

Caltech

Topics

Changes to Research Subcontracts

- Creating the Research Subcontract**
- Change Orders/Request for Modifications**
- Invoices: Final/Not Final**
- Sneak Peak of the CCT Module**

Topics

Changes to Research Subcontracts

- ❑ **Creating the Research Subcontract**

Contract Compliance Tracker (CCT)

Purpose:

Provide a robust tool for creating, maintaining and managing contracts. CCT integrates supplier contracts into the purchasing process, including contract rules & restrictions, buying instructions and behind-the-scene price validations, while tracking procurement spend against contracts.

Negotiators Process:

- Receive Requisition for Research Subcontracts on Research Subcontract Declining Balance Form
- Create CCT Contract (tracks spend, reqs and invoices and renewals)
- Assign Req to CCT Contract #, place PO
- Create Cost Receipt

Contract Compliance Tracker (CCT)

Benefits:

- Maintain a centralized contract repository for all procurement contracts ie: Research Subcontracts, MPA's
- Make contracts readily available to both end users and Purchasing
- Optimize use of contracts, and improve overall contract compliance
- Ensure price compliance and spend within designated budgets
- Alert contract managers and stakeholders of renewals and spending thresholds, and take advantage of pre-negotiated volume discounts

Contract Compliance Tracker (CCT)

CCT Functionality:

- Purchasing will be the only delegates to create CCT contracts, however, Campus can request contracts via a non-catalog research subcontract declining balance form.

Contract Compliance Tracker (CCT)

Contract Types:

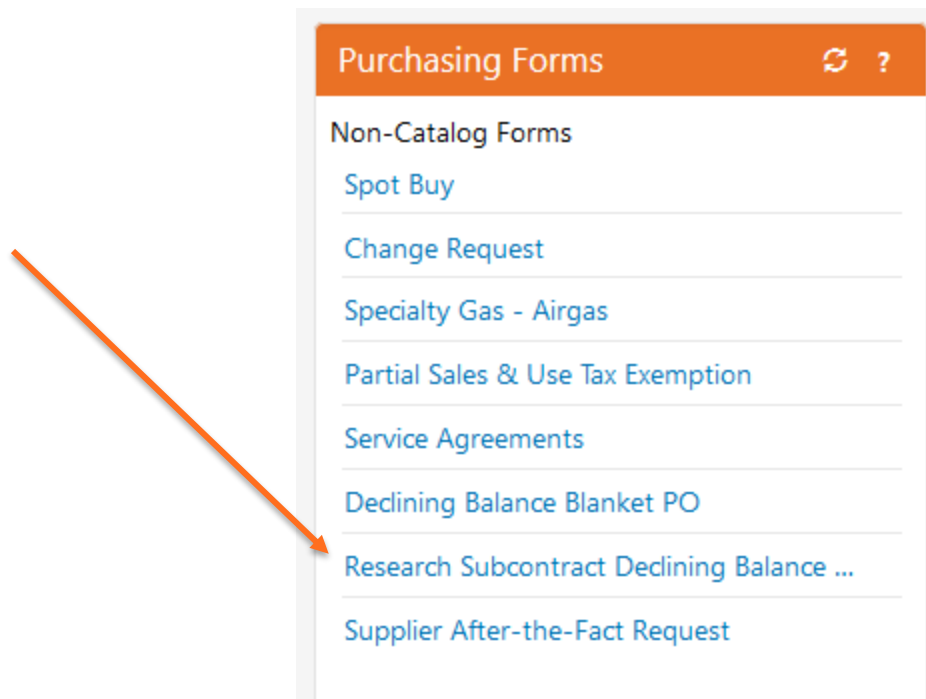
Currently, we have 2 contract types:

1. Research Subcontracts
2. Master Purchase Agreements (MPA)

Contract Compliance Tracker (CCT)

Requesting a Research Subcontract:





Select the Research Subcontract Declining Balance PO



Contract Compliance Tracker (CCT)

Instructions:

- Identifies what this Form is to be used for

Research Subcontract De...	Instructions	Request Actions ▾ History ?
Form Number 120271 Purpose Procurement Request Status Incomplete	Caltech This form will create a Research Subcontract Declining Balance PO in TechMart. A Declining Balance purchase order should only be used for services that are for multiple months and when there is not a consistent payment or set payment schedule. NOTE: Once a requisition is created from this form, you must associate the correct contract number to the requisition. A Declining Balance purchase order requires a cost receipt.	
Instructions		
Details 		
Suppliers 		
Attachments 		
Form Fields 		
Review and Submit		

[Next >](#)

Contract Compliance Tracker (CCT)

Details:

- Update the Payee/Supplier name to the Subrecipient's name

Research Subcontract De...	Details
Form Number 120271	Payee/Supplier name [★] <input type="text" value="Research Subcontract Declining Bal"/>
Purpose Procurement Request	Purpose Procurement Request
Status Incomplete	Template Title Research Subcontract Declining Balance PO
Instructions	Form Type Research Subcontract
Details ✓	Currency USD
Suppliers ✓	
Attachments ✓	
Form Fields ✓	
Review and Submit	

★ Required

Contract Compliance Tracker (CCT)

Suppliers:

- Where it states “Supplier”, type in the desired Supplier name and select “Search”
 - Disregard the other fields

Research Subcontract De... **Suppliers** Request Actions ▾ | History | ?

Form Number **120609**
Purpose **Procurement Request**
Status **Incomplete**

Instructions
Details ✓
Suppliers ✓
Attachments ✓
Form Fields ✓
Review and Submit

Supplier Please select a fulfillment center below.

[Modify Search](#)

Search Registered Suppliers

Supplier
Relationship
Zip Code Within

Clear

Contract Compliance Tracker (CCT)

Suppliers:

- If multiple Suppliers populate, select the desired Supplier and Fulfillment Center
 - If you cannot find the Supplier, type in “New Supplier”

Research Subcontract De... **Suppliers** [Request Actions](#) [History](#) [?](#)

Form Number **120609**
Purpose **Procurement Request**
Status **Incomplete**

Instructions
Details

Suppliers

Attachments
Form Fields
Review and Submit

Supplier **COLORADO STATE UNIVERSITY**
PO-RAPID: Morgan Library Accounting Services, 1019 Campus Delivery, Fort Collins, CO 80523-1019 US

[Modify Search](#)

1-11 of 11 Results 20 Per Page





Supplier Name	Doing Business As	Fulfillment Centers	Action
COLORADO PRECISION PRODUCTS INC		PO-BOULDER 2400 Central Ave, Ste C, Boulder, CO 80301 US	<input type="button" value="Select"/>
COLORADO SEMINARY dba UNIVERSITY OF DENVER		PO-DENVER Return to Mary K Gadd, PO Box 101562, Denver, CO 80250 US	<input type="button" value="Select"/>
COLORADO STATE TREASURER		No Address	
COLORADO STATE UNIVERSITY		PO-RAPID Morgan Library Accounting Services, 1019 Campus Delivery, Fort Collins, CO 80523-1019 US	Selected
		PO-CHEMISTRY Dept of Chemistry, Accounts Payable, Fort Collins, CO 80523 US	<input type="button" value="Select"/>
		PO-MACROMOLECUL MACROMOLECULAR RESOURCES, BIOCHEM MRB 355, Fort Collins, CO 80523 US	<input type="button" value="Select"/>


[Previous](#) [Next](#)



Contract Compliance Tracker (CCT)

Attachments:

- In this section, attach any necessary/required documentation
- You can have multiple attachments within this section

Research Subcontract De...	Attachments
Form Number 120271	
Purpose Procurement Request	
Status Incomplete	
Instructions	
Details 	
Suppliers 	
Attachments 	
Form Fields 	
Review and Submit	

#	Attachment
1	 Test Attachment

Contract Compliance Tracker (CCT)

Form Fields:

- Information
 - PI Name
 - Description of Research Subcontract
- Line Detail
 - Quantity of lines needed
 - If basic exceeds \$25,000.00, add 2 lines:
 - 1st \$25K
 - Over \$25K
 - Start/End Date
- Special Handling Instructions
 - Option to send PO out to Supplier upon final approval

Contract Compliance Tracker (CCT)


Form Fields:


Close Preview


Research Subcontract De...


Form Number	126968
Purpose	Procurement Request
Status	Preview


Instructions

Details 

Suppliers 

Attachments 

Item Attribute Defaults 

Form Fields 

Review and Submit

Form Fields - PO Details

▼ **On This Page**

- Information (2)
- Line Detail (8)
- Special handling instructions (1)

▼ **Information**

Caltech PI Name:

Description: ★

2000 characters remaining

Contract Compliance Tracker (CCT)

▼ Line Detail

How many lines do you need? ★

2

Line 1 amount:

Unit Price 1.00 USD Quantity 25,000.0000 Total 0.00 USD

Unit of Measure EA - Each

Product Description

Line 1: 1st \$25K

984 characters remaining

Taxable No

Line 2 amount:

Unit Price 1.00 USD Quantity 10,000.0000 Total 0.00 USD

Unit of Measure EA - Each

Product Description


Line 2: Balance for Year 1 funding

966 characters remaining


Taxable No

Contract Compliance Tracker (CCT)


Start Date for this action


mm/dd/yyyy


End Date for this action


mm/dd/yyyy

Estimated Project Period Start Date


mm/dd/yyyy

Estimated Project Period End Date


mm/dd/yyyy

Special handling instructions

If this is a New Supplier, please enter New Supplier information below

2000 characters remaining

Send PO to vendor?

Yes No

Select "No"



Contract Compliance Tracker (CCT)

Review & Submit:

- Verify all information is complete
- Select “Add and go to Cart” to be redirected to the Shopping Cart page.

Research Subcontract De... **Review and Submit** Request Actions ▾ History 📄 ?

Form Number **120594**
Purpose **Procurement Request**
Status **Incomplete**

Instructions
Details ✓
Suppliers ✓
Attachments ✓
Form Fields ✓

Review and Submit

✓ Required Fields Complete

Section	Progress
Details	✓ Required Fields Complete
Suppliers	✓ Required Fields Complete
Attachments	✓ Required Fields Complete
Form Fields	✓ Required Fields Complete

◀ Previous Add to Favorites **Add and go to Cart** ▾

Contract Compliance Tracker (CCT)

Shopping Cart:

- Once you are at the Shopping Cart page, you will proceed as standard.
- At this screen you can see that tax was not applied

Shopping Cart [Continue Shopping](#)


Name this cart:
Share my cart with others

35,000 Item(s) for a total of **35,000.00** USD
subtotal: 35,000.00 USD
estimated tax, shipping & handling: 0.00 USD

[Proceed to Checkout](#)

Have you made changes? [Update](#) [Print](#) [Help](#) [Empty Cart](#) [Create New Cart](#) Perform an action on (0 items selected)... [Select All](#)

UNIVERSITY OF MIAMI [more info...](#)
PO-RESEARCH [Edit](#)
Research Support Services and Admin, PO Box 248298, Ferre Bldg, Rm 126, Coral Gables, FL 33123-8298 US

Product Description	Unit Price	Quantity	Total	<input type="checkbox"/>
 Colorado Univesity Pl: Bjorkman open form... Contract <i>None selected</i> choose contract...	Update		35,000.00 USD	<input type="checkbox"/>
	More Actions ▼	Sales Tax	0.00 USD	
		Shipping	0.00 USD	
		Handling	0.00 USD	
Line 1: First \$25K Taxable <input type="checkbox"/>	1.00 USD	25,000	25,000.00 USD	
		EA		
Line 2: Balance of Year 1 Taxable <input type="checkbox"/>	1.00 USD	10,000	10,000.00 USD	
		EA		
Supplier subtotal			35,000.00 USD	

Contract Compliance Tracker (CCT)

Shopping Cart:

- Select your Financial Approver, if required
- Provide your PTAE, if not populated
- Verify your Dept Code is entered
- Place Order

Contract Compliance Tracker (CCT)

Next Steps:

- A Negotiator will be assigned your Research Subcontract
- They will create a CCT contract with a corresponding CCT Number
- They will link the CCT Number to the Requisition
- They will place the order
- Jaggaer PO number will be generated
- **PO will be issued to Supplier by Negotiator**
- Negotiator will create the Cost Receipt (similar to an Oracle release)
- Suppliers will be instructed to send invoices to our Digital Mail Room

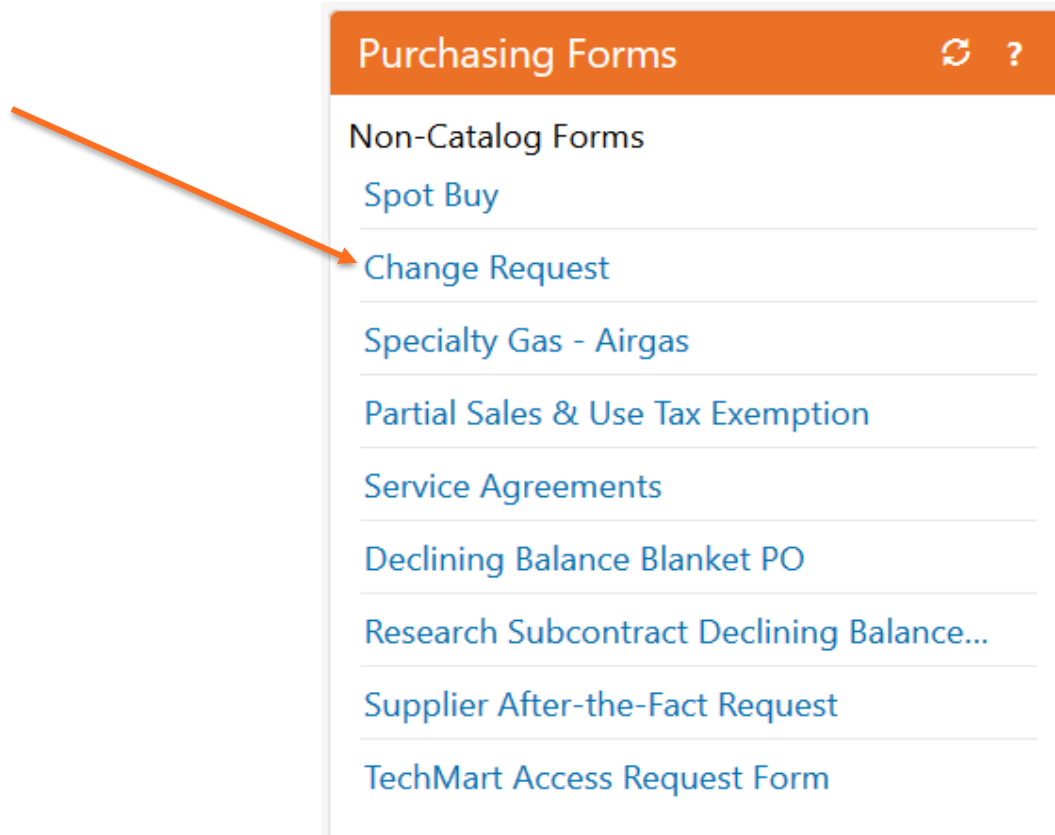
Topics

Changes to Research Subcontracts

- Change Orders/Request for Modifications

Requests for Modifications

- Like our current process, the Requisitioner/Grant Manager will select the “Change Order” form, and fill it out.



Requests for Modifications

- In the Shopping Cart, you will need to select the CCT Contract, so that this can link to vouchers/payments.

Shopping Cart


Name this cart:

Share my cart with others

Have you made changes?

UNIVERSITY OF MIAMI [more info...](#)
PO-RESEARCH
Research Support Services and Admin, PO Box 248298, Ferre Bldg, Rm 126, C

Product Description

 [Research Subcontract Test](#) [open form...](#)

Part Number n/a

Contract *None selected* [choose contract...](#)

Taxable

Select a Price and Contract Here

Step 1: Select a Price Step 2: Select a Contract

Price set

currency

USD

500.00 USD

No Contract

C-SUBAWRD000020 (University of Miami)

RS - 37 (University of Miami PI: Bjorkman)
Award summary



Requests for Modifications

- You will know if you successfully linked the CCT Contract # to the Change order if you see the Contract # appear in your Shopping Cart.

Shopping Cart

Name this cart:

Share my cart with others


Have you made changes?  |  [Help](#)

UNIVERSITY OF MIAMI [more info...](#)

PO-RESEARCH

Research Support Services and Admin, PO Box 248298, Ferre Bldg, Rm 126, Coral Gables, FL 3312

Product Description



[Research Subcontract Test](#) [open form...](#)

Part Number n/a

Contract [C-SUBAWRD000020](#) ▾ [more info...](#)
University of Miami [change...](#)

Taxable

Requests for Modifications

- NOTE: If your CCT contract has expired, you will not be able to select it. The Negotiator handling your Research Subcontract will need to extend the date and then link it.

Requests for Modifications

Next Steps:

- A Negotiator will be assigned your Change Order
- If you forgot to link the CCT number to the Change order (or did not have the ability to link because the contract has expired) , your Negotiator will do it for you.
- The Negotiator will go into Oracle, pull up the PO and complete the Change Order (ie: add a line, increase funding or extend P.O.P.)
- Negotiator will create the Cost Receipt (similar to an Oracle release)
- Negotiator will send Modification to subrecipient

Topics

Changes to Research Subcontracts

- Invoices: Final/Not Final (Open Discussion)**

Invoice: Final/Not Final

- All Subcontract invoices will go to AP for review.

 **Subcontract Invoice Review [6 results]**

- AP will always reach out to the identified Invoice Owner via "Comments" and ask if this is the "Final" invoice and request approval to pay the invoice

18033903880002

eppendorf

Invoice Page 1 / 2

Please note this on your correspondence

CALIFORNIA INST OF TECHNOLOGY
RAIMOND SERVICE
MAIL CODE 102-8
1101 BHP CALIFORNIA BLVD.
PASADENA CA 91125
USA

Customer No. 4110948592 Invoice no. 400072712 Date 02-08-2018

Contact: Jomonika Tamaschka
Telephone: +1 800 645 3550
Fax: +1 800 741 6236
Email: ar@eppendorf.com
Payment Due Date: 01-08-2018

Currency: USD
Payment terms: net 30
Vehicle: 30 days due net

Delivery address:
4100485
California Institute of Technology
RAIMOND SERVICE
Berman Institute #1 131-74
316 S. MILLIKEN AVE
PASADENA, CA 91125
USA

Terms of delivery:
FOB Shipper (Incoterms 2010)

Please visit www.eppendorf.com/terms to view Eppendorf North America's Terms and Conditions of Sale.

Item	Qty & UOM	Part NO. & Description	Unit price	Total price
Delivery Number: 8307289 / 02-08-2018				
Shipped Via: 0000000000 SERVICES PRO ground				
Shipped Date: 02-08-2018				
Tracking Number: 180339038800029293				
P.O. Number: 24-826468 / 28-080-0017 7003892				
Sales Order Number: 3283952 / 18-080-0017				
10	1 EA	212808212 0 8000-00 COPF 5410L, SE, M/2x4L, SMC - PP 2017-01 Evolva Clonable 2000	8,135.00	
		Taxcode: T 212808212	21.00	
20	1 EA	418980000 SHIPPING CHARGES	0.01	0.01
		Sales District: 88 00 Taxcode: 9		
Items Total				8,156.01
Tax				487.83
Total				8,643.84

18033903880002

eppendorf

Add Comment

This will add a comment to the document. If you select a user they will receive an email indicating that a comment has been added to the document.

Email notification(s):

- AP1 (Prepared by) <cynthia.rowand@caltech.edu>
- Caltech Approver (Approved) <genelle.vinci@caltech.edu>
- Susan Dollar (Prepared for, Receipt Creator, Requisition prepared by) <susan.dollar@caltech.edu>
- Genelle Vinci <genelle.meyer@caltech.edu>

[add email recipient...](#)

Hello Grant Manager.
Can you indicate if this is the final invoice?
Can you let me know if this is approved for payment?

876 characters remaining

Attach file to this document (optional):

Attachment Type

File Name

File No file selected.

Add Comment

Close

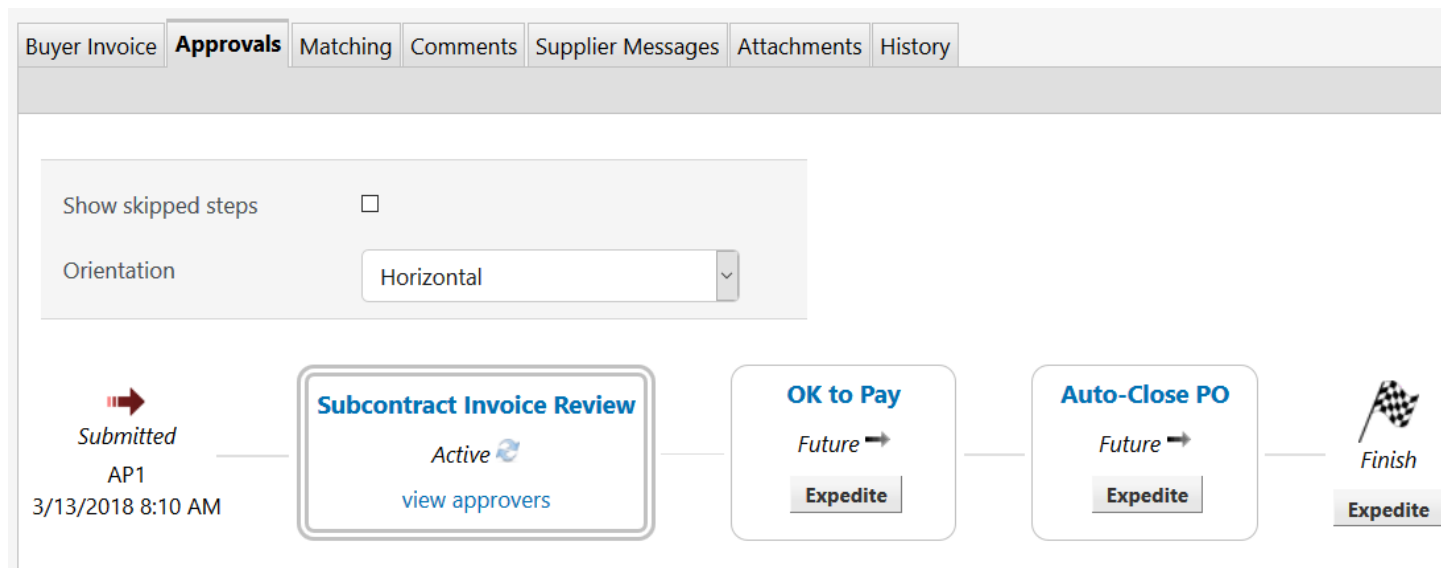
Invoice: Final/Not Final

- The Grant Manager will then have the ability to review the invoice and determine:
 - 1. Final/Not Final
 - 2. If it is ok to pay
- Grant Manager will comment back to AP with
 - 1. Final/Not Final
 - 2. State if it is ok to pay or not

* If it is not ok to pay, make note of that, and AP will put the invoice on hold until you comment back that it is ok to pay

Invoice: Final/Not Final

- If it is "Not Final", AP will process the invoice for payment



Invoice: Final/Not Final

- If it is "Final", AP will indicate that on the invoice with a green check box.
- This will allow the invoice to enter the Closeout process.

Invoiced By	AP1	edit
Invoice Owner	Requisitioner 1	
Match Status	Matched	
Invoice Source	Manual	
Contains substituted item (s)	x	
Receiving Tolerance	Option 1	
	\$0	
Subcontract Final Invoice	<input checked="" type="checkbox"/>	

[View/edit by line item...](#)

Invoice: Final/Not Final

- If it is the Final Invoice, the Grant Manager will need to do one of the following:
 1. Comment in TechMart to the PI (if they have TechMart), to verify "ok to pay"
 2. Attach an email from the PI saying the final invoice is "ok to pay"
 3. Attach the invoice with the PI's signature validating "ok to pay"

Invoice: Final/Not Final

- This satisfies the audit requirement for dual approvals.
 1. PI acknowledgement
 2. Grant Manager acknowledgement via Comments

Topics

Changes to Research Subcontracts

- ❑ Sneak Peak of the CCT Module

Sneak Peak of the CCT Module

<https://usertest.sciquest.com/apps/Router/SAMLAUTH/CalTech>

Invoice: Final/Not Final

Questions?

caltech.edu