



University of Connecticut Health Center

POLICY NUMBER 2006-22

June 23, 2006

POLICY: PURCHASING A-9A: NEW VENDOR POLICY

PURPOSE:

This policy establishes guidelines for creating a new vendor.

SCOPE:

All new vendors to the University of Connecticut Health Center.

POLICY STATEMENT:

A new vendor is required to furnish either a Federal Employer Identification Number (FEIN) or a Social Security Number (SS) in order to sell goods and services or lease real or personal property to a public agency pursuant to [Sec. 4a-78](#) and [Sec. 4a-80](#) of the Connecticut General Statutes. These numbers are used for state and federal identification and taxation purposes.

Definitions:

1. New Vendor - A corporation, individual or agency that has had no previous purchasing relationship with the University of Connecticut Health Center.
2. Health Insurance Portability and Accountability Act of 1996 (HIPAA) A privacy rule that addresses the use and disclosure of individuals' health information.
3. Purchase Requisition (PR) – An electronic requisition or a paper three-part, pre-numbered requisition form (HCA-39) which is used to request supplies, equipment, or contractual services. Only individuals who have been authorized through the UCHC Signature Authorization System shall approve Purchase Requisitions.
4. Purchase Order - A computer generated form issued by the Purchasing Department to order requested materials, services or equipment on the Purchase Requisition.
5. Vendor Package – Vendor documentation required to conduct business with the University of Connecticut Health Center:
 - a. Acknowledgement of Information Form
 - b. Background Information Sheet form
 - c. "Code of Ethics" Receipt form
 - d. State Ethics Policy letter from Jodi Rell, Governor, dated 9/29/04

- e. HIPAA – Form 1050, if applicable
 - f. [“Plain Language Summary of State Ethics Laws”](#)
 - g. Vendor Profile form
 - h. Request for Taxpayer Identification Number and Certification W-9 Form
6. Vendor Profile – Internal documentation for creating vendors according to UCHC protocol.
7. Federal Databases
- a. Office of the Inspector General Health and Human Services
<http://exclusions.oig.hhs.gov/search.html>
 - b. Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs, which identifies those parties excluded.
<http://www.epls.gov/epls/servlet/EPLSSearchMain/2>
8. State of Connecticut Database
- a. List of persons or firms that have been debarred in accordance with Section 31-53a of Connecticut General States.
<http://www.ctdol.state.ct.us/wgwkstnd/debarr.pdf>

Responsibilities:

1. **Director of Purchasing** is responsible for ensuring compliance with the policy.
2. **Assistant Director of Purchasing** is responsible for reviewing *Vendor Profile* and ensuring compliance with policies and procedures.
3. **Purchasing Services Officer** is responsible to screen new vendors against applicable databases and create new Vendor Profile for assigned commodities. The creation of Vendor Profile may be assigned to Purchasing Assistant.
 - a. State of Connecticut Debarment Sanctions. All new vendors shall be reviewed against the list of vendors who have been debarred from doing business with the State of Connecticut pursuant to [Chapter 557, Sec. 31-53a](#) of the Connecticut General Statutes. No contract shall be awarded to the person or firms appearing on this list or to any firm, corporation, partnership, or association in which such persons or firms have an interest until the expiration date listed has elapsed.
 - b. Federal Debarment Sanctions All new vendors shall be entered in the HHS
 - i. [Office of the Inspector General List of Excluded Individuals/Entities Search](#) and the [Excluded Parties Listing System](#) to determine whether or not the vendor has been excluded from participation in the Medicare, Medicaid and all Federal health care programs.
4. Administrative Fiscal Assistant is responsible for creating new Vendor Profiles and may aid the Assistant Director in ensuring compliance with policies and procedures.
5. Assistant Program Administrator is responsible to for creating and logging new

Vendor Profiles and may aid the Administrative Fiscal Assistant.

Procedures:

1. Creating Vendors:
 - a. Director or Assistant Director of Purchasing, Procurement Contract Specialist, Purchasing Services Officer, Purchasing Assistant, Administrative Fiscal Assistant, and Administrative Program Administrator are authorized to create new Vendor Profiles. The following steps shall be taken to complete profile:
 1. Screen new vendor against applicable Federal and State databases: Office of the Inspector General Health and Human Services, Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs, and State of Connecticut Debarred Vendor list.
 2. Create new vendor in the Financial Record System (FRS).
 3. Fax the Standard Fax Cover Letter ([Form #1-A9a](#)) or send Standard Cover Letter (Form #2-A9a) via First Class Mail, a W-9 form and a copy of the Ethics letter from Governor Rell, dated September 28, 2004.
 4. *Vendor Profile* includes:
 - A print out of FRS Screen 203. Note: HIPAA applicability.
 - Copies of both the Federal sanction searches (2).
 - Confirmation of vendor receipt of State Ethics Policy and W-9 form.
 - Documentation shall be forward to the Assistant Program Administrator to be logged.
 5. The *Vendor Profile* is forwarded to the Assistant Director of Purchasing or designee for review and returned to the Assistant Program Administrator for logging.
 6. HIPAA form #1050 is forwarded to vendor for signature when applicable

[Link to Purchasing A-9a](#)

Robert W. Murphy (signed)

10/26/06

Director of Purchasing

Date

Peter Deckers, MD (signed)

10/26/06

Executive Vice President for Health Affairs

Date

NEW POLICY: June 23, 2006