with mixed funds if the total purchase amount is over \$10,000, irrespective of the Federal Fund purchase amount.

Resources

- [Suspended Contractors](#)
- [UCOP Federal Funds Resources](#)
- [Federal Funds Checklist](#)
- [SAM.gov](#)
- [Debarment Verification Form](#)
- [SSPR](#)
- [Procurement Services](#)

THANK
YOU!