CAL MARITIME

ACADEMY POLICY & PROCEDURE MANUAL

Unauthorized Purchase Policy

Policy Number:	AF-11-003
Policy Administrator:	VP Administration & Finance & CFO
Policy Initiator:	Director, Contract Services & Procurement
Authority:	EO 669, 775 and 1057; ICSUAM 5100.00
Effective Date:	March 22, 2018
Revised Date:	
Approved:	President Thomas A. Cropper
Approval Signature:	/s/

Purpose:
This policy establishes the process and responsibility to comply with the Executive Orders 669, 775, 1057 and California State University Administrative Manual 5100.00.

Scope:
This policy applies to all California State University Maritime Academy (Cal Maritime) personnel participating in the procurement process of the University.

Accountability:
The Director, Contract Services & Procurement is responsible for administering this policy and ensuring compliance.

Policy:
It is the policy of Cal Maritime that procurement of goods and/or services made by campus personnel without delegated authority shall be considered unauthorized purchases. Except in cases of emergency to protect human life or State property (ICSUAM 5412.00), work shall not commence on any contract until the contract has been approved by the appropriate authority. Purchases for goods/services outside the authorized procurement methods will be considered a personal obligation of the individual making the purchase and not an obligation of the Cal Maritime.

Procedure:
Persons wishing to submit a request for Cal Maritime to accept the obligation for payment of an unauthorized purchase must submit the following to Contract Services and Procurement (CS&P):

1. A completed *Unauthorized Purchase Approval Request* form detailing the reasons why procurement procedures were not followed and the steps taken to prevent reoccurrence.
2. All related documentation regarding the purchase, such as: evidence of the purchase, receipt, invoice, packing slip, agreement/contract, required insurance documents, and warranty.

Submission of documents does not guarantee that Cal Maritime will accept the obligation. Documentation will be submitted to the President or Vice President of Administration and Finance (VP A&F) as requested.

CS&P Director will review form to approve or not approve based on factors including repeated violations or level or risk. If approved, the requestor, their Vice President, and Accounts Payable will be notified. If not approved, CS&P will review with VP A&F. The submitted documentation will be returned unprocessed and a copy of the *Unauthorized Purchase Approval Request* form will be filed for a minimum of one year.

CAL MARITIME
FINANCIAL SERVICES

Unauthorized Purchase Approval Request

Contract Services and Procurement
ADMIN BUILDING RM 23A

Purchases for goods or services made in the University's name without delegated authority or outside the authorized procurement methods are considered a personal obligation of the person making the purchase and not the University's. To request a transfer of the payment obligation to the University, submit completed form and documentation to Director, Contract Services & Procurement. Request does not guarantee approval of payment. Until notification of approval, the purchase is considered the obligation of the individual.

DEPARTMENT AND VENDOR INFORMATION

Date:_____ Department:_____ Requested Vendor:_____

Requested Item(s)/Service:_____

Requestor:_____ Ext.:_____ Total Amount:_____

JUSTIFICATION

The following justification information is required before payment will be considered. Proof of delivery or services performed must be included which may be in the form of a packing slip, freight bill or invoice. Attach other necessary supporting documentation, including but not limited to, a completed requisition, insurance, Vendor 204, contract.
(Attach extra pages as necessary.)

1. Detailed facts explaining why the standard procurement procedures were not followed:

2. What steps have been taken to prevent future unauthorized purchases?

AUTHORIZATION

By signing below, I, the Requestor, agree to follow the University's procurement process. I understand that individuals who have not been given delegated purchasing authority and who make an unauthorized purchase of goods or services may be personally responsible for the payment of the charges incurred. I also acknowledge that this document will be kept on file for review and tracking.

Requestor:_____
Signature *Print Name* *Date*

VP/President:_____
Signature *Print Name* *Date*

PROCUREMENT USE ONLY

P&CS Approval:_____
(Required on all approvals) *Signature* *Print Name* *Date*