

Regents' Policy Violation Reporting Purchasing Services Internal Procedures For Purchases of Standard Goods and Services

1. Identify Violation.
All Buyers should watch paperwork for possible violations.

Monthly **Generate Monthly Risk Report.** (Sheriff) (See Procedures for Running Risk Report.)

Review Risk Report. (Hatfield/Christianson) (See Procedures for Reviewing Risk Report.)
2. Notification – Letter to department.
 - Joe (or Buyer) print out a copy of the draft notification letter and write specific information. Identify names of all University staff to be copied on the letter.
 - Give draft of notification letter and any support documentation to Bonny.
 - Bonny will do final letter and attach copies of the listed enclosures: 1) Policy Violation Worksheet, 2) the Dollars & Sense Newsletter Article, 3) the Letter to DDD from JoAnne Jackson, and 4) Procedures for Regents Policy Violations. Give the final letter to Hatfield (or buyer) for signature and mailing.
3. Review Policy Violation Worksheet
Do write-up for inclusion in Board of Regents Quarterly Purchasing Report. Condense the department's explanation for the violation down to a paragraph and print. (Hatfield or buyer)
4. Submit write-up to Bonny for inclusion in Quarterly Regents Report (Buyers) (Hatfield for violators identified on Risk Report.)
5. Enter training data on violator database. (Bonny)
Reconcile training class participants with policy violators. (Bonny)
Produce Report (listing all violators to date and training status) for Director on a quarterly basis. (Bonny)
6. If violator does not attend class, send letter from buyer to violator who did not attend scheduled training class. Copy buyer on letter. Repeat steps 5 and 6. (Bonny)