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1 Restricted Purchases and Special Procurement

Purchases of certain goods and services at Carnegie Mellon are prohibited or have a required acquisition process based on university policies and/or risk factors. This document describes the requirements and procedures particular to these purchases.

2 Gas Cylinders and Hazardous Materials

Compressed gas cylinders should be rented. The purchase of gas cylinders must be approved by with Environmental Health and Safety (EHS).

Gas Cylinder Rentals - Pittsburgh

Rentals must go through the Mellon Institute Storeroom (even for non-Mellon Institute locations). Compressed gases in cylinders are rented using blanket purchase orders, but these orders are not initiated by individual departments. The Mellon Institute Storeroom is responsible for blanket, daily orders for gas cylinder rentals or cylinder demurrage (rental), which eliminates the need for orders at the departmental level.

To acquire gas cylinders, use the following procedure:

1. Contact the Mellon Institute Storeroom at 412-268-3212 to discuss your department’s requirements. If your department has specialized needs, be sure to tell the Mellon Institute Storeroom Manager.

2. Submit all requests/requisitions for gases, in writing to the Mellon Institute Storeroom. This precaution reduces the possibility of error or duplication, and eliminates restocking charges.

3. The Mellon Institute Storeroom places all orders with the supplier. They are responsible for tagging the cylinder when it arrives, entering it into a computerized inventory system (ChemTracker), paying the bill, calculating monthly demurrage, billing the using department, and returning the empty or unused cylinder.

4. All charges appear in the departmental general ledger statements. A copy of all issue slips is provided for verification. Demurrage (rental) and gas cost distributions are handled by journal entries. A nominal handling fee from the Mellon Institute Storeroom is applied to purchases and/or demurrage.

Gas Cylinder Rentals – Outside of Pittsburgh

If cylinders are to be rented and used outside of Pittsburgh, permission and a PO must go through Environmental Health & Safety for approval, and quantities must be entered into ChemTracker.

The Mellon Institute Storeroom is not be responsible for cylinder demurrage of lost and/or misplaced cylinders and cannot issue credits due to mistakes made by the user department. It is the user department’s responsibility to keep track of all cylinders delivered to it.

Disposal of individual lecture bottles is expensive. Consideration should be given to renting small cylinders rather than purchasing lecture bottles. Discuss your department’s requirements with EHS prior to submitting any written requests to purchase lecture bottles.
Gas Cylinder Purchases

If cylinders are to be purchased, permission and a PO must go through Environmental Health & Safety for approval and quantities must be entered into ChemTracker.

Restricted Chemicals

The acquisition of Hazardous Substances (HS) must be completed on a PO as EHS approves all purchases of restricted chemicals. The buyer is responsible for notifying the chemical safety specialist or Director of Environmental Health & Safety at 412-268-8182 prior to purchasing Hazardous Substances. Additionally, university procedures and precautions contained in the Chemical Hygiene Plan concerning Particularly Hazardous Substances (PHS) must be followed. Examples of PHS are available on the EHS web site.

Generally, hazardous substances have characteristics of the following classifications:

- known human carcinogens,
- reproductive toxins,
- chemicals with a high degree of acute toxicity, or
- highly reactive chemicals.

The chemical safety specialist can advise anyone of the handling procedures, safety requirements and the chemical effects of any substance being acquired for use or storage on campus facilities.

Radioactive Materials and Radiation-producing Equipment

Purchase of radioactive material, including byproduct material, special nuclear material, NARM and NORM, and radiation-generating devices can only be made through the Radiation Safety Office, without exception. Purchase of non-ionizing radiation devices such as lasers require written notification to the Radiation Safety Office before the purchase is made. The purchase of radioactive material and devices is governed by Radiation Safety Procedure 2.2, which can be obtained from the Radiation Safety Office.

Devices and articles containing radioactive material such as gas chromatographs are subject to Part 30.15 or Part 31 of Title 10 of the Code of Federal Regulations. These device and/or articles, which are generally licensed by the Nuclear Regulatory Commission (NRC), can be purchased by the department after they send notification of the proposed purchase to the Radiation Safety Officer.

Call the Radiation Safety Office at 412-268-8405 for more information about or to obtain help with this type of purchase.

3 Communication/Internet Plans/Devices

Carnegie Mellon’s Communications Allowance Guidelines prohibit the direct purchase of cellular devices, cellular voice and data services and home internet related charges for employees.

Faculty and staff who have a regular or more frequent job need for remote communication devices/services may receive extra compensation, in the form of a taxable communication allowance, to cover business-related costs. For more details regarding communication allowance eligibility and processes for establishment of the allowance, refer to the Communication Allowance Guidelines.
4  Construction, Renovation, Maintenance, and Utilities

Hiring Construction, Maintenance and Renovation Services

All construction, maintenance and renovation of university facilities within the United States are coordinated and managed by the university’s Campus Design Facilities Development (CDFD) or Facilities Management Services (FMS) organizations. With limited exceptions (e.g., at the discretion of the Provost or the Vice President for Campus Affairs when the selected activities are the responsibility of the Associate Dean of Student Affairs for Operations), all contracts for the design, construction or maintenance of university facilities must be coordinated through CDFD (design and construction) or FMS (maintenance). The construction, maintenance and renovation of campus facilities located outside of the United States are generally the responsibility of the college(s) sponsoring the academic programs associated with those facilities, and those college(s) may engage CDFD and/or FMS where needed.

CDFD or FMS will obtain competitive bids from outside suppliers for work over $50,000. For work $50,000 and under, CDFD or FMS can utilize firms who have previously been selected via a formalized source selection process, eliminating the need for additional competitive bidding. It is CDFD’s or FMS’ responsibility to establish source selection criteria and to determine price reasonableness.

The contract compensation method chosen should be a decision made at the discretion of the CDFD project team based on the size and type of the project, as well as any related risk analysis or factors. CDFD is encouraged to document the analysis and accompanying rationale for its decisions on how it will procure different aspects of the project at the onset of the applicable project.

The following table should assist in determining whether your department should contact CDFD or FMS for your department’s project. For questions or additional guidance, see CDFD and FMS contact information below.

<table>
<thead>
<tr>
<th>Project Characteristic</th>
<th>Description</th>
<th>Lead CMU Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architectural/Engineering</td>
<td>Professional Design Services</td>
<td>CDFD</td>
</tr>
<tr>
<td>Planning or Zoning</td>
<td>City Planning or Zoning Board Review or Approval</td>
<td>CDFD</td>
</tr>
<tr>
<td>Real Estate/Lease</td>
<td>Real Estate Purchase or Property Leasing</td>
<td>CDFD</td>
</tr>
<tr>
<td>Building Permit</td>
<td>Building Permit Required</td>
<td>CDFD</td>
</tr>
<tr>
<td>Construction or Renovation Cost ≥ $50K</td>
<td>Estimated construction cost equals or exceeds $50K</td>
<td>CDFD</td>
</tr>
<tr>
<td>Program Change</td>
<td>Changing the purpose of a space (e.g., office to lab)</td>
<td>CDFD</td>
</tr>
<tr>
<td>Maintenance Projects</td>
<td>General maintenance and repair of existing facilities &amp; systems</td>
<td>FMS</td>
</tr>
<tr>
<td>Construction or Renovation Cost &lt; $50K</td>
<td>Estimated construction cost is less than $50K.</td>
<td>FMS</td>
</tr>
</tbody>
</table>
FMS Contact Information:
   Online work Request Submission: http://www.cmu.edu/fms/service-requests.html
   Email Work Request: fixit@cmu.edu
   24hr Phone Contact: 412-268-2910

CDFD Contact Information:
   Email Work Request: kspells@andrew.cmu.edu

Security and Access Controls
Installing a security alarm or access control system (e.g. keys, card swipes, etc.) must be coordinated
with FMS and University Police. These organizations will assist your department in selecting a
system and contacting reliable suppliers. FMS will ensure the installation is in accordance with
federal, state and local building regulations as well as university standards. University Police require
a separate agreement to coordinate monitoring and response.

Buying Air Conditioners or Unit Heaters
To ensure building and occupant safety and comfort and overall cost effectiveness, purchases of air
conditioners or independent heating units must be reviewed and approved for installation by FMS.
Contact FMS to obtain assistance from an FMS specialist in heating and air conditioning who will be
able to determine how to meet safety and cost effectiveness standards, and how to implement the
plans.

Buying Carpeting and Furniture
Because all university carpeting must meet the insurance and building code-based fire resistance
standards and the design guidelines published by FMS, contact FMS for all carpet purchases.
Removal of existing carpeting must be coordinated through FMS. Additional coordination with EHS
is required for carpet projects that involve asbestos.

Utilities
Contact FMS for connections, disconnections or alterations of any utilities involving university
facilities.

5  Copiers and MFDs
The purchase, rental or lease of all copiers and Multifunction Devices (MFDs) must be coordinated
and reviewed with the University Copy Center (UCC). This process ensures that the university
receives pricing and contract terms based on the university's various master agreements. The
review will include an evaluation of proposed rates, purchase versus lease options, and alternative
funding mechanisms. This process also ensures that the full buying power of the university is
available for future contract negotiations. Contact details for the University Copy Center can be
found on the UCC webpage, or by calling 412-268-5772.

All copier and MFD purchase or lease agreements must be reviewed by the University Contracts
Office (UCO).
6 Communications Cabling

Communications cabling work must be coordinated through the Communications Cable Plant Office unless the work is part of a larger project conducted through CDFD. This process insures that communications cabling is properly specified and supported, that it is suitable to be activated for services (ex: voice, video & data), adheres to the National Electric Code, insurance requirements and the manufacturer’s warranty; and utilizes proper pathways. Communications cabling installation must be coordinated in advance of any work performed by first contacting the Computing Services’ Communications Cable Plant Office. The Communications Cable Plant Office coordinates all aspects related to the installation and maintenance of communications cabling and outlets for campus.

Contact the Communications Cable Plant Office by sending email to cp-estimates@andrew.cmu.edu, by phone at 412-268-8582 or via online webforms.

7 Fire Safety Equipment & Systems

The acquisition of fire protection and related equipment must be completed on a PO and accompanied by approval from the university’s fire safety specialist. All requests for fire protection and related equipment should be made directly to EHS Fire Safety Manager or his/her authorized designees (e.g., branch campuses), by phone at 412-268-8182. For installation information, see Section Construction, Renovation, Maintenance, and Utilities.

Because fire codes and standards regulate the provision, placement, maintenance and inspection of portable fire-fighting equipment and stationary fire suppression and/or fire extinguishing systems, any changes or additions to existing equipment can only be made by EHS or their authorized designees.

8 Fuel

Fuel purchases for personal vehicles are prohibited. When the use of a personal vehicle is necessary for university business, individuals should request reimbursement as documented in the Business and Travel Expense Policy. Employees at international locations may be required to adhere to country specific mileage rates and should consult their local business office with questions.

If the fuel to be purchased is not going directly into the gas tank of a vehicle, the purchase of the fuel is considered to be a purchase of a restricted chemical, and the process for the purchase of restricted chemicals must be adhered to for that purchase (see section 2 - Gas Cylinders and Hazardous Materials).

9 Independent Contractors and Honorariums

An independent contractor is an individual or sole proprietor who is contracted to perform work for the university utilizing their own methods, and the means by which the work is accomplished is not controlled by Carnegie Mellon University. An independent contractor is normally engaged in an established business, trade or profession. As such, an independent contractor is not an employee of Carnegie Mellon and is treated differently with respect to tax withholdings, employee benefits and payment methods.
Refer to the Taxation Department’s website for information and guidelines related to the use of independent contractors.

An honorarium is defined as a gratuitous payment of money to an individual for his or her participation in a usual academic activity for which no fee is legally required. Usual academic activity means lecturing, teaching, readings, performances and sharing knowledge. An honorarium represents a “thank you” gift to a guest speaker or performer who, at no charge to the University, makes a presentation or participates at a function (such as a speakers’ forum). It is meant to be a token payment by the University as a gesture of appreciation (and not to fulfill a contractual obligation). Reference the UCO’s Honorarium Guidance document for additional information related to honorariums and how they compare to other types of commitments or agreements.

Departments must have an honorarium form signed by the recipient and the UCO, in addition to an IRS Form W-9 (tax form) in order to have a payment processed.

10 Institutional Data Management

If a purchase involves institutional data (i.e. data that is owned or licensed by the university), measures must be taken to protect the confidentiality, integrity and availability of this data and any information systems that store, process or transmit the data. The two most common scenarios are acquisition of commercial off the shelf (COTS) software or contracting with a third-party service provider (e.g., software as a service or cloud services). When purchasing COTS software, the buyer should ensure that the software has reasonable capabilities for safeguarding data. When contracting with a third-party service provider, the buyer should ensure that the third party has implemented reasonable safeguards. Carnegie Mellon's Guidelines for Data Protection (see below) provides details regarding appropriate safeguards for various types of institutional data. Computing Services’ Information Security Office (ISO) also publishes a Software as a Service Questionnaire (see below) to assist in evaluating third-party service providers. Buyers should take steps to evaluate security measures prior to making a purchase. If you have questions or need assistance with this evaluation, contact ISO by email at iso@andrew.cmu.edu. Additional reference documentation is linked below.

- Guidelines for Data Protection
- Supplier Contracting Guideline

11 Insurance

The acquisition of insurance must be reviewed by the Director of Risk Management & Insurance prior to purchase. The Risk Management & Insurance Office (Risk Management) is responsible for the placement of all necessary university property and casualty insurance policies. Consult with the Director, Risk Management & Insurance at bcappo@andrew.cmu.edu or 412-268-3790 prior to purchasing any insurance.

Risk Management has established standard levels of insurance required of suppliers who will be working on university property or providing selected goods and services. In cases where a supplier’s insurances or levels of insurance deviate from the standard levels, Risk Management must approve the existing supplier levels or require alternate levels prior to the transaction taking place.
If there are questions about any current insurance coverages, suggestions for additional coverage, changes to property/equipment conditions, or questions from suppliers related to levels of required insurance for all campuses, direct them to Risk Management at 412-268-3790. Copies of insurance certificates evidencing university insurance can be obtained from Risk Management.

12 Legal Services

Unless specifically authorized by the President or VP & CFO, no law firms or attorneys may be engaged to perform legal services for the university and/or may be paid from any account of the university unless authorized by the VP & General Counsel of the university.

Consult the Office of General Counsel (OGC) about legal services for university business, or if you have any legal questions or problems or receive any legal notices regarding university business.

13 Library Materials

All requests to purchase library materials, regardless of the source of funds, should be made to the Head of Acquisitions for the University Libraries. The University Libraries have purchasing agents that have been appointed for the acquisition of books and periodicals.

14 Live Animals

Purchases of live animals must be reviewed by Office of Research Integrity and Compliance (ORIC) to ensure that the requirements of applicable research and regulatory protocols are followed. Federal regulations govern the use and care of animals in research. Strict standards regarding the housing, husbandry and research procedures must be adhered to by all members of the research team. ORIC provides oversight for these activities via the Institutional Animal Care and Use Committee (IACUC). The acquisition of live animals must be made on a PO.

15 Real Estate

All purchases of real estate for the university are to be coordinated through CDFD and/or the VP of Campus Affairs. Real estate leases must be reviewed by CDFD, OGC, the Controller’s Office, Risk Management and the Provost. Additional review may be required for real estate leases to be paid in whole or in part with sponsored funds. CDFD guides all real estate leases (including lease amendments and lease renewals) through these reviews and gathers the necessary documentation evidencing these reviews for submission to the CFO or Provost for signature via the university’s current Real Estate Lease Approval Process.

16 Tax-Free Alcohol

The purchase of tax-free alcohol for scientific and research purposes must be coordinated through the Mellon Institute Storeroom, Room 389 or at 412-268-3212. As a non-profit institution, the university has a limited license to purchase tax-free alcohol for scientific and research purposes through the Pennsylvania State Store system. Purchasing tax-free alcohol outside the
Commonwealth of Pennsylvania with university funds is prohibited. Using sponsored funds to purchase alcohol is also prohibited in many instances.

17 Temporary Employees

If your department requires a temporary clerical or administrative employee, contact the Temporary Employment Service (TES) in Human Resources, 412-268-4747 or place a request online at the Temporary Employment Service website. TES retains a pool of trained clerical and administrative personnel who are available for full- or part-time, short-term or long-term assignments at the university. TES provides temporary personnel services comparable to those obtained from outside agencies, at significant savings. In addition, providing this service ensures that federal, state and local regulations concerning equal opportunity and affirmative action are met. Each TES employee has been interviewed, had his/her references checked and has had passed appropriate clerical testing. The TES handles all types of administrative and clerical work.

TES employees can:

- provide support while a regular staff member is on vacation or on leave of absence,
- meet short-term additional staffing needs, and
- provide support during position vacancies.

If a TES employee is needed:

1. Call the TES Office as soon as a temporary need is identified, but at least a day in advance. In most cases, TES can accommodate the needs and time schedule.

2. Provide a description of what the job involves: tasks to be done, skills required, type of computers and software used, starting date and anticipated length of the assignment, department name and charge number(s), supervisor's name and room number where the temporary employee should report. Notify the TES supervisor if the temporary employee's assignment involves working with chemicals (other than routine office supplies). As required by OSHA, all employees participating in activities involving chemicals must complete Hazard Communication Training before they are allowed to start work.

3. TES will conduct a search of its temporary pool and will contact the requester when TES locates a match for the requestor's needs. Optional review of the resume and/or interview of the candidate is permitted. Confirmation email is sent to the department with all the details including the hourly bill rate.

On the occasions that clerical support is required, and is not available in-house, the TES will contact outside agencies to secure a temporary employee. No additional charge is applied to the vendor’s direct bill rate for TES services.

18 Trademark Licensing

The use of the university's trademarks on consumer goods produced, ordered or sold by faculty, staff or students of Carnegie Mellon must be approved in writing by the Trademark Licensing Office.
prior to production of each item. Items include, but are not limited to, brochures, binders, apparel, glassware, and coffee mugs regardless if the items are for resale or internal campus use.

The Trademark Licensing Office has established licensing agreements with a number of suppliers who provide a variety of products. A complete list of all current licensees can be obtained at the Trademark Licensing Office website. Individuals or groups seeking a supplier should first review this list to determine if the required items may be obtained from one of the current licensees. If it is necessary to use a supplier that is not licensed, consult the Trademark Licensing Office.

For more detailed information regarding the use of Carnegie Mellon's trademarks, refer to the Trademark Licensing policies and guidelines or call the Licensing Office at 412-268-3904.

19 Vehicles

All cars, trucks, buses, trailers, boats, maintenance and other vehicles sold or leased with a manufacturer’s certificate of origin or title that are registered in the name of the university must be purchased or leased through the University Contracts Office (UCO).

Vehicle titles and registration renewals are maintained and processed by Risk Management. Additionally, the Director of the UCO is authorized to sign vehicle titles when a university-owned vehicle is being purchased, sold or traded.

20 Vending Services

The acquisition and or installation of vending equipment, including food and beverage dispensers, must be coordinated by and reviewed with Dining Services. In most cases, Dining Services has agreements in place for these services and can provide appropriate guidance. This process helps to ensure that the full buying power of the university is leveraged for future contract negotiations and that the university and does not violate its agreements with existing vendors.

21 Warehouse Club Memberships

The purchase of warehouse memberships (Costco, Sam’s Club, etc.) is prohibited.
Appendix A - Summary of Restricted Purchases

Below is a list of departments providing review or guidance for restricted purchases.

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<thead>
<tr>
<th>Restricted Item</th>
<th>Contact Department</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air conditioning or heating units</td>
<td>FMS</td>
<td>4</td>
</tr>
<tr>
<td>Asbestos removal contractors</td>
<td>EHS</td>
<td>4</td>
</tr>
<tr>
<td>Carpet installation</td>
<td>FMS</td>
<td>4</td>
</tr>
<tr>
<td>Carpet removal</td>
<td>FMS / EHS</td>
<td>4</td>
</tr>
<tr>
<td>Chemicals and gases</td>
<td>Mellon Institute Storeroom / EHS</td>
<td>2</td>
</tr>
<tr>
<td>Chemicals that are particularly hazardous</td>
<td>EHS</td>
<td>2</td>
</tr>
<tr>
<td>Communication equipment and service</td>
<td>Associate Controller / Procurement</td>
<td>3</td>
</tr>
<tr>
<td>Construction, renovation, maintenance and utilities</td>
<td>CDFD or FMS</td>
<td>4</td>
</tr>
<tr>
<td>Communications Cabling</td>
<td>Communications Cable Plant</td>
<td>6</td>
</tr>
<tr>
<td>Copiers and MFDs</td>
<td>Copy Center</td>
<td>5</td>
</tr>
<tr>
<td>Fuel</td>
<td>Associate Controller / EHS</td>
<td>8</td>
</tr>
<tr>
<td>Fire safety equipment and systems</td>
<td>EHS</td>
<td>7</td>
</tr>
<tr>
<td>Independent contractors and honorariums</td>
<td>Taxation and UCO</td>
<td>9</td>
</tr>
<tr>
<td>Institutional Data management</td>
<td>Computing Services ISO</td>
<td>10</td>
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<td>Insurance</td>
<td>Risk Management</td>
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<td>Legal services</td>
<td>OGC</td>
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<tr>
<td>Library materials</td>
<td>University Libraries</td>
<td>13</td>
</tr>
<tr>
<td>Live animals</td>
<td>ORIC</td>
<td>14</td>
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<tr>
<td>Radioactive materials and radiation-producing equipment</td>
<td>Radiation Safety Office / EHS</td>
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<tr>
<td>Real estate</td>
<td>CDFD</td>
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<tr>
<td>Security and access controls</td>
<td>FMS and Campus Police</td>
<td>4</td>
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<tr>
<td>Tax-free alcohol</td>
<td>Mellon Institute Storeroom /Procurement</td>
<td>16</td>
</tr>
<tr>
<td>Temporary employees</td>
<td>TES / Human Resources</td>
<td>17</td>
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<tr>
<td>Trademark licensing</td>
<td>Trademark Licensing Office</td>
<td>18</td>
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<tr>
<td>Vehicles</td>
<td>UCO</td>
<td>19</td>
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<tr>
<td>Vending services</td>
<td>Dining Services</td>
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