



## Fact Sheet

February 22, 2024

## UZH-Funded Investments Exceeding CHF 10,000

### 1. Movable investment assets (Mobilien)

Movable investment assets are single items or multiple pieces forming a functional unit from the field of laboratory equipment hardware, software etc., with procurement costs above CHF 10,000 that are not linked to any location. Movable investment assets are inventoried in asset accounting and have to be “investmentized”, which means that they will be depreciated over a number of years (see Finanzhandbuch, § 75). Before placing an order, an approval of the procurement must first be formally requested in accordance with the guidelines in section 4 of this fact sheet.

If a purchase of a movable investment asset includes a later upgrade of the item and if this is already known at the time of the initial purchase, future upgrades have to be mentioned in the application for the initial purchase. This may be important for a legally correct project implementation.

### 2. Designated Uses of the Various Types of Funding

#### Operational fund (Betriebskredit, BK)

UZH puts operational funds at your disposal for the following expenditures: for consumable supplies, personnel expenses, for other operating expenses such as for maintenance, repairs, conferences, libraries and office supplies, as well as for the procurement of small equipment items costing less than CHF 10,000. The UZH Finance Office ([www.fi.uzh.ch](http://www.fi.uzh.ch)) is responsible for matters concerning operational funding.

#### Investment fund (Investitionskredit, IK)

UZH puts investment funding at your disposal for investments, such as in movable assets that exceed the amount of CHF 10,000. Before placing an order, an approval of the procurement must first be formally requested in accordance with the guidelines in section 4 of this fact sheet.

If you split up procurements of movable investment assets to circumvent having to apply for an approval, the procurement will be charged to your operational fund allowance! In borderline situations, Office Moveable Assets (MO) will determine whether to allocate the procurement to the investment fund or the operational fund.

#### Start-up fund (Einrichtungskredit, EK)

Movable assets with a procurement price of less than CHF 10,000 may be purchased by a holder of equipment funding on his or her own authority. For procurements of movable investment assets costing more than CHF 10,000, before placing an order, an approval of the procurement must first be formally requested in accordance with the guidelines in section 4 of this fact sheet. The same financial authority levels applicable to the investment fund also apply to the equipment fund.

#### Third-party fund (Drittmittel-Kredit, DM)

Movable assets with a procurement price of less than CHF 10,000 may be purchased by a holder of third-party funding on his or her own authority. For all movable investment assets with a procurement price of more than CHF 10,000, before placing an order, an approval of the procurement must first be



formally requested in accordance with the guidelines in section 4 of this fact sheet. The same financial authority levels applicable to the investment fund also apply to third-party funding.

**3. Expenditure Authority Levels for Investments Exceeding CHF 10,000**

Type of funding	Amount	Authorizer
Investment fund (IK) Start-up fund (EK) Third-party fund (DM)	CHF 10,000 to CHF 999,999	Moveable Assets Office (MO), as long as the costs of the procurement are kept to the budget.
	CHF 10,000 to CHF 249,999	Dean or responsible member of the UZH Executive Board if there is no budget at all or if the costs of the procurement aren't kept to the budget
	CHF 250,000 to CHF 999,999	UZH Executive Board if there is no budget at all or if the costs of the procurement aren't kept to the budget
	CHF 1,000,000 and upwards	UZH Board

Please compare Finanzhandbuch, § 73

**4. Procedure to Follow for Procurements Exceeding CHF 10,000**

*Procurements for the premises of University Hospital Zurich or procurements of IT or AV equipment: Please follow the special procedure described in sections 5 and 6 of this fact sheet.*

Procurement amount: CHF 10,000 to CHF 149,999

Send the filled-out application ([www.ik.uzh.ch](http://www.ik.uzh.ch)) to MO **before** placing the order. Supplemental enclosure: all valid offers. Time to release of funding: around 5 workdays.

Procurement amount: CHF 150,000 to CHF 249,999

As a general rule, an invitation to submit tenders must be issued, with at least three suitable suppliers being invited to submit offers. The most economically advantageous offer can be forwarded to MO along with the filled-out application form ([www.ik.uzh.ch](http://www.ik.uzh.ch)). Time to release of funding: around 10 workdays.

Procurement amount: CHF 250,000 to CHF 999,999

As a general rule, a public call for tenders must be carried out (see fact sheet on public calls for tenders [*Merkblatt Öffentliche Ausschreibung*]). Please contact MO for this purpose. Once the call for tenders has been conducted, the winning bid can be forwarded to MO along with the filled-out application form ([www.ik.uzh.ch](http://www.ik.uzh.ch)) and an approximately two-page justification statement. Section 8 of this fact sheet provides instructions on drafting the justification statement. The UZH Executive Board is in charge of releasing the funding. Time to release of funding (including call for tenders): at least 3 to 4 months.



#### Procurement amount: above CHF 1,000,000

As a general rule, a public call for tenders must be carried out (see fact sheet on public calls for tenders [*Merkblatt Öffentliche Ausschreibung*]). Please contact MO for this purpose. Once the call for tenders has been conducted, the winning bid can be forwarded to MO along with the filled-out application form ([www.ik.uzh.ch](http://www.ik.uzh.ch)) and an approximately two-page justification statement. Section 8 of this fact sheet provides instructions on drafting the justification statement. The Board of the University is in charge of releasing the funding. Time to release of funding (including call for tenders): at least 4 to 5 months.

#### Deadlines

For procurements to be funded through the investment fund, the application form ([www.ik.uzh.ch](http://www.ik.uzh.ch)) and any other requisite documents must in each case have been received by MO by 31 July of the current calendar year. Otherwise MO reserves the right to deploy the funds elsewhere. Exemptions to this deadline may be granted in justified cases.

#### Number of forms

A separate application form must be filled out for each standalone movable investment asset with a procurement price exceeding CHF 10,000. For multiple pieces of equipment forming a single functional unit, it is enough to submit just one application form.

#### Ordering

The application form signed and returned to you by MO is the permission slip for placing the order. UZH does not have a purchasing department. This means that your organizational unit itself acts as the counterparty of the designated supplier and releases orders and transacts direct purchase agreements with said supplier.

#### Purchase agreements

According to the Implementation Ordinance of the Finance Regulations of the University of Zurich (Finance Handbook, FHB) for the procurements of movable investment assets costing more than CHF 150,000, written supplier contracts that have been approved by the Legal Service of UZH have to be concluded. Please refer to paragraph 53 of FHB ([www.rd.uzh.ch/de.html](http://www.rd.uzh.ch/de.html)).

You can find compiled drafts for purchase contracts on the website of the Legal Service (<https://www.rd.uzh.ch/de/Vertragswesen/Musterverträge-in-englischer-Sprache.html>).

Unfortunately, it is not possible for MO to provide support in issuance of contracts. In this regard, kindly contact the Legal Service at an early stage.

#### Building modification measures

Bear in mind that procurements of movable investment assets may require building modifications (e.g. climate-control technology). If such building modification measures are necessary, please make sure to state that on your application form. At the same time, please file a request to have the needed building modifications carried out by filling out the application form in the “Begehrensmanagement” input window ([https://www.pfm.uzh.ch/dam/jcr:c27b6d96-fc04-44cc-b1df-49b0941c13c5/Nut-zerbegehren\\_201021.pdf](https://www.pfm.uzh.ch/dam/jcr:c27b6d96-fc04-44cc-b1df-49b0941c13c5/Nut-zerbegehren_201021.pdf)). An order for a movable investment asset may not be placed until the funding for any necessary building modification measures has been approved.



#### Acceptance protocol

For procurements of movable investment assets costing more than CHF 100,000, a site acceptance test, accompanied by a completed and signed acceptance protocol, should be performed in collaboration with the supplier. A copy of the acceptance protocol should be enclosed with the final invoice.

If an acceptance protocol is not enclosed with the final invoice, MO will proceed on the assumption that the applicant's signature on the invoice confirms that the procured asset was delivered in full and in good working order and that the final invoice can be paid.

#### **5. Procurements for the Premises of University Hospital Zurich (USZ)**

Pursuant to the Federal Product Liability Act and the Federal Ordinance on Medicinal Products, all movable investment assets destined to be installed on the USZ premises must undergo an incoming goods inspection, which is performed by the USZ Technical Services department. All application forms for movable investment assets costing more than CHF 10,000 and destined for the USZ premises must first be sent to the UZH Technical Services Department (TEC), addressed to Mr. Andreas Schneider. TEC will review the application and then will forward the documents directly to MO. Once the movable investment asset has been delivered and installed, it is mandatory to fill out the "Acknowledgement of Delivery of Equipment" form and to return it to TEC. In the event of failure to comply with this regulation, TEC cannot guarantee that it will provide maintenance and service support for the unregistered movable investment asset!

#### **6. Procurements of IT or AV Equipment**

Application forms for the procurement of IT equipment or AV equipment not regularly budgeted for in the investment fund must be submitted to Ms. Michaela Spörri of the Information Technology Department (<https://www.phonebook.uzh.ch/?ID=933301>).

The aforementioned department units will review all applications and then will forward them directly to MO.

#### Differentiation between operating and investment expenses in the case of IT/AV procurements

Information technology (IT) items:

Investment requests for the procurement of information technology resources may involve expenses for hardware and software, service expenses for IT projects for the purpose of developing a customized product, and expenses for any necessary building modification measures in connection with the installation of hardware.

Costs for yearly licenses, support and maintenance contracts are charged to the operational fund.

Audio-visual (AV) equipment:

Requests for the procurement of AV equipment may only be exclusively for the actual purchase of the equipment fleet and may only additionally include expenses for any necessary building modification measures in connection with the installation of the equipment.

Costs for support and maintenance are charged to the operational fund.

#### **7. Invoices**

All invoices paid from UZH funds are paid by the electronic accounts payable workflow platform (Kreditorenworkflow, KWF). This is true also for invoices concerning equipment purchases paid from



investment funds. Please strictly follow the guidelines from the very moment of placing a procurement order (<https://www.uzh.ch/cmsssl/fi/de/fb/kr/rechnungen.html>).

### **8. Drafting a Justification Statement for Procurements Exceeding CHF 250,000**

The justification statement must be worded in a way that is understandable to an educated layperson.

#### Preface and equipment description

Research interests of future user groups? What is to be procured, and why? What are the application possibilities, and what are the consequences if the movable investment asset is not procured?

#### Evaluation

Description of the call for tenders, if one was conducted. Were alternative products examined? Were comparative offers solicited? What makes the movable investment asset requested the product offering the best value for money?

#### Cooperation with other research groups/organizational units

Does UZH already possess the same or similar movable investment assets? Why is it not possible to share usage of these existing movable investment assets? Is there a possibility that other research groups can co-use the movable investment asset being requested?

#### Subsequent expenses

What follow-up costs (consumable materials, maintenance contracts) will the procurement cause? Can your organizational unit pay the subsequent expenses out of its ordinary operational funding, or how do you plan to cover those costs?

#### **Contact**

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