Purchasing

Compliance Complexities

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AVP, Office of Procurement Services
What is a Compliance Complexity?

• Compliance
  ✓ The act or process of doing what you have been asked or ordered to do to fulfill official requirements
  ✓ The act or process of complying to a desire, demand, proposal or coercion

• Complexity
  ✓ The quality or state of not being simple
  ✓ A part of something that is complicated or hard to understand
IN A PERFECT WORLD........

IDEA generated at Department

Department Enters Requisition

REQ stops at Purchasing for Additional Review

PO Approved Sent to vendor

Goods are delivered

Invoice Sent to IU A/P
Nothing But Questions
REQ stops at Purchasing Additional Review

Quote

Restricted Item Restricted Vendor

Other Processes

RPAQ

IU Communications Marketing

Data Security (UISO)

INLOCC

Tax

Over the APO limit

RPAC
How Can We help?

Mitigate Risks

Keep your process moving forward

Stay out of your way!
IDEA generated at Department

Department Seeks Compliance Approvals

PO Approved Sent to vendor

Goods are delivered

Invoice Sent to IU A/P
Oh No! What are the Pieces and How do they fit??
## Compliance Complexity Checklist

### Pre-Approvals Required For Contract Execution & PO Issuance

The following link to the Purchasing Resources website will provide detailed information about how to obtain the marked (☒) approvals requested below.

**INSERT LINK TO PURCHASING WEBSITE**

<table>
<thead>
<tr>
<th>Approval Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ <strong>Public Safety &amp; Institutional Assurance</strong></td>
<td>Approvals will be required for events with staging as well as programs involving children.</td>
</tr>
<tr>
<td>☐ <strong>INLOCC</strong></td>
<td>Certificate of Insurance naming “The Trustees of Indiana University” as an “additional insured” is often required.</td>
</tr>
<tr>
<td>☐ <strong>IU Communications</strong></td>
<td>Any sponsorship, membership in external organizations, or marketing and communication activities requires prior approval before Purchasing can approve the activity.</td>
</tr>
<tr>
<td>☐ <strong>Licensing and Trademarks</strong></td>
<td>Approvals needed for use of any Indiana University (including Regional Campuses) logos, trademarks, or the creation of new domain names associated with the University.</td>
</tr>
<tr>
<td>☐ <strong>Revenue Producing Activity Committee (“RPAC”)</strong></td>
<td>In compliance with Policy: FIN-TRE-VI-121 Establishing and Modifying Revenue Producing Activities – any revenue producing activity must have prior authorization by the RPAQ Committee before Purchasing can review and approve a contract.</td>
</tr>
<tr>
<td>☐ <strong>University Information Security Office (“UISO”)</strong></td>
<td>Approval required when critical data will be shared with a third party through any means.</td>
</tr>
<tr>
<td>☐ <strong>Tax</strong></td>
<td>Approvals needed for determination of independent contractor or international payments.</td>
</tr>
</tbody>
</table>
WE WILL HELP YOU........

Preliminary Approvals Website
DILBERT

CAN YOU APPROVE THE PURCHASE OF THIS SOFTWARE?

YOU NEED TO RUN THE SOFTWARE LICENSE PAST LEGAL FIRST.

YOU NEED TO FILL OUT A LEGAL SERVICES REQUEST FORM. I'LL EMAIL IT TO YOU.

MAKE SURE YOU SPECIFY WHETHER THE SOFTWARE IS OPEN SOURCE OR NOT.

HOW WOULD I KNOW IF IT MEETS YOUR DEFINITION OF OPEN SOURCE?

IT DEPENDS HOW THE LICENSE IS WRITTEN. YOU'LL NEED TO ASK LEGAL TO REVIEW IT.

NEVER MIND. I'LL JUST FORGE YOUR SIGNATURE ON THE FORM.

MAYBE THIS IS WHY I'VE NEVER SEEN A SOFTWARE LICENSE.

BY SCOTT ADAMS