Required Documents for Obtaining and Paying for Outside Services - OSA

Complete OSA
Consultants payment

Assumptions:
• Individuals are NOT Duke employees – past or present
• Vendors are NOT current Duke Vendors

U. S. VENDORS

Company Vendor Packet:
• Vendor Compliance Letter & Statement
• Vendor Registration form
• Federal W-9

Individual Vendor Packet:
• ICC
• Vendor Compliance Letter & Statement
• Vendor Registration form
• Federal W-9

FOREIGN VENDORS

Company Vendor Packet:
• Vendor Compliance Letter & Statement
• Vendor Registration form
• Foreign Vendor Quest.
• Federal W-8
• Intl Wire Request

Individual Vendor Packet:
• ICC
• Vendor Compliance Letter & Statement
• Vendor Registration form
• Foreign Vendor Quest.
• Federal W-8
• Intl Wire Request

Key of Abbreviations/Documents:
OSA – Outside Service Agmt.
RSSA – Research Support Service Agmt.
FCOI – Financial Conflict of Interest
SSJ – Sole Source Justification
ICC – Independent Contractor Checklist
W-9 – Request for Taxpayer ID Number
W-8 – For FATCA compliance

Consultant Engagement worksheet

General Liability Insurance at $1M?
• No
• Yes

*Request Insurance Waiver (Insurance Exception Request Form)
*Submit Buy@Duke Cart for PO

Certificate of Insurance

Workflow to Procurement for Approvals

* To be completed by the Grants & Finance team

S. Ruane ~ 12/7/15
Service Contracts Decision Flow.pptx
Required Documents for Obtaining and Paying for Outside Services - RSSA

U. S. VENDORS

Company Vendor Packet:
- Vendor Compliance Letter & Statement
- Vendor Registration form
- Federal W-9

Individual Vendor Packet:
- ICC
- Vendor Compliance Letter & Statement
- Vendor Registration form
- Federal W-9

U.S. or Foreign

Foreign

Complete RSSA GAP 200.370

- Research Support Service Agreement
- Rider A
- Rider B (Foreign Vendors)
- FCOI
- SSJ (>$3k)

General Liability Insurance at $1M?

No

Yes

Certificate of Insurance

*Submit Buy@Duke Cart for PO

Workflow to Procurement for Approvals

Assumptions:
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FOREIGN VENDORS

Company Vendor Packet:
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Individual Vendor Packet:
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- Vendor Registration form
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- Federal W-8
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Required Documents for Obtaining and Paying for Outside Services - RSSA

* To be completed by the Grants & Finance team

*Request Insurance Waiver (Insurance Exception Request Form)

S. Ruane ~ 12/7/15
Service Contracts Decision Flow.pptx

Key of Abbreviations/Documents:
- OSA – Outside Service Agmt.
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Workflow for Service Agreement Contracts

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Workflow to Procurement

- **RSSA: 20x, 30x-35x, 38x, 293x & 393x**
- **OSA or RSSA?**
  - **RSSA:** 20x, 30x-35x, 38x, 293x & 393x
  - **OSA:** 391x & 4x

DGHI Department Approver

Grant Administrator

ORS or ORA

Procurement

Accounts Payable for vendor setup

*PO# is issued by Procurement

* Once the PO# has been issued, you will be notified by a member of the Grants & Finance team. We will also send you the fully executed (signed) agreement.
Duke Financial Services GAP Rules

- APCR – [GAP 200.136](#) Accounts Payable Check Request
- OSA – [GAP 200.128 ~ GAP 200.135](#) Procedures for Engaging & Paying Consultants
- RSSA – [GAP 200.370](#) Purchasing Goods & Services on Sponsored Projects
- Federal W-9 or W-8 forms – [IRS.gov](https://www.irs.gov)