Table of Contents

Submitting a Scope of Work (SOW) for a Service Provider 1
Step-by-Step Guide 1
Before You Begin 1
Requesting a Service Provider through an SOW 2
Next Steps: Signatures, Approvals, and ES Review 4
Service Provider Section Information 4
Approval Process and Routing to Employee Services 5
Employee Services Review and Full Approval of SOW 6
Next Steps: Preparing for Payment of Services 6
Amending an SOW 7
Contact Us 8

Submitting a Scope of Work (SOW) for a Service Provider

Step-by-Step Guide

This guide describes using an online unity form for creating and submitting a scope of work (SOW) for approval. **An SOW is required before** hiring an independent contractor, or service provider, to perform work for the university. An SOW is required for service providers who are individuals or sole proprietors, operating under a Social Security number (SSN) for payment. Foreign service providers eligible to be paid on an SOW may or may not have an SSN.

The SOW form requires information about the service provider and the work they will perform. Employee Services (ES) reviews this information to determine whether the service provider is an independent contractor based on IRS and Dept of Labor guidelines. This review is in place to protect CU from the negative consequences of inaccurately classifying a service provider who should otherwise be an employee.

**Notes: **

- If the service provider works under an EIN (business/company) rather than an SSN (individual), you do not need an SOW form approved from ES. Instead, please contact your corresponding fiscal staff so they can help process the payment.
- It is **prohibited** to use other, separate procurement methods (procurement card, travel card, CU Marketplace non-catalog order, or non-employee reimbursement form) to cover costs associated with an independent contractor who is paid using an SSN.

Before You Begin

Make sure you have time to complete the form in one sitting (10-15 minutes). You cannot stop and save the form to complete it later. You should have the following information before creating and submitting an SOW form:

- Service provider name and contact information (email address required).
- Prior contract dates and SOW numbers or purchase order numbers (if known).
- Citizenship. If the provider is a foreign national, you will need to know the country of citizenship and anticipated immigration status for any U.S. services. For more information about these requirements, visit https://www.cu.edu/docs/international-ap-payments .
- Definition of the work being performed, including deliverables, milestones, special terms, and service provider’s qualifications to perform the task. This information can be added as an attachment.
- Payment details (estimated cost of work being performed, frequency of invoices).
- Whether the service provider will be working with minors. If they work with minors, your campus HR will need to complete a background check on the provider prior to completing the

SOW form. A background check is required for anyone working with minors or vulnerable populations.

- Name and email address of the person who will provide department approval (and preapproval review, required) of the SOW request. Check to make sure the email address is correct or the correspondence to complete the SOW form will not be delivered. See the table below- SEHD Info
- Your five-digit department number. See the table below - SEHD Info

Office	Department Approver	Approver Email	5-Digit Dept #
Dean	Daisy Salazar	daisy.salazar@ucdenver.edu	30062
Grant	Sophie Eggert	sophie.eggert@ucdenver.edu	30063
CPE	Jenna Ronnebaum	jenna.ronnebaum@ucdenver.edu	30070

You may also want to visit Hire An Independent Contractor (Scope of Work) | University of Colorado (cu.edu) for more information about policies and procedures.

Requesting a Service Provider through an SOW

To create an SOW request:

1. From cu.edu/docs/scope-work-sow-form, click **Scope of Work (SOW) Form**. An online web form appears. Required fields appear with a red asterisk (*).
2. Click the **No **option to indicate you are creating a new SOW. - Click **Yes **only if you are amending a previously approved SOW form. See //Amending an SOW //later in this guide for instructions on how to amend a previously approved SOW form - In the **CU Contact Information **section, enter information about the person that is completing the form on behalf of your department: - Complete the information about yourself as the requester: Name, email, phone number, campus, department, and department number. Refer to SEHD Info table for the department number. - All SOW requests must be approved by the Department approver, so click the **No** option to the question asking whether you are also providing department-level approval of the SOW request. This option will allow the department approver to **review and revise** the SOW before it is sent to the service provider. Their signature is not collected at this time.
    1. Enter the **Organizational Unit Approver Name **and **Approver Email **fields. Refer to SEHD Info table. - In the Service Provider Information section, select values that define the service provider, if known: - Indicate whether the service provider is a current or former employee. If Yes, additional fields for dates of employment and Employee ID appear for you to complete.__ You may contact your corresponding fiscal staff if you need help with the dates of employment.__ - Indicate whether the service provider is retired and receiving PERA benefits. If Yes, be aware that the provider must complete a Disclosure of Compensation form after every payment they receive. The Disclosure of Compensation form is available at www.copera.org.Completed forms should be scanned and emailed to ES at SOW@cu.edu. - Include **required **information: first name, last name, and email address. If the provider has a business name they are doing business as (DBA), enter that as well. -** *Note: **If the provider will work under an EIN (business/company) rather than their SSN (individual), you do not need an SOW form approved by ES. Instead,__ please contact your corresponding fiscal staff for help. __ you will need to create the appropriate purchasing form in CU Marketplace and send invoices to APinvoice@cu.edu for payment. - Indicate the**

citizenship of the service provider by selecting the correct radio button. - If they are Foreign National, you will need to complete the Country of Citizenship, the Social Security question, and their anticipated immigration status for any U.S. services. - For additional guidance on permissible statuses, go to International AP Payments | University of Colorado (cu.edu). - In the Proposed Work Information section, provide a full description of the services requested: - In the required text box, describe in complete detail the deliverables, milestones, special terms, and service provider's qualifications to perform the task. - In the second text box, describe credentials, previous experiences, or any information about how this service provider was selected. - **Note: You can copy information from other files, and press Ctrl + V to paste it into these text boxes. If you have more information, you can attach documents as described later in this procedure

2. Indicate whether the work will be performed on campus.
3. Indicate whether university equipment or supplies are needed.
4. Indicate whether the work will be performed inside the U.S.
5. Indicate whether the service provider will be working with minors. If you select Yes, an additional prompt asks whether campus HR has performed a background check on the provider. A background check is required for anyone working with minors or vulnerable populations.

3. In the Payment Details section, provide information about the contract:
    1. Click the **Contract Begin Date **field and select a date from the calendar. Using calendars to select dates helps prevent errors when typing and ensures the correct date format (MM/DD/YYYY) is applied. The SOW process should be completed before the work begins. - Click **Contract End Date **and select a date from the calendar. - **Note: **Accounts Payable will not release payment for an invoice outside of these dates. To pay an invoice outside these dates, the requester must amend the SOW as described in //Amending an SOW //later in this guide. - In the **Invoice Frequency **field, select from the dropdown box for the correct invoice frequency. - In the **Total Cost of Service throughout Contract Period **field, enter the estimated total cost for the contract period to complete the services requested. - In the **Other Costs **field, enter the estimated total additional costs (not included in the service rate), such as travel, if necessary. An additional text box will appear for you to type a description of other costs. - If you have documents you would like to include, click **Attach Additional Documentation **to locate and select files. - From the Internal Revenue Service Classification Factors Checklist, read each question and select either **Yes **or **No**. This portion of the form helps ES evaluate whether this service should be classified as an independent contractor role or an employee role.
    2. ***Note: **The IRS defines someone as an independent contractor if the payer has the right to control or direct only the result of the work and not what will be done and how it will be done. The earnings of a person who is working as an independent contractor are subject to self-employment tax. For more information, visit https://www.cu.edu/employee-services/collaborative-hr-services/cu-campuses/employee-services-procedural-statement-scope. - Review the Service Provider Certification. - Click **Submit**. You will receive an email confirmation that the form has been submitted.
    3. An automatic email notification to the service provider (with the requester cc'd) will include instructions on how to complete the form and a link to access the form. This email will come from the SOW@cu.edu email address.

4. A second email will be sent to the service provider with their own random passcode to access the form. This code is needed to access the form.

If the SOW is to be reviewed by the department approver, the system will send the approver an email notification alerting them that they have an SOW to review. After the review process is complete, the approver must click **Review Complete**. The system then sends an email notification to the service provider (with you cc'd) from the SOW@cu.edu email address.

After the Department Approver reviews and pre-approves the Scope of Work, an email will be sent to you and the service provider. The email will be sent from SOW@cu.edu with the subject line "ACTION REQUIRED: Please complete and Sign the Scope of Work."

This email provides the service provider with step-by-step instructions on how to complete the Scope of Work form. We recommend forwarding the email to the service provider with a brief message notifying them of the email because some people do not open emails from senders they do not recognize. Below is an example email you could include when you forward the email.

Hi (insert name here), This scope of work contract request is for your work on my project. We need an approved Scope of Work Contract in place so we can pay you for your services. Please complete the action steps listed in the email below. Please let me know if you have any questions.

Next Steps: Signatures, Approvals, and ES Review

After you submit your SOW request, an email is sent to the service provider with access to the SOW form to enter their details and sign the form.

Service Provider Section Information

After receiving the email notification, the service provider should perform the following steps:

1. Click the link to the form provided in the email. A prompt appears indicating a passcode is required.
2. In the **Verify Service Provider Passcode **field, they enter their unique passcode. This passcode is emailed separately to the service provider. Due to the length and character combination of the passcode, it may be best to **copy the passcode from the email and paste it **into this field. - If the service provider is unable to enter the passcode into the Verify Service Provider Passcode field (i.e., the cursor will not display in the box), confirm that they do not have the form open in a different browser window or tab. They may also need to confirm that the CU requesting department does not have the form open on their computer. - Complete or update fields in the Service Provider Information section of the form (the rest of the form is read-only). This could include the last four of their SSN as well as their home address. - They should review the rest of the form for accuracy. - Review the Service Provider Certification statement. - Acknowledge the work, payment, and other details of the service to be provided with their approval: - Enter information in the **Type Full Name **field. **Important: **This constitutes their electronic signature and has the same legal impact as signing a printed version of this document. - Click the checkbox indicating: I hereby acknowledge that I have read, understand, and agree with all the information and I attest that the answers are true to the best of

my knowledge. - The Date field will be filled automatically after the form has been submitted. - Click **Next. If all the required fields are completed, they will be prompted to submit the form and your changes.
    1. **Note: **Clicking this button does not save or submit the form. If any required fields are not completed, a message appears at the top of the form in a yellow warning bar prompting them to complete the required information; enter any missing information in the required fields and click **Next**.
3. Click **Submit **to save the changes and forward the form for approval.
    1. **Safari users: **If the screen appears gray, scroll to the top of the page to find the Submit button.
4. They need to close their browser. If their browser remains open, the University of Colorado department organization unit approver will not be able to process the form.
    1. **Note: **If the service provider does not complete their section in 10 days, an email reminder is sent to the requester to ask the contractor to complete and return the form. If after 60 days the service provider has not completed the form, the request is canceled, and the requester is notified. The requester can contact the SOW team (sow@cu.edu) and ask to have the request reopened for another 60 days.

Approval Process and Routing to Employee Services

Once the SOW has been signed by the service provider, the department organizational unit approver specified in the request receives an email notification from SOW@cu.edu indicating an SOW is ready for their final approval and signature with a link to the form.

To access the SOW and approve the form:

1. Enter the department number (as listed on the SOW form) in the appropriate field and click **Verify**. If you are unable to update the field (i.e., the cursor will not display in the box), confirm that you do not have the form open in a different browser window or tab. You may also need to confirm that the service provider does not have the form open on their computer.
2. Acknowledge the work, payment, and other details of the service to be provided with their approval:
3. Provide approval under the Organizational Unit Certification section under the Authorization banner.
    1. a. Click the checkbox box indicating: I hereby acknowledge that I have read, understand, and agree with all the information and I attest that the answers are true to the best of my knowledge.
    2. Enter information in the **Org Unit Authorization Name **field and **Org Unit Authorizing Title **field.
    3. **Important: **This constitutes their electronic signature and has the same legal impact as signing a printed version of this document.
    4. The Date field will be filled automatically after the form has been submitted
4. Click **Next **so the form registers any updates. This does not save or submit the form.
5. Click **Submit **to save the changes and forward the form for approval.
    1. **Safari users: **If the screen appears gray, scroll to the top of the page to find the Submit button.
6. Close your browser. If your browser remains open, the University of Colorado department will not be able to process the form.

Once the department organizational unit approver acknowledges the service to be provided and

submits the form, it is routed to ES for review and full approval.

Employee Services Review and Full Approval of SOW

When ES receives the SOW for review, the requester receives a confirmation email that ES is reviewing the request. This email also includes the SOW number assigned to the request.

Before ES reviews the request, the system gathers information for analysis. If the analysis discovers that the service provider is an active employee, who is not a retiree, the system cancels the request and notifies the requester to submit an Additional Pay form.

ES may take any of the following actions:

- **Request additional information. **ES may need clarification on information in the SOW form. The SOW will be on hold until additional information is received.
- **Deny the request. **If ES denies the SOW for any reason, the requester will receive an email describing why the request was denied and options for moving forward. Your campus HR can also help you determine how to proceed.
- **Approve the request. **If ES approves the SOW, the requester will receive an email indicating the form has been processed with a copy of the approved SOW form attached.
- **Forward the request. **If International Tax approval is required, the form will be routed accordingly.

Next Steps: Preparing for Payment of Services

After receiving fully-approved SOW from ES:

- Send the approved SOW email to your corresponding fiscal staff along with the following information from the service provider:
    - Completed and signed W9 (must be dated within one year)
    - Phone Number
    - Email Address
    - Mailing Address
- The Finance staff will then send the service provider an invitation to register in CU Marketplace. This is the University’s vendor system. All payments to services providers are processed through the system, so this step is important as we cannot process payments if the service providers are not approved in the CU Marketplace system.
- After the project is complete, please send the provider’s invoice to your corresponding fiscal staff so that they can create a purchase order and process the payment.
- Payments for SOWs are usually processed within seven business days. A check will be mailed out the mailing address provided by the service provider when completing their CU Marketplace registration.
- Follow registration procedures to register the provider in CU Marketplace. Visit https://pschelp.cu.edu/s/article/CU-Marketplace-Requesting-a-Purchase-Order-Supplier for more information.
- Submit invoices for payment as they are received:
    - For total costs of $10,000 and under, complete a Payment Voucher form in CU Marketplace. Be sure to attach the fully-approved SOW with the invoice.
    - For total costs over $10,000, complete a Standing Purchase Order form with the fully-

approved SOW attached in CU Marketplace, and email invoices to APinvoice@cu.edu.

- If the service provider is retired and receiving PERA benefits, they must complete a Disclosure of Compensation form after every payment they receive. The Disclosure of Compensation form is available at https://www.copera.org/files/ddaf6b12e/2-55.pdf. (PERA does provide this form as a stand-alone document, so your best option is to get it from this booklet.) Completed forms should be scanned and emailed to SOW@cu.edu, please copy sehdfinance@ucdenver.edu in your email.

Amending an SOW

An SOW needs to be amended when something changes during the original SOW period, such as the contract end date or total costs. Only fully approved SOW forms can be amended.

If you need to make amendments to an SOW that is in routing/approval progress, contact SOW@cu.edu to update the form.

To amend an SOW using the digital process:

1. From cu.edu/docs/scope-of-work-form, click **Scope of Work (SOW) Form**. The online web form appears.
2. Click the **Yes **option to indicate you are amending an existing SOW. - In the **Scope of Work Number **field, type the number of your SOW (provided on the fully-approved SOW form;), and press **Enter**. A blank SOW form appears.
3. Complete the CU Contact Information and indicate the CU representative who will sign the amended SOW.
4. Complete the Service Provider Information. **Note: You cannot make changes to the Proposed Work Information section.**
5. Complete the Payment Details sections with your revisions.
    1. Be sure to include the Original Contract Begin date and the Revised Contract End date.
    2. Complete the Original Cost of Service and Other Costs fields. This information should match the same information on the originally approved SOW.
    3. Complete the Revised Additional Cost of Service and Revised Additional Costs fields, if applicable. The Maximum Payment will add these values together for the new revised SOW Maximum Payment.
6. In the **Comments **field, type a detailed description of what was amended and why the amendment is needed. - Acknowledge the work, payment, and other details of the service to be provided with their approval: - Click the checkbox indicating: I hereby acknowledge that I have read, understand, and agree with all the information and I attest that the answers are true to the best of my knowledge. - Enter information in the **Org Unit Authorization Name **field and **Org Unit Authorizing Title **field. - **Important: **This constitutes their electronic signature and has the same legal impact as signing a printed version of this document. - The Date field will be filled automatically after the form has been submitted. - An amended SOW will not be signed by the service provider. - Click **Submit**. If you are not the approver of the form, clicking Submit routes the form to the individual you indicated in step 4 who will sign the amended SOW.

The form is routed to ES for their review and approval. The requester receives an email confirmation that the revisions have been received. Once ES approves the amended SOW, copies of both the original and the amended SOWs are emailed to the requester. All SOW forms are required to be

uploaded into Marketplace, or when you contact Change Order (changeorder@cu.edu) to be processed by the Procurement Service Center.

Contact Us

SEHD Finance team: sehdfinance@ucdenver.edu

**SOW questions: ** SOW@cu.edu

**SOW for foreign nationals: ** IntlTaxAppts@cu.edu

For more information, visit Hire an Independent Contractor (Scope of Work) I University of Colorado (cu.edu)

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Last update: **2025/04/29 20:34**