



# **Campus Purchasing User Manual**

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[www.upstate.edu/finance/campus\\_purchasing\\_division\\_page.php](http://www.upstate.edu/finance/campus_purchasing_division_page.php)

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## INTRODUCTION

Campus Purchasing is responsible for procurement for the University's non-patient care areas, Campus Administrative Offices, the Research Foundation, as well as several shared service departments including Office of Design and Construction, Marketing and Physical Plant.

The department is dedicated to providing service to the Upstate Medical University community in a timely, efficient, and cost-effective manner, in accordance with existing regulations. This guide is intended to provide a quick reference on the procedures, forms, and available services as related to the Campus Purchasing Department.

If you have any questions, please contact x4-5720 and you will be directed to the appropriate staff member.

## PURCHASING SERVICES AVAILABLE

**Consulting:** Provide information about products, vendors, and delivery; assist with the development of Request for Proposal or Invitation for Bid specifications.

**Negotiating:** Contracts and price agreements.

**Evaluation:** Contracts; vendor performance; reasonableness of price.

**Support:** Placing and expediting orders; resolving disputes.

**Purchasing Orientation for New Personnel:** Briefings can be arranged for new employees who are involved in processing requisitions for departmental needs.

**Purchase Planning:** Purchasing can assist in developing a purchasing plan for cyclical, seasonal, and budgetary variations by working with the department to set up blanket or standing orders.

# STATE & RESEARCH PURCHASE AUTHORIZATION PROCEDURE (SELF-SERVE)

Please refer to the manual on Self-Serve (<http://selfserve.upstate.edu>) for instruction on how to obtain purchase authorization. For further assistance, contact the IMT Help Desk at x4-4115.

## PURCHASING REQUIREMENTS

As a result of the complexity of various requirements and the timeline involved, it is imperative that departments contact the Purchasing department when considering purchases over \$2,500.

Please refer to *Purchasing Thresholds*, on the Contracts and Campus Purchasing webpage regarding various purchasing thresholds.

The purchasing thresholds are as follows:

Up to \$49,999.99: No requirement for solicitations of bids or proposals. Three (3) quotes are required to be solicited. Reasonableness Of Price (ROP) is required. When the same suppliers are used repeatedly within a year for various procurements within this range, pricing and quality of the goods and services then this can be used to support ROP.

\$50,000 to \$124,999.99: Solicitation of bids or proposals required, and procurement requires selection from a minimum of three written quotes. This threshold requires a discretionary NYSCRAD as to be listed for fifteen (15) business days. This threshold also requires assignment of M/WBE & SDVOB goals. Any single/sole source procurements at this threshold will require an approved exemption request from OSC.

\$125,000 to \$149,999.99: Solicitation of written bids or proposals required, and procurement requires selection from a minimum of five (5) sealed formal written bids or proposals. This threshold requires a individual NYSCRAD as to be listed for fifteen (15) business days. This threshold also requires assignment of M/WBE & SDVOB goals. Any single/sole source procurements at this threshold will require an approved exemption request from OSC.

Over \$150,000: Solicitation of written bids or proposals required, and procurement requires selection from a minimum of five (5) sealed formal written bids or proposals. This threshold requires a individual NYSCRAD as to be listed for fifteen (15) business days. This threshold also requires assignment of M/WBE & SDVOB goals. This threshold requires AG/OSC approvals. Any single/sole source procurements at this threshold will require an approved exemption request from OSC.

#### *Bid Tiebreaker*

In the event two offers are found to be substantially equivalent, price shall be the basis for determining the award recipient. Should pricing be the same, Upstate Medical University's procedure for a tie breaker is completed in the following manner:

- 1) One of the vendors is a New York State certified minority-owned, women owned business enterprise (M/WBE) or Service-Disabled Veteran Owned Business (SDVOB).
- 2) The location of vendor, using the address of the principal place of business
  - (a) Syracuse area
  - (b) Central New York
  - (c) New York State
  - (d) Northeast Region of the United States, as defined by the United States Census Bureau, comprising of nine states: Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, and Vermont.
- 3) Names drawn from a basket or hat by a Purchasing Designee.

#### *Criteria for Sole & Single Source*

A sole source is a procurement in which only one vendor is capable of supplying the required commodity or service. The unique nature of the requirement and determination of why no other vendor could provide the commodity or service is required as part of a written justification.

A single source is a procurement in which although two or more vendors can supply the required commodity or service it is determined that there are material and substantial reasons to award a contract to one vendor over another that are documented in a written justification.

Refer to *Single/Sole Source Form* on the Campus Purchasing webpage for a copy of the form to complete and include with your requisition. Please review and incorporate the following guidelines in your detailed justification:

**Product Information**

- Include general information and description of product or service (attach specification sheet if available).
- List brand, model number, and manufacturer of requested item.
- Describe how the product will be used – what it is supposed to do.

**Justification for Vendor/Model Choice**

- Specify feature or use unique to the product or service.
- Describe how the unique feature(s) are pertinent to your requirements.
- List other models or brands of the item which were considered and an explanation of why they were unacceptable.

**Justification for Particular Vendor (Single Source) •**

Explain why only this vendor is acceptable.

- If no competition exists as substantiated by inquiries, list vendors contacted and vendor response/explanation.

*NYS Finance Law §139*

For purchases of \$15,000 and above that are not covered under state contract, the State of New York requires SFL §139 forms to be completed by the vendor. The purpose of this form is to ensure that the vendor is aware of the finance law, that the vendor or their representatives cannot make inappropriate contacts during the bid process in an attempt to influence the bid process, and that the vendor agrees to comply. The form also requires that the vendor report if any governmental entity made a finding of non-responsibility against the vendor in the past four (4) years. Any employee of SUNY Upstate Medical University who may be aware of an inappropriate contact must document it and report it to their purchasing department. Please be aware that your order cannot be processed without this form from the vendor.

*Placement of Emergency or Rush Orders*

1. **Online Requisition:** To place an emergency or rush order, submit a requisition online through the Self-Serve Purchasing application. When creating the requisition, select Rush Shipping in the shipping field. A tutorial for placing requisitions online can be found here:

[http://www.upstate.edu/finance/pdf/how\\_to\\_submit\\_an\\_order\\_on\\_self\\_serve.pdf](http://www.upstate.edu/finance/pdf/how_to_submit_an_order_on_self_serve.pdf)

2. **Orders Placed by the Department:** Any order placed by the department requires prior authorization from Purchasing. The department should submit a purchase requisition to Campus Purchasing with a request for a verbal purchase order number. The request will be reviewed by the Purchasing department and the department will be contacted.

#### *Payment for Non-Authorized Purchases*

Under no circumstance should an order be placed by an individual/department without a legitimate purchase order number. According to the Office of the State Comptroller: "A state employee who directs a vendor to start providing goods or services without an approved contract (Purchase Order) may be personally liable for any indebtedness that is ultimately held to be owed to the contractor (vendor)."

1. A department or employee must not place an order to any vendor without a purchase order number issued from an Upstate Medical University Purchasing Department. Invoices that arrive without a valid purchase order number but reference a requisition number, a date, or a person's name, will be sent to the appropriate administrator for resolution.
2. If an employee makes a purchase on his/her own and submits receipts for reimbursement, reimbursement cannot be guaranteed. Reimbursement will be contingent upon approval by the appropriate Administrator and will be limited to budget allocation available. Reimbursement will be made based on any Upstate Medical University existing contract pricing, where applicable, not the price that the employee paid. Any taxes paid by the employee will not be reimbursed.

#### *Service Repairs*

Upstate Medical University utilizes the Cobblestone contract management system for tracking contracts and service agreements. End users will receive alerts notifying them of expiring contracts and service agreements. End users should work with Campus Purchasing to determine if services are still needed, and if necessary, ensure a new agreement is in place to avoid a lapse of service.

1. **On-Site Warranty/Maintenance Agreement:** Department should contact vendor to arrange for warranty or maintenance agreement service repairs utilizing the assigned purchase order number for that agreement.
2. **On-Site Non-Warranty:** Department should call vendor to plan for repair and send a requisition to Campus Purchasing to obtain a purchase order number. The approximate cost of repair should be noted on the requisition and any applicable estimates attached. Please note if the anticipated repair will exceed \$2,499.99 then ROP will need to be established along with any other threshold requirements.
3. **Off-Site Warranty and Non-Warranty:** If equipment or material must be shipped off-site for repair, the department should contact the vendor for approval prior to submitting a requisition to Campus Purchasing. A requisition must be submitted and indicate the following:
  - The problem
  - Estimated cost of repair (if non-warranty)
  - Estimated value of item being returned
  - Physical location of the equipment that is to be returned for repair

All invoices (with the Purchase Order number referenced) should be sent by the vendor to:

Mail:	<b><u>State</u></b>	<b><u>Research</u></b>
	SUNY Upstate Medical University	Research Foundation of
	SUNY Accounts Payable Department	Accounts Payable
	Department 750 East Adams Street	750 East Adams Street
	Syracuse, NY 13210	Syracuse, NY 13210

E-Mail: For both State and Research [accountspayable@upstate.edu](mailto:accountspayable@upstate.edu).

**For all AP inquiries and for past due invoices** please email [accountspayable@upstate.edu](mailto:accountspayable@upstate.edu).



## *Travel Payments to Vendors*

Upstate Medical University will pay mileage to any vendor whose place of business is more than thirty-five miles away. Mileage will be paid at the current IRS mileage rate.

Mileage will be paid at the shortest distance from the vendor's place of business to Upstate Medical University. Example: The vendor's corporate home is in Pennsylvania, but the vendor has field offices in New York. Mileage will be paid for the shortest distance from the New York field office to Upstate Medical University.

The mileage referenced above will be paid for one vehicle only.

Upstate Medical University will not pay arrival fees or zone fees charged by the vendor.

ANY TRAVEL RELATED QUESTIONS SHOULD BE SUBMITTED TO  
TRAVEL/ACCOUNTS PAYABLE.

## **PREPARING A STATE PURCHASE REQUISITION**

State purchase requisitions must be completed and submitted through Self-Serve.

*\*\*Please note that purchase requisitions submitted via any other manner will not be accepted. \*\**

### *Online Requisition*

The online requisition is located on the AIS Self-Serve under the *Applications* purchasing link.

All Department Directors/Principal Investigators have been authorized to use this system. All others will need to have to complete the signature authorization process online through Self-Serve. A tutorial for signature authorization can be found on the Campus Purchasing web page.

1. **Account Number:** The account numbers to be charges for the expenditure.
2. **Requisition Status:**
  - a. Incomplete: Required fields to complete the requisition are missing
  - b. In Progress: Requisition is still being prepared and cannot be ordered or changed by Purchasing. Department can keep open to make

additions/changes to the requisition before it's processed by Purchasing.

- c. Denied: There is not enough allocation in the selected account to cover the requested Purchase. Please reach out to Finance to resolve the account issue.
  - d. Ready to Approve: Requisition needs approval so that it can be submitted to Purchasing.
  - e. Approved: Order submitted to Purchasing to process. A requisition in approved status cannot be modified or deleted by the end user.
  - f. Reviewing: Requisition under review by Purchasing. The requisition cannot be modified or deleted by anyone other than Purchasing.
  - g. Ordered: Ordered by Purchasing; a purchase order has been added to the requisition along with comments from the Purchasing dept.
  - h. Ordered/Pending Typing: Order has been placed and the physical PO is waiting to be typed.
  - i. Pending End-User Action: The order is waiting for additional info from the requisitioner prior to their ability to place the order.
  - j. Pending Vendor Action: The order is waiting for the Vendor to provide required documentation to process the order.
  - k. Paid: Order paid by Accounts Payable. This is dependent upon Accounts Payable updating the status.
- 2. **Need Date:** The date that the merchandise is needed by.
  - 3. **Dept / Building / Room / Attention:** Indicates the department, building, and room number where the Receiving Department will deliver the merchandise. The attention should be the name of the person to receive the merchandise.
  - 4. **Supplier:** Vendor (including address, phone, email) suggested by the department for the item(s) to be purchased. The supplier can also be the individual to be reimbursed or paid as an independent contractor. Use one vendor per requisition. (Vendor may be changed by Purchasing subject to policy, pricing, availability, etc.)
  - 5. **Pricing:** Pricing information, including any quotes, should be indicated.
  - 6. **Comments:** Include any special attention needed to place the order; promo information, splitting costs between other P/T/A numbers, etc.
  - 7. **Attachment:** Attach quotes, invoices, etc.
  - 8. **Catalog #:** Sequential number of individual items to be ordered.

9. **Description:** A brief but complete description of the item to be purchased. This should also indicate the size and packaging of items (i.e.: 10 packs/case)
10. **Quantity:** Number of items requested
11. **Unit:** Unit of issue (i.e.: each, case, doze, pack, etc.)
12. **Price:** The price for each unit to be ordered (if known)
13. **Save / Reset:** Click save to complete and save the order or reset to cancel.

## PREPARING A RESEARCH PURCHASE REQUISITION

Research purchase requisitions must be completed and submitted through Self-Serve.

*\*\*Please note that purchase requisitions submitted via any other manner will not be accepted. \*\**

### *Online Requisition*

The online requisition is located on the AIS Self-Serve under the *Applications* purchasing link.

All Principal Investigators have been authorized to use this system. All others will need to have the PI complete the signature authorization process online through Self-Serve. A tutorial for signature authorization can be found on the Campus Purchasing web page.

1. **PTA:** The project, task, award numbers to be charges for the expenditure
2. **Requisition Status:**
  - a. Incomplete: Required fields to complete the requisition are missing
  - b. In Progress: Requisition is still being prepared and cannot be ordered or changed by Purchasing. Department can keep open to make additions/changes to the requisition before it's processed by Purchasing.

- c. Denied: There is not enough allocation in the selected account to cover the requested Purchase. Please reach out to Finance to resolve the account issue.
  - d. Ready to Approve: Requisition needs approval so that it can be submitted to Purchasing.
  - e. Approved: Order submitted to Purchasing to process. A requisition in approved status cannot be modified or deleted by the end user.
  - f. Reviewing: Requisition under review by Purchasing. The requisition cannot be modified or deleted by anyone other than Purchasing.
  - g. Ordered: Ordered by Purchasing; a purchase order has been added to the requisition along with comments from the Purchasing dept.
  - h. Ordered/Pending Typing: Order has been placed and the physical PO is waiting to be typed.
  - i. Pending End-User Action: The order is waiting for additional info from the requisitioner prior to their ability to place the order.
  - j. Pending Vendor Action: The order is waiting for the Vendor to provide required documentation to process the order.
  - k. Paid: Order paid by Accounts Payable. This is dependent upon Accounts Payable updating the status.
15. **Need Date:** The date that the merchandise is needed by
  16. **Dept / Building / Room / Attention:** Indicates the department, building, and room number where the Receiving Department will deliver the merchandise. The attention should be the name of the person to receive the merchandise.
  17. **Supplier:** Vendor (including address, phone, email) suggested by the department for the item(s) to be purchased. The supplier can also be the individual to be reimbursed or paid as an independent contractor. Use one vendor per requisition. (Vendor may be changed by Purchasing subject to policy, pricing, availability, etc.)
  18. **Pricing:** Pricing information, including any quotes, should be indicated.
  19. **Comments:** Include any special attention needed to place the order; promo information, splitting costs between other P/T/A numbers, etc.
  20. **Attachment:** Attach quotes, invoices, etc.
  21. **Catalog #:** Sequential number of individual items to be ordered.
  22. **Description:** A brief but complete description of the item to be purchased. This should also indicate the size and packaging of items (i.e.: 10 packs/case)
  23. **Quantity:** Number of items requested

- 24. **Unit:** Unit of issue (i.e.: each, case, doze, pack, etc.)
- 25. **Price:** The price for each unit to be ordered (if known)
- 26. **Save / Reset:** Click save to complete and save the order or reset to cancel.

## SPECIAL PURCHASES

### *Radioactive Orders*

All radioactive orders shall be requested by an authorized user and with the approval of the Radiation Safety Department (UH 636). Please contact the Radiation Safety department at x4- 6510 for an authorization application. All requests must be reviewed and approved by the Radiation Safety Committee.

#### **To place an order:**

1. Complete a purchase requisition. Be sure to include:
  - a) material requested
  - b) quantity
  - c) specific activity
  - d) date needed
  - e) researcher's name
2. The requester must forward a completed requisition and clearance card to the Radiation Safety Department, where Radiation Safety will log and assign a Radiation Safety Office (RSO) authorization number. Radiation Safety will then forward the clearance card and requisition to Purchasing. All radioactive orders are to be placed by Purchasing and will be delivered directly to the Radiation Safety Office. Radiation Safety will notify the requisitioner when the material is received.

Please refer to *Radiation Safety Card* on the Campus Purchasing webpage for a sample.

For more information regarding radiation safety please visit the department's website: <http://www.upstate.edu/radiationsafety/>.

### *Human Cadavers*

Human cadavers cannot be procured through Purchasing. Departments should contact the Gross Anatomy Program for information on the procurement of human cadavers.

## *Live Animal Orders*

All animal orders are approved through the Department of Laboratory Animal Resources prior to ordering, along with Sponsored Programs Approval for anything \$5k and over using RF funding. Arrangements for non-commercial source animals must be made directly through DLAR. Requisitions for animal orders must be received in Purchasing by NOON the Friday before the week of delivery. Please note our normal turn time for processing requisitions is 4-5 days so plan accordingly.

All information below is required on the requisition:

- Vendor name
- Species – rat, mouse, primate
- Strain – Sprague Dawley, Balb/C
- Stock number or catalog number must be on the order
- Quantity of animals
- Sex of animals
- Weight or age range of animals
- Date of arrival
- Investigator Name – Must match the CHUA number
- Department Name
- CHUA number
- Project/Task/Award or State account number to charge

Standing orders are strongly recommended to ensure the animals are available at the weight range or age necessary for the research. Special arrangements can be made to have deliveries of animals Monday – Thursday with DLAR approval. Arrangements for animal shipments on Friday are prohibited. Purchasing will place all animal orders with the appropriate vendors for delivery the following scheduled delivery day of Tuesday, finalize information with DLAR and contact the end user if any changes are necessary.

Taconic Farms, Charles River Laboratories, Jackson Laboratories and Envigo make deliveries to our institution on Tuesdays.

Non-Commercial Source Animal Deliveries: Arrangements for non-commercial source animals (transgenic mice from another research institution) must be made directly through the DLAR office. DLAR arranges to have the shipping charges billed back to the investigator. DLAR issues a tracking number when each

shipment is approved for receipt following review of health information from the source institution.

Pig, sheep, and goat orders are made directly through the DLAR office, x4-6563.

For more information regarding lab animal resources please visit the department's website: <http://www.upstate.edu/dlar/>.

#### *Animal Tissues/Products/Whole Dead Animals*

Investigators generally tend to freely obtain animal tissues from their colleagues and the exchange bypasses the Purchasing Department all together. However, there may be a rare occasion when it is necessary to actually purchase the animal tissues or whole dead animal.

In most cases the use of animal tissues, products, and whole dead animals does not require an Institutional Animal Care and Use Committee (IACUC) approved protocol. However, prior to placing future orders of animal tissues, products or whole dead animals, a completed Use of Animal Tissues/Products Form must be submitted to Purchasing with a completed requisition. This form can be obtained here: [http://www.upstate.edu/iacuc/files/animaltissues\\_products.docx](http://www.upstate.edu/iacuc/files/animaltissues_products.docx) Purchasing will contact the IACUC Office prior to completing the procurement.

For more information regarding the Institutional Animal Care and Use Committee (IACUC), please visit the committee's website: <http://www.upstate.edu/iacuc/>.

#### *Subscriptions, Memberships, Dues, and Other Prepaid Items*

For State accounts, all subscriptions and memberships must be submitted in the name of SUNY Upstate Medical University at Syracuse and department name or title, not in an individual's name. If an institutional subscription/membership is unavailable and a personal subscription/membership is required, a written justification must be submitted to Purchasing for Accounts Payable review along with the requisition. The justification should state how the subscription/membership will relate to and benefit the mission of SUNY Upstate Medical University at Syracuse. For Research accounts, subscriptions may be processed in the Researcher's name.

If your subscriptions, memberships, or dues require prepayment, please submit the following:

1. An approved requisition with applicable membership account information;

2. Back-up documentation – a letter, proforma invoice, order form, or brochure from the vendor that states the following:
  - a) vendor name, address and telephone number
  - b) description of item or service being rendered
  - c) price

Without proper back-up documentation, the order may be delayed. Accounts Payable will not pre-pay an order without back-up.

### *Desktop Delivery for Office Supplies*

Upstate Medical University participates in an online desktop delivery program for office supplies through an approved contract vendor.

To participate in the program, contact Campus Purchasing to obtain a *User Set-up Information Form*. The form should be completed and signed by an authorized signatory. Please, forward the completed *User Set-Up Information Form* to Purchasing. Once your profile has been entered into the vendor's system, you will receive an email with login instructions.

If an item says "restricted" or "not purchasable" you must submit a signed requisition to our office.

## **PROCUREMENT/CREDIT CARDS**

Research Foundation Bank of America VISA card: Research Foundation has implemented a corporate purchasing card that can be used for travel expenses (in accordance with the Research Foundation travel guidelines), memberships, registration, subscriptions, meeting expenses, and small dollar purchases as allowable per the award. The VISA corporate card is available to non- restricted awards, with the exclusion of Medical Service Group awards.

State Chase J.P. Morgan VISA Procurement Card: State University of New York campuses use an alternative procurement method when making small dollar purchases.

Transactions limits are generally set at \$2,500 with a monthly limit of \$10,000. NYS Purchasing and Upstate Policy guidelines still apply when making purchases. Vendor selection is encouraged from Preferred Source, NYS OGS Contract Vendors, and Minority/Women owned businesses. The Procurement



card cannot be used for travel. Please contact the Travel Office to inquire about travel arrangements.

For more information or to request a Research Foundation or State Procurement card contact:

Campus – State/Research Foundation: Shawna Frigon  
[Frigons@upstate.edu](mailto:Frigons@upstate.edu) x4-5720

Hospital Purchasing: Christine Lake  
[Lakec@upstate.edu](mailto:Lakec@upstate.edu) x4-6039

Please refer to the Campus Purchasing webpage for further information on State and Research credit cards.

## **PERSONAL REIMBURSEMENTS**

All requests for personal reimbursements must include the following:

- a.) Completed and signed requisition
- b.) Justification for purchase and rationale for circumventing the policies of Campus Purchasing
- c.) Proof of payment (receipt, front/back of reconciled check, invoice, bank or credit card statement)
- d.) An individual may not authorize their own reimbursement.

The following items are not reimbursable expenses:

- a.) New York State sales tax
- b.) Alcohol purchases (on State accounts)
- c.) Any delivery made to an address other than an Upstate facility. Please refer to Upstate's policy CAMP F-08 (6.17)
- d.) Gifts (for State)
- e.) Any charges above and beyond the State per diem rate for business-related meals
- f.) Equipment (computers, tablets, printers) cannot be reimbursed.
- g.) E-Bay purchase (State and Research)

For more information on shipping items to outside locations, please visit [http://www.upstate.edu/policies/documents/intra/CAMP\\_F-08.pdf](http://www.upstate.edu/policies/documents/intra/CAMP_F-08.pdf).

Please contact Accounts Payable for any additional reimbursement allowability clarifications.

## MOVING EXPENSE REIMBURSEMENT

Moving expense reimbursement is an incentive (not a requirement) used to attract some employment candidates. Eligibility must be approved prior to the appointment of the employee and is contingent upon its necessity as an incentive for hire. All reimbursement is subject to Internal Revenue Service (IRS) tax guidelines and sponsor policy. **Please note that as a result of The Federal Tax Cuts and Jobs Act signed into law on December 22, 2017, reimbursement of moving expenses must now be included in the employee's federal taxable gross income and applicable taxes must be withheld.**

Eligibility: A person may be eligible for reimbursement if he or she is appointed for more than one (1) year to a full-time position (State and RF), a Research Foundation employee transferred to another location for the convenience of the Research Foundation or University. State employees must be reimbursed from State funding and Research Foundation employees must be reimbursed from Research Foundation funding.

No reimbursement for moving and travel expenses shall be made unless such reimbursement is approved by the appropriate appointing officer.

The following criteria must be met to reimburse moving expenses:

- 1.) The claim should be made within sixty (60) days of the effective date of the appointment.
- 2.) The individual must contact three moving companies and obtain quotes. The individual must select the lowest quoted price. The individual must prepay for the expense and be reimbursed.
- 3.) The items moved must be household and personal goods. Household and personal goods included reasonable items of furniture (couches, lamps), furnishings, clothing (including children's clothing), appliances, tools etc.
- 4.) The sponsor must allow the expenditure(s) (Research).
- 5.) The distance between the old and new place of employment must meet IRS standards.
- 6.) Total reimbursement for all moving expenses may not exceed 12,000 lbs.

### *Reimbursable Expenses*

The following moving expenses are reimbursable:

- 1.) Basic costs of loading, transporting, and unloading household and personal goods. Handling costs for such items as pianos, refrigerators, and freezers are also considered basic costs.
- 2.) Mileage for one vehicle at the moving mileage government rate.
- 3.) Tolls for one vehicle and if the individual opts to move themselves then tolls for U-Haul only.
- 4.) If U-Haul is used, then gas for the U-Haul only is reimbursable.
- 5.) The shortest distance from the current home to the new home must be used, and only one trip will be reimbursed. Multiple pick-up locations are not allowed for moving company.

Costs that cannot be reimbursed include Hotels, Meals, Airfare, Towing or shipping of vehicles/boats/snowmobiles etc., no multiple trips, and house hunting trips.

Once the individual has paid for their move, the department must submit the following paperwork to Accounts Payable; Standard Voucher, Multipart Paper Purchase Requisition, Request for Reimbursement for Moving Expense Agreement Form, All Original Paid Receipts, Copies of the Bill of Lading listing items moved and Mileage Form.

The reimbursement cannot take place until after the individual receives their first paycheck as reimbursement is processed through Payroll. If you have questions about moving reimbursement, feel free to contact the Director of Payroll Services.

### *Laboratory Moves*

Three written quotes should be obtained through the Request for Quote process. Quotes should include insurance. If there is specialized equipment that needs to be moved, i.e., refrigeration units, freezers, flow cytometers, etc. that require a specific company handling, then this would be a separate move and a sole source justification would need to be submitted for that item.

All quotes need to be submitted to the Dean's Office designee prior to scheduling the move. The Dean's Office will then submit a purchase requisition through Self-Serve to obtain a Purchase Order for the move. Purchasing will work directly with the moving

company to make sure all required documentation is obtained, and the move can be scheduled.

Laboratory moves from other States are governed by the same guideline.

## HUMAN SUBJECT PAYMENTS

All payments made to individuals in Clinical Trials are subject to IRS Tax requirements. The Research Foundation reports payments made to human subjects that total \$600 or more in a calendar year. This amount is the total from all participant payments regardless of form (e.g., cash, gift card, Research Foundation Clinical card, etc.) and Clinical Trial. An individual can be paid from more than one Research Foundation trial, as well as from different Research Foundation institutions. Therefore, we are required to collect social security information to endure proper accumulated values and reporting.

To best serve our faculty conducting Clinical Trials, payment options for human subjects have been updated. Additionally, a standard required tracking log will be mandatory. Hopefully the following improvements will offer flexibility to our faculty while providing the business offices with the required IRS tax information to properly track and report such payments to ensure neither the institution nor the subject are at risk for being fined by the IRS.

Provided payment meets sponsor guidelines, the current payment options for human subjects are:

1. **Payment to the Subject Directly:** Submit a Research Foundation purchase requisition through Self-Serve and attach the Human Subject Payment form. This is the preferred method of payment and allows for flawless tracking for IRS purposes.
2. **Petty Cash:** Petty cash payments will be acceptable when paying subjects \$100 or less per visit. This method will require additional tracking in order to release funds to the Principal Investigator.
3. **Research Foundation Clinical Cards:** The Research Foundation has collaborated with Bank of America and is not offering re-loadable clinical cards for those studies that have subjects who are paid multiple times for any given study. These cards cannot be used for one-time subject payments. There currently isn't any charge to the study for using these clinical cards; the set-up fees and reloading fees are paid on behalf of the Research Foundation. There is a small delay when setting this process up since all transactions are handled at the Research

Foundation Central Office in Albany and not locally on campus. Please contact Campus Purchasing for details.

If a Principal Investigator would like to make payments to subjects using the petty cash method, a requisition should be submitted to the Campus Purchasing Department to initially set up the account. A Microsoft Excel spreadsheet must be established by the department which tracks the subject payment. The following information should be included on the spreadsheet:

1. Subject Number
2. Name
3. Address
4. Social Security Number
5. Amount Paid
6. Date of Services
7. Project/Task/Award
8. Principal Investigator

As the petty cash funds become exhausted and prior to requesting any additional funds, the above information needs to be sent to Campus Purchasing (in Microsoft Excel format), along with a purchase requisition. The tracking document will need to be signed by the Principal Investigator. Accounts Payable will keep track of these payments to ensure we are within IRS tax reporting requirements.

If the subject is a child, the social security number of that child should be provided. In the event the child does not have a social security number, or the parent/guardian refuses to provide the number, the name of the subject shall be provided along with a unique subject number so that proper tracking can be done.

If there are situations where providing a subject name causes privacy issues, then a subject number will be acceptable. However, if any de-identified subjects are paid over \$600 in a calendar year, Accounts Payable will reach out to the Principal Investigator and request the name and contact information of that subject for the purpose of submitting that information to the Research Foundation for the release of an IRS 1099 reportable income form.

Although the Research Foundation has waived the requirement of a completed W-9 form for the initial processing of Clinical Trial Human Subject payments, if it has been determined that the subject requires a 1099, the subject may be asked to provide a W9 to ensure correctness.

Some additional changes will be made in Sponsored Programs Post Award to help facilitate subject payment options. At the time of award establishment, the Principal

Investigator and/or study coordinator will be contacted to discuss payment options to their subject participants.

## **CONFERENCE REGISTRATIONS**

All conference registration whether in-person or virtual are submitted and processed through Travel in Accounts Payable. Submission do not get entered into Self-Serve. Please reach out to Travel for their submission process.

The only fee that goes through Purchasing is the payment of fees for Upstate to obtain a table/booth. This should be submitted through Self-Serve with a pre-payment form approval signed along with a statement of the benefit of Upstate by having a table/booth at said conference.

## **INDEPENDENT CONTRACTORS**

People who are in an independent trade, business, or profession in which they offer their services are generally independent contractors. However, whether these people are independent contractors or employees depend on the facts in each case. Therefore, prior to engaging services, review will need to be made by Human Resources.

ANY INDEPENDENT CONTRACTOR QUESTIONS SHOULD BE SUBMITTED TO HUMAN RESOURCES AND OR SPONSORED PROGRAMS.

Please use the following steps when engaging services of an independent contractor:

- a.) Submit a completed Request for Advance Approval for Independent Contractor form to Human Resources, Jacobsen Hall;
- b.) Human Resources will either approve or deny the request and notify the requestor;

- c.) If approved (Research only), Human Resources will forward Advance Approval form to Sponsored Programs in order to review for any award restrictions;
- d.) After approval has been made, the requestor should submit a completed requisition to Campus Purchasing for the entire amount of the contractor agreement. Campus Purchasing will assign a purchase order number to be used throughout the contract term.

When hiring a lecturer, advanced approval is not needed, however the lecturer will need to complete a NYS Substitute W-9 form. Please complete a requisition, attach the invoice for services, and include lecture backup documentation.

When engaging an independent contractor of foreign status, please contact Campus Purchasing for required IRS forms.

Downloadable forms are can be found at the following link [Independent Contractors](#) to the Human Resources website.

#### *Honorariums*

The department should have the speaker fill out the NYS Substitute Form W-9 before submitting the requisition for reimbursement.

For a copy of the substitute W-9 please visit:

[http://www.osc.state.ny.us/vendors/forms/ac3237s\\_fe.pdf](http://www.osc.state.ny.us/vendors/forms/ac3237s_fe.pdf).

## **SUPPLY CENTER PROGRAMS**

There is one supply center located on campus in Weiskotten Hall. The center accommodates Researchers who need products for immediate use. The supply center offers waived shipping charges, no hazard fees or dry ice charges, and reduced pricing.

*Bio-Rad Supply Center:* Contains polymerases, reagents, enzymes, nucleic acids, detection kits, buffers, and stains. The supply center is located in Biochemistry, WH 4261.

Before utilizing the Bio-Rad Supply Center please create a user account by visiting [Bio-Rad Freezer](#) to obtain products from the Bio-Rad Supply Center, a purchase order number is required. The requisitioner should submit a requisition to

Campus Purchasing, x4-4599. Purchasing will contact the requisitioner with a purchase order number.

## RETURNING AN ITEM

If an item must be returned for credit or exchange, contact Purchasing as soon as a problem is detected and relay all significant details, including:

- a) Purchase Order number
- b) Reason for return/exchange
- c) Company's packing list number or reference number.

## PURCHASE OF EQUIPMENT

Evaluation of equipment requirements, including any installation, is required for all equipment purchases. Please complete [Form F81029, Request for Approval Equipment Technical Specification](#), and forward, along with the vendor's specs, to the appropriate department for review. The approved form must be attached to your requisition.

Form F81029 should be forwarded to the following departments for approval:

- a.) Physical Plant – All equipment purchases
- b.) Clinical Engineering – Any patient related equipment
- c.) IMT – Any equipment requiring communications technology.
- d.) Radiation Safety Officer – Any equipment involving radioactive material

## CAMPUS CONTRACTS

Campus Purchasing administers several University-wide contracts.

Lab Coat Service: Campus Purchasing coordinates and maintains a lab coat rental service. This service is available to any administrative personnel and staff.

Departments interested in obtaining lab coat services should call x4-5720.

Outbound Air Freight Service: A special pricing agreement has been negotiated for outbound air express shipments. All State and Research Foundation funded departments, as well as medical service groups, are eligible to participate in the outbound air freight program, contact the Director of Accounts Payable.



# M/WBE DEVELOPMENT PROGRAM

It is the official policy of the State University of New York and Upstate Medical University to take affirmative action to ensure that minority and women-owned business enterprises (M/WBEs) are given the opportunity to provide goods and services at competitive prices. NYS, the Governor's Office and the SUNY Board of Trustees expects 30% of all purchases to be made with certified NYS Minority and Women owned businesses.

## *Good Faith Effort*

[NYS Executive Law Article 15-A](#) and University policy require campuses, and the vendors and contractors with whom they do business, to make a good faith effort to procure materials, supplies, equipment and services (including printing) from NYS certified minority or women-owned businesses (M/WBEs) and meet University established goals for M/WBE participation in contracts.

## Additional Elements of a Good Faith Effort for Discretionary Procurements (not exceeding

\$200,000.00): SUNY Purchasing and Contracting policies & procedures are consistent with NYS State Finance Law §163, where commodities or services are available from New York State certified M/WBEs, purchases may be made by the University in amounts not exceeding \$200,000 without competitive bidding. However, the discretionary threshold to \$200K for procurements from small, minority- and women-owned business does NOT apply to construction & construction-related services. The campuses are required to document in the procurement record support for both the reasonableness of the price and the selection of the vendor.

Advertising requirements under NYS Economic Development Law still apply.

For more information regarding Upstate's M/WBE program please visit the Diversity Program's website: <http://www.upstate.edu/finance/mwbe/index.php>.

A database of certified M/WBE businesses is available through the NYS Contract System:

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=4687>.

## **PREFERRED SOURCES (STATE FUNDS ONLY)**

Organizations or agencies authorized to furnish commodities under preferred source legislation are:

[New York State Preferred Source Program \(NYSPSP\)](#)

[Department of Correctional Services Division of Industries](#)

[\(CORCRAFT\) New York State Industries for the Disabled](#)

[\(NYSID\)](#)

All State agencies, political subdivisions and public benefit corporations (which includes most public authorities), are required to purchase approved products and services from preferred sources in accordance with the procedures and requirements. Purchases from preferred sources take precedence over all other sources of supply and competitive procurement methods.