TEACHERS COLLEGE

COLUMBIA UNIVERSITY

Buying Goods and Services @ TC

525 West 120th Street • New York, NY 10027

BUYING @ TC

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Delivery Status (call with your order number)	Lauren Moss X8193 Shipping & Department x3721
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Purchasing Introduction

This manual constitutes the policies and procedures by which Teachers College personnel will carry out purchasing, receiving and accounts payable functions. The goal of the College's purchasing and contracting procedures is to secure the best value for the College and department and to ensure that the College and department is fully protected in the event a problem arises with a purchase. All items (goods/materials/furnishings/equipment/etc.) that are purchased with Teachers College's funds whether Budget funds, Grant funds, or Seed/Start-up funds are property of the College, and as such must be maintained within the College's Asset Management Policy and Procedures.

The term "purchasing" is used generically to refer to the functions of buying materials and contracting for services. The Office of Purchasing includes purchasing professionals who are trained in purchasing functions; however, each College unit will have one or more individuals who will perform certain purchasing functions. For the purposes of this manual and in implementing the policies and procedures contained herein, both of these groups are treated as "purchasers". Although department heads may delegate purchasing functions to one or more individuals within their department, they too are "purchasers" responsible for complying with these policies and procedures. All expenditures of College funds must follow all guidelines set forth by the Office of the Controller as well as this manual.

If you have a question about these policies and procedures, about how to start a purchase, about a supplier, or about any other purchasing related matter, the Office of Purchasing will be more than willing to help.

This manual is organized as follows:

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A. FREQUENTLY USED TERMS AND FORMS

1. Accounts Payable (**Room – 303 Zankel, tel: (212) 678-3757**) – is responsible for the timely payment of all service providers' invoices in accordance with the Payment Process.

2. Bidding - The bidding process must be used for all goods for $3,000 and more as well as for services that do not qualify for single source justification and exceed $3,000. A minimum of three bids must be reviewed by the department (the Office of Purchasing is available to assist in the bidding process). All bids must be in writing on the Service Provider's letterhead and signed by an officer of the service provider (President, Vice President, Secretary, etc.). All bids must be evaluated on the basis of quality, personal qualification, prior experience, training and education, past performance, scheduling and price of the service provider. See Buying Guide Page 11 for the complete bidding process.

3. Budgetary Responsibility – It is the responsibility of each department to determine that funds are available within the proper index and account code before an actual commitment to purchase occurs. If funds are not available, the department must submit a Budget Change Allocation form to the Budget Office through appropriate approval channels.

4. Check Request form – form that is submitted for 1-time payment of an amount up to $1,000. Each Check Request form must contain the appropriate signature from the department, in accordance with the Authorized Signing Authority Requirement herein.

5. Consultant – one who provides professional advice or services. A College employee may not serve as a Consultant.

6. Contract – a written document that details the roles, rights and responsibility of the parties.

7. Contract Number – a tracking number that is assigned to each contract.

8. Contractor – one who contracts to perform work or provide certain services. A College employee may not serve as a Contractor.

9. Consulting/Honorarium Payment Request – Authorizes Accounts Payable to issue honorarium payment.

10. Encumbrance - A commitment to use funds for a specific purpose.

11. Fiscal Year ("FY") – September 1 to the following August 31. For example, FY 2011 is September 1, 2010 through August 31, 2011.

12. Honorarium - A token of appreciation or gift made to a speaker, guest lecturer, panel member or reviewer. An honorarium of more than $1000 must be treated as a contract under this policy.

13. Independent Contractor – For these purposes, "Independent Contractor is synonymous with "service provider," "Consultant," and "Contractor." A TC employee may not serve as an independent contractor.

14. Itemized Invoice – Each invoice must be itemized to indicate how payment is made (hourly, monthly or lump sum), and must contain a contract number, if over $1,000, and the appropriate signature from the department.

15. New York State Contract Pricing

16. Office of the General Counsel (**Room – 107 Zankel, tel: (212) 678-6637**) - is responsible for drafting and negotiating contracts and handling all legal issues pertaining to procurement of services.

17. Office of Purchasing **(Room – 29 Zankel, tel: (212) 678-3136) –** is responsible for processing requests for procurement services.

18. Purchasing Card (P-Card) - A Purchasing Card (P-Card) is a credit card issued by TC to an approved individual or department for use in making small institutional purchases with vendors. The program is designed to expedite the purchasing process and reduce the costs associated with processing low-dollar, best judgment purchases. Small purchases of goods for $500 or less can be accomplished using the P-Card. For a full explanation of the P-Card Program please refer to the policy attached to this guide as Appendix 6.

19. Purchase Order – the College's standard form contract that is used for procuring both goods and services. When used for services and contract number is assigned.

20. Requisition form - A completed and signed Requisition form authorizes the Office of Purchasing to encumber funds in the amount indicated on the form, and to create a Purchase Order. Requisition form must be submitted before the service provider is retained or before goods are ordered. A completed Requisition form must contain the date(s) service will be provided, a description of the services or scope of work, the department's index and account numbers, total or not to exceed amount of payment(s), and the appropriate departmental signature, in accordance with Authorized Signing Authority Policy herein. Prior to submitting a requisition form, the department must ensure that there are sufficient funds in the department's account to cover the entire amount of the requisition form. (They can be obtained from the Duplicating Department (36 Zankel Hall) in packets of fifty.) See Appendix 1a for a sample Requisition Form.

21. Request for Independent Contractor Approval ("RICA") - A RICA form is used to determine whether the individual or organization can legally be classified as an independent contractor. The RICA form must be submitted by anyone hiring an

individual or entity to provide <u>services</u> that will total $1,000 or more during a fiscal year. For services equal or greater than $3,000, a Scope of Work must be attached to the RICA form.

22. <u>Request for Proposal ("RFP")</u> – is an invitation for consultants, suppliers, and contractors to submit proposals on specific commodities or services.

23. <u>Scope of Work</u> - A Scope of Work is a description of the services to be provided by the service provider. The Scope of Work should contain sufficient detail about the services (bench marks, timeline, deliverables) to which the service provider can be held accountable prior to any payment. The Scope of Work must also describe how the service provider will be paid (hourly, monthly, lump sum) and the total or not to exceed amount of all payment(s). See Appendix 6 for sample Scope of Work.

24. <u>Service provider</u> – a contractor, consultant, or any other person or entity other than an employee who provides services to the College.

25. <u>Authorized Signing Authority</u> -

    The individual designated by the department is authorized to approve:

    a. Consulting/honorarium payment request forms
    b. Invoices
    c. Check requests, RICA forms and Requisition forms for services up to $2,999. (If the college has done more than $3,000 worth of business with the service provider, then the RICA and requisition forms are approved by the President, Vice President or Provost (see Appendix 3)).

    Individuals designated by the President, Vice President or Provost (see Appendix 3) are authorized to approve contracts, RICA forms, and Requisition forms for goods and services between $3,000 and $25,000.

    The President, Vice President and Provost are authorized to approve contracts, RICA forms, and Requisition forms for services between $25,000 and $100,000.

    The Vice President for Finance and Administration **<u>and</u>** the President, Provost or other Vice President must approve contracts, RICA forms, and Requisition forms for services of over $100,000.

26. <u>Single Source Purchases</u> - On some highly technical items, there may only be only one known source. Justification for a purchase of this type of item without competitive bidding must accompany the Purchase Requisition. The Single Source Justification (see Single Source Justification Appendix 4) should be signed by the appropriate Vice President and forwarded to the Purchasing Office along with the Purchase Requisition.

    This process is infrequently used for goods since there is generally competition for almost any type of equipment or supplies used at the College.

27. University-Wide Purchasing Agreements - As a Columbia University affiliated institution, Teachers College may utilize many standing purchasing contracts. This allows the College to save funds by utilizing pre-negotiated terms. A full list of University Wide Purchasing Agreements/Preferred Vendors is available on Columbia University Purchasing Office web site at http://procurement.columbia.edu/purchasing/pv_list.html. If you are using a University-Wide Purchasing Agreement, you do not have to obtain bids. However, if the vendor is a service provider, it is required to complete TC documentation (requisition, RICA, and contract)

28. W-9 form – An IRS form on which the service provider or vendor certifies its tax identification number. Teachers College cannot pay a service provider or vendor unless it has a valid W-9 on file. Service Providers and vendors, who have been paid by TC during the previous seven years, will generally have W-9s on file. Otherwise, a signed W-9 must be filed before the service provider is paid. *If in doubt please contact Accounts Payable to verify that a W-9 is on file.*

B. **WHO MAY PURCHASE**

The College operates on the principle of budgetary allotments to the various academic departments, institutes, centers, and administrative offices. The administrative head of each academic departments, institutes, centers, and administrative offices is responsible for expenditures for the allotment.

The authority to make purchases from the allotted departmental budgets for services or materials is furnished to the Office of Purchasing by the approval of the department chairman or administrative unit head, as budgetary head, on a Purchase Requisition

In some cases, the authority to approve charges written against a department's budget can be with the approval of the Assistant V.P. and Controller, delegated by the department head to subordinates. However, this delegated authority does not relieve the budgetary head from responsibility for the allotted budget. See page 7 number 25 of this manual and/or Appendix 3 for additional information regarding Authorized Signing Authority.

Grants and Contracts

Spending of budgeted funds from Grants or Contracts must be authorized by the Principal Investigator or Project Director. It is the responsibility of the Project Director to notify the Office of Purchasing of any restrictions imposed on the Grant or Contract. The Grants and Contract Accounting Office (located in Thompson Hall, Room 422-F) can provide assistance in this area.

C. **PURCHASING GOODS – BIDDING PROCESS / SELECTION OF VENDOR**

It is TC policy to "encumber" funds for the purchase of all goods (unless purchased via P-Card). By encumbering funds, a budget administrator is able to more affectively plan their financial and operational obligations by "setting aside" funds for known expenditures. In order to encumber funds a department must complete a Requisition form.

> Goods may not be obtained without going through the encumbrance process described herein, except for the following transactions: postage (7131), registration fees (7633), membership fee (7610), food (7323 only if less than $500 ~ see Appendix 7), subscriptions to journals and other periodicals (paper or electronic), mailing lists (paper or electronic), books, permission fees, and booth rentals. Invoices for these goods and services can be paid directly through Accounts Payable via a Check Request form. Also, employee reimbursement can be paid with a check request and expenses of $100 or less may be reimbursed through petty cash as provided in the Travel and Expense Policy.

The purchasing process involves:

- ✓ Defining and communicating the need underlying the purchase request.
- ✓ Identifying, evaluating, and selecting the supplier.
- ✓ Awarding and administering the Purchase Order or Contract.
- ✓ Ensuring the necessary controls are in place and the College personnel and complying with ethical codes of conduct, TC policies and procedures and applicable local, state, and federal laws.
- ✓ Upon the college receiving the goods, Accounts Payable is able to process the invoices

1. **Requisition Process**

In order to successfully purchase goods, a department must follow the steps below. These steps include:

a. Determine if the item you want to purchase requires a prior approval from another department (i.e. CIS, Environmental Health and Safety, etc). Any item that you wish purchase that is in one of the categories listed below requires a signature on the requisition form from the department listed (no matter what the dollar amount).

   Items which need approval from other departments (whether these are new installations or replacements) require approval from the appropriate departments below:

   - ✓ Furniture (7182/7934)—all furniture purchases require approval of the Purchasing Office.

- ✓ Computers (7183/7932) – all computers, peripherals, computer software require approval of CIS/ACS department.
- ✓ Copiers (7162/7183/7931)—the lease or purchase of copiers requires the approval of Business Services Center.
- ✓ Subcontracts—subcontract awards in conjunction with externally funded projects must be approved by the Office of Grants and Contracts.
- ✓ Chemicals – chemicals or radioactive material require approval by the Office of Environmental Health & Safety.
- ✓ Electrical Appliances – heaters, coffee pots, refrigerators, micowaves, etc. should be UL approved and must not overload circuit limits require approval of the Facilities Department.
- ✓ Power Tools – purchase of all power tools must be approved by the Office of Environmental Health & Safety.

b. All purchases for goods in excess of $3,000 require three written bids or a single-source justification letter (see Appendix 4). Unless a University-Wide Purchasing Agreement is being used. (page 8 number 27)

c. Specifications / Scope of Work / Bidding

   I. The bidding process includes the following:

      1. A scope of work if appropriate (see Appendix 6) or a Request for Proposal (RFP). A **request for proposal** (referred to as **RFP**) is an early stage in a procurement process, issuing an invitation for suppliers, often through a bidding process, to submit a proposal on a specific commodity or service. The RFP process brings structure to the procurement decision and allows the risks and benefits to be identified clearly upfront. There is a standard form RFP that you can utilize by filling in the blanks. Electronic Sample RFP also Appendix 9

      2. Written specifications
         a. Specifications should be non-manufacturer specific to allow for competition
         b. Specifications should be described in precise terms or words.
            i. Use "shall/must" wherever a specification expresses a requirement binding on either the suppler or the purchaser
            ii. Specifications should contain all the minimum requirements
               1. Dimensions (height, width, length, weight, etc)
               2. Units (case, box, each, dozen, gross, etc)
               3. Performance specification (minimum/maximum operation)
               4. Compatibility requirements (describe existing equipment with which the requested equipment or material must interface or integrate.
               5. Composition specifications (identify materials which must be used in the manufacturing process.
               6. Maintenance requirements
               7. Warranty/extended warranty requirements
               8. Delivery expectations (time frame, location of delivery, etc)

3. Solicit and evaluate proposals and quotes, identify the best value and selected supplier.
4. Obtain a completed W-9 form from the supplier.
5. Fill out the Requisition form following the instructions and examples found in Appendix 1a, designating the goods/services under one of the account numbers in Appendix 2.
6. Bring the completed Requisition, W-9, scope of work/quotes to Purchasing (29 Zankel), stamp it in and place it in the designated bin.
7. If the requisition needs emergency processing bring it to the Director of Business Services or the Assistant Director of Procurement in 29 Zankel to get approval for RUSH processing. It is advisable to ensure the items are in-stock before requesting the order. Rush request usually need to be completed by 2:00-3:00 PM for next day delivery.

II. Purchasing will then encumber the funds (as described above) and generate a Purchase Order.

III. For purchases less than $3,000 it is *recommended* that bids are solicited but not necessary. For these types of purchases the department should complete a specification and steps 4 through 7 above.

2. **Blanket Purchase Order Process**

When repeated purchases of the same type of commodity item or services are anticipated, multiple purchase requisitions or small purchase authorizations may be eliminated by entering one purchase requisition to establish a Blanket Purchase Order. A Blanket Purchase Order is a Purchase Order which has been issued to a vendor, against which specified purchases may be made directly by the department for a specified period of time. Similar to a regular Purchase Order, a blanket order must be requested for a specific amount of departmental funds.

Establishing a Blanket Order requires the submission of a single completed purchase requisition to the Purchasing Department. If the order will exceed $3,000.00 in annual expenditures competitive bidding (see bidding process page 11) is required unless a single source justification is approved.

The funds are encumbered upon the establishment and issuance of the Blanket Purchase Order. Outstanding encumbrances on Blanket Orders **DO NOT** carry forward from one fiscal year to the next. Blanket Purchase Orders are issued for supply type items and services. Service related Blanket Purchase Orders must be renewed on a fiscal year basis. To maintain continuity, service requisitions should be entered prior to the expiration of the contract (proper signature requirements must be followed in order to enter into service contracts).

To make any changes on a blanket order, including increasing the amount or terminating a blanket order you will need to contact the Purchasing Department. The outstanding balance will then be liquidated, freeing the funds for other purposes.

Materials cannot be shipped against a Blanket Order beyond the period indicated. Nor can materials be shipped in excess of the dollar amount. Materials are to be invoiced when delivered.

3. **Rental and Leased Equipment**

All requests for the rental and lease of equipment should be forwarded to the Purchasing Department on a Purchase Requisition prior to securing the equipment. Rental and lease agreements require the review/approval of the Office of General Counsel as in most cases specific insurance and liability information must be obtained.

The request should be accompanied by a memorandum explaining the need for lease or rental rather than purchase; a copy of the proposed lease agreement, if available; and any other communication available concerning the request. The Purchasing Department will review the request and take necessary action consistent with standard purchasing procedure. Total dollar value of the item determines the competitive requirements to which the transaction will be subjected.

Lease agreements are for a definite period of time, usually one to five years, and cannot be cancelled during the life of the lease. However, a lease may be entered into with the option to purchase the equipment during the life of the lease or at the end of the lease period.

Rental agreements are similar to lease agreements, except that rental agreements are normally for an indefinite period and can be terminated by the rentee after giving notice, usually thirty days in advance. The initial cost of some equipment is so great that when this type of equipment is required it may be more economical to rent on a continuing but indefinite basis. Also, new, updated versions of this type of equipment are constantly placed on the market, making it unwise to invest large sums in equipment which may soon be obsolete.

4. **Request for Proposal (RFP)**

A written Request for Proposal (RFP) is issued to describe in general terms that which is to be procured. The RFP must specify and list the specific requirements to be addressed by the offerors which will be used in evaluating the proposals and will contain other applicable contractual terms and conditions, including any unique capabilities or qualifications which will be required of the contractor.

Mandatory requirements should be kept to a minimum and refer only to those areas that are required by law or regulation or are such that they cannot be waived and are not subject to negotiation. The use of "shall" or "must" indicates a mandatory requirement. Specify any optional information desired. The factors for use in evaluation shall be stated in the RFP and the weights assigned to them must be included in the RFP or shall be posed in the location used for public posting of procurement notices prior to the opening and evaluation of proposals. A breakout of subcomponent weights need not be listed. Price should be one of the factors considered but need not be the determining one. Include a pricing schedule in the RFP.

Establish a proposal submission due date and time which provide sufficient time for potential offerors to develop a proposal. The minimum time period is ten (10) days from the issue date of the RFP. The time period used may be greater than the required ten (10) days based on the complexity of the requirement and whether or not a pre proposal conference is required.

All pre-proposal conferences or site visits must be mentioned in the RFP and any advertisement of it. If attendance at such a conference or site visit is a prerequisite for submitting a proposal the public notice period must be at least ten (10) days after issuance to provide adequate opportunity for potential offerors to obtain a copy of the RFP and attend.

The award documents shall incorporate; by reference the terms and conditions of the RFP and the contractor's proposal, together with all written modifications thereof.

D. <u>PURCHASING SERVICES – Contract Process</u>

Contracts For Service Process

Process For Consultants, Contractors, Independent Contractors And Other Service Providers -- **Not Goods**

Overview

THE CONTRACTING PROCESS MUST BE COMPLETED BEFORE ANY SERVICES ARE PROVIDED. If you are unsure of the contracting process and need assistance with hiring and/or paying a service provider, please contact the Office of the General Counsel at (212) 678-6637 or the Office of Purchasing at (212) 678-3138.

Foreign Service Providers. *Special rules and requirements apply to whether and when foreign nationals may work at Teachers College. If you wish to contract with someone who is not a U.S. citizen or permanent resident, see "Guidance on Hiring and Paying Foreign Nationals at TC" before agreeing to hire or pay the individual.*

As described in more detail below, the specific procedures to be followed are determined by the value of services that a person or organization will be providing to the College during a Fiscal year. There are different procedures for those providing service to the College during a Fiscal Year totaling up to $1,000, between $1,000 and $2,999, and $3,000 or greater.

These monetary thresholds are based on the total compensation that a service provider will receive from the entire College and not from a specific department. To ensure that the appropriate contract process is followed, please discuss with the service provider, the total value of services each service provider expects to provide to all departments in the College (during the Fiscal Year – September 1 to August 31).

This section is divided into the following five sections:

1. Contract Process for Honorarium (Up to $1000)
2. Contract Process for Service Up to $1,000
3. Contract Process for Service Between $1,000 and $2,999
4. Contract Process for Service Equal to or Greater than $3,000
5. Insurance Requirements for Contracts

1. <u>PROCESS FOR HONORARIUM (Up to $1,000)</u>

To issue an honorarium totaling up to $1,000, the department must deliver the following documents to **Accounts Payable**, either in person or by mail:

1. Consulting/Honorarium Payment Request form
2. W-9

All required documents must be submitted together; otherwise the package will be deemed incomplete and will be returned to the department.

If the recipient of honorarium will receive payment for more than $1,000 the appropriate process for that amount must be followed. *Accounts Payable will review documents and issue payment to the service provider in accordance with the Payment Process outlined.*

2. CONTRACT PROCESS FOR TOTAL SERVICES UP TO $1,000

To pay a service provider who will provide services to the College an amount up to $1,000 during **a fiscal year**, the department must deliver the following documents to **Accounts Payable** either in person or by mail:

1. Check Request form
2. Itemized invoice
3. W-9

All required documents must be submitted together; otherwise the package will be deemed incomplete and will be returned to the department.

Follow the payment process outlined in section E on page 23.

3. CONTRACT PROCESS FOR TOTAL SERVICES BETWEEN $1,000 AND $2,999

I. To hire a service provider who will provide service to the College for an amount between $1,000 and $2,999 **during a fiscal year**, the department must submit the following documents to the **Office of Purchasing either in person or via TCContracts@tc.columbia.edu,** at least two (2) weeks in advance of the start date of the work:

1. RICA form
2. Requisition form
3. W-9
4. Insurance, if necessary

All required documents must be submitted together; otherwise the package will be deemed incomplete and will be returned to the department.

II. Upon receipt of *all* documents, the Office of Purchasing will review and process the documents as follows:

1. Ensure all required documents are completed properly. If not, documents are returned to the department for correction.
2. Review RICA form, consulting with others as necessary to ensure that the service provider may legally be characterized as an independent contractor.
3. Create a Purchase Order and assign a contract number.
4. Depending on the type of service, not the amount of the Purchase Order, and in consultation with others as necessary, secure evidence of the necessary insurance from the service provider.

If it is concluded that the service provider cannot be legally classified as an independent contractor, the department may either contact the Office of Human Resources to propose hiring the service provider as an employee or contact the Office of Purchasing for more information.

III. Once a Purchase Order is created, a copy of the Purchase Order, including the College's Standard Terms and Conditions will be forwarded to the department, and the department will forward the documents to the service provider for signature. The service provider may not change the Purchase Order or the College's Standard Terms and Conditions. *If service provider takes exception to the Purchase Order or the College's Standard Terms and Conditions, the service provider must forward such exception to the Office of Purchasing and the department prior to providing service to the College. Failure to notify the Office of Purchasing of such exception prior to providing service to the College will be deemed an acceptance.*

IV. Once the Purchase Order process is completed the service provider may begin to provide services. The department may then submit invoices to Accounts Payable. *Accounts Payable will issue payment in accordance with the Payment Process outlined in section E on page 23.*

4. <u>CONTRACT PROCESS FOR SERVICES EQUAL OR GREATER THAN $3,000</u>

<u>No service provider may be permitted to provide services equal or greater than $3,000 during a fiscal year without a contract fully executed by the College and the service provider.</u>

I. To hire a service provider to provide service for an amount equal or greater than $3,000 (with the College not individual departments) **during a fiscal year**, the department must submit the following documents to the **Office of Purchasing either in person or via <u>TCContracts@tc.columbia.edu</u>**, at least two (2) weeks in advance of the start date of the work:

   1. RICA form
   2. Requisition form
   3. W-9
   4. Scope of Work
   5. Insurance, if necessary
   6. A Single Source Justification or Bids.

      a. Single Source Justification
      See page 7 number 25 for explanation

      b. Bidding
      See page 5 number 2 for explanation

   All required documents must be submitted together; otherwise the package will be deemed incomplete and will be returned to the department.

II. Upon receipt of *all* of the required documents, the Office of Purchasing will review and process the documents as follows:
   1. Ensure all required documents are completed properly. If not, documents will be returned to the department for correction.
   2. Ensure that the award is most advantageous for the College, based on information contained in the required documents, RICA form and the Scope of Work.
   3. Assign a contract number.
   4. Verify that the College's Single Source Justification or Bidding Process was followed.

   The Office of Purchasing will forward the RICA form and Scope of Work to the Office of the General Counsel for review.

III. The Office of the General Counsel will make a determination as to whether a service provider may be legally classified as an independent contractor.

   If it is determined that a service provider can be legally characterized as an independent contractor, the Office of the General Counsel will:
   1. Draft and negotiate contract.
   2. Issue contract to the department for execution by service provider.

3. Depending on the type of service, secure the necessary insurance from the service provider.
4. Upon request from the department, draft form contract(s) for future use by the department.

The department will return the executed contract to the Office of the General Counsel for final execution by an officer of the College.

If it is determined that a service provider **cannot** be legally classified as an independent contractor, the RICA form will be returned to the department and the department can either proceed to the Office of Human Resources to have the service provider hired as an employee, or contact the Office of the General Counsel for more information.

IV. Once a Contract has been fully executed (signed by the service provider and an authorized representative of the College), a copy of the contract will be sent via e-mail to the department and the Office of Purchasing. The department may then commence sending invoices to Accounts Payable. ***Do not submit a check request if a contract number is assigned. Only submit invoices. Check request will be returned and may result in delay in payment.***

V. *Accounts Payable will issue payment in accordance with the Payment Process outlined in section E on page 23.*

5. INSURANCE REQUIREMENTS FOR CONTRACTS

Depending on the type of services, not the value of the service, the College may require it contractors, especially contractors whose operations extend to the premises of the College to have insurance.

After the award and prior to the start of work, the contractors may be required to provide evidence in the form of current Certificates of Insurance certifying the following **applicable** coverages. **Failure to furnish will result in work not being allowed to commence.**

When required, all contractors provide Certificates of Insurance evidencing the applicable coverage and shall maintain at their own cost and expense, the following types and amounts of primary insurance with insurers rated "A" "VII" or better by AM Best and licensed in the State of New York:

I. **WORKERS' COMPENSATION COVERAGE AND EMPLOYERS' LIABILITY**: Insurance covering all employees for Workers' Compensation in accordance with the laws of the State of New York and a minimum limit of $1,000,000.00 for Employers' Liability.

II. **AUTOMOBILE LIABILITY**: Insurance for all owned, non-owned and hired vehicles with limits of liability of at least $1,000,000.00 combined single limit per occurrence.

III. **PROFESSIONAL LIABILITY INSURANCE**: The Contractor shall maintain limits not less than $500,000.00 per occurrence and annual aggregate covering the errors and omissions of the Contractor.

IV. **COMPREHENSIVE GENERAL LIABILITY**: Insurance with a minimum of $2,000,000.00 (combined single limit). **Teachers College, Columbia University must be named as an additional insured in this policy**. Such insurance shall be primary over other collectible insurance that may apply and shall include coverage for the following indemnification:

> **"The vendor/contractor agrees to Hold Harmless, Indemnify and defend Teachers College, Columbia University, their affiliates, trustees, officers, agents and employees against any and all claims, demands or suits by any persons and against related damages, liabilities, costs and expenses (including attorney's fees) which may arise out of the performance of the contract."**

All certificates shall contain the provision that the insurance shall not be canceled for any reason, except after thirty (30) days written notice and indicate the nature of work being performed or goods/services being furnished.

Additional requirements for certain contractors as follows:

V. **BUS/TRANSPORTATION VENDORS**: Must maintain Business Auto Liability insurance coverage for all owned, non-owned or hired vehicles which **names Teachers College,**

<u>Columbia University as an additional insured</u>. For vehicles with seating capacity of eighteen (18) or more, a $5,000,000.00 combined single limit of liability is required. Vendors supplying vehicles with seating capacity of less than eighteen (18) are required to have a policy limit of $2,000,000.00.

VI. **<u>CHEMICAL WASTE AND PESTICIDE DISPOSAL CONTRACTORS</u>**: Must maintain Comprehensive General Liability insurance with a minimum combined single limit of $5,000,000.00 for bodily injury and property damage and be endorsed to include Pollution Legal Liability. Alternatively, separate, stand alone, Comprehensive General Liability and Pollution Legal Liability policies each with limits of $5,000,000.00 is acceptable.

VII. **<u>ASBESTOS REMOVAL AND MONITORING CONTRACTORS</u>**: Must maintain Pollution Legal Liability insurance with the minimum limits of $1,000,000.00 combined single limit and $3,000,000.00 in aggregate.

E. PAYMENT PROCESS

I. For consulting or honorarium payment and contracts up to $1,000

   a. After service is provided, a consulting/honorarium payment request form, check request or itemized invoice, accompanied by W-9, Form 8233 and a copy of Visa, if required are submitted to Accounts Payable.

II. For contracts over $1,000 and all purchase orders (for goods)

   a. After service is provided/goods received submit an itemized invoice which indicates how payment is made (hourly, monthly, lump sum or unit) and contains a purchase order number and the appropriate signature from the user department to accounts payable.
   b. The approver should indicate "OK to pay" on the invoice and sign and date the invoice. It is not necessary to complete a check request for these payments.

III. Time sensitive requests should be delivered by hand to Accounts Payable. Requests that are not time-sensitive may be delivered by mail.

IV. Each request is stamped to indicate the date and time the request is received (or in the case of mail, opened) by Accounts Payable.

V. Accounts Payable generally processes requests in the order received. Accounts Payable will verify the contract number on the invoice, when required and that a W-9 when required is on file. A*ccounts Payable will generally pay each invoice in approximately 14 days from the date check request or invoice is received, unless the invoice is returned to the department.*

VI. ***Do not submit a check request if a contract number is assigned. If a purchase order number (contract number) is assigned only submit invoices.***

F. Receiving / Asset Management / Property Disposal

The primary purpose of the Capital Asset Management System (CAMS) is to maintain physical accountability over the assets owned by the Teachers College. The accounting system should provide a record of the capital assets obtained over the years that are still in service and identify the funding source for the purchase and/or constructions of those assets.

"Capital assets are major assets that benefit more than a single fiscal period. Typical examples are land, improvements to land, easements, buildings, building improvements, vehicles, machinery, equipment, works of art and historical treasures, infrastructure and various intangible assets. Capital assets should be reported at their historical cost."
Source: Government Accounting, Auditing and Financial Reporting (also known as the "Blue Book") page 220.

The assets that will be monitored in the CAMS include:

- Land, easements
- Land improvements
- Buildings and their service systems
- Furniture and fixtures
- Machinery and equipment

Maintenance of the CAMS Information:

Notice of transfers and/or dispositions of monitored assets will be made via submittal of an Asset Information Form (AIF) appropriately completed and forwarded to the Business Services Office in 29 Zankel. The AIF must contain the following information:

- Capital asset identification tag number;

- Date of transfer or disposition;

- Fund and department name and code of the department sending or disposing of the asset;
  Fund and department code of the receiving department if the transaction is a transfer;

- The Building and Room codes of the asset being transferred or disposed of; the Building and Room codes of the receiving site;

- Description, manufacturer, model, and serial number of the asset to be transferred or disposed;

- Signature of the departmental liaison.

All transfers and dispositions will be performed by the departmental liaison upon approval of the form by the Business Services Office. Permanent relocation changes must be submitted immediately to provide a current record.

Transfers - Assets in Use: Transfers are to be recorded in the CAMS when the relocation of the item or the exchange of physical custody of the asset is considered permanent. If the equipment is to be temporarily loaned or relocated, and the intention is to reclaim the item or restore it to its original location in the near future, the asset record need not be changed. Note that the basic criteria for change are "intention". Transfers are usually recorded when the relocation is between building as opposed to room-to-room; or change in the custodianship (department or units within departments) of the asset. If there is relocation between buildings or a change in custodianship and AIF must be submitted to the Business Services Office in 29 Zankel. The Business Services Office will submit a work order to the Office of Facilities (if necessary) so that the item can be physically relocated. There may be a fee for the relocation of the asset.

Transfers - Surplus Property: Surplus property are those assets that are no longer needed for various reasons including the obsolescence of the equipment. The AIF will be prepared noting the transfer as "Surplus Property". The AIF will then be sent to the Business Services Office in 29 Zankel. The Business Services Office will submit a work order to the Office of Facilities (if necessary) so that the item can be physically relocated to the surplus property room. The AIF should account for the new locational data. There may be a fee for the relocation of the asset.

Disposal: A disposal represents the physical removal of an asset from custody or accountability. Assets may be removed from the CAMS due to one or more of the following reasons:

- The asset is significantly altered;
- The asset has been determined to only have a salvage value;
- The asset has been traded in;
- The asset is either lost or destroyed
- The asset has been returned to surplus.

For disposals, an AIF will be completed including the following information:

- Capital asset Identification Tag Number (If the asset has not been tagged, such as a piece of playground equipment, then utilize the computer generated capital asset identification number in the CAMS report);
- Asset Description - A short description including model and serial number will allow the business office to access the property area of the current file;
- Building and Room;
- Type of disposal;
- Comments if necessary.

For disposals that are to be sold or donated by the Teachers College, a **Release Form Agreement** <u>must</u> be filled out. (Page 47) This form <u>must</u> be signed by the authorized Teachers College seller and the receiving agent that is purchasing the asset(s) or receiving the donated asset(s).

Equipment Used Off-Campus:

Occasionally it is necessary to take moveable equipment off campus (for use at home, business travel, and off-site locations) to facilitate work-related projects.

When equipment is removed from Teachers College, a Request for Use of Equipment **Off-Campus Form**, otherwise known as a **"Property Pass"** (Appendix 10), must be completed. Removal of property must be brought through the Zankel Hall exit. Security will check for your **"Property Pass"**.

Note verification of the existence of capital assets located off-campus may be required for audit purposes. This requirement applies to all assets regardless of the source of funds used for the acquisition.

Annual Physical Inventory:

An annual physical inventory of capital assets will be conducted. Advance notice will be given to individual departments regarding specific dates. This will be under the direction of the VPFA and the Teachers College departmental liaisons. The CAMS report should be divided by building and department and given to the appropriate departmental chair for each academic department and the director for each non-academic department for verification. The following procedures should be followed:

- Capital assets that are there should be scanned or checked off;
- Capital assets that are there but not on the report should be noted with the capital asset tag number, description, and manufacture, model, and serial number when applicable;
- Capital assets that are in the report but no longer there should be noted and commented on (e.g. broken and thrown away, moved to room 102, etc.);
- Capital assets that are there but not in the report and not tagged should be noted with the description, manufacturer, model, and serial number; these assets **must** be added to the CAMS.

G. FREQUENTLY ASKED QUESTIONS

1. **Q: When do I follow the contracts process?**
   A: Whenever you want to hire a person (other than an employee) or organization to perform services. The contract process must be followed before the person or organization can commence providing services.

2. **Q: When do I need to fill out a Request for Independent Contractor Approval ("RICA") form?**
   A: Each time you intend to hire an individual or organization to perform services equal or greater than $1,000 during a fiscal year.

3. **Q: Who fills out the RICA form?**
   A: The person responsible for reviewing the services provided by the independent contractor.

4. **Q: How far in advance of the contractor's work do I have to submit the required forms?**
   A: Two weeks.

5. **Q: To whom do I submit the RICA form?**
   A: The Office of Purchasing

6. **Q: To whom do I submit the Honorarium form?**
   A: For Honoraria up to $1,000, you submit the following forms to Accounts Payable:
      1. Consulting/Honorarium Payment Request form
      2. W-9

   Honoraria over $1,000 require contracts and recipients of the honoraria are treated as independent contractors.

7. **Q: How do I request a payment for an independent contractor?**
   A1: If the payment during a fiscal year is **up to $1,000**, you submit the following documents to Accounts Payable:
      1. Check request form
      2. Itemized invoice
      3. W-9 form

   A2: If payment during a fiscal year is between **$1,000 and $2,999**, you must submit the following document to the **Office of Purchasing either in person or via TCContracts@tc.columbia.edu**:
      1. RICA form
      2. Requisition form
      3. W-9 form

   Once a Purchase Order is created and a contract number is assigned the Office of Purchasing will notify you and you can commence submitting itemized invoices to Accounts Payable for payment.

A3: If payment during a fiscal year is equal or greater than **$3,000** you must submit the following document to the **Office of Purchasing either in person or via TCContracts@tc.columbia.edu**:

1. RICA form
2. Requisition form
3. W-9 form
5. Scope of Work
6. Single Source Justification or Bids.

8. How do I know how much money a prospective service provider has been paid by the College?

A: The best way is to ask the Contractor or check BANNER.

9. Q: Once a Purchase Order or contract is in place how, do I pay an independent contractor?

A: Either in person or by mail submit an itemized invoice to Accounts Payable. Accounts Payable will issue check in accordance with the Payment Process.

10. Q: How long will it take for an independent contractor to get paid?

A: If a Purchase Order or an executed contract is required, then once it is in place, the Office of Purchasing or the Office of the General Counsel will notify you and you can commence submitting invoices to Accounts Payable. Once a proper itemized invoice is received by Accounts Payable, it will generally pay the invoice in approximately 14 days.

11. Q: Do I fill out a PAF or check request form to get an independent contractor paid?

A1: PAF is for the College's employees only – NOT independent contractors. To pay an independent contractor see answers to questions 6 and 7 above.

12. Q: Is there a difference in the way I fill out the paperwork for an independent contractor who owns a company?

A: No

13. Q: What is the PO process?

A: A Purchase is used for the both goods and services. Purchase Orders for services area assigned a "PA" number. Purchase Orders for good are assigned a "PO" number.

14. Q: Who has to sign RICA form and the Requisition form?

A: The individual designated by the department is authorized to approve consulting/honorarium payment request forms, invoices, check requests, RICA forms and requisition forms for services up to $2,999. Individuals designated by the President, Vice President or Provost (see Appendix 3) are authorized to approve contracts, RICA forms, and Requisition forms for services up to $20,000. The President, Vice President and Provost are authorized to approve contracts, RICA forms, and Requisition forms for services between $20,000 and $100,000. The Vice President for Finance and

Administration and the President, Provost or Vice President must approve contracts, RICA forms, and Requisition forms for services over $100,000.

15. **Q: Does the independent contractor have to submit an invoice?**
A: Yes. Regardless of the amount of the payment, before any payment can be made to an independent contractor, an itemized invoice with the Purchase Order number must be submitted to Accounts Payable.

16. **Q: What insurance coverage does the independent contractor need?**
A: The required insurance coverage depends on the level of risk or liability exposure of the College. A determination will be made on a case by case basis by the Office of the General Counsel.

17. **Q: Where can I find the RICA form that I have to fill out?**
A: The forms are available at RICA form and hard copies can be picked up from the Offices of the Vice Provost (113 Zankel), Office of Purchasing (29 Zankel) or the Office of the General Counsel (107 Zankel).

18. **Q: Whom do I contact for assistance with filling out the RICA form?**
A: For assistance contact the Office of the General Counsel at (212) 678-6637 or the Office of Purchasing at (212) 678-3138.

Appendix 1a

TEACHERS COLLEGE

C O L U M B I A   U N I V E R S I T Y

R E Q U I S I T I O N

PO #____________________
For Purchasing Use

PLEASE PRINT OR TYPE.
ILLEGIBLE OR INCOMPLETE FORMS WILL BE RETURNED.

Page _____ of _____ 1

Requested by: 2	Rm & Bldg: 3	Box #: 4	Tel. #: 5
Department: 6	Deliver To Name: 7	Required Delivery Date: 8	

Recommended Vendor--Address/Zip Code 9	Comments: 14
10	
11	
Attn: 12 / Tel. 13	

Item	Commodity Code For Purchasing Use	Description	Quantity	U/M	Unit Price	Ext. Price
15	16	17	18	19	20	21
25		Index Number: 22		Account Number: 23		Total: 24

Date:___________ 26 ___________ 27 Fax: ☐ Confirming: ☐ Bearer: ☐ Mail: ☐ Call In: ☐

Approved by: __________________________________

Appendix 1b -How to Complete the Requisition Form

STEP #	KEY TERM	*WHAT YOU FILL IN*
1	Page ____ of ____	• Number of each page in first blank • Number of total pages in second blank
2	Requested by	• Name of person requesting the order
3	Rm. & Bldg.	• Room number and building name where the package is to be delivered (i.e., your office, the department office).
4	Box #	• Box number of person requesting the order—where the third copy will be returned with the Purchase Order Number for your records.
5	Tel. #	• Telephone number of the person requesting the order.
6	Department	• Name of the department from which the order is being placed.
7	Deliver to Name	• Name of the person who will be in the Room & Building where the package will be delivered.
8	Required Delivery Date	• The date you need the product(s). **All rushes must be approved by Patricia or Tom <u>before</u> the order is processed.**
9	Recommended Company	• Name of Company
10	Address	• Street address of company
11	City/State/Zip	• City, State, Zip Code of company
12	Attn.	• Company's contact person
13	Tel.	• Company contact's telephone number
14	Comments	• Specify any important instructions or comments not noted elsewhere, e.g., "dept. will fax, please call "
15	Item	• Simply number each item ordered, **including noted shipping charges**.
16	Commodity Code	• Leave blank— For Purchasing Use Only.
17	Description	• Stock and model number and brief description of the item.
18	Quantity	• The quantity ordered for each particular item
19	U/M	• Unit of Measurement (i.e., each, box, doz., etc.)
20	Unit Price	• The **discounted** price for each individual item
21	Extended Price	• The Unit Price multiplied by the Quantity of items, equals the Extended Price.
22	Index #	• The six-digit index number of the department budget that will be charged for the order.
23	Acct. #	• The four-digit Account Number appropriate for the items being ordered (e.g., Office Supplies = #7112) as found in the Chart of Accounts—**see list in this guide**.
24	Total	• The total of all the "Extended Prices" for the entire order.
25	Approved by	• Signature of the person in the department **who is authorized to approve the order**.
26	Date	• Date Requisition is signed
27	Fax	• Fax—the order will be faxed to the vendor.
	Confirming	• Confirming—the order has already been called-in—just needs a Purchase Order to confirm it.
	Bearer	• Bearer—a department representative picks up the order.
	Mail	• Mail—the order will be mailed to the vendor.
	Call in	• Call in—the order will be called in to the vendor. **Most vendors require a hard copy before processing the order. If you do not check any box, your order will be mailed.**

Appendix 2 - 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
	Consumable Supplies		**Hospitality and Entertainment**
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		
7116	Computer Supplies		**Equipment Repair/ Maintenance**
7119	Supplies - other	7421	Equipment Repair/Maintenance
		7422	Computer Hardware Maintenance
	Books and Publications	7423	Computer Software Maintenance
7121	Books and Publications	7424	Repair and Maintenance - other
7122	Subscriptions	7425	Maintenance Contracts
7123	Catalogs		
			Memberships/Subscriptions
	General Expenses	7611	Subscriptions
7131	Postage/Packaging/Handling	7612	Membership Fees
7132	Direct Mail		
7133	Express Mail		**Special Payments**
7134	Messenger Service	7621	Payments to Participants
		7622	Honoraria
	Printing and Stationary	7623	Fees for Cooperating Teachers
7151	Stationary	7624	Merchandise for Resale
7152	Printing & Business Cards		
7153	Promotion Copy Expense		**Employee Relations**
		7631	Recruitment Advertising
	Lease Expense	7632	Relocation Moving Expense
7162	Equipment Lease	7633	Professional Development
		7634	Prizes, Awards and Plaques
	Equipment Non-Cap.		
	***under* $1,000 per item**		**Buildings**
7181	Lab & Instruction Equip.	7922	Capital Alterations/Improvements
7L82	Furniture & Fixtures		
7183	Computer-Related Equip.		**Equipment, Furniture/Fixtures**
7184	PC Software		***over* $1,000 or full renovations**
7188	Equipment - other	7931	Equipment
7189	Gifts - other	7932	Computers and Peripherals
		7933	Capitalized Software
	Travel & Related Exp.	7934	Furniture & Fixtures
7311	Travel Expenses		
7312	Faculty Travel Expenses		

Appendix 3 - Authorized Signing Authority

This document, granting limited signatory authority to the parties listed under the heading "Authority to Sign," is intended to convey responsibility and authority for the execution of contracts to persons other than the President of Teachers College. Those to whom signatory authority is delegated by this document may further delegate this authority only after receiving written approval from the Vice President for Finance and Administration. Any person signing a College contract without proper authorization may be subject to disciplinary action, including dismissal.

Persons Authorized to Sign Contracts and Requisitions

The individuals listed in the box below are "Authorized to Sign" Contracts Requisitions between $3,000-$24,999

President's Office	**Provost – Academic Affairs**	**Finance and Administration**	**Development & External Affairs**	**Diversity and Community Affairs**
Susan Fuhrman	Tom James	Harvey Spector	Suzanne Murphy	Janice Robinson
Scott Fahey	O. Roger Anderson	Randy Glazer	Scott Rubin	
Nancy Streim	William Baldwin	Ena Haines	Jim Gardner	
Lori Fox	John Black	James Mitchell		
Tom Corcoran	George Bond	Henry Perkowski		
	W. Warner Burke	Carole Saltz		
	Katie Embree	Omar Mayyasi		
	Gary Natriello	Laura O'Connell		
	Steve Peverly			
	Marjorie Siegel			
	Steven Silverman			
	Ruth Vinz			
	Elizabeth Willen			
	Jeff Henig			
	Marie Miville			
	Ernest Morrell			

Persons authorized to sign Check Requests (within the limits set below)

- **Check Requests (For up to $1,000 in goods or services for a fiscal year)**
  The Accounts Payable Department will pay check requests which are approved by the responsible person (as shown in BANNER budget forms) or departmental administrator for each respective index as well as 1 additional designee as assigned by the responsible person. If you wish to create a designee or change a signor, please contact Daysi Molina at ext 3016.

Purchase Requisitions

- **Approving a Requisition - $1,000-$2,999**
  When the College has more than $1,000 of business with a vendor during a fiscal year, a PO must be created. For requisitions between $1,000 and $2,999, the responsible person (as shown in BANNER budget forms) or budget administrator may sign the requisition.
- **Approving a Contract and Requisition - $3,000-$24,999**
  When the College has more than $3,000 of business with a vendor during a fiscal year, a contract must be created. For requisitions and contracts between $3,000 - $19,999, individuals which are assigned by the respective VP or Provost has signatory authority (see table above). These individuals are predominantly Department Chairs or individuals reporting directly to the Vice President.
- **Approving a Contract and Requisition - $25,000-$99,999**
  All contracts and requisitions between $20,000 - $99,999 must be approved by a Vice President ***or*** the Provost.
- **Approving a Contract and Requisition $100,000 +**
  All contracts and requisition over $100,000 must be approved by the respective Vice President ***and*** the Vice President for Finance and Administration.

Paying an Invoice for which a PO has been created

- **Paying an Invoice for which a PO has been created**

The Accounts Payable Department will pay invoices against a PO if the invoice is approved by the applicable index responsible person (as shown in BANNER budget forms), departmental administrator or additional designee. The list of authorized individuals is identical those who may approve check requests.

The approver should indicate “OK to pay” on the invoice and sign and date the invoice. It is not necessary to complete a check request for these payments.

Appendix 4 - Single Source Justification

SELECTION CRITERIA: SINGLE SOURCE JUSTIFICATION

If total contract amount (fees plus expenses) is $3,000 (three thousand dollars) or more, describe the full justification for the selection as a Single Source procurement by checking all that apply and explain where necessary.

_____ The services are obtainable from only one source:

____ sole provider of a licensed or patented service

____ sole provider of service established as standard (please provide evidence of such standard).

____ sole provider of factory-authorized warranty service

_____ The provider of the services has unique qualifications.

_____ An emergency or other circumstance exists which makes competition impractical or inappropriate.

_____ Reasonable price

_____ Other (please explain)

Explain why the service requested is the only one that can satisfy your requirements, as well as why alternatives are unacceptable. Be specific with regards to specifications

ATTACH ADDITIONAL SHEETS IF NECESSARY

Appendix 5 - Task Order Notification Form

(For Office of Facilities, Office of Capital Projects, Office of Environmental Health and Safety, Office of Residential Services)

DEPARTMENT: ____

PROJECT MANAGER: ___________________________________-___________

VENDOR SELECTED: ____

DATE OF EMERGENCY: ____

REASON FOR VENDOR SELECTION: __________________________________

EMERGENCY DESCRIPTION:

____

____

____

DEPARTMENT DIRECTOR'S SIGNATURE: ______________________________

DATE:____

Appendix 6 - Sample Scope of Work

A Scope of Work is a description of the services to be provided by the service provider. The Scope of Work should contain sufficient detail about the services (bench marks, timeline, deliverables) to which the service provider can be held accountable prior to any payment. The Scope of Work must also describe how the service provider will be paid (hourly, monthly, lump sum) and the total or not to exceed amount of all payment(s).

SAMPLE –

I. The Project: The College's Department of ABC is conducting a forum for educators in the field of mathematics and science. An article will be published in November 2008. The article will be targeted towards educators in the area of mathematics and science and will address the industry's interest technological advances and other new developments in the areas of mathematics and science.

II. Services: Consultant shall be responsible for organizing and conducting the forum and writing an article which will be published on the College's website and in a major national newspaper. The Consultant shall work closely with Department of ABC to select guest speakers and organize the various segments of the forum. The article shall be targeted towards educators in the field of mathematics and science to help them understand the new technological advances and other developments in the areas of mathematics and science. The deadline for the first draft is October 15, 2008. Revisions will be requested within 10 days of the College's receipt of your first draft. The final document must be edited with your assistance, and submitted to the copy editor by October 15, 2008.

III. Consultant's Fee for Services: Consultant shall be paid $3,000 per hour organizing and conducting the forum and $1.00 per word, based on the final edited document. The Consultant's service shall not exceed $10,000.

Appendix 7 - Purchasing Card Policy

I. Purpose Of The Purchasing Card Program

a. The College seeks to provide a cost-effective and convenient way of doing business based upon the community's needs, sound business practices, and compliance with external regulations. The purpose of this policy is to provide guidelines and consistency for College personnel regarding use of the Purchasing Card. The Purchase Card (P-Card) may become the preferred payment method for most non-travel related small dollar purchases of merchandise and services (under $ 500 per transaction) by Teachers College departments. The P-Card will replace some blanket purchase orders, some reimbursement requests, some petty cash forms, and associated paperwork with small dollar item purchases. The P-Card should reduce the time spent purchasing and paying for small-dollar, high volume transactions while maintaining adequate controls.

II. Policy For Use

a. Teachers College, Columbia University (the College) sponsors the purchasing card, issued by JP Morgan Chase that allows designated individuals to make specific business-related purchases to be paid for directly by the College. The purchasing card will be issued to an employee after appropriate forms are completed and the employee receives approval from her/his supervisor, Provost, V.P. By signing the card agreement, the employee is agreeing to comply with program rules and regulations. No other individual is permitted to use the card assigned to a particular cardholder. The cardholder is responsible for the appropriate use of the card. Although the card is issued to an individual, it remains the property of the College and may be rescinded at any time. The card should be used only for the types of purchases described in these policies and procedures.

Appendix 8 - Catering Policy

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. Theresa Tower, 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 Assistant Vice President For Campus and Auxiliary Services.

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 9 - Sample Request for Proposal (RFP)

TEACHERS COLLEGE, COLUMBIA UNIVERSITY
REQUEST FOR PROPOSAL / BID

Project Title: ___________________________

Date: _________

A. GENERAL INFORMATION

Teachers College, Columbia University ("Teachers College" or "College") requests proposals from qualified vendors to ____

B. ABOUT TEACHERS COLLEGE

Teachers College is a diverse community passionately committed to improving society through education. And, while one-third of our students are enrolled in teacher education programs, TC students pursue careers in such diverse fields as psychology, health, communication, instructional technology, higher education, and leadership, just to name a few of our offerings.

Teachers College is a long-distinguished graduate school dedicated to the preparation of professionals in education, psychology and the health services. Founded in 1887, Teachers College became affiliated with Columbia University in 1898 but retains legal and financial independence. The institution remains a separate corporation with its own Trustees who are responsible for general oversight of its affairs and finances. There are over 5,300 students of which half attend the College on a part-time basis. In addition to its matriculating student body, the College attracts a large number of non-credit, non-matriculating students and alumni who pursue continuing education and professional development activities. Located in New York City's Morningside Heights, the College owns and operates seven (7) academic buildings and seven (7) residential buildings occupying approximately 1,000,000 square feet. The campus is located on one city block and sites contiguous are within two blocks.
Optional – Additional information about department/office/program requesting proposal:

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

C. SCOPE OF WORK

D. TIME FRAME

The project state date is ____________________ and completion date is _______________

E. REFERENCES AND QUALIFICATIONS

Provide a brief history and description of your firm. The description should include the size (number of employees and/or revenues) and areas of specialization. Provide this same information for the office that will provide services to the College, along with the following:

A. State whether the firm is local, regional or national.

B. Give the location of the office which will be handling this account.

C. Describe the experience of the firm in performing the services outlined in section C. Relevant experience that best demonstrates the firm's ability to provide the services requested in this RFP should be detailed and highlighted (please include relevant experience in higher education).

D. Provide a list of at least _____ references where your firm has performed a similar scope of work. References should include:

1. Name of Higher Education Institution or firm where services were performed
2. Contact person, Phone number(s), and Location of contract.

E. Experience and Qualifications of Staff **-** The proposer shall identify the specific individual who will have overall responsibility for providing the services to the College and the team members that will be responsible for providing the required services and the specific role each will have in execution of the contract. Relevant experience that best demonstrates each team member's ability to provide the services requested in this RFP should be detailed and highlighted.

F. ADDITIONAL INFORMATION

The information in this RFP is confidential and is intended only for those to whom the College has sent this document. This document should not be shared with others without the expressed consent of Teachers College Columbia University.

All proposals, whether accepted or rejected, shall become the property of Teachers College. The College may request to hear oral presentations from the top ranked respondents. Respondents must have qualified personnel available for oral presentations upon short notice.

The College reserves the right to reject any and all proposals and to request additional proposals or to negotiate modifications of submitted proposals if deemed necessary and in the best interest of the College to do so. The College reserves the right to waive minor irregularities in the proposals.

Should proposals require additional clarification and/or supplementary information, firms should be prepared to submit such additional clarification and/or supplementary information, in a timely manner, when so requested.

The College reserves the right to alter, amend, or modify any provisions of this RFP, or to withdraw this RFP at any time prior to the award of a contract pursuant hereto, if it is in the best interest of the College to do so. The decision of the College will be final in this regard.
The College reserves the right to accept or reject any or all proposals and the College shall be the sole judge of the proposers' qualifications.

G. PROJECT DELIVERABLES

H. PROPOSAL SUBMITTAL

Your complete proposal detailing sections C, D, E, F, G and the cost for these services should be submitted via _____ hard copies with original signatures and _____ electronic copy by ____________ to the person listed below. The College Terms and Conditions included in this RFP will make up the final contract that is developed for this scope of work.

Name of person to whom responses should be sent:

Name: _______________________________________

Title: _______________________________________

Address: _____________________________________

____

Phone: _____________________________________

Email: ______________________________________

Appendix 10 – Asset Management Forms

Request for Use of Equipment Off Campus

"Property Pass"

*This form **must** be used to request permission to take capital assets for use off campus.*

To: ______________________________
Departmental Responsible Person

From: ______________________________
Staff Member

I hereby request authorization to use the following Teachers College, Columbia University equipment at ______________________________
(Location)

from ____________ **(Date)** to ____________ **(Date)**

Bar Code Tag Number(s): ______________________________

Description of Equipment: ______________________________

____

Purpose: This equipment will be used for ______________________________

____

____

____
Staff Member's Signature **Date**

The above equipment is needed in the performance of a College activity away from the campus and removal of the equipment for the time indicated will not impair existing programs in the ____________________ Department.

____
Departmental Approval **Date**
(VP, AVP or Chair)

____

The above equipment has been returned:

____
Staff Member's Signature **Date**

____
Departmental Approval **Date**
(VP, AVP or Chair)

Original: General Accounting - 175 Grace Dodge, Box 30
CC: Shipping/Receiving
Departmental files
Staff Members

Teachers College Columbia University
Asset Information Form

FORM-AIF

EFFECTIVE DATE:

GENERAL INFORMATION

If asset transfer - use this section to indicate where asset is being transferred

Fixed Asset Tag # |_|_|_|_|_|_|_|_|_|_| Fund & Dept # |_|_|_|_|_|_|_|_|

Building # |_|_|_|_|_|_|_|_|_|_| Room # |_|_|_|_|_|_|_|_|

If asset transfer - use this section to indicate where asset was transferred from

Fixed Asset Tag # |_|_|_|_|_|_|_|_|_|_| Fund & Dept # |_|_|_|_|_|_|_|_|

Building # |_|_|_|_| Room # |_|_|_|_|_|_|_|_|

Description |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|
(35 CHARACTERS)

Manufacturer |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_| Account |_|_|_|_|_|

Model # |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_| Acq Date |_|_|_|_|_|_|_|_|_|

Serial # |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_| Hist Cost $|_|_|_|_|_|_|_|.|_|_|

PO # |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_| RCN $|_|_|_|_|_|_|_|.|_|_|

TRANSACTIONS

[ ] **Acqusition**	[ ] **Transfer**	[ ] **Disposal**
[ ] Purchase	[ ] Asset in Use	[ ] Theft
[ ] Constructed	[ ] To Surplus	[ ] Lost
[ ] Exchange/Trade	[ ] From Surplus	[ ] Destroyed
[ ] Donation	[ ] Permanent	[ ] Traded
[ ] Other (EXPLAIN IN COMMENTS)	[ ] Temporary	[ ] Salvage
		[ ] Altered

Comments: ____

PREPARED BY: **Date:**

ENTERED INTO FAMS BY: **Date:**

Teachers College, Columbia University
525 West 120th Street
New York, NY 10027

Equipment, Furniture, or Fixture Release Form Agreement

Teachers College, Columbia University, this day of ________________________________

Authorizes the: **(fill in one line only)**

Donation of____
OR
Purchase of____
for the sum of $_______________

To________________________________ of ____
(hereafter known as the receiving agent), with the specific understanding that said above mentioned item(s) will be removed by the receiving agent at their own expense and liability within thirty (30) days of this agreement from the colleges premises at a mutually agreed upon appointed date.

It is further understood that the donated or purchased item(s) shall be used properly and solely for the purposes for which they were originally intended, under safe conditions, and under all circumstances, the receiving agent will release Teachers College, Columbia University of any and all liability of said item(s) hereafter and assume all physical, legal and financial liability.

It is so agreed.

______________________________________ ___________
Authorized TC sellers signature date

______________________________________ ___________
Receiving agent signature date