DEBARRED AND SUSPENDED PARTIES

POLICY STATEMENT

Departments are required to indicate that the debarred and suspended vendor list has been reviewed for all expenditures and the vendor requested for payment is not listed on the System for Award Management (SAM).

REASON FOR POLICY

UND is required to comply with OMB Circular A-110 for all federal expenditures, which addresses debarred and suspended parties. The North Dakota State Auditors Office, who audits UND federal programs, has indicated that UND needs a written policy specifying how these lists are monitored and what assurances can be provided that UND is not purchasing goods/services from debarred and suspended parties. As good practice, all vendors, not only those associated with federal expenditures, are to be checked in SAM.

SCOPE OF POLICY

This policy applies to all members of the University community and should be read by:

- President
- Vice Presidents
- Deans, Directors & Department Heads
- Area Managers & Supervisors
- Faculty
- Staff
- Students
- Others

WEB SITE REFERENCES

This policy:  http://und.edu/finance-operations/_files/docs/2-12-debarred-and-suspended-parties.pdf
Policy Office:  http://und.edu/finance-operations/policy-contact.cfm
Vice President for Finance & Operations:  http://und.edu/finance-operations/
CONTENTS

Policy Statement ............................................................................................................. 1
Reason for Policy ........................................................................................................... 1
Scope of Policy .............................................................................................................. 1
Web Site References ..................................................................................................... 1
Related Information ...................................................................................................... 3
Contacts ....................................................................................................................... 3
Definitions .................................................................................................................... 3
Principles (overview) ................................................................................................... 3
Procedures .................................................................................................................... 4
Responsibilities ........................................................................................................... 4
Forms ............................................................................................................................ 4
Appendices (list) .......................................................................................................... 4
  Appendix 1 – SAM Search Instructions ..................................................................... 5
Revision Record ............................................................................................................ 4
RELATED INFORMATION

<table>
<thead>
<tr>
<th>Related Information</th>
<th>URL</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAM</td>
<td><a href="https://www.sam.gov">https://www.sam.gov</a></td>
</tr>
<tr>
<td>UND Purchasing Office</td>
<td><a href="http://und.edu/finance-operations/purchasing/">http://und.edu/finance-operations/purchasing/</a></td>
</tr>
</tbody>
</table>

CONTACTS

General questions about this policy can be answered by your department’s administrative office. Specific questions should be directed to the following:

<table>
<thead>
<tr>
<th>Subject Contacts</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policy Clarification</td>
<td>Purchasing (701) 777-2681 <a href="mailto:und.purchasing@und.edu">und.purchasing@und.edu</a> <a href="http://und.edu/finance-operations/purchasing/">http://und.edu/finance-operations/purchasing/</a></td>
</tr>
<tr>
<td>Compliance</td>
<td>Grants and Contracts (701) 777-2011 <a href="mailto:und.grantcontracts@research.und.edu">und.grantcontracts@research.und.edu</a> <a href="http://und.edu/research/research-economic-development/grants-contracts/">http://und.edu/research/research-economic-development/grants-contracts/</a></td>
</tr>
<tr>
<td>Compliance Controller (701) 777-2015 <a href="mailto:financeandoperations@und.edu">financeandoperations@und.edu</a> <a href="http://und.edu/finance-operations/associate-vp/sharon.cfm">http://und.edu/finance-operations/associate-vp/sharon.cfm</a></td>
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</tbody>
</table>

DEFINITIONS

<table>
<thead>
<tr>
<th>Definition</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SAM</td>
<td>System for Award Management</td>
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</table>

PRINCIPLES

OVERVIEW – The Office of Management and Budget requires that all federally awarded agencies and recipients comply with the non-procurement debarment and suspension common rule implementing E.O. #12549 and #12689, “Debarment and Suspension.” This common rule restricts sub-awards and contracts from transacting with certain parties that are debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities.

UND is required to comply with OMB Circular A-110, which addresses debarred and suspended parties. All parties, debarred and suspended by the federal government, are listed on the SAM website. In the past, UND complied with this OMB policy by reviewing payments to vendors in retrospect and only those vendors whose payments were over a specified dollar threshold. The North Dakota State Auditors Office, who audits UND federal programs, has indicated that UND needs a written policy specifying how these lists are monitored and what assurances can be provided that UND is not purchasing goods/services from debarred and suspended parties.

After reviewing other University policies nationwide, it has been determined that the only feasible way to monitor all purchases is to decentralize the review process. In August 1, 2005, UND added a compliance acknowledgement to all Purchase Requisitions and Vouchers. The department is responsible for the review of the list and that the vendor submitted on the requisition or voucher is not debarred or suspended. As good practice, all vendors, not only those associated with federal expenditures, are to be checked in SAM.
PROCEDURES

UND has added a section to all Vouchers and Purchase Requisitions for compliance acknowledgement. Departments are required to indicate that the debarred and suspended list has been reviewed and the vendor requested for payment is not listed on this federal report. The list of federally debarred and suspended parties is available on the SAM website. Follow the instructions (see Appendix 1) to search the SAM website.

RESPONSIBILITIES

| Department Head, Direct Report, or Designee | • Indicate on the Voucher and Purchase Requisition form that the debarred and suspended vendor list has been reviewed and the vendor requested for payment is not listed on the report. |

FORMS

| Purchase Requisition | http://und.edu/finance-operations/purchasing/_files/docs/purchase-requisition.pdf |

APPENDICES

| Appendix 1 – SAM Search Instructions | Contact Purchasing |

REVISION RECORD

| 07/08/2002 – Policy Implementation | • Updated website links and contact information  |
| 01/12/2011 – Revision | • Put in F&O policy format  |
| 02/04/2011 – Revision | • Updated website links  |
| 04/11/2011 – Revision Approval | • Added Appendix 1  |
| 11/06/2012 - Revision | • President Robert O. Kelley  |
|  | • Updated website and email links  |
|  | • Replaced Excluded Parties List System (EPLS) with System for Award Management (SAM)  |
|  | • Revised policy statement to align with practice in place since 2005: all vendors are to be checked in SAM, not only those for federal expenditures  |
How do I search to see if a vendor has an exclusion?

- Go to [www.sam.gov](http://www.sam.gov)
- Click the “Search Records” button
- You do not need to enter a username & password
• Enter the information you would like to search by, for example company name, individual name, or DUNS number, and click on the search button.
• Any information that matches your search criteria will be returned.
• If an exclusion record is found, it will show in a box marked “Exclusion”. Check the status in the top right corner of the box. If the status indicates “Active”, there is an active exclusion on the entity.
• Not all vendors are registered with SAM; if a vendor doesn’t come up during a search, the vendor doesn’t have an exclusion.
Sample searches

- This search returned numerous results; you will need to verify the address to determine if you are viewing the correct vendor.
- Click on the “+” next to “Status” to unhide the address of the vendor.
- The indicator box is “green” and states “Entity,” this vendor does not have an exclusion. UND can purchase goods/services from this vendor.
The indicator box is “lavender” and states “Exclusion” and the status indicates “Active”. Indicating there is an active exclusion on the entity. UND cannot purchase goods/services from this vendor.