



LP 4.4

Vendor Debarment Verification

Effective:
9/21/2023

Revised:
11/28/2023

Policy Owner:
Board of Trustees

Policy Administrator:
VP for Finance &
Administration

Affected Parties:
Employees

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1 Policy Statement

Lander University is committed to conducting business with reputable vendors and ensuring compliance with all applicable laws and regulations. This policy outlines the procedures for verifying the debarment status of vendors before engaging in any business transactions or agreements.

2 Purpose

The purpose of this policy is to establish a systematic process for verifying the debarment status of potential vendors to mitigate risks associated with unethical, non-compliant, or disqualified suppliers. Verifying debarred vendors is an important aspect of procurement and vendor management to ensure that Lander University does not engage with vendors that have been excluded from doing business due to ethical, legal, or compliance issues.

3 Scope

This policy applies to all employees and departments involved in vendor selection, procurement, and contract management within Lander University.

4 Vendor Debarment Verification Procedure

4.1 Vendor Assessment

4.1.1 Prior to engaging with a vendor, the responsible department or personnel must conduct a comprehensive assessment of the vendor's qualifications, including their legal and ethical standing.

4.1.2 The assessment should include a review of the vendor's known or learned financial stability, reputation, and past performance.

4.2 Debarment Database Check

- 4.2.1 The responsible department or personnel must check relevant debarment databases, both state and federal government, to determine if the vendor is listed as debarred or suspended.
- 4.2.2 A list of authorized debarment databases should be maintained and regularly updated.
- 4.2.3 The assigned processor of any requested procurement within the Procurement Office staff is responsible for verifying that the intended vendor is not on the federal or state debarment list and must indicate that they have completed the search on the front of the Purchase Requisition Form.

4.3 Documentation

- 4.3.1 All results of the debarment verification must be documented and retained as part of the vendor's file.
- 4.3.2 If the vendor is found to have been debarred or suspended, the documentation should clearly state the reason for their disqualification and the source of this information.

4.4 Escalation and Review

- 4.4.1 If a vendor is identified as debarred or suspended, the responsible department or personnel must escalate the matter to the appropriate management or legal team for further review.
- 4.4.2 The review process should assess the severity of the debarment and whether any exceptions or mitigating circumstances might apply.

4.5 Decision-Making

- 4.5.1 Based on the review, the vice president for finance and administration will make a decision regarding whether to continue or terminate engagement with the debarred vendor.
- 4.5.2 In cases where engagement with the vendor is continued, it should be based on a thorough risk assessment and appropriate risk mitigation measures. Depending on the funding source (e.g., federal funds, grant funding), using a debarred vendor may not be permissible.

4.6 Vendor Communication

- 4.6.1 In the event that a vendor is found to have been debarred or suspended, the responsible department or personnel should communicate this information to the vendor promptly and in writing.

4.6.2 The vendor should be given an opportunity to respond or appeal; however, if the debarment is by federal or state authorities, the vendor will need to appeal to the imposing entity.

4.7 Record Keeping

4.7.1 All records related to vendor debarment verification, assessments, decisions, and communications must be retained in accordance with Lander University's document retention policies.

4.8 Training and Awareness

4.8.1 All relevant personnel involved in vendor selection and management should be educated and regularly updated on this policy and related procedures.

4.9 Compliance Monitoring

4.9.1 Lander University's Accounting and Controls Department should periodically review vendor files to ensure ongoing compliance with this policy.

4.10 Non-Compliance Consequences

4.10.1 Failure to adhere to this policy on the part of a Lander University employee may result in disciplinary action, up to and including termination of employment.

4.11 Definitions

4.11.1 Debarment: The act of disqualifying a vendor from participating in procurement or contract-related activities due to non-compliance, unethical behavior, or other specified reasons.

4.12 References

Several guiding documents and regulatory codes exist to help institutions remain compliance. While the following list includes some of the most relevant, the list is not intended to be all-inclusive:

4.12.1 Pursuant to The Code of Federal Regulations (CFR), 2 CFR 200.317 through 200.327

4.12.2 Pursuant to South Carolina Code Title 11- Chapter 35- Section 4220

4.12.3 The Lander University Procurement Manual

4.13 Approval

- 4.13.1 This policy was approved by the vice president for finance and administration and is effective as of October 1, 2023.

4.14 Contact Information

- 4.14.1 Any departments with questions regarding debarments should contact the Lander University Procurement Department:

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5 Policy Revision History

- First draft of policy created by Vice President for Finance and Administration on 9/21/2023.
- Formatted as policy for review by Policy Coordinator on 9/21/2023.
- Stakeholder review and provisional approval of policy on 11/7/2023.
- Final revisions applied by Policy Coordinator on 11/7/2023.
- Reviewed by board of trustees Policy Committee on 11/16/2023.
- Policy Committee suggestions approved by Vice President for Finance and Administration on 11/24/2023.
- Final Draft for Policy Committee board report prepared by policy coordinator on 11/27/2023.
- Approved by the Lander University Board of Trustees on 12/12/2023.