

TEACHERS COLLEGE  

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COLUMBIA UNIVERSITY

# **Procurement Policy**

**525 West 120th Street • New York, NY 10027**

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# PROCUREMENT POLICY OVERVIEW

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A **Purchase Order** is required for all Goods and Services, except for those purchased on a **Purchasing Card (P-Card)**. As a general rule, only individuals with the authority to make purchases – TC employees designated by their department as **Buyers** – may submit a requisition in Unimarket. However, depending on the value and nature of the **Goods** or **Services** to be acquired, additional information and approvals may be needed. Both a Purchase Order and a Contract are required for all Services over \$3,000 or involving intellectual property (e.g., developing curriculum, reports, videos or photographs), confidential data, transportation or work with children under the age of 18.

Below is a list of requirements needed to execute specific types of purchases and are required to be included/attached in Unimarket.

- I. Goods and/or Services from a Preferred Vendor (see page 21) or a vendor with an existing contract**
  - a. A current executed contract/agreement
  
- II. Services (Other than from a Preferred Vendor)**
  - a) All Services, regardless of value
    - Scope of Work - <http://goo.gl/T26ugx> .
    - Independent Contractor Questionnaire (ICQ) for individuals only, regardless of dollar value - <https://goo.gl/89OBPv>
    - Conflict of Interest Form for entities (non-individuals) only, regardless of dollar value - <https://goo.gl/wHzWrx>
  
  - b) Services valued at over \$3,000
    - 3 Formal bids – on company letterhead and signed by authorized person.
    - A current executed contract/agreement
  
  - c) Services that involve intellectual property, confidential data, transportation or work with children under the age of 18 regardless of dollar value
    - A current executed contract/agreement
  
- III. Goods under \$3,000**
  - a. TC recommends 3 informal bids via email, phone, or fax
  
- IV. Goods over \$3,000<sup>1</sup>**
  - a. 3 Formal bids – on company letterhead and signed by authorized person

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<sup>1</sup> *TC policy encourages the inclusion of Minority and Women-owned Business Enterprises (MWBE)*  
<http://mtprawvwsbswtp1-1.nyc.gov/>

**V. Sole Source Criteria (Service)<sup>2</sup>**

- a. Scope of Work - <http://goo.gl/T26ugx>
- b. Independent Contractor Questionnaire (ICQ) – For Individuals Only - <https://goo.gl/89OBPv>
- c. Letter of explanation

**VI. Sole Source Criteria (Goods)<sup>2</sup>**

- a. Specifications of Goods
- b. Letter of explanation

**VII. Honorarium (up to \$1,500) - Online submission to Accounts Payable for payment.**

- a. Date of event
- b. Event details
- c. Expenses and supporting receipts

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<sup>2</sup> *The Sole Source Selection Criteria is limited to Goods/Services if they are only available from a single source; an operational emergency exists that will not permit a delay resulting from competitive bidding; after attempting to solicit a number of bids, competition is determined inadequate; or a Federal/State or pass-through entity expressly authorizes noncompetitive proposals/bids in response to a written request from TC (grants only).*

# Important Contacts

Budget Questions	<p>Daysi Molina  <a href="mailto:dm2378@tc.columbia.edu">dm2378@tc.columbia.edu</a></p> <p>Budget Department  x3016</p>
Chemical Purchases	<p>Chris Diodato  <a href="mailto:cjd2131@tc.columbia.edu">cjd2131@tc.columbia.edu</a></p> <p>Environmental Health &amp; Safety  Department  x6640</p>
Check Request or Payment	<p>Accounts Payable  <a href="mailto:accountspayable@tc.columbia.edu">accountspayable@tc.columbia.edu</a></p> <p>x3757</p>
Computer Purchases	<p>CIS Help Desk  <a href="mailto:cishelpdesk@tc.columbia.edu">cishelpdesk@tc.columbia.edu</a></p> <p>Computing and Information Services  x3300</p>
Contracts	<p>Althea Broomfield-Michel  <a href="mailto:alb2191@tc.columbia.edu">alb2191@tc.columbia.edu</a></p> <p>Assistant General Counsel  x4164</p>
Delivery Status (call with your PO number)	<p>Ryan O'Dell  <a href="mailto:rpo2103@tc.columbia.edu">rpo2103@tc.columbia.edu</a>  X8193</p> <p>Shipping &amp; Department  x3721</p>
Equipment Purchases	<p>Omiyajaira Rivera  <a href="mailto:or2138@tc.columbia.edu">or2138@tc.columbia.edu</a></p> <p>Purchasing Department  x3136</p>
Furniture Purchases or Other Vendor Resources	<p>Omiyajaira Rivera  <a href="mailto:or2138@tc.columbia.edu">or2138@tc.columbia.edu</a></p> <p>Purchasing Department  x3136</p>

Retaining and Paying Foreign Nationals	Viktoria Potapova X6637 <a href="mailto:Vp2103@tc.edu">Vp2103@tc.edu</a>
Processing Orders	Omiyajaira Rivera <a href="mailto:or2138@tc.columbia.edu">or2138@tc.columbia.edu</a> Purchasing Department x3136

# PROCUREMENT POLICY

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Teachers College often procures Goods from Vendors, and Services from Consultants. The College's Procurement Policy must be followed to ensure that Goods and Services meet the College's requirements, Vendors and Consultants are held accountable, and the College makes timely payment. *The College's e-procurement system, Unimarket, must be used for all purchases, unless the procurement is by Purchasing Card (P-Card) or another method authorized by the Purchasing Office.*

The following document provides a guide to the TC Procurement Policy for Goods and Services. Following a general overview, subsequent sections cover the topics of bids and proposals, purchase orders, contracts, insurance, special circumstances, and the payment process. At the end are two useful sections: Frequently Asked Questions and a Glossary of Terms used in this document. Each time a term is introduced in the text, it is highlighted in boldface to indicate that it is defined in the Glossary.

After reading this document, if you are not sure of how to correctly follow the procurement process or need assistance with hiring or paying a Consultant, you can contact the Purchasing Office at **purchasing@tc.columbia.edu** / (212) 678-3136 regarding the procurement process or the Office of the General Counsel at **contractadministrator@tc.columbia.edu** / (212) 678-6637 regarding contracts and consultant services.

# GENERAL OVERVIEW OF THE POLICY

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As a general rule, individuals with the requisite authority to initiate purchases may enter the relevant information and documents in Unimarket. Only TC employees designated by their department as **Buyers** may initiate an order for Goods or Services. Employees designated by their department as **Approvers** may authorize a purchase of Goods or Services for which **Approval Authority** (Appendix 1) is required.

However, depending on the value and nature of the **Goods** or **Services** to be acquired, additional information and approvals may be required. A **Purchase Order** is required for all Goods and Services, except for those purchased on a **Purchasing Card (P-Card)**-[For full P-Card visit [www.tc.edu/policylibrary/p-card](http://www.tc.edu/policylibrary/p-card)]. Both a Purchase Order and a Contract are required for all Services over \$3,000 or involving intellectual property (e.g., developing curriculum, reports, videos or photographs), confidential data, transportation or work with children under the age of 18.

Generally a **Request for Bids (RFB)** or **Request for Proposals (RFP)** is required for the purchase of Goods and Services over \$3,000 – a sample RFP can be found in Appendix 2 of this document – and must include a minimum of three written bids, proposals, or **Sole-Source Justification**.

Bids are not required for Goods and Services over \$3,000 if the vendor is a Teachers College **Preferred Vendor**, has a **New York State Procurement Contract** (<http://ogs.ny.gov/purchase/search/default.asp>) or has a **Columbia University-Wide Purchasing Agreement** (<http://finance.columbia.edu/procurement/purchasing>).

*Please note:* In order for Goods or Services to be purchased from a **Vendor** in Unimarket, the Vendor must first [register in Unimarket](#).

Each bid must include a written specification of the Good(s) that is/are non-manufacturer specific (e.g., size, function, etc.). The bids must be evaluated by the Department to determine the best value for the College and to select the successful Vendor. For purchases using grant funds, departments must provide documentation that **Minority and Women-owned Business Enterprises (MWBE)** (<http://mtprawvwsbawtp1-1.nyc.gov/>) are used when possible. All documents related to the RFB or RFP should be attached to the purchase request in Unimarket. Failure to provide such documentation may result in delay.

*Please note:* **Bidding** is recommended, but not required for the purchase of Goods and Services under \$3,000. The Purchasing Office can assist Departments/Centers with the RFB and RFP processes.

# CONTRACTS

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The Office of General Counsel must approve all contracts before they are executed on behalf of the College. As pointed out previously, a contract is required for any Services costing over \$3,000, involving intellectual property (e.g., curriculum, reports, videos or photographs), confidential data, transportation, or work with children under the age of 18. A contract must be fully executed *before* a Purchase Order can be issued *and before any services are provided to the College*.

When a Department submits a consultant-contract request to the Office of the General Counsel, the Consultant is required to complete and submit an **Independent Contractor Questionnaire (ICQ)**. General Counsel will use this information to determine whether the Consultant may legally be classified as an independent contractor. If a consultant *can* legally be classified as an independent contractor, General Counsel will draft and negotiate a contract. If a Consultant *cannot* legally be classified as an independent contractor, the request will be declined and terminated in Unimarket. The Department will be notified of the termination and referred to Human Resources.

*Please note:* TC students or employees may not provide Services to TC as Consultants.

## **Standard Form Contracts**

In an effort to expedite the contracting process, the Office of the General Counsel has prepared Standard Form Contracts for services that are routinely procured by the College. The unedited form contracts (without any modification from the Department or Consultant) may be executed without the Office of the General Counsel's review in accordance with the College's Signature Authorization policy. However, any revision of the Standard Form Contract, regardless of how minor, must be reviewed and approved by the Office of the General Counsel.

A detailed description of each form contract, including the intended use and instructions for completing it, are available at <http://www.tc.columbia.edu/counsel/>. Contact the Office of General Counsel if you need any assistance.

## **New York State or Columbia University-Wide Purchasing Agreement**

The College encourages the use of New York State or Columbia University-Wide Purchasing Agreements. Either a link to or a copy of the agreement should be attached to the request in Unimarket. The Office of the General Counsel will review the agreement and determine if any modification is required. Please note that some of the terms of the agreement, such as insurance and indemnification, will have to be amended to specifically apply to the College. Vendors with a New York State or Columbia University-Wide Purchasing Agreement are required to register in Unimarket and comply with the College's procurement policy. Where available, a copy of the New York State or Columbia University-Wide Purchasing Agreement and/or Columbia University price list must be attached in Unimarket.

## **Master Contracts**

Master Contracts may be appropriate for projects in which the **Scope of Work (SOW)** is either undefined or incomplete at the time the agreement is executed. A Master Contract establishes the contractual relationship and contains the legal terms agreed to by the parties. However, prior to the Consultant providing *any service* under the Master Contract, the College and Consultant must execute a **Project Agreement**, which includes a defined Scope of Work for the services to be provided. Subsequent project agreements should be issued as the Services are further defined and assigned to the Consultant. Requests for Master Contracts should be noted in Unimarket. Question about Master Contracts should be submitted to the Office of General Counsel.

# INSURANCE

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Depending on the type of services (and not only the value of the service), the College may require Consultants to have insurance, especially if the Consultant is working with children or providing services on the College's premises or at a third party's facilities (e.g., school) on behalf of the College. The College's insurance requirements are determined by the College's Risk Manager and are located at <http://www.tc.columbia.edu/controller/riskmanagement/>. The Risk Manager must approve any change in or exception to the insurance requirement.

If the Consultant is required to provide insurance, then Consultant must **NOT** be allowed to commence Services without the appropriate insurance being in place. *All required certificates of insurance must be uploaded in Unimarket before the issuance of a Contract and/or Purchase Order.*

# SPECIAL PROCUREMENT CIRCUMSTANCES

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In addition to the procedures described above for procurement of Goods and Services, purchasing certain items may require specialty approval.

## **Pre-Approval**

Specific Goods and Services require special approval from the College and will be automatically routed in Unimarket to the appropriate Department(s) that is/are responsible for such special approval, as shown in the following chart. Neither a Purchase Order nor Contract will be issued without the required approval(s).

<b>Goods and Services</b>	<b>Pre-Approval Department</b>	<b>Account Numbers</b>
Equipment, Furniture, and Software	Accounting & Business Services	7181-7188 7931-7951
Wire Transfers to Foreign Nationals and Companies	Accounting & Business Services	721900
Computers, peripherals and software over \$500, data- and software-related services	CIS/ACS	7183 / 7932
Chemicals or radioactive materials Power tools	Environmental Health & Safety	711300
Furniture, Electrical appliances, such as heaters, coffee pots, refrigerators, microwaves, etc.	Facilities	7182/7934 7188
Grant Subcontracts	Grants and Contracts Sponsored Programs	7224
All contracts to be executed on behalf of the College (including by Departments, Institutes, Centers, and other subdivisions of the College)	General Counsel	7211
Lawyers/Legal Services	General Counsel	7212
Donations	Controller's Office	7650

## **Honoraria**

An **honorarium** is a payment made as a token of appreciation to a speaker, guest lecturer, panel member, or reviewer. TC students and employees cannot receive honoraria through the procurement process; similar payments to TC students and employees are subject to Human Resources policies: See [Additional Employment or Supplements for Full-Time Positions](#) and [Employment in Part-Time Positions](#).

A Purchase Order is required for an honorarium payment, and may not exceed \$1,500, including any travel and reimbursable expenses. Any payment over \$1,500 will be viewed as compensation for Services, and the payment will be issued in accordance with the College's procurement policy, unless an

exception is granted by the Office of the Provost. *All honoraria payments to foreign nationals must be approved by General Counsel as special rules and documentation are required.*

*Please note:* Any payment to the College's employees or students must be processed through Human Resources on a **Personnel Action Form**.

### **Foreign Vendors/Consultants**

Special requirements apply when determining if a foreign national may work at the College. If you wish to contract with an individual who is not a U.S. citizen or permanent resident, see "[Hiring and Paying Foreign Nationals](#)" in the [TC Policy Library](#) before agreeing to hire or pay a foreign national. If, after reviewing these documents, you are unsure of how to proceed, please contact the Office of the General Counsel at [contractadministrator@tc.columbia.edu](mailto:contractadministrator@tc.columbia.edu) or (212) 678-6637. Likewise, if you wish to contract with a foreign entity/company, contact the Office of the General Counsel at [contractadministrator@tc.columbia.edu](mailto:contractadministrator@tc.columbia.edu) or (212) 678-6637, *before making a commitment.*

# PAYMENT PROCESS FOR GOODS AND SERVICES

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The payment process for goods and services has three steps:

1. The Purchase Order is issued, before any Goods or Services are provided to the College; each Purchase Order is assigned a unique Purchase Order number.
2. Once the Vendor has satisfactorily provided the Goods or Services to the College, the Vendor must submit an itemized **Invoice(s)**, with the Purchase Order number clearly listed, to Accounts Payable for payment. Invoices without a valid Purchase Order number will be rejected and returned to the Department since Accounts Payable does **not** know which Purchase Order to use against that invoice. Invoices may be submitted to [accountspayable@tc.columbia.edu](mailto:accountspayable@tc.columbia.edu) or to the address below:

Accounts Payable  
525 West 120<sup>th</sup> Street  
Box #235  
New York, NY 10027

| If an invoice is sent directly to the end-user or department, the invoice must be re-forwarded to Accounts Payable in order to substantiate payment.

3. A Buyer must **Receive** the Goods or Services in Unimarket, before payment will be issued by Accounts Payable.

The Department will be timely notified of all rejections and the reason an invoice was not paid.

## FREQUENTLY ASKED QUESTIONS

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**1. Q: By encumbering funds or requesting a Purchase Order, am I committing to the purchase of Goods or Service?**

**A:** Requesting a Purchase Order or encumbering funds in Unimarket does not create a binding commitment with a Consultant or Vendor. A binding commitment with a Consultant or Vendor is created only after the Purchase Order, and if required a fully executed contract, are sent to the Consultant or Vendor.

**2. Q: When do I follow the contract process?**

**A:** Whenever you want a person (other than an employee) or organization to perform Services for TC and (a) the value of such Services exceed \$3,000, OR (b) the Services, regardless of the dollar value, involve working with children under the age of 18, transportation (such as contract for bus services) using confidential data, or creating a work that may be subject to intellectual property rights (such as photographs, written materials, or images). The contract process must be followed *before* the person or entity can commence providing services.

**3. Q: When is the Independent Contractor Questionnaire (ICQ) required?**

**A:** Each time a Consultant, individuals only, is retained to provide Services to the College, the individual Consultant must complete an ICQ. An ICQ is required even if an agreement is not required. The information provided in this form will allow the Office of General Counsel to determine if this individual can be classified as an independent contractor or must be treated as an employee. The ICQ must be completed for each new project because the legal analysis depends on the work to be done, as well as other factors. Corporations and similar entities do not need to complete the ICQ; only individual consultants must do so.

**4. Q: Who fills out the ICQ?**

**A:** The Consultant.

**5. Q: To whom is the ICQ submitted?**

**A:** Once a consultant is selected to provide Services, the Consultant should complete an ICQ, at the link available in Unimarket. Unimarket automatically sends the ICQ to the Office General Counsel.

**6. Q: When is the Conflict of Interest form required?**

**A:** Each time a Consultant, entity (corporation, partnership, non-profit, etc.) only, is retained to provide Services to the College; the Consultant must complete a conflict of interest form. A conflict of interest form is required even if an agreement is not required. The information provided in this form will allow the College to determine if this entity has a conflict of interest that precludes the entity from providing services to the College.

7. **Q: Who fills out the conflict of interest form?**  
A: The Consultant.
8. **Q: To whom is the conflict of interest form submitted?**  
A: Once a consultant is selected to provide Services, the Consultant should complete a conflict of interest form, at the link available in Unimarket. Unimarket automatically sends the conflict of interest form to the Office of General Counsel.
9. **Q: Does an individual need to complete a conflict of interest form?**  
A: No. Conflict of interest questions are included in the ICQ
10. **Q: How far in advance of a contractor's work do I have to initiate a request in Unimarket?**  
A: At least two weeks. You should submit the request as soon as you start conversations with your possible contractor. Negotiating an agreement may take longer than two weeks when the contract is complicated or if the parties have difficulty agreeing on important terms.
11. **Q: To whom do I submit the honorarium form?**  
A: The entire procurement process, including payments of honoraria, must be done via Unimarket. Please note that all requests for honoraria payment over \$1,500 will be treated as a request for consultant services and will be routed accordingly in Unimarket.
12. **Q: How do I request a payment for a Consultant?**  
A: Each payment requires an approved invoice with an assigned Purchase Order number. Purchase Orders are issued in Unimarket when all the procurement requirements are met. Remember that some Purchase Orders will require the Consultant to have an executed agreement in place with the College (see Q&A 2).
13. **Q: How do I know how much money a prospective service provider has been paid by the College?**  
A: The best way is to check BANNER, or ask Accounts Payable.
14. **Q: Once a Purchase Order or contract is in place how do I pay an independent contractor?**  
A: Either in person or by email submit an itemized invoice to Accounts Payable. Accounts Payable will issue checks in accordance with the Payment Process.
15. **Q: How long will it take for an independent contractor to get paid?**  
A: Once a Purchase Order is issued, you can commence submitting invoices to Accounts Payable. After a proper itemized invoice is received by Accounts Payable, it will generally pay the invoice in approximately 14 days.
16. **Q: Do I fill out a PAF or check request form to get an independent contractor paid?**  
A: PAF is only used for paying College employees – *not* independent contractors. To pay an independent contractor, see answers to Q&A 8 and 10 above.
17. **Q: Who can sign a contract?**

**A:** Only individuals authorized by the Office of the Controller are authorized to sign contracts. Contact the Controller's Office regarding the list of signature authority. The Department Chairs, and the Directors of Centers and Institutes are authorized to sign contracts up to \$25,000. The President, Vice President and Provost are authorized to sign contracts for services between \$25,001 and \$100,000. The Vice President for Finance and Administration and the President, Provost or Vice President must sign all contracts over \$100,000, and such contracts must be reviewed by the Vice President for Finance and Administration. General Counsel route contacts to the appropriate individual with the required signature authority. A list of employees with Signature Authority is available from the Controller's Office.

**18. Q: Does the Consultant have to submit an invoice?**

**A:** Yes. Before any payment can be made to a Consultant, regardless of the amount, an itemized invoice with the Purchase Order number must be submitted to Accounts Payable.

**19. Q: Why do consultants need insurance?**

**A:** Insurance is important to be certain that the consultant is able to cover any liability that may result from the project. Based on type of service, the College's Risk Manager will determine the type and level of insurance.

**20. Q: What insurance coverage does the independent contractor need?**

**A:** The required insurance coverage depends on the services being provided and level of risk or liability exposure to the College. A determination will be made on a case-by-case basis by the College's Risk Manager, available at [kaplan@tc.edu](mailto:kaplan@tc.edu), <http://www.tc.columbia.edu/controller/riskmanagement> or (212) 678-3482.

**21. Q: Can a TC employee or TC student be a consultant?**

**A:** No. TC employees and TC students are subject to Human Resources policies: See [Additional Employment or Supplements for Full-Time Positions](#) and [Employment in Part-Time Positions](#) (available at [www.tc.edu/policylibrary](http://www.tc.edu/policylibrary)).

**22. Q: Whom do I contact for assistance with the procurement process?**

**A:** For assistance with the procurement process, contact Purchasing at (212) 678-3138.

**23. Q: Whom do I contact for assistance with the contracting process?**

**A:** For assistance with the contracting process, contact the Office of the General Counsel at <http://www.tc.columbia.edu/counsel/>, [contractadministrator@tc.columbia.edu](mailto:contractadministrator@tc.columbia.edu), or (212) 678-3680.

## GLOSSARY OF TERMS

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1. **Approval Authority** – TC gives certain employees authority to approve encumbrance of funds, budget transfers, and payment of invoices. The level of Approval Authority varies with an employee’s title, role, and responsibilities.

Please note: Those with Approval Authority may not delegate it because each person is responsible for all activities done in his/her name. Additionally such delegation would require sharing a UNI and password with another person. This violates TC’s information-technologies policy and would enable such a person to access all the delegating party’s electronic records, including but not limited to emails, human resources records, and electronic signature.

2. **Approver** – TC personnel authorized to approve the purchase of goods or services at the appropriate level.
3. **Bidding process** – Competitive bidding is required to ensure that the College is getting the best price for most Goods and Services over \$3,000. See **Sole-Source Justification** for exceptions.
4. **Buyer** – A person designated by his or her Department, with the authority to purchase goods and services through Unimarket. Buyers may be titled Responsible Person, Budget Administrator, and Principal Investigator.
5. **Columbia University-Wide Purchasing Agreements** – As a Columbia-affiliated institution, Teachers College may utilize many of Columbia’s purchasing contracts. This allows the College to save time and money by using Columbia’s pre-negotiated terms. A full list of University-Wide Purchasing Agreements/Preferred Vendors is available on Columbia’s Purchasing Office web site at <http://finance.columbia.edu/purchasing-guide>.

Please note: TC’s General Counsel will need to review these agreements.

6. **Contract** – While contracts may be oral, for purposes of this Policy, a contract is any written document that describes the roles, rights, and responsibility of parties who will provide goods, services, or funds in exchange for goods or services. A Purchase Order is a contract. An invoice that requires a signature may be a contract (and may contain important terms and conditions). A contract may also be called an “agreement,” “memorandum of understanding,” “terms and conditions” or “term sheet.” The overall document, rather than the label, controls the document’s significance. Verbal contracts are prohibited by the College.
7. **Consultant** – An individual or entity that provides Services; synonymous with “Contractor” and “Independent Contractor.”
8. **Department** – Broadly used to include the College's academic departments, institutes, centers, and administrative offices.

9. **Department Head** – A Department Chair or other individual with management authority reporting directly to a Vice President of the College.
10. **Encumbrance of funds** – A commitment to use funds for a specific purpose. Funds are encumbered upon issuance of a Purchase Order.
11. **Fiscal Year (FY)** – September 1 through August 31. For example, FY 2015 is September 1, 2014, through August 31, 2015.
12. **Goods** – Tangible property or merchandise.
13. **Independent Contractor Questionnaire (ICQ)** – Questions completed by a prospective Consultant to determine whether that individual can legally be classified as a Consultant. The ICQ replaces the Request for Independent Contractor Agreement (RICA) formerly used by the College.
14. **Invoice** – Document submitted by a Vendor or Consultant to secure payment from the College. The invoice should be itemized and describe the Goods or Services provided and when they were provided.
15. **Master Contract** - A multi-year agreement in which the College and the Consultant agree to legal terms and conditions, which will govern multiple projects. Individual projects to be assigned to a Consultant under a Master Contract require more specific documentation: A **Project Agreement** with a **Scope of Work** must be in place before project services begin.
16. **Minority and Women-owned Business Enterprises (MWBE)** – A Minority and Women Owned Enterprise is a business that is at least 51% owned by minorities and/or women. A list of certified MWBEs can be found at <http://mtprawvwsbawtp1-1.nyc.gov>
17. **New York State Procurement (NYSPRO)** – a division of the New York State Office of General Services, is the State’s central procurement office, responsible for establishing and managing contracts for goods and services needed by government entities across the State, including agencies, local governments, and other authorized users.
18. **Not Sufficient Funds (NSF) Notice** – Notice of insufficient funds in an index account to pay for the requested services or goods. Sufficient funds must be in the index at the time of the request or the request will not be processed.
19. **Preferred Vendor** – A manufacturer or seller has an arrangement to provide goods or services at negotiated reduce price/rate.
20. **Project Agreement** – Agreement that provides details of the specific services to be provided for a particular project under a Master Contract. Service should not be provided under a Masters Contract without a **Project Agreement** specifically drafted for the service to be

rendered (which includes timeline to complete project, how much will be paid for the project, and a **Scope of Work** defining the services to be rendered).

21. **Purchasing Card (P-Card)** – A credit card issued by the College for specified purchases. See [www.tc.edu/policylibrary/p-card](http://www.tc.edu/policylibrary/p-card).
22. **Purchase Order** – The College’s standard form used to procure Services under \$3,000 and all Goods.
23. **Receive (Receiving)** – Receiving items in Unimarket facilitate payments to suppliers for goods and services. Clicking on Received for your goods/services is equivalent to providing an approval signature or “ok to pay.”
24. **Request for Bid (RFB)** – A request for vendors to submit a cost proposal only.
25. **Request for Proposal (RFP)** – An invitation to prospective Consultants or Vendors to submit proposals with qualitative information and cost for a specified service the College needs.
26. **Scope of Work** – A detailed description of the services to be provided, which may be drafted by either the Consultant or the Department. The scope of work must contain sufficient detail, such as benchmarks, timeline, and deliverables, to permit the College to hold the Consultant responsible for providing the services required by the contract. Unless a separate budget is attached, the scope of work must include a budget that details how the Consultant will be paid—e.g., payment installments and dates or benchmarks, and the total or not-to-exceed amount of all payment(s). If applicable, it is helpful to also include details of who will retain copyright and license to the use of the work product created under the agreement. A sample scope of work is available at <http://goo.gl/T26ugx>.
27. **Services** – Work or expertise provided by a Consultant.
28. **Signature Authority** – TC gives certain employees the authority to sign contracts and other documents on behalf of the College.  
  
Please note: An employee with Signature Authority may not delegate because each person is responsible for all activities done in his/her name. Additionally such delegation would require sharing a UNI and password with that person. This violates TC’s information-technology and procurement policies and would enable the recipient to access all the delegating party’s electronic records, including but not limited to emails, human resources records, and electronic signature.
29. **Sole Source Criteria** – The Sole Source criteria is limited to Goods/Services if they are only available from a single source; an operational emergency exists that requires immediate attention and does not afford the College the opportunity to conduct a RFB or RFP; after attempting to solicit a number of bids, competition is determined inadequate; or a Federal/State or pass-through entity expressly authorizes noncompetitive proposals/bids in response to a written request from TC (grants only).

**30. Sole-Source Justification** - An explanation that particular Goods or Services meets the Sole Source Criteria. Familiarity with the provider and/or insufficient time to review bids or proposals, absent an operational emergency is not sufficient sole-source justifications.

**31. Vendor** – An individual or entity that provides Goods or Services to the College.

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## Appendix 1 – Authorized Signing Authority

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A Department Chair or Director is responsible for all expenditures against a Department's budget and should ensure that funds are available within the proper index account before approving any purchase of Goods or Services.

*Please note:* Unimarket will not process requests indicating indexes with **Non-sufficient funds (NSF)**.

Each Department Chair, Director, Directors of Academic Administration (DAA), Budget Administrator and certain other employees have been granted various levels of Approval Authority—up to \$25,000, based on their titles and responsibility. Depending on the value and type of Goods or Services requested, Unimarket automatically routes the request to those with the necessary Approval Authority. A list of employees with Approval / Authority is available from the Purchasing Office

The Department Chairs, and the Directors of Centers and Institutes are authorized to sign contracts up to \$25,000. The President, Vice President and Provost are authorized to sign contracts for services between \$25,001 and \$100,000. The Vice President for Finance and Administration and the President, Provost or Vice President must sign all contracts over \$100,000, and such contracts must be reviewed by the Vice President for Finance and Administration. General Counsel route contacts to the appropriate individual with the required signature authority. A list of employees with Signature Authority is available from the Controller's Office.

*Please note:* Regardless of an employee's approval authority, only individuals specifically authorized by the Office of the Controller in the Signature Authorization policy are allowed to sign any document on behalf of the College. A person with Approval or Signature Authority must not delegate his/her Approval or Signature Authority to anyone, even a trustworthy third person. The delegation of such authorities is prohibited because each person is responsible for all activities done in his/her name. Additionally, such delegation requires the delegating party to share his/her UNI and password with another person, which enables such other person to access all the delegating party's electronic records, including but not limited to emails, human resources records and electronic signature.

## Appendix 2 – Sample Request for Proposal (RFP)

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### Purpose

The **ABC CENTER** is seeking proposals from individuals and/or organizations capable of designing, printing and distributing a 16 page plus 4 page color booklet. The booklet is a saddle-stitched self-mailer, trim size 8”x11”, is a 4/4 process and must include 3 cover color concepts. The proposal must include the cost of printing 28,500 booklets in accordance with these specifications, provide a cost breakdown for each of the following services, and meet the production schedule timeframe described below.

### Scope of Services

The successful proposer will be required to:

- 1) Provide 3 cover color concepts
- 2) Provide layout and production with 3 sets of changes in a tight timeframe
- 3) Convert and prepare 15 digital images
- 4) Provide 18 color outputs
- 5) Provide press check
- 6) Estimate the cost of messenger and FedEx for delivery to Teachers College, if required
- 7) Prepare the final product as a pdf for **ABC CENTER** usage
- 8) Print 28,500 copies of the 16 page color booklet, saddle-stitched self-mailer
- 9) Mail 25,000 pieces at the non-profit rate
- 10) Ship 3,500 from printer to **ABC CENTER**

### The production schedule is as follows:

Friday, December 2	Cover images to designer
Wednesday, December 7	Cover concepts to <b>ABC CENTER</b>
Friday, December 9	All final text and images to designer
Friday, December 16	First layout to <b>ABC CENTER</b>
January 3 – January 13	Revisions and finalization
Tuesday, January 17	Final layout to <b>ABC CENTER</b> , final mailing list to designer
Wednesday, January 18	Final approval to designer
Thursday, January 19	Project to printer
Monday, January 23	Print proofs to <b>ABC CENTER</b>
Wednesday, January 25	Proofs return to printer
January 26 – February 1	Printing, folding, and preparation for shipping and mailing
Tuesday, January 31	Delivery to mailing house and <b>ABC CENTER</b> , including pdfs for website
Wednesday, February 1	Mailing goes out

### Proposal requirements:

Proposals must address the scope of services listed above and include pricing. Please organize your proposal into the following sections:

1. Proposal plan/narrative/design
2. Organizational capacity to provide this service
3. Three samples of prior design work
4. Three letters of reference
5. Pricing

Proposals are due **Wednesday, November 23**. They may be sent electronically or by hard copy to:

**JOHN DOE**

abccenter@tc.columbia.edu

Teachers College, Columbia University

Box 0

525 West 120<sup>th</sup> Street

New York, NY 10027

### **Appendix 3 – Catering Policy**

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The College Catering Policy states that CulinArt is the exclusive caterer on campus and as such they maintain the first right of refusal to provide service in all campus buildings for all catering that occurs during regular operating hours of the food service area (typically Monday -- Friday 8:30 a.m. -- 7:30 p.m.). In any leased property (i.e. Interchurch) outside caterers may provide service provided all necessary purchasing policies are followed. A catering order is considered any order for food/beverages for eight or more people. There are a few exceptions to this policy and questions should be referred to the Director of Facilities.

For small or incidental food purchases that are allowable under the College's Travel & Expense and Petty Cash policies, departments do not need to order from CulinArt. However, these types of food purchases are paid for by a College employee and then the employee is reimbursed via existing petty cash expense reimbursement procedures at the Cashier's Window at 133 Thompson. Examples of this may include providing snacks (which you go to the grocery store and buy) for a lunchtime meeting (chips and salsa for three to five people, dozen donuts for three to five people for a breakfast meeting, etc.) but only up to the individual petty cash reimbursement amount which is \$100.00 and only for a group of people less than eight. Departments may not piece together multiple petty cash reimbursements to circumvent the catering policy. Therefore, all food orders/food purchases that are for eight or more people and involves prepared food being brought onto campus by any outside agency is not allowed under the Campus Catering Policy. Additionally, College employees may not purchase prepared food and bring that food onto campus and expect to be reimbursed for said food unless it falls into the category of small or incidental food purchases mentioned above.

**Appendix 4 - Frequently Used Account Numbers**

**For Goods and Services**

Please take the time to choose the proper account number that corresponds to the products or service you wish to order.

Acct. No.	Description	Acct. No.	Description
	<b>Consumable Supplies</b>		<b>Hospitality and Entertainment</b>
7111	Instructional Supplies	7321	Hospitality
7112	Office Supplies	7322	Conference Meetings Related Exp.
7113	Laboratory Supplies	7323	Catering and Special Events
7115	Audio-Visual Supplies		<b>Equipment Repair/ Maintenance</b>
7116	Computer Supplies	7421	Equipment Repair/Maintenance
7119	Supplies - other	7422	Computer Hardware Maintenance
	<b>Books and Publications</b>	7423	Computer Software Maintenance
7121	Books and Publications	7424	Repair and Maintenance - other
7122	Subscriptions	7425	Maintenance Contracts
7123	Catalogs		<b>Memberships/Subscriptions</b>
	<b>General Expenses</b>	7611	Subscriptions
7131	Postage/Packaging/Handling	7612	Membership Fees
7132	Direct Mail		<b>Special Payments</b>
7133	Express Mail	7621	Payments to Participants
7134	Messenger Service	7622	Honoraria
	<b>Printing and Stationary</b>	7623	Fees for Cooperating Teachers
7151	Stationary	7624	Merchandise for Resale
7152	Printing & Business Cards		<b>Employee Relations</b>
7153	Promotion Copy Expense	7631	Recruitment Advertising
	<b>Lease Expense</b>	7632	Relocation Moving Expense
7162	Equipment Lease	7633	Professional Development
	<b>Equipment Non-Cap. under \$3,000 per item</b>	7634	Prizes, Awards and Plaques
7181	Lab & Instruction Equip.		<b>Buildings</b>
7182	Furniture & Fixtures	7922	Capital Alterations/Improvements
7183	Computer-Related Equip.		<b>Equipment, Furniture/Fixtures over \$3,000 or full renovations</b>
7184	PC Software		Equipment
7188	Equipment - other	7931	Computers and Peripherals
7189	Gifts - other	7932	Capitalized Software
	<b>Travel &amp; Related Exp.</b>	7933	Furniture & Fixtures
7311	Domestic Travel Expenses	7934	
7317	International Travel Expenses		