

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAHuntsville) Community and is organized within the Finance and Administration Division of the University of Alabama in Huntsville. Procurement and communication services must conform to Federal, State, and University purchasing codes, statutes, and policies. As the primary University interface for campus departments and hundreds of businesses, Business Services is especially responsible for projecting a positive and professional image for the University.

Business Services comprises Procurement Services, Central Receiving & Shipping/Inventory Control, Mail Services, Telecommunication Services, and the UAHuntsville Copy Center (see the Business Services Organizational Chart on the following page). Business Services strives to provide quality service with the highest possible degree of proficiency. We welcome any comments or suggestions to improve customer service. Staff members are available to conduct training workshops to assist departments with understanding these policies and procedures.

Policies and Procedures Manual

The Policies and Procedures Manual consists of seven modules, corresponding to the various departments within Business Services. The purpose of this manual is to help the University Community better understand the laws and guidelines by which Business Services must operate. These policies and procedures are subject to change in our rapidly evolving environment (e.g., computer systems, software, administrative procedures, and state laws). Therefore, we may need to update and revise portions of the manual from time to time.

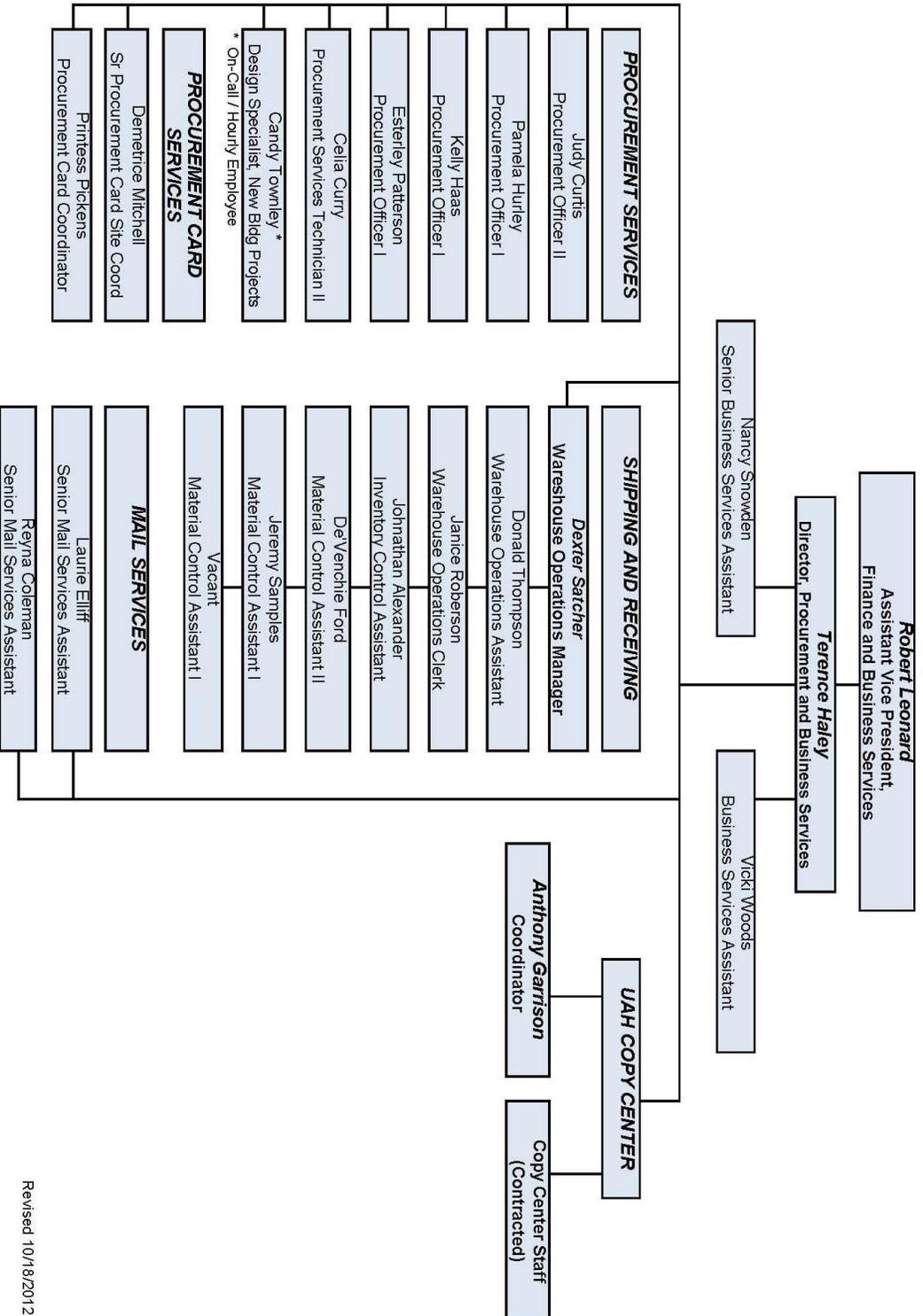
The Policies and Procedures Manual incorporates Alabama State laws, University regulations, and good business practices. This manual also incorporates special requirements imposed by agencies that fund certain University programs.

The policies and procedures contained herein should be used under normal operating circumstances. Exceptions are allowed when, in the opinion of the Associate Vice President for Business Services and/or the Vice President for Finance and Administration, they appear to be in the best interest of the University. Exceptions must be properly justified and documented.

This manual has been designed to address most situations; however, it cannot cover all eventualities. It has been approved by the Associate Vice President for Business Services and the Vice President for Finance and Administration. Please contact Business Services if you have questions or suggestions for improving this manual.

**** Exceptions to normal procedures may be authorized at the discretion of the Director of Procurement & Business Services and/or the Assistant Vice President of Finance & Business Services on an as needed basis.****

Business Services Organization Chart — 2012



Revised 10/18/2012

Procurement Services

Policies and Procedures

PROCUREMENT SERVICES

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I. GENERAL

I.1. Objective

The primary objective of Procurement Services is procuring, in the most efficient and cost effective manner, the goods and services that support the education, research, and service efforts of The University of Alabama in Huntsville (UAHuntsville), while complying with the Federal and State statutes and University policies that govern institutional purchases.

Procurement Services is located in the Business Services Building on John Wright Drive, phone number 256-824-6484.

I.2. Policy

Procurement Services' responsibilities include:

- Providing Requisition Training Classes
- Issuing Purchase Orders
- Generating Requests for Quotations/Bids
- Providing insurance coverage on all buildings and their contents
- Processing Contracts for Professional Services

I.3. Authority

Procurement Services has been vested with the sole authority to obligate University funds to outside vendors; therefore, procedures must assure honesty, integrity, and fairness.

II. REQUISITIONS

II.1. Approval of Requisitions

Departments must obtain electronic approvals on all Requisitions before they are submitted to Procurement Services. **Only Budget Unit Heads and those persons to whom signature authorization has been delegated have authority to sign / electronically approved Requisitions.**

Departments must provide signature authorizations to Accounting and Financial Reporting on Signature Authorization Form Auth_Sig.xls for input into the purchasing database. This form is available at www.uah.edu/admin/Budget/Forms/php. Click on "Auth_Sig.xls." The purchasing database is a component on the UAHuntsville Banner for Finance purchasing module. Allow three days for signature corrections, additions, and deletions to appear in the purchasing database.

NOTE: Accounting & Financial Reporting maintains records of signature authorizations. Signature authorizations are required to expend funds against University accounts. All

authorized signatures and budget account balances for 7000 and 8000 account codes are verified through the purchasing database for each Requisition submitted.

The following Requisitions must be electronically approved according to Table PS-1.

Table PS-1, Electronic Approvals

Requisitions for:	Individual/Department
All fund 2xxxx accounts and cost sharing fund 159xxx accounts that are companion accounts to 2xxxx accounts	Office of Sponsored Programs
Expenditures associated with equipment, computers, peripherals, software, audio/video, and contracted services against fund 2xxxx accounts and cost sharing fund 159xxx accounts that are companion accounts to 2xxxx accounts	Office of Sponsored Programs
Any individual purchases over \$25,000.00	Vice President for Finance and Administration
Radioactive supplies	Environmental Health & Safety
Vehicles, purchase or lease	Facilities & Operations

II.2. Requisition Procedure

To procure goods and/or services, departments must submit an electronic Requisition in the on-line UAHuntsville Banner Self-Service Requisitioning System.

Users of the on-line system must first complete the *Banner Finance Self-Service Request Form (FSS)* (Figure PS-1) and forward it to the Budget Office to obtain access. The Budget Office processes the set-up for new Finance users and security for all Finance users. Users must also receive Requisition training provided by Procurement Services. To request training, contact Procurement Services. <http://www.uah.edu/business-services/faculty-staff/training>

Departments will enter and approve Requisitions in the UAHuntsville Banner Self-Service Requisitioning System. For detailed instructions on entering and approving electronic Requisitions, please refer to the *UAH Banner Self-Service Requisitioning Workbook* that you received during your Requisition entry training.

All Requisitions require an Account Number, or FOAPAL, which consists of:

- Fund, which replaces the General Ledger account number
- Organization Code, which replaces the SL account number (which consisted of the six digits of a previous FRS account number)
- Account Code, which replaces the Subcode
- Program, which identifies the expense purpose

Sufficient budget funds must be available before entering a Requisition. There is no longer an “Insufficient Funds” override.

All Requisitions must receive appropriate electronic approvals before being forwarded to Procurement. Departmental copies of Requisitions and Purchase Orders may be printed by the user at his or her convenience.

Ordinary Requisitions are subject to the normal purchasing process of review and approval, which requires a minimum of one to two working days. Emergency Requisitions may be “walked thru” in a matter of hours. See Section II.4, “Walk-thru (RUSH) Requisitions.”

The end result of the requisition procedure is a Purchase Order. See Section II.9, “Requisition-to-Purchase-Order Procedure.” For information on Change Orders, see Section II.10, “Requisition-to-Change-Order Procedure” or Section IV, “Change Orders.”

II.3. Creating a Requisition

DATA ENTRY

From the on-line Finance menu, click on “Requisition.” The user can create a new Requisition or use a template.

1. Enter Vendor ID (not required) and select Vendor Validate (if you entered a Vendor ID) to default related information. Requester information defaults from values defined on the User Profile. Defaulted information can be modified.
2. Select the Document Text link to attach text to the Requisition. Document Text is for information related to the overall Requisition.
 - Text to be printed at the beginning of the Purchase Order may include delivery or special handling instructions.
 - Text that does not print may include notes to Procurement about attachments, for example.
3. Enter Commodity, Unit of Measure, Quantity, and Unit Price information.
4. Select Item number link to add Item Text for a specific commodity or item. Item Text would include additional descriptive information for the item being requested. These are just a few examples of Item Text:
 - For supplies or equipment, Item Text may include stock number, brand, model number, features, measurements, or finishes.
 - For a contract payment, Item Text may include period of performance, contract number, or payment number.
 - For an airline ticket, Item Text may include the name of the traveler, destination, and dates of travel.

5. Enter "H" for Chart and the Organization Code(s) for Index. Click Validate to populate the Fund, Organization, and Program fields. If another FOAPAL is to be used, enter a new Index and click Validate. **Do not change the Fund, Organization, or Program fields.** Each Requisition is limited to five FOAPAL entries.
6. Enter the Account Code. See Figure PS-2 for Commonly Used Banner Account Codes.
7. Choose whether to distribute the Net Amount by Dollars or Percents.
 - If Dollars is selected, enter the amount for each FOAPAL in the Accounting field. The dollar amounts must equal the Net Amount. Do not use the dollar symbol.
 - If Percents is selected, enter the percentage required for each FOAPAL in the Accounting field. For percents, the total of all amounts in Accounting must be 100. Do not use the percent symbol.
8. Click on Validate to validate calculations and codes and check for errors. Error messages are displayed if data is missing or invalid. Contact Procurement Services if unable to resolve an error message.
9. If the box "Document Validated with no errors" has a check mark, click on Complete to post the Requisition in the approval process. The Requisition will have a number and funds will be reserved for the Requisition.

APPROVALS

Once a Requisition has been entered and completed, it must be posted and approved. Only an authorized person can approve a Requisition after it has been entered. All Requisitions must receive all appropriate electronic approvals in the approval process before being forwarded to Procurement.

ATTACHMENTS

Attachments must be mailed, faxed, or hand-delivered to Procurement. Attachments might include a contract, maintenance agreement, registration form, travel authorization, etc. Attachments must reference the Requisition number.

Refer to your *UAH Banner Self-Service Requisitioning Workbook* for more detailed instructions.

II.4. Walk-Thru (RUSH) Requisitions

In an emergency, departments can process RUSH Requisitions by walking them through the purchasing process. The Walk-thru process exists for **emergencies only** and does not replace the normal requisitioning process.

PROCEDURE

Data Entry: For emergency processing, enter “RUSH” in the Commodity Code field of the “Line Items and Commodities Screen” in Self-Service Banner. Follow the steps in Section II.3 to complete the remainder of the Requisition. Repeat those steps as needed for additional items. **Enter the Commodity Code “RUSH” only for the first item.** Refer to the *UAH Banner Self-Service Requisitioning Workbook* for more information.

Approvals: For insufficient budget balance, refer to your budget statement and/or contact the Budget Office at 256-824-2241.

To obtain approvals for contract-funded equipment, email the appropriate Contract Administrator in the Office of Sponsored Programs.

The department is responsible for obtaining approvals and finalizing all other transactions.

Notifying Procurement: Once all signatures and supporting documentation are complete, email Procurement Services at purch@uah.edu. Type “Walk-thru” and the Requisition number in the subject line. Write the Requisition number on all attachments and fax, mail, or hand deliver attachments to Procurement Services.

Picking up the Purchase Order: The Requisition will be assigned to a Procurement Officer. Procurement Services will notify the department when the Purchase Order is ready for pick up. Purchase Orders may be picked up any time after notification between **8:15 a.m. – 5:00 p.m., Monday through Friday.** Purchase Orders should be picked up within 24 hours after notification. It is the user’s responsibility to place the order with the vendor.

If you prefer, once you have been notified that your Purchase Order is ready, Procurement Services can fax, email or mail your Purchase Order to the vendor.

CONTACTING THE VENDOR

The department will receive the vendor copy and the departmental copy of the Purchase Order. The department has the responsibility of placing the order with the vendor, whether by fax or telephone. If faxing the order to the vendor, write the Purchase Order number on the fax cover sheet. If you prefer, we can fax, email, or mail the Purchase Order to the vendor.

NOTE: To prevent duplicate orders on faxed and telephoned orders, write “Confirmation: Do not duplicate” on the original Purchase Order before mailing it.

ISSUE CHECK

If “Issue Check with Purchase Order” is printed on the Purchase Order, the department must submit the vendor copy of the Purchase Order and Requisition to Accounts Payable. See Section II.6, “Issuing Checks on Purchase Orders.”

II.5. After-the-Fact Requisitions

A Requisition is After-the-Fact when material or service is ordered before issuance of a Purchase Order. Departments submitting an After-the-Fact Requisition must justify their reasons for making an unauthorized purchase before Procurement Services will process the Requisition. Use of personal funds or a Procurement Card to avoid an After-the-Fact is not an acceptable procedure.

The walk-thru process was set up to handle emergency purchases. See Section II.4, “Walk-Thru Procedure.”

PROCEDURE

When a Procurement Officer in Procurement Services receives an After-the-Fact Requisition, the Procurement Officer will contact the responsible party and explain proper purchasing procedures. He or she will remind the party: **An individual who obligates the University without authorization may be held personally responsible for the obligation.**

SECOND OFFENSE

On a second offense, Procurement Services will send a letter of reprimand to the responsible party.

THIRD OFFENSE

A written notification will be issued from the Director of Procurement & Business Services to set a meeting to discuss the continuous After-the-Facts.

FOURTH OFFENSE

A written notification along with the rejection of the Requisition will be issued from the Director of Procurement & Business Services with copies to the Assistant Vice President for Finance & Business Services, the appropriate departmental vice president, and the Vice President for Finance & Administration.

UNIVERSITY POLICY

University policy is: "The University will assume no obligation except on a previously issued and duly authorized Purchase Order." See Section III, "Purchase Orders."

II.6. Issuing Checks on Purchase Orders

If a Purchase Order is to be prepaid by check, submit supporting documentation (e.g., copies of contracts, registration forms, or invoices) to Procurement Services, referencing the Requisition number. Accounts Payable will issue the check and mail it to the vendor along with the Purchase Order.

PICK UP

Checks will be held for pick up at Accounts Payable only on justified emergencies. Departments must obtain authorization from Accounts Payable to have a check held for pick up prior to submitting the Requisition. The request must be noted on the Requisition and the written authorization from Accounts Payable should be submitted to Procurement as backup to the Requisition.

CONTRACT PAYMENTS

Departments must submit Requisitions to make payments against Professional Services Contracts, which are paid by check. Please see Section VI.5, "Payments Against Contracts."

UNIVERSITY POLICY

University policy is to pay for goods and services **after** goods are received and services are rendered.

II.7. Priority Classification of Requisitions

Requisitions are classified as either Ordinary or Emergency (Walk-thru or RUSH).

- Ordinary Requisitions are subject to the normal purchasing process of review and approval. Ordinaries are usually processed into Purchase Orders in **one to two working days**.
- Emergencies, or Walk-thrus, are processed into Purchase Orders in **a matter of hours, Monday through Friday**. The Procurement Officers have discretion to determine whether the Requisition truly constitutes an emergency (see Section II.4, "Walk-Thru (RUSH) Requisitions").

NOTE: Due to Alabama State Bid Law some Requisitions may be held for bidding. Items most likely to be held are computer, research, or scientific equipment; furniture; and items totaling \$15,000.00 or more. If an Emergency (Walk-thru) Requisition must be held for a bid, Procurement Services will try to accommodate special needs within the guidelines of the purchasing process.

II.8. Sole Source Commodities

A sole source must meet the following three requirements:

- The good or service offered must be unique
- The uniqueness must be substantially related to the intended purpose, use, and performance of the good or service sought
- The entity seeking to be declared a “sole source” must show that other similar goods or services cannot meet the desired objectives of the entity seeking goods or services

Sole source purchases are rare and must show that an equitable evaluation of comparable products has been made and that rejection of unsuitable products is based on technical deficiencies or a combination of other reasons. In cases where no comparable source is known, whether at the manufacturing or distributor level, a technical description of the product must be provided. The technical description must be adequate enough to allow Procurement to make a thorough search and evaluation, which takes seven to ten days. **A sole source justification cannot be based on quality or price.** Quality is subjective and price is evaluated via competitive bidding.

Departments requesting essential and unique items with special design and/or performance features may obtain Sole Source Commodity classification for these items. Special design and performance features might include:

- Instrument response time
- Portability requirements
- Size constraints
- Unique capabilities

The commodity (a good or service) must be considered unique to the manufacturer, making it available only through that manufacturer with no comparable commodity available either at the manufacturer or distributor level. Items being evaluated for research purposes may qualify as a Sole Source Commodity.

Requisitions for Sole Source Commodities totaling \$15,000 or more must be submitted with a *Sole Source Justification Requirements* Form (Figure PS-3), available from the Business Services' website, (<http://www.uah.edu/business-services/faculty-staff/procurement-services/forms>). This form must be signed by the Principal Investigator and director, chair, or dean of the requisitioning department (if different).

II.9. Requisition-to-Purchase-Order Procedure

The following summarizes the procedure to process a Requisition into a Purchase Order.

1. The Requisition is entered in the on-line system by the department per the *UAH Banner Self-Service Requisitioning Workbook*. If the Requisition has attachments, write the Requisition number on all attachments and mail, fax, or hand deliver them to Procurement Services.

2. The account balance must be verified to ensure that funds are available. Requisitions against Contract & Grant and cost sharing companion accounts are electronically approved by the Office of Sponsored Programs (see Section II.1, "Approval of Requisitions").
3. The Requisition must have all electronic approvals completed before further processing can occur. Depending on the department or funding, the Requisition may require several different levels of approval. Persons with signature authority may recommend changes to the Requisition prior to approval.
4. Once all approvals are completed, the Requisition is ready for further processing by Procurement. The Requisition will be assigned to a Procurement Officer.
5. The Procurement Officer will verify attachments and supporting documentation. The Procurement Officer will submit requests for competitive bidding as needed.
6. The Procurement Officer will authorize the purchase and edit the Requisition for final printing of the Purchase Order.
7. The appropriate approval in Procurement Services commits UAHuntsville to the obligation.
8. The Procurement Services Technician distributes copies of the Purchase Order to the requisitioning department and the vendor. If "Issue Check with Purchase Order" is printed on the Purchase Order, the vendor copy of the Purchase Order and the original Requisition will go to Accounts Payable (see Section II.6, "Issuing Checks on Purchase Orders").

II.10. Requisition-to-Change-Order Procedure

A Change Order is required when a Purchase Order is to be adjusted or altered. A Change Order for an increase is needed only if the increase is more than 10% of the Purchase Order total.

COMPLETING A CHANGE ORDER REQUISITION

For more detailed instructions see Section IV, "Change Orders," or refer to the *UAH Banner Self-Service Requisitioning Workbook*. Signature approval requirements remain the same for all Change Orders.

To submit a Change Order Requisition, type "CHANGE" in the Commodity Code field of the "Line Items and Commodities Screen" in Self-Service Banner. Enter the original Purchase Order number in the Commodity Description field. Always provide a detailed explanation for the change in Document Text (see list below for examples).

- Change item
- Add item

- Change Account Code (“one-cent” must be left on the old Account Code)
- Decrease PO
- Increase PO

INCREASES / DECREASES

You may increase a Purchase Order to:

- Add items
- Increase the quantity or cost of an item
- Increase a PO encumbrance

You may decrease a Purchase Order to:

- Delete items
- Decrease the quantity or cost of an item
- Decrease a PO encumbrance

For increases, simply enter the amount of the increase in the Unit Price field on the Change Order Requisition. For decreases, enter \$0.01 (“one-cent”) in the Unit Price field on the Change Order Requisition.

CANCELING A PO, BALANCE, OR ITEM

You must submit a Requisition with a “one-cent” expenditure to cancel:

- An entire Purchase Order (current fiscal year)
- An item

You may submit a Requisition with a “one-cent” expenditure or send an email to purch@uah.edu to cancel:

- The remaining balance on a Purchase Order
- An entire Purchase Order (past fiscal year)

A “one-cent” expenditure is required for the Requisition to be completed and processed through the approvals. This Requisition will be canceled when the Purchase Order cancellation is processed. Enter the amount (\$0.01) in the Unit Price field.

CHANGING VENDORS

To change the vendor or vendor’s address on a Purchase Order, notify Procurement of the new vendor’s name and/or address. Email the appropriate Procurement Officer to have the vendor or vendor’s address changed on the PO. When changing the vendor, the original PO will be canceled, and a new PO will be issued to the new vendor.

CHANGING ACCOUNT CODES

If the PO has been issued, you need to submit a Change Order to change the Account Code. The Change Order dollar amount should be the same amount that you want charged to the new Account Code. The systems requires that a “one-cent” expenditure must remain on the old Account Code.

REMOVING A CANCELED REQUISITION

Notify Procurement when you need to remove a canceled Requisition once the Requisition has been disapproved. You should also notify Procurement of other minor Requisition changes. Simply email purch@uah.edu.

II.11. Changes by Procurement Services

Procurement Services may delete an item on a Requisition and buy the item from another vendor to take advantage of special circumstances or existing contracts. Procurement Services may shift an order entirely to another vendor for better prices, service, or delivery (please see Section II.17, “Consolidation of Similar Items”). Procurement Services will maintain quality standards. **For these and other reasons, no commitments, expressed or implied, should be made by UAHuntsville departments (other than Procurement Services) to vendors.**

II.12. Small Business / Small Disadvantaged Business Policy

Procurement Services’ policy concerning all Requisitions is to solicit quotations from the following vendors:

- Small Business
- Small Disadvantaged Business
- Woman Owned Small Business
- Woman Owned Small Disadvantaged Business
- Black Small Disadvantaged Business
- Black Woman Owned Small Disadvantaged Business
- Veteran Owned Small Business
- Disabled Veteran Owned Small Business
- Non-Profit Organization
- Labor Surplus Area Concern
- Historically Under-Utilized Business Zone

Procurement Services maintains a library of directories of disadvantaged and minority vendors. Departments should consult these directories for products and services they require. Consult the appropriate Procurement Officer for this information.

II.13. Authorized Departmental Procurement

Although Procurement Services conducts all purchasing activities for UAHuntsville, the use of Procurement Cards is delegated to the departments.

II.14. Planning Purchases and Requisitions

Departments should plan their purchases to meet the demands of both the vendor and the department. After a properly prepared and approved Requisition is received, the time to issue an order and secure delivery varies according to: (1) the work load in Procurement Services and (2) the vendor's ability to deliver. Delivery depends on the vendor's stock and any problems the vendor has producing goods or securing delivery from suppliers. Planning allows time for Procurement Services to obtain the best value.

II.15. Standard and Commonly Used Items

Departments should requisition standard, commonly used, and repetitively used items in advance of dates needed. See Section II.14, "Planning Purchases and Requisitions."

For better pricing and to prevent delays in receiving merchandise, departments should request: (1) the largest possible quantity of a single item and (2) as many kinds of items as possible from a common supply source or vendor. Examples include laboratory reagents, glassware, filter paper, and rubber or plastic tubing.

II.16. Small Orders

Departments should avoid frequent small orders. Decrease the frequency and the quantity of small repetitive orders. Departments can use their Procurement Card for small orders. See Section II.14, "Planning Purchases and Requisitions"; Section II.15, "Standard and Commonly Used Items."

NOTE: Vendors resist delivery and invoicing of orders when the cost of delivery and invoicing is greater than the gross mark-up on the materials sold. Small-dollar orders that could have been combined increase processing costs to UAHuntsville.

II.17. Consolidation of Similar Items

Procurement Services will consolidate similar items or items from common sources for maximum quantity discounts and best vendor service. Procurement Services will consider delivery schedules, item costs, and Alabama State laws. See Section II.15, "Standard and Commonly Used Items."

II.18. Prohibited Purchases

UAHuntsville does not permit the purchase of personal items such as:

- Awards/plaques
- Briefcases
- Christmas cards
- Coffee pots
- Employee get-well cards
- Expensive desk pads
- Fancy clocks
- Flower vases and arrangements
- Gifts or recognition of gifts

- Microwave ovens
- Plants
- Receptions
- Refrigerators

These items are not provided by University funds. Individuals who wish to have such items in their offices should buy them with personal funds. Do not use University letterhead to buy personal items.

UAHuntsville does not permit the purchase/donation of items such as:

- Alcoholic beverages
- Contributions

II.19. Major Equipment Purchases

To increase efficiency and reduce costs, major equipment purchases shall be based on the following considerations:

- Compatibility
- Dependability
- Durability
- Economy of operation
- Funding
- Quality
- Productivity
- Savings in time or labor costs
- Installation (labor & material \$50,000 or more)
May require a General Contractor's License

EQUIPMENT WITH SPECIAL REQUIREMENTS

The requisitioning department must obtain special approvals when purchasing an equipment item with the following special requirements:

- Uses non-standard electrical outlets
- Exceeds space requirements
- Weighs 4000-pounds or more

The department must contact Procurement Services and Facilities and Operations Administration to determine availability of electrical power and check space requirements and floor loading, as applicable. These approvals must be clearly indicated on the Requisition.

II.20. Separating Requisitions by Vendor

Departments should submit Requisitions by vendor rather than by classification of materials and/or equipment ordered. Submit one Requisition for all items to be purchased from a single vendor.

II.21. Sources for Unusual Items

Departments should suggest supply sources for unusual or non-standard items. Include complete addresses. Although Procurement Services has final authority for vendor selection, suggested vendors and suppliers will be used as much as possible.

II.22. Pricing Policy

The Procurement Officer remains aware of most current prices through study of published price lists, vendor-provided price information, or published market data. If a price cannot be determined from these sources, the price is established through estimation, verification, or competitive bid.

Due to rapidly changing prices and the vast assortment of commodities purchased by UAHuntsville, departments should provide dollar value estimates on Requisitions if actual prices are unknown.

II.23. Pricing Agreements

The following types of pricing agreements are available to UAHuntsville for procurement of materials, supplies, and equipment:

- Educational and Institutional Cooperative Service Contracts
- General Services Administration Contracts
- Manufacturer, State, Local, or University Pricing Agreements
- University Established Contracts
- Competitive Bids
- State Contracts
- Consortium Contracts
- US Communities Contracts
- National Joint Powers Alliance Contracts

II.24. Blanket (Standing) Purchase Orders

If a department must obtain a number of miscellaneous, non-equipment items from the same vendor over an extended period, the department may initiate a Blanket (or Standing) Purchase Order. The department may also use Blanket Purchase Orders to encumber funds against contracts or purchase agreements.

LIMITATIONS

Procurement Services must approve Blanket Purchase Orders. The period of encumbrance cannot extend beyond the current fiscal year nor can it exceed competitive bid requirements for the UAHuntsville community (see Section VII, "Bids").

NOTE: Competitive bid requirements are considered when issuing Blanket Purchase Orders.

PROCEDURE

All Blanket Purchase Orders are initiated in the same way as ordinary Purchase Orders. The following information should be stated on the Requisition:

Document Text: Encumber funds for an open Purchase Order for The University of Alabama in Huntsville covering the period [MO/DA/YR] through [MO/DA/YR]. Item/Commodity Description: For [Enter the type or name of items] for the [Enter the name of the department]. Item Text: Persons authorized to purchase: _____ [List names of individuals authorized to purchase items]. Note: Vendor is instructed to obtain proof of identification from individual who must present a UAHuntsville identification card before he or she can pick up the material. UAHuntsville reserves the right to change quantities or cancel the Purchase Order at any time. UAHuntsville is not obligated to purchase any specific amount, and no shipments / pick-ups are allowed after expiration date.
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PURCHASES

Authorized individuals must submit a Memorandum Receiving Report (MRR), available on the Business Services website, (<http://www.uah.edu/admin/bussvcs>), under "Faculty & Staff" / "Central Receiving" / "Forms," to Accounts Payable at the time of purchase for payment processing. The department is responsible for financial upkeep of the Blanket Purchase Order.

CLOSURE AND CHANGES

To issue a final payment and close a Blanket Purchase Order, be sure to mark "completed" on the Memorandum Receiving Report for the final purchase. To cancel the balance on a Blanket Purchase Order that was not closed with a final payment, the department must issue a Change Order with a "one-cent" expenditure requesting the cancellation. See Section II.10, "Requisition-to-Change-Order-Procedure" for more information on the "one-cent" Requisition.

II.25. Travel

OUT-OF-STATE TRAVEL

All faculty, staff, and students traveling outside the state on University business must complete a Travel Authorization Form, *Authorization for Official Travel*, before leaving on the trip. All out-of-state travel must be approved in advance by the appropriate vice president or their designee. If the *Authorization for Official Travel* is not approved in advance, the traveler is traveling at his or her own risk until approval is obtained.

NOTE: Non-reimbursed, out-of-state travel requires only the approval of the employee's supervisor (for the absence).

- Non-prepaid travel arrangements: Submit Requisitions for public transportation tickets (e.g., airline, bus), rental cars, and hotel accommodations, as applicable. Submit **a copy of the approved Travel Authorization Form**. For public transportation tickets submit separate Requisitions for each traveler unless traveling on the same date.
- Prepaid travel arrangements: State law prohibits prepayment of travel arrangements **except registration fees. Submit a copy of the Travel Authorization Form and registration form, referencing the Requisition.**
- Some travel charges are allowed on the Procurement Card. See "Procurement Card Allowables" (Figure PC-8) in the Procurement Card section of this Manual.

Persons traveling under federally funded accounts (Contract & Grant and cost sharing companion accounts) should be aware of and adhere to U.S. Flag Carrier regulations (FAR 47.4).

After returning from travel: Submit an *Out-of-State Expense Voucher* to Accounting & Finance. Do not submit a Requisition for reimbursement of travel expenses.

IN-STATE TRAVEL

In-state travel requires a Travel Authorization Form only when traveling on Contract & Grant and cost sharing companion accounts.

Submit a Requisition for prepayment of registration fees. Purchase Orders will not be issued for in-state hotel accommodations due to per diem restrictions. After returning from travel: Submit an *In-State Travel Expense Voucher* to Accounting & Finance.

PROSPECTIVE CANDIDATES

Submit a copy of the approved *On Campus Interview Form*, referencing the Requisition, for public transportation tickets, rental car (if applicable), and hotel accommodations.

ACCOUNTING FORMS

Authorization for Official Travel, In-State Travel Expense Voucher, and Out-of-State Expense Voucher forms are available at www.uah.edu/admin/Budget/Forms.php

II.26. Software License Agreements

All Software License Agreements requiring the signature of a University official must be submitted to Procurement Services and must reference the Requisition. Procurement Services will have the agreement reviewed by the Office of Counsel and will obtain appropriate University signatures. Departments purchasing the software are responsible for following all terms and conditions of the licensing agreement.

NOTE: Many software vendors require a license agreement to be executed when software is purchased. A license agreement states the terms and conditions of using the vendor's software.

II.27. Repair of University Equipment

Departments must obtain an authorized Purchase Order before sending out University property for repair or estimate, including warranty repairs. The Requisition must include the following details:

- Serial number
- UAHuntsville property ID number
- Problem
- Contact person
- Telephone number

II.28. University Bookstore Purchases

Departments should purchase all items from the University Bookstore that are available from the University Bookstore. Purchase standard items including office supplies and text books on a *University Bookstore Requisition for Supplies*. (Non-standard office supplies such as fax machines, computers, or furniture cannot be purchased on a University Bookstore Requisition.)

II.29. Radioactive Purchases

Environmental Health and Safety must approve all requests for radioactive products. Requisitions for radioactive products require Account code 7431 which is designated for all radioactive purchases.

IONIZING RADIATION SOURCES

When preparing a Requisition for any item (equipment or device) that contains an ionizing radiation source (e.g., X-ray machine), provide the following statement under Document Text: "This item contains an ionizing radiation source."

The Requisition then must be entered using account code 7431. Environmental Health and Safety must approve the Requisition and will register the item with the Department of Public Health in Montgomery. The item must be properly registered before it can be received at the University.

II.30. Advertisements

Type the advertisement on a separate sheet as an attachment to a Requisition.

EMPLOYMENT VACANCIES

The Faculty Equal Employment Opportunity Coordinator must approve the advertising of faculty position vacancies. Human Resources must approve the advertising of staff position vacancies.

PROMOTIONAL ACTIVITY

Office of Advancement has final approval on all public promotional activity advertisements (e.g., brochures, ads for newspapers and magazines) to ensure conformity to University policy. Advertisements must have the department dean/director approval before being submitted to the Office of Advancement.

SPORTS PROGRAM BOOK

The University cannot place ads in any sports program book according to NCAA rules.

II.31. Contracting Professional Services

Professional service providers and consultants are classified as follows:

- Architects/Engineers
- Draftsmen/Artists
- External Financial Advisors
- Lawyers
- Lecturers
- Performing Artists

- Physicians
- Professional Consultants
- Scientists
- Trustees

Departments should contract with persons or firms according to normal purchasing procedures. No University commitment will be recognized until a fully-executed Contract for Professional Services and/or Purchase Order is issued. Please see Section VI, "Contracts for Professional Services."

II.32. Federal and State Surplus

UAHuntsville is eligible to purchase from Federal and State surplus agencies. A Requisition is not required in advance. An employee wishing to visit any of the State surplus warehouses must obtain an authorization letter from Procurement Services before visiting the warehouse. He or she must submit a Requisition for any items purchased upon return. Indicate "Issue Check" in Document Text on the Requisition.

II.33. Professional Memberships

The University is authorized to hold memberships in professional organizations and usually designates an individual as the University's representative to the organization. Memberships in professional organizations can be held when related to the employee's position at the University and if the benefits of membership, such as periodicals, etc., are made available to other employees.

II.34. Conflict of Interest / Prohibited Activities

University employees must comply with: (1) the Code of Ethics for Public Officials, Employees, etc. (Chapter 25, *Code of Alabama*); (2) applicable provisions of the University Faculty and Staff Handbooks, as appropriate; (3) other University policies as may be adopted in the future.

University employees may not:

- Use their offices for direct personal gain for themselves, their families, or businesses with which they or family members are associated, unless specifically authorized by law.
- Solicit or receive anything of value including gifts, favors, services, or promises of future employment based on the understanding that an official action would be influenced thereby.
- Disclose or use confidential information gained in the course of or by reason of their official positions in any way that could result in financial gain for them, their families, or any other person(s).

II.35. Uniform Policy Regarding Funds

The purchasing and bidding policies described in this manual apply to all University funds regardless of source. All funds deposited with UAHuntsville are University funds and must be handled consistently according to University policies except where direct conflict occurs with specific provisions of the gift, grant, contract, or restricted account.

II.36. State Bond Issue

State Bond Issue Requisitions use special funding from the State of Alabama. Accounting & Finance establishes a special organization code for specific State Bond-approved requirements (formerly a 7-account). Use Document Text to identify these purchases.

Standard purchasing procedures apply according to Federal, State, and University policy. Special billing instructions are necessary, however, as payment is issued from the State of Alabama. Contracts & Grants Accounting forwards documentation to support payment requests.

No Purchase Order using State Bond Issue funding will be issued for amounts under \$100.00.

The State Bond Issue Instructions are available on the Contracts & Grants website: <http://www.uah.edu/admin/c-g/forms.php>

II.37. Procurement of Materials and Maintenance Services

The following materials and maintenance items require approval by Facilities and Operations Administration before a Purchase Order can be issued. These items apply to all areas except Aerophysics and offices located at Redstone Arsenal.

- Any services normally provided by University departments
- Audio/visual installations
- Bulletin boards for corridors, hallways, and classrooms
- Cleaning equipment
- Cleaning services for upholstered furniture and carpet
- Federal and state flags and poles for outdoor use
- Fence installation
- Fire extinguisher equipment
- Keys and locks for buildings
- Landscaping services
- Pest control services and supplies
- Picnic tables
- Repairs and alterations that include:
 - Installation and/or repair of heating and air-conditioning equipment
 - Installation and/or repair of plumbing systems

- Installation and/or repair of electrical systems and equipment
- Building supplies and materials (e.g., paneling, sheet rock, lumber, hardware)
- Interior or exterior paint
- Installation, replacement, or repair of carpeting
- Installation or repair of drapes and Venetian blinds
- Purchase and/or installation of window glass

II.38. Lease Versus Buy Policy

The Office of Management and Budget Circular A-110, Section 44, requires analysis of lease and purchase alternatives, where appropriate, to determine the most economical and practical procurement for the Federal Government. The Principal Investigator decides, on a case-by-case basis, whether to lease or purchase. Lease arrangements may use either contract or grant funds. If funds are unavailable to purchase, multiple contracts may be used for lease arrangements.

II.39. Federal Acquisitions Regulations

Federal Acquisitions Regulations (FARs) apply to contracts and grants. Specific clauses pertaining to FARs must flow into bid documents and Purchase Orders that are over \$25,000.00. Office of Sponsored Programs will attach appropriate clauses to Requisitions and bid documents. Procurement Services will mail a copy of the appropriate clauses with Purchase Orders and bid documents.

II.40. Priorities and Allocations

The Defense Priorities and Allocations System (DPAS) was established to: (1) keep specific defense and energy production programs on schedule and (2) provide an administrative means of mobilizing the nation's economic resources during war or national emergency. The DPAS applies to certain metals and alloys and to programs of the following agencies / departments:

- Central Intelligence Agency
- Department of Commerce
- Department of Defense
- Department of Energy
- Department of the Interior
- Federal Aviation Administration
- National Aeronautics and Space Administration

During war or national emergencies the DPAS coverage can be expanded as necessary.

RATINGS

A contract that exceeds \$5,000.00 and falls within DPAS coverage receives either a DX rating or a DO rating. DX-rated contracts have a higher priority than DO-rated contracts because DX-rated contracts are for special defense

programs designated by the President to have the highest national priority. All DX- and DO-rated contracts have priority over unrated contracts.

SUBCONTRACTS

When a contractor receives a contract governed by the DPAS, he or she becomes a self-authorizing consumer. A self-authorizing consumer is required by law to cite the contract's rating on any subcontracts issued to fulfill the contract. The subcontractor in turn becomes a self-authorizing consumer. The contractor/subcontractor can use the rating to replace inventory used to fulfill the contract/subcontract.

All government contracts governed by the DPAS must contain the following legend: "This contract is a rated order under the Defense Priorities and Allocations System (15 CFR 700)." When issuing a subcontract, a self-authorizing consumer must clearly state both of the following on the face of the subcontract:

- The supply or service being purchased is certified for use under the DPAS.
- The subcontractor is required to follow all applicable regulations in obtaining products and materials to fulfill the contract.

Refer to Section L of an Invitation For Bid or Request For Proposal and on various government procurement forms for the appropriate rating.

PRINCIPAL INVESTIGATORS

Principal Investigators with contracts containing a DPAS rating must indicate the required delivery date of the product or service ordered on Requisitions. Office of Sponsored Programs advises Procurement Services when Requisitions meet these criteria and provides the priority rating. Procurement Services includes on Purchase Orders:

- "This is a rated order certified for national defense use, and you are required to follow all the provisions of the Defense Priorities and Allocations System regulation (15 CFR 700)."
- Priority rating
- Required delivery date: "Immediately" or "as soon as possible" do not constitute a delivery date.

II.41. Conservation of Resources

To the extent practical and economically feasible, products and services that conserve natural resources, protect the environment, and use energy efficiently should be preferred. Indicate such preference on Requisitions.

II.42. Code of Ethics

The following Code of Ethics has been adopted by the University from the National Association of Educational Procurement (NAEP):

1. Give first consideration to the objectives and policies of my institution.
2. Strive to obtain the maximum value for each dollar of expenditure.
3. Decline personal gifts or gratuities.
4. Grant all competitive suppliers equal consideration insofar as State or Federal statute and institutional policy permit.
5. Conduct business with potential and current suppliers in an atmosphere of good faith, devoid of intentional misrepresentation.
6. Demand honesty in sales representation whether offered through the medium of a verbal or written statement, an advertisement, or a sample of the product.
7. Receive consent of originator of proprietary ideas and designs before using them for competitive purchasing purposes.
8. Make every reasonable effort to negotiate an equitable and mutually agreeable settlement of any controversy with a supplier; and/or be willing to submit any major controversies to arbitration or other third party review, insofar as the established policies of my institution permit.
9. Accord a prompt and courteous reception insofar as conditions permit to all who call on legitimate business missions.
10. Cooperate with trade, industrial, and professional associations, and with governmental and private agencies for the purpose of promoting and developing sound business methods.
11. Foster fair, ethical, and legal trade practices.
12. Counsel and cooperate with NAEP members; promote a spirit of unity and a keen interest in professional growth among them.

II.43. Meals / Business Luncheons / Receptions

Expenditures for employee meals are allowed to the extent that they are incurred while conducting University business or while on authorized travel. Reimbursements for meals while in travel status are covered separately under the University's travel guidelines. Meal expenditures are allowable for entertaining official guests and invited speakers, working meals, planning/administrative meetings, or recruiting employees. Expenditures for meals are not allowed if the meal has no business purpose. Expenditures for receptions are allowed to the extent they relate to an official University-sponsored event or program, or for educational purposes.

II.44. Moving Expenses

Moving expenses are allowable up to the amount specified in the employee's offer letter. Moving expenses typically include the cost of moving the employee's household belongings and the costs incurred en route to the University for both the employee and his/her family. Expenses related to establishing a residence are not considered moving expenses.

II.45. Professional Licenses / Certifications

Expenditures for individuals to obtain or maintain professional licenses or certifications are allowed only in situations where such a designation is required for specifically assigned duties.

II.46. Subscriptions

Expenditures for subscriptions to periodicals, journals, newspapers, etc. are allowed to the extent that they support the work-related activities/purpose of the department or individual user. Items must be delivered to the subscriber's campus address. These resources must also be made available to other employees of the department.

II.47. Debarred / Suspended Vendors

Procurement Services must verify that the vendor has not been excluded from the Federal Procurement and Non-procurement Program prior to issuing Purchase Orders against Contract & Grant and cost sharing companion accounts. Office of Sponsored Programs requires all contractors/subcontractors sign a debarment certification at the time of the award. The General Services Administration (GSA) compiles and maintains a current list of all parties debarred, suspended, proposed for debarment, or declared ineligible by agencies or by the General Accounting Office. The electronic version is updated daily and is available via the internet at <http://www.epls.gov>.

II.48. Cell Phones / iPads, and other Wireless Communication Devices

University policy allows reimbursement for the use of wireless communication devices to conduct University business (1/1/08). The policy provides a wireless communication supplement to eligible employees.

For additional information regarding this policy, contact the Telecommunication Services office at -256-824-6129.

II.49. Auction Purchases

eBay/online and auction purchases are not permissible due to the fact that the University does not have a procurement method to address the types of problems involving eBay and other online auction purchases.

II.50. Apparel / Logo Shirts / T-Shirts

The purchase of apparel, logo shirts, and T-shirts with state appropriated funds are permissible for authorized student sponsored events and University Center and Enrollment Services events. Other requirements are not deemed to be an appropriate use of state funds.

II.51. Vehicles

Fleet Services, according to the Vehicle Safety Management Program, must approve Requisitions for the purchase or lease of vehicles. University policy does not permit the purchase, lease, or rental of 15-passenger vans from external vendors. Repair of any University vehicle must be approved and managed by Fleet Services.

Used vehicles when requested and bid must be brought to Fleet Services for a safety inspection and title examination prior to purchase. Any deficiencies noted in the safety inspection must be corrected prior to purchase. All newly acquired vehicles are to be delivered to Fleet Services, which will place information and insurance packets in the glove compartment and safety equipment in the trunk.

For rental of vehicles using a Purchase Order, Procurement Services will provide proof of insurance, as needed, by attaching a certificate of insurance to the Purchase Order. A copy of the certificate, "Vehicle Insurance Identification Card", may also be obtained from the website: <http://www.uah.edu/business-services/faculty-staff/business-services-2/about> For vehicles rented by an employee using a credit card, the employee may obtain a certificate of insurance, if needed, prior to travel from Procurement Services or from the website.

II.52. Awards / Gifts / Prizes

The Internal Revenue Service states that, under certain circumstances, the value of awards, gifts, and prizes to individuals is considered taxable income. Non-US citizens may be subject to additional tax rules depending on circumstances and treaty status. This policy addresses the payment or awarding items of value to students or non-employees. It must be noted that Scholarships are not addressed in this policy since the Financial Aid Office processes these documents.

Guidelines and the form are available on the Business Services website. Click on "*Prize Tax Data Guidelines & Form*":

II.53. Record Retention

Retain Requisitions in office for three years after the end of the fiscal year in which the records were created; then destroy.

III. PURCHASE ORDERS

III.1. Policy

A Purchase Order is the formal document that authorizes the acquisition of goods or services for UAHuntsville. See Figure PS-5 for a sample Purchase Order.

No individual has the authority to enter into purchase contracts or in any way financially obligate the University except the Assistant Vice President for Finance & Business Services. **Purchases made without a Purchase Order are unauthorized.**

III.2. Procedure

Purchase Orders will be issued after: (1) Requisitions are approved and processed and (2) bids are solicited and secured, if applicable. The individual originating the Requisition will receive a departmental copy of the Purchase Order through Campus Mail.

Every Purchase Order must contain a Statement of Certification of Compliance with Act No. 2006-557. See Section III.8, "Certification of Compliance."

III.3. Tax Exemption

UAHuntsville is an instrumentality of the state and is tax exempt, Certificate Number EX-742, Federal ID Number 63-0520830.

The University must pay excise tax on specific vaccines under 26 U.S. Code 4131. The University is subject to rental tax, excise tax, lodging tax, utility tax, and tooling tax.

The current Alabama State Sales and Use Tax Certificate of Exemption form can be found on the Business Services website under the "Faculty & Staff," "Procurement Services," and "Forms" tabs; click on "Sales Tax Exempt Form." If someone requests the current form from you, you may forward the link directly to them. If for some reason that doesn't work, you may contact Business Services for assistance at 256-824-6484.

III.4. Expediting Delivery Status and Changes

Contact the Procurement Officer when you:

- Have questions about your Purchase Order.
- Receive incorrect or damaged merchandise.
- Receive duplicate shipments.
- Need shipping information.
- Need to return merchandise.
- Receive a shipment that you did not order.
- Check delivery status of the Purchase Order.
- Make changes to the Purchase Order.

When checking on status, making changes, or making returns please provide the Procurement Officer with the following information:

- Purchase Order number
- Vendor's name
- The item(s) in question
- Date item was received
- Method of receipt (i.e., Central Receiving or direct shipment)
- Reason for the return (for more information on returns, see below)

III.5. Returns to Vendors

Departments should contact the Procurement Officer to return items—**DO NOT CONTACT THE VENDOR**. Possible reasons to return items include: incorrect or damaged items, duplicate shipments, unordered items, or items unacceptable for other reasons.

Retain original packaging until advised by Procurement Services. The Procurement Officer obtains the necessary authorization from the vendor and coordinates the return to the vendor. See Section III.4, “Expediting Delivery Status and Changes,” for information to provide the Procurement Officer.

The Procurement Officer will obtain necessary return authorizations, which are required by most vendors, and will coordinate the return with Central Receiving and Shipping. This procedure ensures proper insurance coverage and traceability of the items being returned. Items received against a Purchase Order are not to be returned by the U.S. Postal Service.

III.6. Central Receiving and Shipping Policy

Central Receiving and Shipping is the normal, central location for the receiving and shipping of University-purchased items. When alternate delivery arrangements are necessary, departments should designate the alternate delivery site on the Requisition. Departments should notify Central Receiving and Shipping of any change in delivery site after the Purchase Order is issued. See the Central Receiving and Shipping section for additional information.

Large Items: The UAHuntsville forklift capacity is 4000-pounds. If ordering equipment larger than 4000-pounds, contact a Procurement Officer before the Purchase Order is issued to make arrangements for unloading.

III.7. Invoices

Invoices received from vendors must be forwarded to Accounts Payable. Accounts Payable will issue payment **only** after receiving an original invoice that references a UAHuntsville Purchase Order, and merchandise has been received or services provided.

III.8. Certification of Compliance

The following statement has been added to every Purchase Order:

Certification Pursuant To Act No. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By accepting this Purchase Order, the vendor is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

III.9. Record Retention

Retain Purchase Order departmental copy in office for three years after the end of the fiscal year in which the records were created; then destroy.

IV. CHANGE ORDERS

IV.1. Origination

A Change Order alters an existing Purchase Order (e.g., cost, items, quantities). A Change Order can be originated by: (1) the requisitioning department, (2) the requisitioning department per Procurement Officer's suggestion, and (3) Accounts Payable per Change Order Notice.

The Procurement Officer might request a Change Order to clear old, outstanding accounts that have not been billed or supplied or to alter information on previously issued Purchase Orders. In the event that an increase is needed of \$100 or less, an email approval will be accepted.

The requisitioning department should confirm receipt of merchandise against the Purchase Order. The department should contact the Procurement Officer when ordered merchandise is not shipped. When calling a vendor to make changes to a Purchase Order, all orders must have an authorized Change Order in place to support the change.

IV.2. Procedure

Submit an electronic Requisition for all changes, except vendor changes. You must obtain a new Requisition number for all other changes. Refer to the *UAH Banner Self-Service Requisitioning Workbook* for more details.

COMPLETING A CHANGE ORDER REQUISITION

1. At the Line Items and Commodities screen, type "CHANGE" in the Commodity Code field.
2. Enter the Purchase Order number to be changed in the Commodity Description field. Complete the Unit of Measure, Quantity, and Unit Price fields.
NOTE: If the Change Order is to INCREASE, place the amount of the increase (only) in the Unit Price field; if the Change Order is to DECREASE, place "one-cent" (\$0.01) in the Unit Price field and give a description of the reason for the decrease (with the amount of the decrease) in Document Text.
3. Select the underscored item number link to add Item Text for the first item. Describe the information regarding the altered item (e.g., stock number, model number, physical description).
4. Click on Commodity Validate.

5. For multiple items, continue with the remaining items up to a total of five items. The Commodity Code (i.e., CHANGE) is required only for the first item.
6. Use Document Text to provide a detailed explanation for the entire Change Order. Indicate if attachments are being forwarded to Purchasing.
7. Obtain all necessary approvals as with any other Requisition before an official Change Order can be released.

CANCELING ITEMS, ENCUMBRANCES, OR PURCHASE ORDERS

To cancel an item, or an entire Purchase Order, you must submit an electronic Requisition with a “one-cent” expenditure to request the cancellation. The one-cent expenditure is required to process the Requisition through the approvals. You may submit an electronic Requisition with a “one-cent” expenditure or an email to cancel the remaining balance, or an entire Purchase Order from a past fiscal year. The Change Order Requisition will be canceled when the Purchase Order cancellation is processed.

1. At the Line Items and Commodities screen, type “CHANGE” in the Commodity Code field.
2. Enter the Purchase Order number to be changed in the Commodity Description field. Complete Unit of Measure and Quantity. Type “\$0.01” as the amount in the Unit Price field.
3. Click on Commodity Validate.
4. Use Document Text to provide a detailed explanation for the Change Order.
5. Obtain all necessary approvals as with any other Requisition before an official Change Order can be released.

OTHER CHANGES

Account Code: To change the Account Code, submit a Change Order with the new Account Code. The Change Order dollar amount will be the same amount charged to the new Account Code. The old Account Code will remain on the Purchase Order with a “one-cent” encumbrance.

Vendor: To change the vendor or vendor address on a Purchase Order, notify Procurement of the new vendor name and/or address. Email the appropriate Procurement Officer to have the vendor or vendor’s address changed on the PO. When changing the vendor, the original PO will be canceled, and a new PO will be issued to the vendor.

V. REIMBURSEMENTS

V.1. Policy

Individuals may receive reimbursement for using their personal funds to purchase supplies (no equipment) for UAHuntsville. While the purchase of some supplies is permissible with personal funds, it is preferred that all purchases are made through the use of Purchase Orders or the Procurement Card. Original receipts are required for all reimbursements.

If your reimbursement is coming from research funds, meaning contracts & grant or cost share funds, you must submit an electronic Requisition to receive your reimbursement. If your reimbursement is coming from state funds, you may submit an electronic Requisition or a Miscellaneous Voucher.

The *Miscellaneous Disbursement Voucher* is submitted when using non-research funds. This Voucher, along with original receipts, should be submitted to Accounting & Finance. The *Miscellaneous Disbursement Voucher* is available at www.uah.edu/admin/Budget/Forms/php

For information on tax exemption, please see Section III.3., "Tax Exemption."

V.2. Procedure

Miscellaneous Voucher reimbursements should be used only when the normal purchasing process cannot be followed. Routine purchases of goods and services should be handled through Procurement Services, through the use of Purchase Orders or the VISA Procurement Card (PCard). UAHuntsville does not permit the purchase with personal funds and reimbursement for equipment, computers, iPads, computer peripherals, and items requiring prior University approval.

All reimbursement requests require complete documentation, including a justification as to who, what, when, and why one of the normal purchasing processes could not be followed. Receipts must indicate that payment was made and clearly show the form of the payment. Original receipts must accompany any request for reimbursement.

VI. CONTRACTS FOR PROFESSIONAL SERVICES

VI.1. Policy

A contract is necessary whenever UAHuntsville departments require services that cannot be provided by an employee. Please see Section II.31, "Contracting Professional Services," for types of individuals frequently contracted.

To avoid violating tax laws, UAHuntsville must carefully consider those cases where UAHuntsville provides the work site, supervision, and materials and allows the Contractor to participate in employee meetings and other activities. Such cases may be interpreted as employee/employer relationships rather than contractual relationships. Please see Figure PS-6 for *Contract Guidelines* from the Office of Counsel.

NOTE: The labels "Employee" and "Contractor" are not conclusive; departments should contact the Office of Counsel for classification of individuals.

VI.2. Completing the Form

The *Contract for Professional Services Form* (Rev. 11/88, Figure PS-7) and *General Terms and Conditions* (Rev. 11/88, Figure PS-8) are available on the Business Services website at: <http://www.uah.edu/business-services/faculty-staff/business-services-2/contracts>

- A. Approved By — Obtain the signature of the Budget Unit Head or other person with authority for the budget, with name typed or printed below the signature.
- Budget Unit Name — Enter the department initiating the contract.
- Date — Enter the date the Budget Unit Head signed the contract.
- Return Contract To — Enter the name and campus mailing address of individual who should receive copies of the completed contract.
- General Terms Provided to Contractor (check) — Check this line to indicate that Contractor has received a copy of the General Terms and Conditions with the contract. After signing and returning the contract, the Contractor keeps the General Terms and Conditions.
- B. THIS AGREEMENT — Enter the name and complete address of the individual or company entering into the contract.
- C. Scope of Work — Describe the duties and services the Contractor is required to perform.
- D. Compensation — Enter the organization code to which payment is to be charged; check the applicable provisions (a, b, c, d, e, or f).
- E. Term — Enter the period in which services will be performed (Example: "September 15–19, 2012" or "During the month of April, 2013").
- F. Additional Provisions — Describe any provisions that are different from the General Terms and Conditions.
- G. Board of Trustees — Leave blank for signature.
Name — Type or print the vice president's name.
Title — Enter the vice president's title.
Date — The vice president enters the date he or she signs the contract.
- H. Contractor — Obtain the signature of the individual entering into the contract with UAHuntsville
Name — Type or print the name of the individual signing the contract.

Title — Enter the title of the individual signing the contract, if the Contractor is a company.

Address — Enter the Contractor's address.

Soc. Sec. No./Tax Identification Number — Enter the Social Security number or the Passport number if the Contractor is an individual; enter the Tax ID number if the Contractor is a company.

Date — Enter the date the Contractor signed the contract.

VI.3. Procedure and Approval

Departments should submit to Business Services all contracts for Professional Services **at least two weeks prior to the first day of the contracted assignment**. The procedure for completing a contract or contract amendment takes approximately **five to seven working days**. If a contract is issued after the official first day of the period specified in the contract, the department must issue an "After-the-Fact Justification" signed by the Originator.

DEPARTMENT

All departments, except Office of Sponsored Programs (for contract or grant agreements with regard to research and service activities) and the Division of Continuing Education (for standard-form instructor contracts for courses taught in the Division of Continuing Education), must follow this procedure:

- Obtain Budget Unit Head's signature.
- Provide *General Terms and Conditions* and obtain Contractor's signature.
- Include statement of Certification of Compliance with Act No. 2006-557 (See Section VI.7, "Certification of Compliance.")
- Send contract and one copy to Business Services.

BUSINESS SERVICES

Business Services completes review and approval of the contract according to this procedure:

- Review contract documents for consistency of names and references, including proposals, payments, and published materials, and register receipt of contract.
- Forward to Office of Counsel for complete review and approval.
- Obtain signature of department's vice president.
- Assign contract number.
- Return to the department a completed copy of contract, including number assignment and signatures, and retain the original contract on file in Business Services.

NOTE: All contracts issued to foreign nationals must be approved by Research Security and Immigration Administration before being submitted to Business Services.

VI.4. Amendments to Contracts

If a contract must be changed in any way, an Amendment (*Amendment of Contract Form*, Rev. 3/85, Figure PS-9) is necessary. Follow the same process and approval procedures for Amendments as for the original contract. **Attach a copy of the original Contract to the Amendment when submitting it to Business Services.**

VI.5. Payments Against Contracts

The department must submit an electronic Requisition to make payments against Contracts. An electronic Requisition for payment must contain the following information:

- Contract number
- Payment number (“First and Final” or “First (Second, etc.) of # of Payments”)
- Social Security or Tax ID number
- Period in which service is performed

Payments are made either by Issue Check or Blanket Purchase Order.

ISSUE CHECK PURCHASE ORDERS

An Issue Check Purchase Order may be issued to make a payment on a Contract within the current fiscal year.

- Submit **one** copy of the Contract referencing the Requisition for an **Issue Check Purchase Order** along with any necessary invoice(s) or other backup.

BLANKET PURCHASE ORDERS

A Blanket, or Standing, Purchase Order may be issued to encumber funds for payment obligations against Contracts within the current fiscal year.

- Submit **two** copies of the contract, referencing the Requisition for a **Blanket Purchase Order**; one copy showing the Purchase Order number will go to Accounts Payable and the other copy will remain in Business Services on file with the Requisition.
- Departments then authorize payments by issuing a Memorandum Receiving Report and forwarding it to Accounts Payable. The MRR should show the payment number. Please see Section II.24, “Blanket (Standing) Purchase Orders,” for more information.

VI.6. Disclosure Statement

Completion of the “Disclosure Statement of Relationship Between Contractor/Grantees and Employees/Officials of the University” is required for:

- Professional Services contracts in the amount of \$5,000.00 or more
- Management contracts

VI.7. Certification of Compliance

The following statement must be included with every Contract for Professional Services:

Certification Pursuant To Act No. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By accepting this contract, the contractor is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

VI.8. Record Retention

Retain contracts in office for six years after expiration of the contract; then destroy.

VII. BIDS

VII.1. Policy

Article 2, Section 41-16-20 of Public Contracts of the Alabama Competitive Bid Law establishes that contracts involving \$15,000.00 or more made for or on behalf of the Board of Trustees of the University of Alabama in Huntsville, regardless of nature, shall be let by free and open competitive bidding, on sealed bids, to the lowest responsible bidder, except as otherwise provided. This policy is true for all contracts involving \$15,000.00 or more whether contracts involve labor, services, or work; or for the purchase or lease of materials, equipment, supplies, or other personal property.

EXEMPTIONS

Article 2, Section 41-16-21 of Public Contracts of the Alabama Competitive Bid Law states that competitive bids shall not be required for utility services where no competition exists or where rates are fixed by law or ordinance. Furthermore, competitive bids are not required for the following:

- The purchase of insurance by the State
- Securing the services of attorneys, physicians, architects, teachers, superintendents of construction, artists, appraisers, engineers, and other individuals possessing a high degree of professional skills where the personality of the individual plays a decisive part

- Contractual services, purchases of personal property, purchases of commodities that have only one vendor or supplier, and other purchases which by their very nature are impossible to award by competitive bidding

SMALL BUSINESSES

Procurement Services facilitates Small Business, Small Disadvantaged Business, Labor Surplus Area Concern, and Historically Under-Utilized Business Zone participation by including these vendors on all possible University solicitations. Time frames for bid response, preparation, and delivery will be designed to facilitate qualified participation without being detrimental to either the program or sound purchasing practices.

VII.2. Bids and Pricing Guidelines

Bids will be solicited when considered to be in the best interest of the University. Procurement Services has the authority to use the guidelines of Table PS-2 to secure bids.

Table PS-2, Pricing Guidelines

Price Range	Procedure
\$14,000.00 and below	Procurement Services contacts vendors and receives quotations with no documentation required.
\$14,000.01 to \$14,999.99	Procurement Services receives quotations with supporting documentation attached to Requisitions (faxed or mailed to UAHuntsville).
\$15,000.00 and above	Whether single items or like items, Procurement Services will secure sealed bids. Requisitions for Sole Source commodities must be accompanied by a Sole Source Justification Form signed by the Principal Investigator and department director/chair/dean. Procurement Services will declare whether a Requisition is a sole source based on information provided.

VII.3. Procedure

Requisitions of like items during a fiscal year will result in bid solicitation when the total cost exceeds the bid amount designated by the Alabama Competitive Bid Law.

Prior to bid solicitations, all electronic approvals for the Requisition must be obtained (see Section II.1, "Approval of Requisitions").

BID REQUESTS

Bids are opened for a two week period to allow vendors sufficient opportunity to respond. Bids are accepted at Procurement Services before the opening date and time designated on the bid request. Bids are stamped with the date and time they are received in Procurement Services. Faxed bids cannot be accepted.

General Conditions are included with each Request for Formal Bid. See Figure PS-10 for a sample copy of General Conditions. Also see Figure PS-11 for a sample of the Request for Formal Bid Quotation Form.

Every bid submitted must contain a statement of Certification of Compliance with Act No. 2006-557. See Section VII.11, "Certification of Compliance."

BID RESPONSES

Bid responses are tabulated by Procurement Services and then evaluated by the requisitioning department as required. After evaluation and documentation, the bid is awarded to the responsible low bidder meeting specifications. The Requisition is then processed into a Purchase Order to the successful bidder.

VII.4. Bid List and Vendor Selection

The Bid List used by Procurement Services comprises all vendors who have formally requested to be placed on the UAHuntsville Bidders List. Procurement Services will solicit bids to a vendor suggested by the department on the Requisition even if the vendor is not on the bid list.

Past performance and cooperation with UAHuntsville are important factors in vendor selection. At the Procurement Officer's discretion, all vendors who can provide quality products and services at competitive pricing will be considered for competitive bidding.

The Bid List is periodically updated by:

- Deleting those vendors who did not respond to a Request for Formal Bid for three consecutive times
- Adding Small Business and Small Disadvantaged Business vendors from directories and catalogs
- Consulting the Federal Purchasing Agencies listing and similar listings
- Consulting catalog sources such as the Thomas Register and vendors' catalogs

VII.5. Requirements

Indicate on the Requisition any special requirements or additional information pertinent to the processing of the Requisition. Examples include installation, alternate delivery site (other than Central Receiving), essential features, and maintenance requirements.

VII.6. Standing Bids

Procurement Services maintains standing, or long-term, bids with a variety of vendors for many goods and services. Any UAHuntsville department may use these standing bids regardless of originator.

VII.7. State Contracts and Bids

Procurement Services maintains copies of State Contracts released by the State of Alabama, Department of Finance, Division of Purchasing. These Contracts may be used by the University Community for various commodities. These Contracts are also available on the web at: http://purchasing.alabama.gov/pages/active_contracts.aspx

VII.8. University Contracts and Pricing Agreements

Procurement Services maintains and monitors University-established Contracts and pricing agreements that may be used to purchase various commodities and services. In addition, the University is able to use contracts competitively bid by some purchasing groups, and those are made available as well.

VII.9. Consortium Bids

Procurement Services maintains bids in cooperation with the University of Alabama System. The System is composed of the University of Alabama in Huntsville, The University of Alabama at Birmingham, and The University of Alabama. These contracts may be used by the University Community for various commodities.

VII.10. Disclosure Statement

Completion of the "Disclosure Statement of Relationship Between Contractor/Grantees and Employees/Officials of the University" is required for:

- Bid packages for contracts in the amount of \$15,000.00 or more with the successful bidder
- Construction contracts
- Sole source purchases in the amount of \$15,000.00 or more
- Public Works in the amount of \$15,000.00 or more

VII.11. Certification of Compliance

The following statement is included with every Request for Formal Bid:

Certification Pursuant To Act No. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By accepting this bid, the bidder is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

VII.12. Record Retention

Retain bids permanently.

VIII. INSURANCE

VIII.1. Types of Coverage

Business Services obtains insurance coverage for the University. Among the policies administered by Business Services are Fire and Extended Coverage, which insures all University-owned buildings and contents, and Fleet Insurance, which provides primary physical damage coverage for all University-owned, 10-year-old and newer vehicles. In addition, excess coverage is provided for all “hired” vehicles, which includes those rented by University employees for use in University business. The comprehensive coverage carries a \$250 deductible, and collision coverage carries a \$500 deductible.

FLEET SERVICES

University employees may use University-owned vehicles for local and out-of-town travel when on official business. These vehicles are available through Fleet Services, administered by Facilities and Operations Administration according to established institutional policies. Fleet Services, 256-824-6482

VIII.2. Accidents

A University employee involved in an accident while driving a University-owned, personal, or rental vehicle on official business should do the following:

- **Never** admit fault or imply that UAHuntsville will pay damage or personal injury expenses to the other driver(s).
- Do not move the vehicle.
- Call University Police if on campus; otherwise call city, county, or state police as appropriate.
- Obtain insurance and pertinent personal data (e.g., name, address, telephone number) from the other driver(s).
- Advise the other driver(s) to contact the Coordinator of Fleet Services at 256-824-6482 regarding questions after the accident.
- Obtain the name and address of the investigating agency and the amount of the fee to get a copy of the accident report when the accident occurs out-of-town (and especially out-of-state).

If asked for information on the University’s insurance carrier, the employee should refer to the information in the glove compartment of the vehicle.

VIII.3. Accidents Involving Bodily Injury

Follow the procedures outlined above in Section VIII.2, "Accidents." In addition, obtain the following information about the injured party (ies):

- Name, address, and telephone number
- Hospital to which the party was transported
- Ambulance service used
- Type and extent of injuries (if known by the employee)
- Other available information

VIII.4. Post-Accident Procedure

The employee must notify both Fleet Services at 256-824-6482 and his or her supervisor about the accident as soon as possible and provide them with all relevant information. Within 24 hours following the accident (except weekends and holidays), go to Facilities & Operations Department, **room 124 in the Physical Plant Building**.

- Provide information to complete the Alabama Department of Public Safety Form SR-13, which must be filed with the state.
- Sign the form, which UAHuntsville will send to Montgomery to help the State enforce its mandatory automobile insurance law.

Be prepared to help obtain a copy of the accident report from the agency conducting the investigation.

VIII.5. Claims and Lawsuits

Any claims resulting from the accident are handled cooperatively by the UAHuntsville Office of Counsel and Facilities and Operations Administration. If the other driver appears to be at fault, a claim will be filed with that driver's insurance carrier. If the University's claim is not paid voluntarily, a lawsuit will be filed against the other party.

NOTE: The University maintains liability insurance to protect employees against claims of negligence and fault in an accident. Both the University and the employee are insured under that policy. An insurance adjuster, working with the Office of Counsel, deals with the other party to resolve claims.

The employee will probably be called as a witness in the event of litigation. The employee may be contacted by an attorney or adjuster about the accident. Unless the adjuster is associated with the University's automobile insurance carrier, the employee should refer any such contacts to the Office of Counsel. **Do not discuss the accident with any representative of the other party until after talking to an attorney in the Office of Counsel and then only pursuant to the attorney's advice.**

COMPREHENSIVE AND COLLISION COVERAGE

Comprehensive and collision coverage are in place for vehicles rented on behalf of the University. The driver must have a Travel Authorization on file before taking the trip. The University coverage on a rental vehicle applies only to vehicles used on official University business.

Any questions concerning these policies and procedures or other issues in connection with Fleet Services' vehicle accidents can be addressed to the Coordinator of Fleet Services and/or Office of Counsel.

IX. SURPLUS PROPERTY**IX.1. Policy**

All state-owned property designated unusable or obsolete must be declared surplus. Any state-owned property can be transferred to another department or state agency. Otherwise, UAHuntsville auctions surplus items according to Alabama State Law or obtains sealed bids for surplus property sales on special and unique items. (UAHuntsville reserves the right to reject bids less than estimated market value.) Other situations are reviewed by Procurement Services on a case-by-case basis, according to Alabama State Law, to determine acceptable procedures. Refer to Central Receiving & Shipping, Section IV, for procedures to declare items as surplus.

Procurement Services

Attachments

PROCUREMENT SERVICES ATTACHMENTS

List of Figures

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FIGURE PS-9	.	.	.	Amendment of Contract
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FIGURE PS-11	.	.	.	Request for Formal Bid

Figure PS-1

The University of Alabama in Huntsville Banner Finance Self-Service (FSS) Request Form			
Step One - Application Information			
Name:	_____ <small style="display: block; text-align: center;">First MI Last</small>	Phone: _____	Email: _____ @UAH.EDU Fax: _____
Department Name: _____	Banner ID: A _____ OR SSN # _____		
Step Two - Check Module Requested			
<input type="checkbox"/>	Finance Self Service	Includes Budget and Encumbrance Queries, View & Approve Documents, Purchase Requisitions, and Budget Transfers.	
<input type="checkbox"/>	Posting Only	<input type="checkbox"/>	Query Only
<input type="checkbox"/>			Both
<input type="checkbox"/>	Budget Development	Restricted to only those who develop the annual budgets.	
Step Three - 6 Digit Organizational Code Requested			
_____	_____	_____	_____
_____	_____	_____	_____
Step Four - Applicant's Signature			
I consent to the monitoring of my use of these computing resources for the purpose of accountability and authorized use. I understand that I am subject to disciplinary action and/or criminal prosecution for unauthorized use. I have read, understood, signed and will comply with the University Computer & Network Use Policy & the University Confidentiality Statement			
Signature _____		Date _____	
Step Five - Department Authorization			
I approve the requested access for this employee. I agree to notify Budget Office (MDH 221) when the applicant is terminated from the University or no longer needs access to FSS.			
Signature: _____	Name (Print): _____		
Title _____	Date: _____		
(To Be Completed by Office of Budgets & Management Information) Madison Hall 221			
<input type="checkbox"/> The applicant has received training in Banner Self-Service			
Fund _____	Fund _____		
Organizational Code _____	Organizational Code _____		
_____	_____		
Approved	Date	Position #	

Figure PS-2

FLOW DIAGRAM OF REQUISITION PROCEDURE

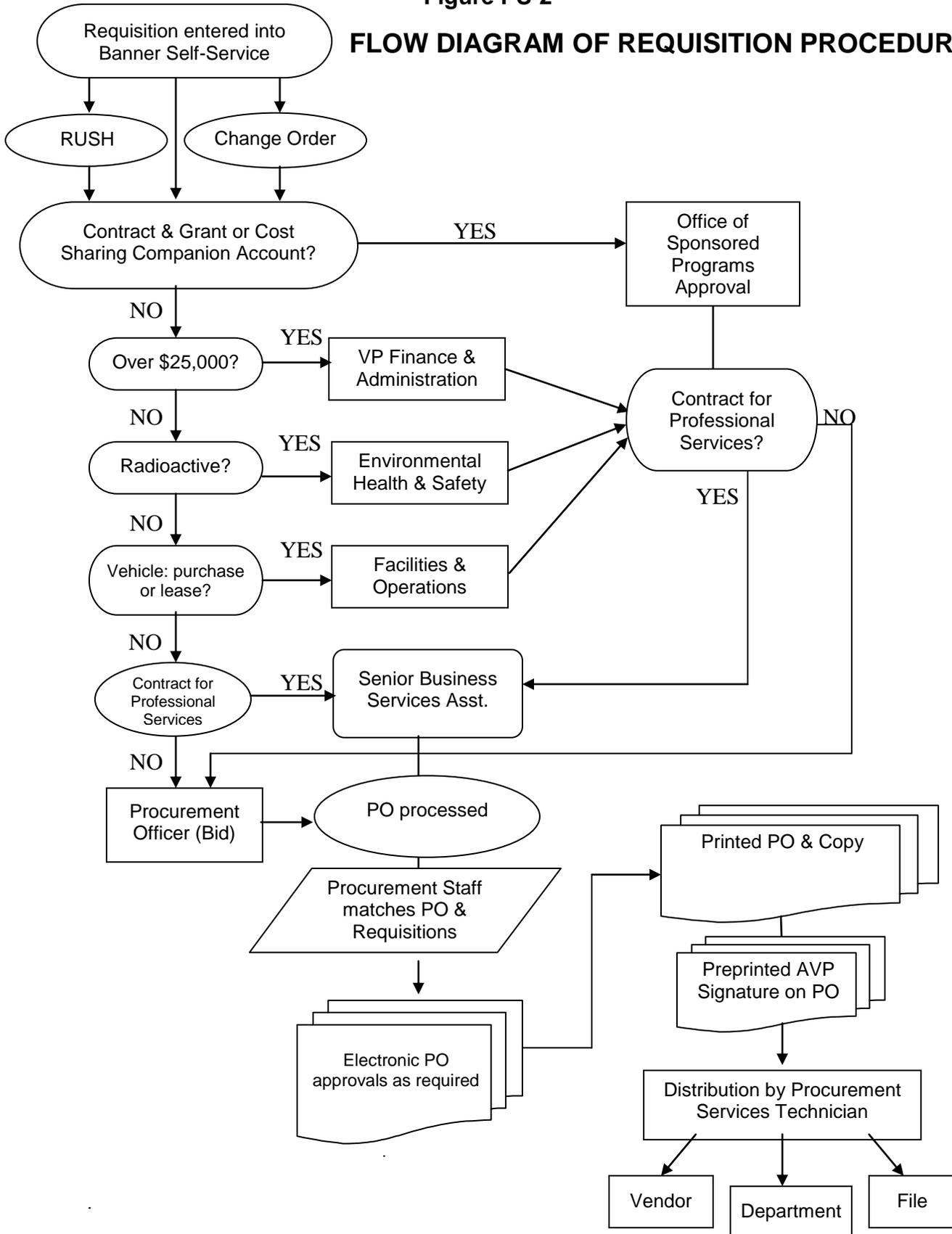


Figure PS-3
Commonly Used Banner Account Codes for Requisitions

Banner Account Code	Category
7103	Honorariums and Consultants ¹
7151	Advertising
7152	Institutional Dues and Memberships
7153	Institutional Subscriptions
7156	Postage and Freight
7159	Telephone Expense
7167	Printing
7168	Binding and Publications
7170	Bulletins and Catalogs
7171	Page Charges
7172	Internet/Web Services
7174	Software Purchase
7175	Software Maintenance Support
7205	Travel: Air
7210	Travel: Rail/Bus
7216	Travel Over 60 Days Taxable
7220	Travel Expense ²
7229	Vehicle Rental
7230	Personnel Recruitment
7231	Personnel Recruitment Advertisement
7232	Moving Expense
7245	Travel Expense: Non-Employee <i>For reimbursement of expenses or travel.</i>
7304	Maintenance and Repair: Equipment
7306	Maintenance Agreements
7310	Hazardous Material Handling
7312	Rental of Equipment
7313	Rental of Premises
7314	Lease of Vehicles
7317	Vehicle Fuel Charges
7318	Maintenance & Repair – Athletic Fields
7319	F&O Mechanical Contractor
7320	F&O Electrical Contractor
7321	F&O Other Contractor Service
7404	Office Supplies
7406	Educational Supplies
7425	Books: Non-Library
7428	Other Supplies and Materials
7430	Chemical Supplies
7431	Radioactive Materials
7432	IPods, PDAs, etc.
7433	Computer and Peripheral Supplies
7434	Laboratory Supplies
7435	Supplies: Equipment Manufacturing ³ <i>Will not incur indirect charges.</i>
7436	Supplies: Equipment Manufacturing ³ <i>Will incur indirect charges.</i>
7437	Supplies: UAH Bookstore

Banner Account Code	Category
7450	Computer and Peripheral Equipment (\$2000-4999)
7451	Lab Equipment (\$2000-\$4999)
7452	Audio Visual Equipment (\$2000-\$4999)
7453	Internal Enhancements(\$2000-\$4999)
7454	Other Equipment (\$2000-\$4999)
7455	Musical Instruments/Equipment \$2,000 - \$4,999
7460	Computers and Peripheral Equipment (\$500-\$2000)
7461	Audio/Visual Equipment (under \$2000)
7463	Electronic Equipment \$500 - \$1,999
7603	Business Conferences and Luncheons
7604	Plaques and Awards
7605	Cash Awards
7612	Registration Fees: Conferences
7621	Other Miscellaneous Operating Expenditures
7633	Miscellaneous Reimbursement Over 60 Days Taxable
8101	Movable Equipment (excluding vehicles) ⁴
8103	Internal Enhancements over \$5000 ⁵
8105	Equipment Special PR ⁵
8107	Vehicles
8108	Payment on Equipment Obligations (Lease-Purchase)
8109	Fixed Equipment <i>For equipment and fixtures to be attached to a building which increases the value of the building.</i>
8111	Fixed Equipment-not capitalized (improvement) \$5,000 and above
PROFESSIONAL SERVICES CONTRACTS CODES	
7114	Contract: Not an individual up to \$25,000
7115	Contract: Not an individual over \$25,000
7116	Contract: Individual up to \$25,000
7117	Contract: Individual over \$25,000

¹ Payments to individuals or companies performing consulting or other professional services. (Usually subject to IRS 1099 reporting.)

² Incurred by employees in connection with official travel outside the state of Alabama; per diem allowance incurred for travel within the state if travel is six hours or more.

³ Only used on Contracts and Grants FOAPAL.

⁴ For equipment purchases not associated with building construction. Equipment is defined as tangible personal property with a life expectancy greater than one year and having a unit cost of \$5000 or more.

⁵ When buying equipment to attach to existing equipment, you must indicate on the Purchase Order the existing equipment's ID number, serial number, etc.

NOTE: This is not an exhausted list of the Banner Account Codes.

Figure PS-4

The University of Alabama in Huntsville

Sole Source Justification Requirements

Section 41-16-20 of the Alabama Code Federal requirements of the Office of Management Budget (OMB circular A110 & A133) mandates that all contracts of whatever nature for labor, services or work or for the purchase or lease of materials, equipment, supplies or other personal property, involving \$15,000.00 or more made on behalf of the University of Alabama in Huntsville be let by free and open competitive bidding by sealed bids. However, in rare and unusual cases the Associate Vice President of Business Services may waive the competitive bid process and approve a sole source purchase. Completion of the sole source justification form is required for appropriate review.

DEFINITION

Sole Source is procurement in which only one vendor is capable of supplying the commodity or service. This may occur when the goods or services are specialized or unique in character. Written Justification must be provided. 'Sole' means 'the one and only'.

SOLE SOURCE JUSTIFICATION

The declaration of a "sole source" purchase must be exercised judiciously and always with good faith. The goods or services "uniqueness" alone cannot qualify the producer or supplier of the good or service as a "sole service" of a good or service under Alabama's competitive bidding laws.

A Sole Source Justification must show that an equitable evaluation of comparable products has been made and that rejection of unsuitable products is based on technical deficiencies or a combination of other reasons. In cases where no other comparable source is known, whether at the manufacturer or distributor level, technical description of the product must be provided which is adequate to allow Procurement to make a thorough search and evaluation. It is important to remember that a sole source justification cannot be based on quality or price, since quality is subjective and price must be evaluated via competitive bidding.

If any of the exception(s) below describe the reasoning for this purchase, thus eliminating competition, proceed to complete the Sole Source Justification:

Product or service is unique

Available from only one sole source

Compatibility of equipment or supplies (list equipment)

Item specifically required for use in conjunction with grant or contract

Requirement is of a proprietary nature

Approximately five business days are required to evaluate and process a sole source request. You are asked to consider this when submitting a request, and allow sufficient time prior to deadlines (quote expiration, grant expiration, etc.) for the sole source request to be evaluated.

The University of Alabama in Huntsville
Procurement Services

**Request for
Sole Source Justification**

Requisition No. _____

VENDOR NAME & ADDRESS

TELEPHONE NO. _____

ITEM DESCRIPTION:

JUSTIFICATION FOR SOLE SOURCE PROCUREMENT:

Use the following information as a guideline to support your sole source justification. In detail in the space provided, address the questions pertaining to your equipment. Submit this completed form, written quotes, and any other pertinent documentation as an attachment to the purchase requisition.

1. Does the product have special design and/or performance features, which are essential to your needs, such as unique capabilities, size constraints, portability, or instrument response time? ***If yes, list the technical reasons for requesting the purchase of a specific brand, type or vendor of equipment, services, or supplies.***

2. List comparable products/services and the reasons why they are not acceptable. Give vendor name, telephone number, model/catalog number, price and reason for rejection.

Continued on next page

Revised 01/2013

3. Is the requested item(s) an integral repair or replacement part/accessory compatible with existing equipment and available from the requested source only? If yes, list the existing equipment, manufacturer, model number and serial number.

4. Is the requested item(s) essential in maintaining experiment continuity? ***If yes, explain and specify how the purchase of other goods or services would jeopardize research.***

5. Explain in detail any additional determining factors that make this product unique. Attach any documents to support your statements.

6. Determination that anticipated cost will be fair and reasonable.

As the Principal Investigator, I certify that the above information is true and current to the best of my knowledge.

Signature of Principal Investigator Date

Signature of Director/Department Chairperson/Dean Date

Associate Vice President, Finance & Business Services or Director, Procurement & Business Services Date

Note: No Sole Source documentation will be approved without this official form including signatures by the appropriate officials.

Revised 6-12

**Figure PS-5
PURCHASE ORDER
(Front)**



PURCHASE ORDER
 THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
 PROCUREMENT SERVICES
 HUNTSVILLE, AL 35899

SEE REVERSE SIDE FOR SPECIAL INSTRUCTIONS

DATE
10/11/11

Page 1

PHONE (256) 824-6484 FAX (256) 824-6151

**PURCHASE ORDER NUMBER MUST APPEAR ON ALL INVOICES, CORRESPONDENCE,
SHIPPING PAPERS, CONTAINERS, AND PACKING LISTS.**

**PURCHASE ORDER
P0044283**

R0053437

VENDOR NUMBER
A25089381

FOAPAL

15000-200032-7428-42

Across The Pond
7004 Memorial Pkwy Nv
Huntsville AL 35810-100

SHIP TO:
Amelia S. Duke
JAH Central Receiving Bldg
301 Sparkman Drive
Huntsville AL 35899

MAIL ORIGINAL AND DUPLICATE COPIES OF INVOICE TO: THE UNIVERSITY OF ALABAMA IN HUNTSVILLE ACCOUNTS PAYABLE HUNTSVILLE, AL 35899
--

TERMS

PROCUREMENT CONTACT

Judy Curtis

FOB

PHONE

ESTIMATED DELIVERY

256-824-2552

10/11/11

ITEM	QUANTITY	UNIT	DESCRIPTION	UNIT PRICE	EXTENSION
			Quoted by Jason Andra, 10/4/11		
1	1.00	EA	Topsoil, Screened (20 cubic yd), (1) Tri-Axle Truckload delivered to site.	400.0000	400.00

1) PURCHASE ORDER TERMS, SALES TAX, AND DISCLOSURE INFORMATION ARE POSTED ON OUR WEB SITE AT:
<http://www.uah.edu/admin/purchasing>

2) ITEMIZED PACKING LIST SHOULD ACCOMPANY EACH SHIPMENT.

3) ON ALL ORDERS WITH F.O.B. SHIPPING POINT, PLEASE PREPAY AND BILL FOR TRANSPORTATION CHARGES.

4) THE UNIVERSITY OF ALABAMA IN HUNTSVILLE IS AN INSTRUMENTALITY OF THE STATE AND IS TAX EXEMPT, CERTIFICATE NO. EX-742, FEDERAL ID. NO. 63-0570830.

5) SEPARATE INVOICES MUST BE RENDERED FOR EACH PURCHASE ORDER.

Robert Leonard

DISCOUNT: .00
 ADDL CHARGES: .00
 TOTAL TAXES: .00
 TOTAL: 400.00

UAH AUTHORIZED PURCHASING OFFICIAL SIGNATURE

DEPARTMENT COPY

An Affirmative Action/Equal Opportunity Institution

Figure PS-5 (continued)

The furnishing of materials, supplies, equipment, or services to the University of Alabama in Huntsville under this purchase order, contract, solicitation for bids, or construction specification constitutes assurance by the vendor or contractor of his compliance with applicable provisions of and pertinent regulations promulgated under Executive Order 11246, dated September 28, 1965 issued by the President of the United States of America, and Public Law 88-352, 88th Congress, the "Civil Rights Act of 1964".

Acceptance of this order constitutes agreement to the following order conditions.

NO BENEFIT CERTIFICATION: By accepting this Purchase Order, contractor certifies that no University employee or official, and no family member of a University employee or official, will receive a benefit from this University payment, except as has been previously disclosed in writing, to the University.

THE ORDER: Furnish the material specified in full accordance with conditions printed on the face and back hereof, and any other attachments made a part of this order.

ACCEPTANCE: This order is given for immediate acceptance by the Seller. Unless promptly notified to the contrary, the Purchaser will assume that the Seller accepts the order as written and that he will make prompt delivery on or before the date specified.

CERTIFICATION PURSUANT TO ACT NO. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By accepting this Purchase Order, the vendor is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

CONTRACT CANCELLATION: The Purchasing Office has the right to cancel any contract, in accordance with Purchasing Rules and Regulations, for cause, including, but not limited to, the following: (1) failure to delivery within the contract; (2) failure of the product or service to meet specifications, conform to sample quality, or to be delivered in good condition; (3) misrepresentation by the contractor; (4) fraud, collusion, conspiracy, or other unlawful means of obtaining any contract with the state; (5) conflict of contract provisions with constitutional or statutory provisions of state or federal law; and (6) any other breach of contract.

DEFAULT OF CONTRACTOR: Where the University has determined the contractor to be in default, the University reserves the right to purchase any or all products or services covered by the contract on the open market and to charge the contractor with cost in excess of the contract price. Until such assessed charges have been paid, no subsequent bid from the defaulting contractor will be considered.

QUANTITY: Quantities furnished in excess of those specified in this order will not be accepted and will be held at Seller's risk, unless previously authorized by the University.

PURCHASE ORDER CHANGES: No changes in quantities, price, specifications, terms or shipping instructions, as set forth in this order will be allowed except on written authority of the Purchasing Official.

WARRANTY OF SUPPLIES: The Vendor, warrants that the supplies delivered hereunder shall be free from all defects in material and workmanship and shall comply with all the requirements of this order for a period of ninety (90) days from the date such supplies are accepted, unless otherwise provided herein.

ASSIGNMENT: The Vendor shall not assign this purchase order or any monies due or to become due hereunder without the previous written consent of the University.

INSPECTION: All supplies purchased hereunder are subject to inspection and rejection upon receipt by the University, and rejected supplies may be returned at the Vendor's expense. Transportation charges paid by the University in returning rejected supplies shall be reimbursed by the Vendor. The University's count shall be final and conclusive on all shipments not accompanied by a packing ticket. In addition to its right to return rejected supplies, in the event of delivery of supplies not in accordance with the requirements of this order, the University may notify the Vendor of such damages or deficiencies, and if not repaired or corrected by the Vendor within ten (10) days after receipt of such notice, or such additional time as may be mutually agreed to by the University and the Vendor, the University shall have the right to correct any damages, defects, insufficiencies or improprieties therein and do any other work necessary to put the supplies in condition for the use intended and the cost of such correction shall be deducted from monies due the Vendor under this order.

TITLE AND RISK OF LOSS: The title and risk of loss of the goods shall not pass to Buyer until Buyer actually receives the goods at the point or points of delivery.

REMEDIES AND APPLICABLE LAW: This agreement shall be governed by and Buyer and Seller shall have all remedies afforded each by the Uniform Commercial Code, except as limited by statute or otherwise provided herein. Wherever the term "Uniform Commercial Code" is used, it shall be construed as meaning the Uniform Commercial Code as adopted in the State of Alabama as effective and in force on the date of this agreement.

FEDERAL ACQUISITION REGULATIONS: Federal Acquisition Regulations if attached are incorporated in this Purchase Order and is made an integral part thereof.

Figure PS-6

CONTRACT GUIDELINES

1. The University should be designated in all contracts as “The Board of Trustees of the University of Alabama, for and on behalf of the University of Alabama in Huntsville.” An acceptable alternative designation is “The University of Alabama in Huntsville.” This designation should appear in the first paragraph of the contract where the parties are identified and at the signature block of the contract. Elsewhere in the contract the University may be referred to in “shorthand” manner, such as “Contractor,” “Lessee,” etc.
2. Clauses which require the University to indemnify or “hold harmless” the contractor are not acceptable. These clauses attempt to impose liability upon the University in violation of Article I, section 14 of the Alabama Constitution.
3. Any obligation of the University to maintain liability, worker’s compensation, or property insurance must be consistent with Alabama law and institutional policy. The University cannot name additional insured’s on its liability policy or issue certificates of insurance in the usual sense of that term in commercial transactions. Additionally, the University is not subject to worker’s compensation laws, although the University does follow the policy of compensating its employees for on-the-job injuries in a manner generally consistent with the Alabama’s worker’s compensation statutes.
4. The University cannot accept an arbitration clause or a provision under which the University waives venue and jurisdiction in connection with an attempt by the contractor to obtain a judgment against the University.
5. A contract must not include language or provisions which make the contractor an employee of the University or which purport to make the contractor an agent for the University.
6. University contracts must be governed by and construed under Alabama law.

Figure PS-7
CONTRACT FOR PROFESSIONAL SERVICES
(Front)

(A) Approved By: _____
Budget Unit Name: _____
Date: _____
Return Contract To: _____
General Terms Provided to Contractor (check): _____

CONTRACT FOR PROFESSIONAL SERVICES

(B) THIS AGREEMENT is made and entered into by The Board of Trustees of The University of Alabama, for and on behalf of The University of Alabama in Huntsville (herein, the "University") and _____ (herein, the "Contractor").

WITNESSETH:

IN CONSIDERATION of the mutual promises and covenants herein contained and other good and sufficient consideration, it is agreed by and between the parties as follows:

1. Scope of Work. The Contractor agrees to provide the following services:

(C)

2. Compensation. The University shall pay the Contractor (from Contract/Account No. _____) as follows (check one or more if applicable):

(D)

- a. _____ A fee in the amount of \$ _____.
- b. _____ A lump sum of \$ _____, all inclusive (fee, travel, lodging, food, etc.).
- c. _____ A fee based on effort expended and calculated at the rate of \$ _____ per _____ (if appropriate complete following) but not to exceed a total of \$ _____.
- d. _____ Reimbursement for travel expenses in accordance with the per diem and mileage allowances provided under State law for persons traveling in the service of the State.
- e. _____ Reimbursement of actually incurred travel expenses, not to exceed \$ _____ per day/week/trip (Circle One).
- f. _____ Other: _____

Payment shall be made within 30 days after completion of contract, unless a different arrangement (e.g., monthly, upon proper billing, etc.) is herein set forth: _____

**CONTRACT FOR PROFESSIONAL SERVICES
(Back)**

(E)

3. Term. This Contract shall be effective as of the date of its execution. All work and services required hereunder shall be provided within the following period of time:

4. General Provisions. Attached to this Contract are The University of Alabama in Huntsville General Terms and Conditions, which are hereby incorporated by reference into this Contract and made binding upon the Contractor with the same force and effect as if set forth in full herein.

5. Attorneys Fees. In the event of its default, the Contractor agrees to pay the University all attorney's fees and other costs, expenses, and charges reasonably incurred or paid by the University in successfully protecting or enforcing its rights hereunder.

6. Additional Provisions. Additional provisions shall be as follows (if more than one, identify as a., b., c., etc.):

(F)

7. Entire Contract. This Contract states the entire agreement between the parties with respect to the subject matter hereof and merges and/or supersedes all prior statements, representations, understandings, or agreements. No changes, modifications, or amendments shall be valid unless in writing signed by duly authorized representatives of both parties.

IN WITNESS WHEREOF, the parties hereto have executed or caused to be executed this Contract in duplicate originals.

THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ALABAMA, for and
on behalf of THE UNIVERSITY OF
ALABAMA IN HUNTSVILLE

CONTRACTOR

(G)

BY: _____
Name: _____
Title: _____

(H)

BY: _____
Name: _____
Title: _____
Address: _____

Soc. Sec. No./Tax Identification Number

Date

Date

Purchasing
Rev. 11/88

Figure PS-8

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
GENERAL TERMS AND CONDITIONS
PROFESSIONAL SERVICES CONTRACT**

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The following terms and conditions apply to all Professional Services contracts entered into by The Board of Trustees of The University of Alabama, for and on behalf of The University of Alabama in Huntsville.

1. Standard of Performance. All services rendered by the Contractor and its employees, agents, or representatives in performance of this Contract shall conform to the highest standards of workmanship for the type of work involved. Each of the Contractor's employees performing services under this Contract shall be well qualified for the services he or she is performing. The Contractor warrants to the University that all work performed shall: (a) conform in all respects to all of the requirements of this Contract; (b) be free from all defects in materials and workmanship; and (c) be free from all defects in design and be fit for its intended purposes.

2. Inspection. The University, through its authorized representatives, shall have the right at all reasonable times to inspect or otherwise evaluate the work performed or being performed by the Contractor.

3. Assignment. The Contractor may not assign, subcontract, or delegate performance or any of its rights or obligations under this Contract in whole or in part without first obtaining the prior written approval of the University. Any attempted assignment, subcontract, or delegation under this Contract shall be void and of no effect.

4. Force Majeure. The Contractor shall notify the University promptly of any material delay in the performance of the work specified and shall state in writing the revised performance date as soon as practicable after the notice of delay. The Contractor shall not be liable for delays in performance unavoidably caused by circumstances beyond its control, such as labor disputes, civil disorders, acts of war, acts of God, governmental action, etc., but it will be liable for all other delays, including specifically that caused by its own fault or negligence. In the event of any excusable delay the date of performance shall be extended for a period equal to the time lost by reason of such delay on written approval of the University official to whom notices are to be given under this Contract.

5. Access to Facilities. The Contractor and its employees or agents shall have the right to use only those facilities of the University that are necessary to its performance of services under this

Contract and shall have no right of access to any other facilities of the University.

6. Conduct on Premises.

(a) The Contractor agrees that all persons working for and on behalf of it whose duties bring them upon the University's premises shall obey all applicable rules and regulations established by the University and shall comply with the reasonable directions of the University's officers.

(b) The Contractor shall be responsible for the acts of its employees and agents while on the University's premises and for all injury to persons and damage to property located on University premises caused by its employees and agents. Accordingly, the Contractor agrees to take all necessary measures to prevent such injury and damage. The Contractor shall promptly repair, to the specifications of the University's Vice President for Finance and Administration, any damage that it, or its employees or agents, may cause to the University's premises or equipment. On the Contractor's failure to do so, the University may repair such damage and the Contractor shall reimburse the University promptly for the cost of the repair.

(c) The Contractor agrees that, in the event of an accident of any kind on the University's premises involving any of its employees or agents, the Contractor will immediately notify the University's Vice President for Finance and Administration and thereafter furnish a full written report of such accident.

7. Loss of Contractor's Property. The University shall have no responsibility for the loss, theft, or mysterious disappearance of or damage to equipment, tools, materials, supplies, and other personal property of the Contractor or its employees or agents.

8. Signs or Displays. The Contractor will not install any signs or other displays on the University's premises unless in each instance the prior written approval of the University's Vice President for Finance and Administration has been obtained.

9. University Name — Limitations on Use. The Contractor shall not use, in its external advertising, marketing programs, or other promotional efforts, any data, pictures, or other representation of the University except on the

specific written authorization of the University's Vice President for Finance and Administration. However, the Contractor shall be allowed to include the University on its routine client list for matters of reference.

10. Travel Reimbursement. If this Contract calls for reimbursement of the Contractor's actually incurred travel expenses, the University will reimburse travel expenses as follows: the cost of food, lodging, and miscellaneous expenses while in travel status, plus the cost of ground and / or air transportation. Reimbursement shall be limited to expenses which are actual, reasonable, and necessary. For travel by private vehicle, reimbursement shall be made at the rate of 0.25 per mile, and for travel by air it shall not exceed the cost of economy jet fare. Payment shall be made after presentation of an Expense Voucher (on a form supplied by the University) along with supporting receipts for all business expense exceeding \$25.00.

11. Indemnification. The Contractor agrees to indemnify and hold harmless the University, its trustees, officers, agents, employees, successors, and / or assigns from all liability, losses, claims, demands, actions, debts, and expenses of every name and nature for personal and bodily injury (including any resulting in death), damage to property, and / or other injury or damage arising out of or as a consequence of the Contractor's acts or omissions in performing under this Contract, its presence on the University's premises, or the existence of this Contract or any other matter related hereto. This indemnification agreement shall include all costs, including reasonable attorney's fees and court costs, incurred by the University in connection with the defense against any such claim of liability.

12. Encumbrances. The Contractor shall at all times keep the University free and clear from all encumbrances and liens asserted against or on account of it or its employees and / or agents, by any person, firm, or corporation for any reason whatsoever. If any such lien shall at any time be filed against the University's premises, and the Contractor shall fail to cause such lien to be removed or discharged (by payment or bond or otherwise) within ten (10) days after being notified of the filing of such lien, the University may, but shall not be obligated to, discharge the same. All costs and expenses (including attorney's fees) incurred by the University in discharging the lien shall either be deducted from any payments due

the Contractor or be paid by the Contractor directly to the University.

13. Insurance. The Contractor shall maintain in force at all times during the term of this Contract, with responsible insurance carriers, the following insurance: (a) workmen's compensation insurance, to the extent coverage is required by law for the Contractor, in the amount of the statutory limits; (b) automobile liability insurance in the amount of \$300,000 per person and \$500,000 per occurrence, if the use of an automobile by the Contractor is involved in or related to its performance under this contract; and (c) general liability insurance, in appropriate amounts, if the nature and scope of the Contractor's activities in performing under this Contract would, in the exercise of reasonable prudence, dictate such coverage. The University shall have the right, by written notice to the Contractor, to require the Contractor to have and maintain such general liability coverage and to provide a Certificate of Insurance to the University with respect to one or more of the foregoing coverages. The University shall further, by written request, be made an additional insured on any of such policies of insurance.

14. Licenses and Permits. The Contractor shall, at its sole expense, procure and keep in effect all necessary permits and licenses required for its performance under this Contract, and it shall post or display in a prominent place such permits and / or notices as are required by law.

15. Ethics Certification. The Contractor hereby certifies that its entering into or performance of this Contract will not violate any provision of the Alabama Ethics Act.

16. Interest of Contractor. The Contractor covenants that it presently has no interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. The Contractor further covenants that in the performance of this Contract no such person having such interest shall be employed or engaged.

17. Compliance with Law. With respect to all activities carried out under this Contract and / or on University premises, the Contractor shall comply with all laws, rules, and regulations of duly

constituted authorities having jurisdiction over such activities.

18. Taxes. The Contractor shall pay when due all taxes or assessments applicable to it. The Contractor shall comply with the provisions of all applicable statutes and regulations of taxing authorities to which it is subject.

19. Nondiscrimination. The Contractor agrees that it shall not, with respect to any activity carried out on the premises of the University or relating in any way to this Contract, discriminate unlawfully against any person on the basis of race, color, national origin, religion, sex, age, or handicap. The equal opportunity clauses required under Executive Order 11246 and regulations issued thereunder are made a part of the Contract by reference.

20. Independent Contractor Relationship. The relationship of the Contractor to the University is and shall be that of an independent contractor in all respects under this Contract, and nothing herein shall be construed as creating any other relationship.

21. Termination. The University may, by written notice to the Contractor, terminate this Contract in whole or in part at any time, either for the University's convenience or because of the failure of the Contractor to fulfill its contract obligations. Upon receipt of such notice, the Contractor shall: (a) immediately discontinue all service affected (unless the notice directs otherwise), and (b) deliver to the University all data, reports, summaries, and such other information and material as may have been prepared for and / or accumulated by the Contractor in performing this Contract, whether completed or in process.

22. Claims. Any alleged claim against the University for breach of this Contract or any other liability must be submitted to the Board of Adjustment of the State of Alabama, the exclusive means provided by the law of the State of Alabama for bringing claim against a state agency.

23. Notices. Any notice required under this Contract shall be in writing and shall be given by certified mail, return receipt requested, addressed as follows: if to the University, to the attention of the Director of Procurement Services, The University of Alabama in Huntsville, Huntsville, Alabama 35899; if to the Contractor, to the address shown on the Contract for Professional Service. The name and address to which mailings shall be

made may be changed from time to time by a notice mailed as set forth above.

24. Consent. Wherever in this Contract the consent of approval of a party is required or permitted, such consent or approval shall be in writing and shall be executed by an officer or agent of the party duly authorized to take such action. If a party fails to respond within thirty (30) days to a request by the other party for a consent or approval, such consent or approval shall be deemed to have been given.

25. Waiver. The failure of any party to assert a right hereunder or to insist upon compliance with any term or condition of this Contract shall not constitute a waiver of that right, term, or condition nor excuse a similar subsequent failure to perform any such term or condition.

26. Unenforceable Provision. If any provision of this Contract, as applied to any party or to any circumstance, shall be adjudged by a court to be void or unenforceable, the same shall in no way affect any other provision of this Contract or the validity or enforceability of the Contract as a whole.

27. Remedies. All the parties' remedies and rights contained in this Contract shall be cumulative and shall not be in limitation of any other right or remedy which the parties may have.

28. Survival of Terms. All covenants, representations, and warranties of the Contractor contained in this Contract shall survive the termination or expiration of this Contract whenever necessary to carry out the reasonably intended purpose thereof.

29. Representations and Warranties. The Contractor covenants that all action required on its part has been taken to authorize and empower it to enter into and perform this contract and that it has and will continue to have throughout the term of this contract the full right to perform its obligations hereunder. The Contractor further represents that there are no prior or existing contractual commitments that would prevent it from entering into this Contract or from conducting the activities and carrying out the duties and obligations provided for hereunder.

30. Construction Rules.

(a) The captions and heading in this Contract are for purposes of convenience and reference only, and the words contained therein shall have no substantive effect and shall in no way be held to explain, modify, or amplify the meaning of the sections and provisions of this Contract to which they pertain.

(b) The words "shall," "will," and "agrees," as used herein are mandatory; the word "may" is permissive.

(c) Whenever the singular number is used herein, it shall, where appropriate, include the plural, and the neuter gender shall include the masculine and / or feminine.

(d) The language in all parts of this Contract shall in all cases be simply construed according to its fair meaning and not strictly for or against either party.

31. Governing Law. This Contract, and all matters or issues collateral to it, shall be governed by and construed in accordance with the law of the State of Alabama.

Procurement Services
Rev. 1/08

Figure PS-9
AMENDMENT OF CONTRACT

APPROVED: _____
NAME: _____
DATE: _____

AMENDMENT OF CONTRACT

BETWEEN

THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ALABAMA
FOR THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
("UNIVERSITY")

AND

"CONTRACTOR"

CONTRACT NUMBER _____
DATED _____ 20 ____

The parties to the Contract referenced above do hereby agree to the following supplemental and amendatory provisions.

All other provisions of said Contract remain unchanged.

In the event that a provision in this Amendment conflicts with any provision in the referenced Contract, the Amendment provision shall in every instance prevail.

IN WITNESS WHEREOF, the parties have executed this Amendment in duplicate originals.

THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ALABAMA, FOR AND
ON BEHALF OF THE UNIVERSITY OF
ALABAMA IN HUNTSVILLE

CONTRACTOR

BY: _____
Name: _____
Title: _____

Date

Date

Figure PS-10

GENERAL CONDITIONS

1. **Award:** The University of Alabama in Huntsville reserves the right to accept or to reject any or all bids and is not necessarily bound to accept the lowest bid if that bid is contrary to the best interest of the University. In making an award, intangible factors such as bidder's service, integrity, facilities, equipment, reputation, and past performance will be weighed along with the quality displayed in the samples submitted. Bids may be awarded either item by item, in products groups, or all or none, whichever appears to be in the best interest of the University. The University reserves the right to waive any or all formalities.
2. **Bid Withdrawal:** No bids may be withdrawn without approval from The University of Alabama in Huntsville Procurement Services. Any requests for withdrawal must be in writing to Procurement Services within five (5) days after opening date with justification for reason of withdrawal. More than two (2) such requests could result in removal from our bid list. No bid may be withdrawn after the issuance of purchase order. If a withdrawal is made after the purchase order is issued, the vendor will be considered in default. Refer to "Default of Contractor".
3. **Prices and Payment Terms:** Bidders should quote applicable cash discounts. The University will not take into consideration in bid evaluation any cash discount of less than thirty (30) days duration. However, we will take advantage of all discounts for which we are eligible. Identify these discounts in your bid response. Bids containing "payment in advance" or "COD" requirements may be rejected.
4. **Applicable Law:** It is agreed this quotation is valid to the extent that it does not violate the constitution or the laws of the State of Alabama.

Bidder represents and warrants that all article and services covered by this bid meet or exceed the safety standards established and promulgated under the Federal Occupational Safety and Health Act of 1970, No. 2006, and its regulations in effect or proposed as of the date of this bid.

The furnishing of materials, supplies, equipment or service to The University of Alabama in Huntsville under this purchase order, contract, solicitation for bids, or construction specification constitutes assurance by the vendor or contractor of his compliance with applicable provisions of and pertinent regulations promulgated under Executive Order 11246, date September 28, 1965 issued by the President of the United States of America, and Public Law 88-352, 88th Congress, the "Civil Rights Act of 1964".

5. **Non-Collusion:** Any agreement or collusion among bidders or prospective bidders in restraint of freedom of competition, by agreement to bid at a fixed price or to refrain from bidding, or otherwise, shall render the bids of such bidders void. Each bidder certifies that he has not been a party to such an agreement by signing this bid.
6. **New Products:** Unless specifically called for in the bid, all products for purchase must be new, never previously used, and the current model and/or packaging. No remanufactured, demonstrator, used, or irregular product will be considered for purchase unless otherwise specified in the bid. The manufacturer's standard warranty will apply unless otherwise specified in the bid. All requests should be supplied complete, ready to be installed, including all cabling and connectors where applicable.
7. **Bonds:** Bid and performance security bond, when required will be indicated.
8. **Bid Submission:** Failure to submit a bid on the official UAHuntsville form provided for that purpose shall be a cause for rejection of the bid. Return of the complete document is required. Modification of or additions to any portion of the solicitation may be cause for rejection of the bid; however, UAHuntsville reserves the right to decide, on a case by case basis, in its sole discretion, whether or not to reject such a bid as non-responsive.

All information shall be entered in ink or typewritten in the appropriate space on the form. Mistakes may be crossed out and corrections inserted before submission of your bid. Corrections shall be initialed in ink by the person signing the bid.

All bids must be signed. Failure to do so will result in rejection of bid.

9. **Delivery:** Time of delivery shall be stated as the number of calendar days following receipt of the order by the vendor, to receipt of the goods by The University of Alabama in Huntsville.

Delivery time may be a criterion in awarding bids. Specify earliest possible delivery after receipt of order.

Failure to deliver within the time vendor specified in the bid will constitute a default and may cause cancellation of the contract. Refer to "Default of Contractor".

All prices quoted are to be F.O.B. delivered to The University of Alabama in Huntsville, Central Receiving Building, 301 Sparkman Drive, Huntsville, Alabama, 35899 (unless another F.O.B. point is stated by the University on bid form). The successful bidder must assume all responsibility for damage in transit. When installation is required, it will be stated. If you are not quoting a delivered price, indicate your shipping point, and provide shipping cost for evaluation purposes.

10. **Bid Terms:** Show unit prices, extensions, and total price. In the event of a discrepancy between the unit price and the extension, the unit price shall govern. Bids shall remain firm for minimum thirty (30) days from date of bid opening and any exception must be clearly stated.

11. **Bid Opening:** Bidders may attend the bid opening, but no information or opinions concerning the ultimate award will be given at the bid opening or during the evaluation process. After the public opening of this bid, the results will not be available to bidders not attending the opening until after an award is made. Bid tabulations can be reviewed by accessing Procurement Services website at <http://uah.edu/business-services>. Click on "Vendors" then "Bid Awards".

12. **Bids are Public Record:** All bids become a matter of public record at bid award. The University accepts no responsibility for maintaining confidentiality of any information submitted with bid whether labeled confidential or not.

13. **Standards of Quality:** When a material, article or piece of equipment is identified in these specifications by reference to manufacturer's or vendor's name, trade name, catalog and stock numbers, etc., it is intended merely to establish a standard; and, any material, article or equipment of other manufacturer and vendor which will perform equally the duties imposed by the general design, provided the material, article, or equipment proposed, is in the opinion of the Purchasing Agent of equal substance and function. It shall not be purchased or installed by the contractor without the Purchasing Agents' written approval.

The bidder is responsible to clearly and specifically indicate the product being offered and to provide sufficient descriptive literature, catalog cuts and technical detail to enable UAHuntsville to determine if the product offered meets the requirements of the invitation. Normally in competitive sealed bidding only the information furnished with the bid will be considered in the evaluation. Failure to furnish adequate data for evaluation purposes may result in declaring a bid nonresponsive. Unless the bidder clearly indicates in its bid that the product offered is an "Equal" product, such bid will be considered to offer the brand name product referenced in the invitation. The University of Alabama in Huntsville will be sole judge of EQUAL items bid.

14. **Vendor Authorization:** Vendor must be an authorized distributor/agent to sell products proposed in this bid request. When it is deemed to be in the best interest of the University, Procurement Services may request an on-site premise visit to examine the facility.

15. **Default of Contractor:** Where the University has determined the contractor to be in default, the University reserves the right to purchase any or all products or services covered by the contract on the open market and to charge the

contractor with cost in excess of the contract price. Until such assessed charges have been paid, no subsequent bid from the defaulting contractor will be considered.

16. **Fiscal Funding Clause:** The continuation of this contract is contingent upon the appropriation of funds to fulfill the requirements of the contract by the legislature. If the legislature fails to appropriate sufficient monies to provide the continuation of a contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds are not appropriated.
17. **Contract Cancellation:** Procurement Services has the right to cancel any contract, in accordance with Purchasing Rules and Regulations, for cause, including, but not limited to, the following: (1) failure to deliver within the contract; (2) failure of the product or service to meet specifications, conform to sample quality, or to be delivered in good condition; (3) misrepresentation by the contractor; (4) fraud, collusion, conspiracy, or other unlawful means of obtaining any contract with the state; (5) conflict of contract provisions with constitutional or statutory provisions of state or federal law; and (6) any other breach of contract.
18. **Warranties:** Should merchandise described on this bid contain a manufacturer's warranty, bidders must state the warranty terms in the space provided on the bid. Bids offered for merchandise when no warranty applies must clearly state: "NO WARRANTY COVERAGE". Warranty information may be criteria in making this award. Failure of bidders to furnish this data may cause rejection of the complete bid as being non-responsive.
19. **Disclosure Statement:** The successful bidder will be required to file with Procurement Services a disclosure statement of relationship between contractors/grantees and employees/officials of the University. This form must be completed prior to issuance of the Purchase Order by The University of Alabama in Huntsville.
20. **State of Alabama Immigration Law:** Pursuant to the State of Alabama Immigration Law, by signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.
21. **Restrictions On Communications with University Staff:** From the issue date of this Solicitation until a Contractor is selected and a contract award is made, Bidders are not allowed to communicate about the subject of the bid with any University administrator faculty, staff, or members of the Board of Trustees except:
 - The Procurement Services representative, any University Procurement Official representing the University administration, or others authorized in writing by the Procurement Office and
 - University Representatives during Bidder presentations.

If violation of this provision occurs, the University reserves the right to reject the Bidder's response to this Solicitation.

Note: In order for an alternate bid to be considered, bidders must supply current catalogs or brochures, including pictorials and specifications.

F.O.B. Point UAHUNTSVILLE DESTINATION	TERMS	WARRANTY
ESTIMATED DELIVERY	YOUR REFERENCE NO.*	QUOTATION EFFECTIVE UNTIL
BUSINESS CLASSIFICATION (see note below):	EMAIL ADDRESS:	

* Your company reference number, if applicable with this bid quotation.

NOTE: Please indicate your company classification in the appropriate box above: Small Business (**SB**), a Small Disadvantaged Business (**SD**), a Black Small Disadvantaged Business (**BD**), a Woman-Owned Small Business (**WB**), a Woman-Owned Small Disadvantaged Business (**WD**), a Black Woman-Owned Small Disadvantaged Business (**BW**), a Large Business (**LB**), an Individual (**IN**), Educational (**ED**), Non-Profit (**NP**), a Labor Surplus Area Concern (**LS**), Disabled Veteran-Owned Small Business (**DV**), Veteran-Owned Small Business (**VS**), Historically Underutilized Business Zone (**UZ**), or a Governmental Agency (**GV**).

Certification Pursuant To Act No. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By submitting this bid, the bidder is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

COMPANY NAME (TYPE OR PRINT)

TELEPHONE NUMBER

SIGNER'S NAME (TYPE OR PRINT)

FAX NUMBER

SIGNATURE

DATE

The University of Alabama in Huntsville prohibits the installation of asbestos on its campus. Suppliers and contractors will not supply any equipment, material, or supplies, which contain asbestos without prior written approval.

Failure to designate Bid Number and Opening Date on the outside of your sealed envelope containing your bid and more than one bid submitted in this envelope will result in a "No Bid" response in accordance with Alabama Competitive Bid Law 41-16-24 sub-part b.

The University of Alabama in Huntsville will not accept faxed bids.

Any product that fails to meet the specifications, performance requirements or compatibility requirements will be rejected and returned to the vendor at no cost to the University.

State of Alabama Immigration Law

If the successful bidder is located in Alabama or employs an individual or individuals within the State of Alabama, the successful bidder shall provide a copy of its Employment Eligibility Verification (E-Verify) company profile. To expedite the ordering process, this document may be submitted with the bid response.

If the successful bidder is not located in the State of Alabama and does not employ an individual or individuals within the State of Alabama, the successful bidder shall complete and return the Certification of Compliance form included with this Request for Price Quotation (E-Verify company profile is not required). To expedite the ordering process, this document may be submitted with the bid response.

If you are not currently enrolled in E-Verify, follow these instructions:

- Log onto www.uscis.gov/everify
- Click "Getting Started" for information about the program, requirements, and enrollment process.
- Click "Enroll in E-Verify" and begin enrollment process.
- When enrollment process is complete, click "Edit Company Profile" and print this one-page document.
- This one-page document must be submitted prior to a contract or purchase order being issued.
- For further assistance please consult the [E-Verify Quick Reference Guide](#).

If you have previously enrolled in E-Verify, follow these instructions:

- Log onto www.uscis.gov/everify
- Click "Edit Company Profile" and print this one-page document.
- This one-page document must be submitted prior to a contract or purchase order being issued.



CERTIFICATION OF COMPLIANCE WITH THE STATE OF ALABAMA IMMIGRATION LAW

The undersigned officer of _____ (Company)
certifies to the Board of Trustees of the University of Alabama that the Company is not located in
Alabama and that the Company does not employ an individual or individuals within the State of
Alabama.

SIGNATURE OF COMPANY OFFICER

PRINT COMPANY NAME

PRINT NAME OF COMPANY OFFICER

PRINT TITLE OF COMPANY OFFICER

DATE

**DISCLOSURE STATEMENT OF
RELATIONSHIP BETWEEN CONTRACTORS/GRANTEES AND
EMPLOYEES/OFFICIALS OF UA/UAB/UAHuntsville/UAS
(THE "UNIVERSITY OF ALABAMA SYSTEM")**

1. Contract # _____
2. Name of Contractor/Grantee _____
Address _____

Phone _____
3. Nature of contract/grant

4. Does the contractor/grantee have any relationship with an employee or official of the University, or a family member of such employee or official, that will enable such employee or official, or his/her family member, to benefit from this contract/grant? If so, please state the names, relationships, and nature of the benefit.

(For employees of the University, family members include spouse and dependants. For members of the Board of Trustees (officials), family members include spouse, dependants, adult children or their spouses, parents, in-laws, siblings, and their spouses.)

Certification Pursuant To Act No. 2006-557

Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases into Alabama. By submitting this bid, the bidder is hereby certifying that they are in full compliance with Act No. 2006-557, they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that the awarding authority may declare the contract void if the certification is false.

This disclosure form will be available for public inspection upon request.

The above information is true and accurate, to the best of my knowledge.

Signature of Authorized Agent

Date

This form must be completed and returned before any contract(s) will be issued by the University.

Figure PS-11 REQUEST FOR FORMAL BID



THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
 PROCUREMENT SERVICES
 301 SPARKMAN DRIVE
 HUNTSVILLE, ALABAMA 35899
 PHONE (256) 824-6484

DATE	BID NUMBER
------	------------

RESPONSE DUE BY:
1:30 PM

ALL BIDS WILL BE PUBLICLY OPENED ON THE OPENING DATE DESIGNATED AT THE UNIVERSITY OF ALABAMA IN HUNTSVILLE, PROCUREMENT SERVICES, BUSINESS SERVICES BLDG., HUNTSVILLE, ALABAMA 35899. BIDS RECEIVED AFTER THE SPECIFIED TIME ON THE OPENING DATE WILL NOT BE CONSIDERED.

REQUEST FOR FORMAL BID

WHEN USING FEDEX, UPS, OR ANY EXPRESS PACKAGING/SHIPPING, THE BID NUMBER MUST BE CLEARLY PRINTED ON THE AIR BILL.

CONTACT _____

PHONE _____

VENDOR NO. _____

V
E
N
D
O
R

ALL BIDS MUST BE SIGNED, SEALED, AND RETURNED IN AN ENVELOPE WITH THE BID NUMBER AND OPENING DATE NOTED ON FRONT. FORWARD ALL BIDS TO THE ADDRESS INDICATED ABOVE. FAILURE TO COMPLY WILL RESULT IN A "NO BID" RESPONSE IN ACCORDANCE WITH ALABAMA COMPETITIVE BID LAW 41-16-24 sub-part b.

THE ABOVE BID NUMBER MUST APPEAR ON ALL BIDS AND RELATED CORRESPONDENCE

OR EQUAL, REFER TO GENERAL CONDITIONS ON ATTACHED SHEET

NO	QUANTITY	UNIT	DESCRIPTION	UNIT PRICE	EXTENSION

SHOULD A PURCHASE ORDER BE ISSUED, THE FOREGOING AND THE TERMS AND CONDITIONS ON THE ATTACHED SHEET SHALL BE APPLICABLE AND BINDING UPON THE VENDOR. I ACKNOWLEDGE THAT I HAVE SIGNATURE AUTHORITY TO SIGN ON BEHALF OF THE COMPANY AND HEREBY AGREE TO ALL GENERAL CONDITIONS OF THIS BID REQUEST.

TOTAL ➔ _____

SIGNATURE _____
COMPANY REPRESENTATIVE

DATE _____
An Affirmative Action/Equal Opportunity Institution

PAGE 1

Procurement Card

Policies and Procedures

PROCUREMENT CARD

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I. INTRODUCTION

The University of Alabama in Huntsville (UAHuntsville) VISA Procurement Card (P-Card) Program is designed to allow most Cardholders to handle authorized purchases up to **\$1,999.99 per single transaction** including freight without delays or paperwork that can accompany larger transactions. The Procurement Card (P-Card) is another means of making a purchase that has been tailored to meet the needs of each participating department.

Every purchase made using the P-Card reduces the processing time and effort to pay for that order individually. As participants in this P-Card Program, you are part of an on-going effort to meet the goals of reduced administrative costs for the purchasing of commodities, increased customer service, and establishing appropriate oversight for differing types of purchases. You can help the University achieve the Program goals by using the P-Card in accordance with the Program Policies, and by encouraging participation in the Program among both employees and vendors. Finally, remember you are representing the University each time you use the Procurement Card. You are acting as an agent of the University, and as such you must be aware of the Procurement Code of Ethics; see Code of Ethics on page PS-23.

I.1. Purpose

The purpose of this guide is to establish policies and procedures under which departments of UAHuntsville must control the use of the P-Cards, issued to their authorized employees to purchase commodities on behalf of the University. This guide is intended to accomplish the following:

- Ensure purchases made with the P-Card are accomplished in accordance with State, Federal and University policies and procedures.
- Ensure appropriate internal **controls** are established within each department using P-Cards.

The P-Card Program utilizes both internal management controls and a number of WORKS management reports to ensure the P-Cards are being used in accordance with UAHuntsville policies and procedures.

- Ensure the University bears no legal liability for inappropriate use of UAHuntsville P-Cards.

All transactions using the UAHuntsville Procurement Card must benefit and support the University's mission of education, research, and public service. Use of the P-Card for personal purchases is **strictly prohibited**. Procurement Services is responsible for monitoring the effectiveness of the P-Card Program and user compliance with the procedures outlined in this manual. The P-Card

represents the University's trust in you and your empowerment as a responsible employee of the University to safeguard and protect the University's assets. As a Cardholder, you assume the responsibility for the protection and proper use of the P-Card

I.2. Benefits

Cardholders — Since vendors will be paid by Bank of America within 48 to 72 hours of each transaction, credit holds placed on the University Campus will cease to occur. Departments will receive one hard copy of the credit card statement from the Bank each month for every Cardholder in place of invoices from each vendor with whom an order has been placed. The P-Card Program will significantly reduce the workload and processing costs related to the purchase and payment of ordered goods.

The University — A built-in card feature makes the program easy to control and manage. It also reduces processing costs at all levels by reducing the number of invoices and checks processed, and empowering the individual to make purchases and allocate expenses as needed. It will allow Procurement Services and Accounts Payable to focus on higher yield, value-added activities.

Vendors — The P-Card will be welcomed by vendors who accept credit cards. Vendors will receive cash payment from Bank of America within 48 to 72 hours of the transaction. Vendors will experience a reduction of credit risk, reduced billing and collection costs, a reduction in the time and cost associated with credit checks, and possibly increased sales opportunities.

II. HOW TO BECOME A PARTICIPATING DEPARTMENT

- Contact Procurement Services and request to be added to the P-Card Program. (pcard@uah.edu)
- Provide your department organizational chart, signature authority for travel authorizations, and designate Department Reconciler(s) and Approver(s). Your Department Reconciler(s) should be the Budget Manager or someone familiar with the department organization codes. Your Department Approver(s) should be the Supervisor, Director, Dean, or Department Head of the selected Cardholder(s) and Reconciler(s).
- Designate state appropriated accounts to be utilized for the P-Card.
- Participants must receive training for Policies, Procedures and WORKS software.

III. HOW TO BECOME A CARDHOLDER

- You must complete the Application Form (Figure PC-2).
- Your application must be approved by your Dean, Director, or Department Head.
- You must review and understand the Policies and Procedures Manuals.
- You must establish internal controls and procedures to safeguard the Card and the P-Card Program.
- You must receive training for Policies and Procedures.
- You must sign the Cardholder Agreement (Figure PC-4), and the Delegation Authority (Figure PC-5), at the time you are issued a P-Card.
- The University P-Card issued in your name is the property of Bank of America, and is to be used for **Official University Business Purchases Only**.

IV. PARTIES INVOLVED

Card Issuer — Bank of America's services include issuing P-Cards to UAH employees, providing electronic transaction authorizations, and billing the University for all purchases made on the cards.

WORKS Software — The provider of the management software for the P-Card Program. Functionality includes on-line reconciliation.

Director / Dean / Department Head — The University official who must approve a designated employee's application for a P-Card, assign a Department Reconciler, designate a default organization code for purchases on the P-Card, and submit applications to the Senior Procurement Card Site Coordinator. Transaction authority is delegated to the Cardholder by Director / Dean / Department Head approval.

Approving Official — The University Official who has fiscal responsibility for the organization code(s) to which VISA transactions are charged. The Approving Official must review and approve all transactions and documentation listed on the Bank of America monthly statement and reconciliation report. The Approving Official may be the Dean, Director, Department Head, Budget Manager, Principal Investigator, or other approved official. Accepts financial departmental responsibility for all purchases made within policy.

Reconciler — The individual in each department designated by the Director / Dean, or Department Head to be responsible for reviewing transactions of individual Cardholders, assuring that the transactions are legitimate business expenses and are classified appropriately, and reconciling all transactions to the monthly credit card summary report.

Procurement Card Manager — The individual located in Procurement Services who coordinates the P-Card Program for the University and acts as the organization's intermediary in correspondence with the Bank and the card issuer.

Sr. Procurement Card Site Coordinator — The individual located in Procurement Services who is responsible for the Cardholder profiles, card issuance, card cancellations, Cardholder training, daily transaction audits, transaction declines, lost or stolen cards, and dispute resolutions. May also review reports.

Procurement Card Coordinator – The individual located in Procurement Services who is responsible for receiving and reviewing the card receipts and the WORKS monthly Summary Report, reviews account codes and makes changes accordingly, and tracks receipt packets, receiving and reviewing the Bank of America master statement, distributing monthly reports to Department Budget Managers / Reconcilers, and notifying Department Budget Managers / Reconcilers of cut-off date for approvals and account code changes. Also ensures that all proper supporting documentation has been provided, uploads transactions and batching to Banner, and trains the Reconcilers for the monthly report reconciliation in WORKS and Banner.

Cardholder — An employee who is approved by the Director / Dean / Department Head to use the Procurement Card to execute purchase transactions on behalf of the University.

Vendor — The supplier from whom a Cardholder is making a purchase.

V RESPONSIBILITIES

V.1. Cardholder

The P-Card may not be used for incidentals while on business travel. This includes but is not limited to entertainment, cash, services, and other categories as included in the P-Card Restrictions (Figure PC-7). The Cardholder must:

- Ensure the P-Card is used for legitimate business purposes only.
- Ensure that P-Card transactions are in compliance with University purchasing policies, procedures, and state bid law.

- Maintain the P-Card in a secure location at all times.
- Adhere to the purchase limits and restrictions of the P-Card and ensure the total amount of any single transaction does not exceed \$1,999.99 including freight.
- OPTIONAL: Complete the Procurement Card Transaction Form (Figure PC-9) itemizing all products ordered and unit / total cost for each (optional).
- Obtain all sales slips, register receipts, and/or P-Card slips and provide them to the Department Reconciler for reconciliation and approval within 72 hours of each purchase (refer to Cardholder Travel section for travel related purchases).
- Notify Department Reconciler if the default organization code should be changed on an individual transaction.
- Attempt to resolve disputes or billing errors directly with the vendor and notify Bank of America if the dispute or billing error is not satisfactorily resolved by faxing Bank of America the required Dispute Form (Figure PC-10)
- Ensure that an appropriate transaction credit for the reported disputed item or billing error appears on a subsequent Cardholder statement.
- Ensure that tax has not been charged.
- Only accept credit to the P-Card account; never accept cash.
- Immediately report a lost or stolen card to Bank of America at 1-888-449-2273 (24 hours a day, 365 days a year).
- At the first opportunity during normal business hours notify Department Reconciler of a lost or stolen P-Card.
- Return the P-Card to Director / Dean / Department Head upon terminating employment with the University or transferring between Departments within the University.
- Understand that improper use of the card may result in disciplinary action, up to and including termination of employment (see Section XIII.II. Controls).

V.2. Department Reconciler

Each Director / Dean / Department Head must designate one or more Department Reconcilers for his/her department. The Department Reconciler

must receive training before any employees in the department may receive a P-Card. Responsibilities include:

- Review vendor receipts for inappropriate purchases or uses of the P-Card and to ensure that tax has not been charged. Send **original receipts** to Procurement Services for **Compliance** on a monthly basis. The original receipts must be grouped by name and department and attached to a Cardholder Summary Report with the Reconciliation Log (if applicable), placed in the approved P-Card envelope, and routed to Procurement Services.
- Enter Purchase Request for Cardholders to authorize travel.
- Reconcile all Cardholder receipts to Bank of America WORK'S Cardholder Summary report.
- Have the Summary report for all reconciled transactions signed each month by the Cardholder ensuring that all purchases are appropriate. Have the Reconciliation Log signed by the Approving Official ensuring that all purchases are appropriate and all appropriate documentation is attached. **Note: There must be an independent review of all reconciled Bank of America Statements at a different level in such cases.**
- Attempt to resolve any disputes with the vendor and/or Bank of America not resolved by the Cardholder.
- Notify the Senior Procurement Card Site Coordinator of lost or stolen cards.
- Request that the Senior Procurement Card Site Coordinator cancel a Cardholder's card (e.g. terminated employees, employees transferring to other departments, loss of P-Card privileges) as approved by the Director / Dean / Department Head.
- Collect cancelled cards from Cardholders and forward them to the Senior Procurement Card Site Coordinator. Cancelled cards should be cut in half prior to forwarding them to the Senior Procurement Card Site Coordinator.
- Assist Cardholders with erroneous transaction declines and emergency transactions.

V.3. Approving Official

Designated Approving Officials can be Deans, Directors, Department Heads, Budget Managers, or Principal Investigators, or their designee, who have fiscal responsibility for the organization code to which VISA transactions are charged.

They are responsible for oversight of departmental budgets and assistance for department Cardholders and Reconcilers. Responsibilities include:

- Ensure that all Reconcilers / Cardholders have received appropriate training regarding their responsibilities.
- Maintain expertise in processing requirements to serve as a source of information for department users.
- Communicate problems encountered to the Senior Procurement Card Site Coordinator.
- Review monthly Cardholder transactions and Summary report to ensure that all purchases are appropriate and that prohibited items have not been purchased.
- Ensure that proper controls are in place.
- Ensure that all proper and completed documentation is attached to the Cardholder monthly statement.
- Sign the Summary report (Reconciliation Sheet) for all reconciled Bank of America transactions each month.
- Assign an alternate Approving Official in his/her absence.

VI. CHANGE IN APPROVING OFFICIAL

If an Approving Official transfers to another department or separates from the University, a memorandum of notification must be immediately forwarded to the Senior Procurement Card Site Coordinator.

VII. OVERSIGHT FOR THE PROCUREMENT CARD PROGRAM

Procurement Services holds the responsibility for the audit practices and P-Card Program management. Reconcilers/Approving Officials can be called upon to meet with auditors during routine and special Cardholder audits.

VII.1. Procurement Services

- Review Department approved applications (Figure PC-2) for completeness of required information.
- Request P-Cards based on completed applications from Bank of America.

- Train Department Cardholders, Reconcilers, and Approving Officials before releasing P-Cards to Cardholders.
- Have Cardholder sign Cardholder Agreement (Figure PC-4), signifying agreement with the terms of the P-Card Program.
- Handle transaction declines, Cardholder information changes, and cancelled cards.
- Increase monthly limits and pre-authorize approved orders above \$2,000.00.
- Handle disputed charges / discrepancies not resolved by the Cardholder or Department Reconciler.
- Secure revoked P-Cards and submit information to Bank of America to cancel cards.
- Review and Reconcile monthly credit card receipts with WORKS Summary Report and review account codes, submit for correction where necessary.
- Download VISA transactions.
- Notify Department Reconcilers to perform monthly summary reconciliation and of cut-off date.
- Receive, review, reconcile, and prepare Bank of America master statement for Automated Clearing House payment.
- Audit VISA transactions.
- Notify Accounting that the master statement is ready for payment.

VIII. OBTAINING A PROCUREMENT CARD

VIII.1. General

For the purposes of efficiency in administration and management, only approved and trained department Cardholders are authorized to make purchases of materials and supplies, directly from the vendor when the dollar value of the purchase is \$1,999.99 or less including freight. The P-Card is another means of purchasing, tailored to the needs of each department. **Warranted exceptions may be granted by the Director of Procurement & Business Services or Assistant Vice President of Finance & Business Services.* University Cardholders do not have to contact Procurement Services before placing an order using the P-Card for these small allowable purchases. All University policies and procedures for

the expenditure of funds must be followed. If the department wishes to route the purchase through Procurement Services, normal procedures for processing a requisition must be followed.

VIII.2. Setting Up Your Department

The organizational structure for your success with the P-Card already exists within your department(s). Directors / Deans / Department Heads and Budget Managers have some liberties available to them within program parameters when setting up their own P-Card Programs. More than likely those employees who are currently responsible for placing orders should be Cardholders in the P-Card program. Those employees who are responsible for processing payments on purchase orders should be Department Reconcilers. An Approving Official must be designated to sign the reconciled monthly Cardholder report.

VIII.3. Budget Limitations

Each Director / Dean / Department Head and Budget Manager will have the ability to customize each P-Card according to the budget limitations of his/her department.

VIII.4. Separation of Duties

A separation of duties must be followed with the P-Card Program, as with any other financial transaction. The person placing the order and/or reconciling it must not be the same person who ultimately approves all VISA transactions listed on the Bank of America monthly statement and Reconciliation Report. For example, a Cardholder who reconciles his/her own transactions cannot also act as the Approving Official for those transactions.

VIII.5. Cardholder Eligibility

The criteria to receive a P-Card are as follows:

- Individual Applicant must be employed by UAHuntsville.
- Applicant's request for a P-Card must be approved by his/her Director, Department Head, or Dean.
- Employee must attend a training session for policies and procedures.

Each individual Cardholder must sign a Cardholder Agreement (Figure PC-4) prior to receiving the P-Card.

VIII.6. Cardholder Liability

The P-Card is a corporate charge card which will not affect the Cardholder's personal credit. However, it is the Cardholder's responsibility to ensure that the

card is used within stated guidelines of the P-Card Program, as well as Policies and Procedures relating to the expenditure of University funds. Failure to comply with program guidelines may result in permanent revocation of the card, notification of the situation to management, and further disciplinary measures that may include termination. The P-Card must never be used to purchase items for personal use or for non-University purposes even if the Cardholder intends to reimburse the University. A Cardholder who makes an unauthorized purchase with the P-Card or uses the P-Card in an inappropriate manner will be subject to disciplinary action including possible card cancellation, termination of employment, and criminal prosecution. If a University employee is in a position to obligate the University, that employee is entrusted with the responsibility of protecting the University from harm.

IX. APPLYING FOR A PROCUREMENT CARD

1. The Dean's Office, Director, Department Head, or Budget Manager will decide who should receive a Card. The Approving Official will forward a Cardholder Application Form (Figure PC-2) to authorized user applicants.
2. The prospective Cardholder will complete the application for a P-Card. A default departmental Fund, Organization, and Program must be assigned, and a monthly spending limit must be determined.
3. The Dean, Director, Department Head, or Budget Manager with budgetary responsibility for the organization codes will approve the monthly spending limit for the Cardholder.
4. The Dean, Director, Department Head, or Budget Manager must sign the Application for the P-Card and agree to the Cardholder Agreement.
5. The Approving Official should verify the information and forward the signed and approved Cardholder Application Form to the Senior Procurement Card Site Coordinator in Procurement Services.
6. The Senior Procurement Card Site Coordinator will review the Application and, if in order, transmit the information to the Bank.
7. The P-Cards will be delivered to the Senior Procurement Card Site Coordinator in Procurement Services. Upon completion of the University Procurement Card training program, the Cardholder will be asked to sign the Cardholder Agreement prior to receiving the P-Card.

IX.1. Cardholder Purchase Limits

Cardholder monthly purchase limits as noted on the Cardholder Application Form (Figure PC-2) should be carefully decided according to the funding source or

contract associated with the card, and monthly spending requirements. Single transactions must not exceed \$1,999.99 including freight charges (limit adjusted according to departmental need). Cardholder monthly limits will be monitored and adjusted as needed.

IX.2. Cardholder Travel

Cardholders who request Travel funds on their P-Card must first request the additional funds be added to their card. A Purchase Request submitted by the Department Reconciler must duplicate the University's Travel Authorization. When the Purchase Request is approved, the Department Reconciler will print a copy and forward it to you for signature (retain a copy for incidental reimbursement items). *A copy of the completed University Travel Authorization can be attached in place of the cardholders and approvers signature.*

Immediately after you have completed the trip, forward all receipts for airfare, lodging, car rental, conference fees, and miscellaneous items (other than meals) to the Department Reconciler with the approved Purchase Request. Personal Purchases including meals are not allowed. In the event of human error, the cardholder must submit payment for unallowable charges to General Accounting immediately after completion of trip. (Send check to Accounting in SKH 230.)

IX.3. Card Security

Each department must determine how to secure their cards. In some cases, it may be appropriate for individuals to carry the cards in their own personal wallets. In other cases, the cards may be stored in a secure place within the department and checked out as needed. In either case, the P-Card numbers should be protected as any blanket or department purchase order number would be. The individual's name that appears on the card bears the responsibility for all purchases made with that particular card.

IX.4. Card Sharing

It is permissible for a Cardholder to share his/her card with another individual for the purpose of picking up ordered items locally, placing orders verbally, or over the internet. In granting this secondary use authorization, the Cardholder remains directly responsible for the proper use of the card in accordance with established procedures. Therefore, the Cardholder must take great care in explaining the proper use of the P-Card to the secondary user.

A **Procurement Card Authorization Memo** (Figure PC-1) and **Delegation of Authority for Visa Procurement Card** (Figure PC-5) are provided for your use when sharing your P-Card. A Procurement Card Log should be also set up to track the use of the card by the secondary user. The Authorization Memo serves to introduce the secondary user to the supplier and authorizes the use of the card by this individual. The items to be charged to the P-Card can be listed on the

Authorization Memo. The Delegation of Authority is an agreement that the secondary user should be asked to read and sign to formally accept the responsibility of using the University's Procurement Card. These forms should be revised to reflect each department's unique information and printed on department letterhead.

IX.5. Lost, Misplaced, or Stolen Procurement Cards

Cardholders are required to immediately report any lost or stolen P-Card directly to Bank of America toll-free at 1-888-449-2273 (24 hours a day, 365 days a year). The Cardholder must also notify his/her Department Reconciler and the Senior Procurement Card Site Coordinator about the lost or stolen card at the first opportunity during normal business hours.

IX.6. Cardholder Termination

A P-Card account must be closed if a Cardholder: (a) transfers to a different department, (b) terminates employment or (c) for any of the following reasons which may also subject Cardholder to disciplinary action in accordance with University Policies and Procedures:

- The P-Card is used for personal or unauthorized purposes.
- The P-Card is used to purchase alcoholic beverages or any substance, material, or service which violates policy, law, or regulation pertaining to the University of Alabama in Huntsville.
- The Cardholder splits a purchase to circumvent the State of Alabama bid law or the limitations of the P-Card.
- The Cardholder uses another Cardholder's card to circumvent the purchase limit assigned to either Cardholder, or the limitations of the P-Card.
- The Cardholder fails to provide the Department Reconciler with required itemized receipts or facsimile thereof.
- The Cardholder fails to provide, when requested, information about any specific purchase.
- The Cardholder does not adhere to all of the P-Card policies and procedures.

X. USING THE GRANT PROCUREMENT CARD

The Grant P-Card may be utilized for grant purchases, however, the use of the card for a grant or contract requires some forethought. The purchasing authority

has been transferred to you through issuance of the card, while charging approval resides with the PI or the PIs designee. You must clearly understand what constitutes an allowable charge to your particular program. You should be aware, for example, items that should already be present within an office such as pens, pencils, paper, etc. are typically considered unallowable as a direct charge on a grant or contract. If you have questions related to allowability, the Office of Sponsored Programs staff is available to assist you.

<http://www.osp.uah.edu/>

** Cardholders (PIs) must be aware of the regulations and guidelines applicable to each account. Funds must be available before charges are made, if allowed.

When the P-Card is used for a grant or contract purchase, those purchases must comply with the terms and conditions of the award, award budget, and all the P-Card Program policies and procedures. Purchases must also be made within the time frame of the award. If a purchase is made on a contract or grant, agency award requirements will dictate the length of time that the department must maintain the receipts to support the purchase and be available for audit.

If P-Card purchases from a grant or contract are determined (by audit or otherwise) to be unallowable on the grant or contract, charges will be transferred to the department's home labor account.

- For frequent and same vendor/commodity purchases, a duplicate APPROVED Grant Purchase Request can be utilized as prior approval when using the Grant P-Card.
- A Grant Purchase Request does NOT have to be submitted for the purchase of commodities \$1999.99 or lower. (*Former LPO limitations*) Prior to purchasing commodities \$1999.99 or lower submit an email to your OSP contract administrator detailing your required purchase. **Note:** A print out of the approval email from OSP must be included in the reconciliation packet with the receipt. * (*See notes Below*)

It is the cardholder's responsibility to verify before purchase of commodities that each vendor is not currently debarred. To search vendor's debarment status go to: <https://www.epls.gov/> . A print out of the verification must be included in the Reconciliation Packet.

* **Debarment:** *In accordance with several Public Laws and Executive Orders, an individual, institution or firm that is debarred, suspended or excluded from doing business with the Federal, State or local governments cannot participate in government procurements or receipt of particular government monies.*

XI. MAKING A PURCHASE WITH THE GRANT PROCUREMENT CARD

Cardholder/P.I.:

- Determine cost of commodities and best vendor price
- Determine if the Purchase is Allowable under Contract/Grant
- Send a detailed email to OSP of commodities needing to purchase **
- Complete Travel Request form if out-of-state travel is required
- After approval, Purchase Commodities (Tax Exempt) with Grant Purchasing Card
- Retain Receipt from purchased commodities
- Provide purchase documentation and OSP email approval to Department Reconciler

Reconcilers:

- Reconciler reviews pre-approved transactions and documentation
- Reconciler inputs proper ORG Account Code(s) in WORKS
- Reconciler allocates funds and Signs-Off transactions in WORKS
- Reconciler must review Reconciliation Log for signature compliance
- Reconciler sends completed packet to the Procurement Office for final review

*** It is not required that the cardholder delay purchase of commodities until an OSP email approval is received. Understanding that if the commodities charged is deemed unallowable, the charges will be transferred to the department's home labor account.*

Any questions related to allowability to a grant or contract should be directed to the [Office of Sponsored Programs at 256-824-6000](mailto:256-824-6000).

XII. PROCUREMENT CARD VIOLATION POLICY

The P-Card is a corporate charge card. It is the Cardholder's and Department's responsibility to ensure that the card is used within the stated guidelines of the P-Card Program as well as Policies and Procedures relating to the expenditure of University funds. These Procurement Policies and Procedures include State Bid Guidelines, Spending Policies, and Travel Policies. The P-Card must **never** be used to purchase items for personal use or for non-University purposes even when the Cardholder intends to reimburse the University. The following point value has been assigned and will be assessed for P-Card violations discovered during routine audits of P-Card transactions and during a post audit of reconciled transactions. If a Cardholder accumulates a total of 150 points during any one Fiscal year, a card may be revoked, suspended, or permanently cancelled. In an event in which the department accumulates a total of 150 points times the number of Cardholders at any point during one Fiscal year, the department will lose the privilege to utilize the P-Card Program. Mandatory retraining and a

memo from the Department Approver or appropriate Vice President will be required to reinstate a Cardholder or Department.

Cardholder Point Violation:

VIOLATION	POINT VALUE
Sales tax was paid and a full credit was not obtained	10
Itemized Receipt and/or justification for purchase (business purpose statement) is missing (First Violation)	30
Non use of existing competitively bid UAH contracts without prior approval	30
Failure to submit Purchase Request for travel approval	40
Itemized Receipt and/or justification for purchase (business purpose statement) is missing (Second Violation)	40
Itemized Receipt and/or justification for purchase (business purpose statement) is missing (ALL Future Violations)	50
Purchase of Restricted Item(s) (Figure PC-8)	50
Incremental / Split Transaction used to circumvent the limitations of the P-Card including the use of another Cardholder's P-Card.	60
Overspend Departmental Budget	150
State Competitive Bid Law Violation	150
Personal Purchase	150

More Information:

PROCEDURE FOR POLICY VIOLATIONS

1. For the 1st violation, the cardholder will **not** accumulate any points. The Procurement Card Coordinator will contact the cardholder via telephone, informing them of the violation and will outline a future course of action in relation to the violation. The Procurement Card Coordinator will answer any questions or concerns in order to prevent any further violations.

2. For the 2nd violation, the cardholder will **not** accumulate any points. The cardholder will receive a letter from the Procurement Card Coordinator informing them of the violation and will offer additional assistance in order to prevent any further occurrences.
3. For the 3rd violation, the cardholder will receive the appropriate number of points in accordance to the violation. The cardholder will receive a letter from the Procurement Card Coordinator informing them of the violation, number of points accumulated, and a schedule for upcoming training classes. The cardholder will be required to sign and return the letter to Procurement Card Services. The cardholder will also be required to register for additional training. **(Note: Training reduces point total by half)**
 - ✓ *If a Cardholder or Department is violation-free for one year, their points will be reduced in half. If a Cardholder or department is violation-free for two years, their points will be eliminated. After three years, their violations record will be purged.*
 - ✓ *Procurement Card Services reserves the right to require retraining or to revoke cards for repeat violations.*

XIII. COMPLETING A PROCUREMENT CARD TRANSACTION

General

Determine whether the P-Card is the most appropriate process to use for the purchase:

- Check the list of Procurement Card Restrictions (Figure PC-7) to make sure it is not a restricted item.
- Determine if the intended transaction is for travel. If so, a Purchase Request must be submitted in WORKS for prior approval.
- Identify whether a State or University contract is available that could be applicable to your purchase. **Contract information is available on Procurement Services' website at <http://www.uah.edu/admin/bussvcs> or by calling a Procurement Officer who is responsible for the item(s) you wish to purchase. All University contracts must be honored. Approval must be obtained from a Procurement Officer to purchase items from a different source when they are available on a University standing contract.**
- **Sales and Use Tax: The Cardholder should advise the supplier of the tax exempt status and should monitor the purchases to verify that no tax is charged. (Gas purchases are exempt).**

Determine if the intended transaction is within the per transaction limit, and ensure it does not exceed your monthly authorized P-Card transaction limit.

XIII.1. Purchase Request for Travel

- Cardholder must provide information for travel request to the Reconciler.
- Reconciler will enter Purchase Request for travel approval on behalf of the Cardholder. (Figure PC-11)
If the approver doesn't have access to WORKS, a copy of the completed University Travel Authorization should be included with the Purchase Request.
- Once the Purchase Request has been approved, the Reconciler will print a copy and give it to the Cardholder for signature before travel arrangements are completed (Cardholder to retain a copy for his/her records along with a copy of the completed University Travel Authorization).
- **Immediately** after Cardholder has completed the trip, he/she will sign and forward all receipts for airfare, lodging, car rental, conference fees, and miscellaneous items (other than meals) to the Department Reconciler with the approved Purchase Request and a copy of the completed University Travel Authorization.
- Reconciler will allocate the transactions, approve, print a Summary Report, obtain cardholder's signature and forward **copies** of all receipts for airfare, lodging, car rental, conference fees, and miscellaneous items (other than meals) to Procurement.
- Cardholder must submit reimbursement for meals on the appropriate travel voucher to SKH 230 (Out of State Travel Voucher.xls at www.uah.edu/admi/Budget/forms.php/).

XIII.2. Placing Your Order

- Determine the items to be ordered, pricing for each, and vendor.
- OPTIONAL: Complete a Procurement Card Transaction Form (Figure PC-9) for your records (not required).
- Call, visit, email, or fax your order to the supplier that you selected.
- Identify yourself as a UAHuntsville employee. State that you are making a tax-exempt purchase using a University Corporate VISA Procurement Card (Corporate Credit Card). For in-store purchases, present the vendor with the VISA card. For telephone or fax orders, state the Cardholder name, VISA

account number, and expiration date. The University's State of Alabama tax identification number is located on the back of the P-Card. Remind the vendor that VISA regulations stipulate that vendors are to ship orders before processing transactions for payment. Confirm the pricing, availability, and expected ship date. Fax tax exempt certificate to the supplier if necessary. The Tax-exempt Certificate is available online at <http://www.uah.edu/business-services/faculty-staff/procurement-services/forms> and click on "Sales Tax Exempt Form."

XIII.3. Billing Instructions

Emphasize to the vendor that the receipt copy is to be included with the shipment, preferably, or mailed to **YOUR** department billing address as follows, not to the University's Accounts Payable office. Receipts can also be faxed to your department fax number or emailed to you.

XIII.4. Shipping Instructions

It is very important to provide clear and specific shipping and mailing instructions to the vendor to ensure receipt of your order. Always ask how the order will be shipped. All orders are to be delivered directly to Central Receiving and Shipping and should be addressed as follows, with the exception of NSSTC:

University of Alabama in Huntsville
ATTN: D. Mitchell / PCard
Central Receiving Bldg
Building Name and Room Number
301 Sparkman Drive
Huntsville, AL 35899

- If the purchase is made by fax, retain a copy of the order form and fax confirmation for your records. If the purchase is made over the internet, print a copy of the summary page for your records. Some internet merchants will email a receipt to you.
- Ask the vendor to provide a "priced packing list" with each shipment; retain a copy of the P-Card sales slip and original receipt for each in-person purchase.
- Provide the supplier with your name, department name, phone number, and complete delivery instructions.
- After the order is placed, provide all transaction information to the Department Reconciler, including the Procurement Card Transaction Form (OPTIONAL: only if receipt does not provide detail) with itemized list and pricing for all products ordered.

XIII.5. Acceptable Documentation

- Each transaction on the P-Card must be represented by an itemized receipt or other acceptable form of documentation that verifies the date of purchase, the vendor name and address, itemized list of each item purchased, dollar amount of each item, and total transaction amount to include shipping and handling. For record keeping purposes, the following items should be maintained:
 - ✓ Sales receipts
 - ✓ Priced packing slips
 - ✓ Credit card slips
 - ✓ Merchandise advertisements
 - ✓ Order confirmation
 - ✓ Other information related to the purchase
- When an itemized receipt is not available, itemized supporting documentation **must** be secured. In many cases, when placing orders by telephone or fax, the packing slip may provide the itemization needed.
- If documentation has been lost or misplaced, contact the vendor for a duplicate copy. If a duplicate copy is impossible to obtain, complete a "Procurement Card Missing Receipt Affidavit" (Figure PC-12) and forward it to the Department Reconciler. **NOTE: Repeated use of this method will subject the Cardholder to loss of privileges.** Each department will be required to maintain a file of all documentation associated with P-Card activity.

XIII.6. Receiving Your Shipment

- Open and inspect all shipments promptly.
- Make sure the supplier correctly filled your order and that all items are in good condition. Verify that you have received all of the items in the quantities specified on your P-Card receipt or priced packing list. Mistakes or damages should be reported to the vendor immediately.
- Verify that sales tax was not charged. UAHuntsville is not liable for sales tax in the state of Alabama. The University's tax liability in other states differs from state to state. Sales tax charges will be monitored and questioned. If you are charged sales tax in error, request a credit.
- Save the P-Card sales slip, itemized receipt or priced packing list, and shipping documentation.

- Always retain boxes, containers, special packaging, packing slips, etc. until you are certain you are going to keep the goods. Most items cannot be returned without the original packing materials. Also, most vendors have a thirty-day return policy. After that period, you may not be able to return your items or you may be charged a restocking fee.
- Forward the required documentation to the Department Reconciler within 72 hours of the purchase transaction.

XIII.7. Returns, Damaged Goods, Credits

The Cardholder is responsible for working with the supplier for the return of incorrect, duplicate, or damaged merchandise purchased with a P-Card.

- Read all enclosed instructions carefully. Often a customer service telephone number and other instructions are included on the packing slip and/or receipt for returns.
- Many suppliers require a "Return Merchandise Authorization Number" (RMA) before they will accept a return. If you neglect to acquire this return authorization from the supplier when it is required, the package may be refused and/or no credit issued to your account.
- In some cases, there may be a restocking fee. If the supplier is responsible for the error or problem, you should not have to pay this or any other fee. However, if they are not responsible, you may have to pay it. You may use the P-Card to pay this fee as long as it does not exceed any of your limits.

Note: See Merchandise Return Procedures for Supplies (Figure PC-13 & 14) for more specific instructions on returning supply orders.

XIII.8. Order Entry and Reconciliation with P-Card Solutions Management Software

WORKS solution management software is the third party software provided to the University by Bank of America to manage the P-Card Program. It provides a method to track active orders, reconcile transactions to on-line Bank of America transaction data, and acquire reports based on selective criteria. Bank of America transaction data is downloaded on a daily basis enabling large users of the P-Card Program to reconcile as often as they deem necessary. Reconcilers have easy access to the transaction activity for each VISA card for which they are responsible.

XIII.9. Disputed Transactions

If there is a discrepancy on the P-Card monthly statement, you should first contact the vendor to try to resolve the problem. If it is resolved, verify that the correction has been made when the next monthly statement arrives.

If the matter cannot be resolved with the vendor:

- Contact Bank of America at 1-888-449-2273 directly for assistance or logon to WORKS. In WORKS select the appropriate transaction and click "Dispute." Enter the disputed dollar amount and the reason for the dispute and click "Ok." Once resolved, the dispute will be marked automatically as resolved in favor of the vendor or Cardholder.
- Mail or fax to Bank of America at 1-888-678-6046 a signed Bank of America Cardholder Statement of Disputed Item (Figure PC-10) to document the reason for the dispute. Send a copy of this form to Procurement with your reconciliation.
- Any disputed items reflected on the monthly statement must be reconciled and allocated to a Banner FOAPAL at that point. Any credits resulting from disputes will be allocated back to the account initially charged.

Vendors are paid by Visa within three (3) days of submitting the P-Card transaction data to VISA, while the University pays Bank of America for all card purchases once every 30 days.

XIII.10. Erroneous Declines

A situation may occur in which a vendor receives a transaction-declined message at the point of sale when processing a P-Card transaction. If you do not know the reason for the decline, contact the Bank of America at 1-888-449-2273 for an explanation. If the decline was in error, the Cardholder should immediately contact the Senior Procurement Card Site Coordinator for assistance. If the purchase is being made outside of normal business hours, the employee must find an alternate payment method or cancel the purchase and contact the Senior Procurement Card Site Coordinator during normal hours.

XIII.11. Controls

The University's P-Card program uses both internal management controls and management reports designed to ensure the proper use of P-Cards. Procurement Services, Accounts Payable, and Internal Auditing use management reports to monitor card use for compliance with University policies and procedures and state law. Personal use of the P-Card is not allowed. All purchases made on the card must be for Official University business. Misuse of

the card will result in revocation of the card, disciplinary action up to termination, and possible filing of criminal charges.

P-Cards will be immediately cancelled and destroyed if Procurement Services is notified that:

- Cardholder terminates employment
- Cardholder no longer requires a P-Card
- Cardholder reports the loss or theft of P-Card
- Cardholder misuses the P-Card
- Termination of any grant, contract, or budget authority for which the card was issued

Internal control plans call for periodic internal audits of the program by Procurement Services. These audits will include, but are not limited to, the verification of proper record retention in accordance with University guidelines, monthly reconciliations, and the appropriateness of the purchase as well as unannounced audits.

XIII.12. Department Control Environment

Each department is responsible for establishing an appropriate internal control environment for University P-Card responsibilities, including approvals, audit ability, adjustments, record keeping, reporting, reconciliation, segregation of duties, and supervision.

XIII.13. Canceling an Account

When a Cardholder leaves a department or separates from the University, the Budget Manager or Approving Official must provide immediate notification to the Senior Procurement Card Site Coordinator. The Cardholder is required to return the card and all current outstanding documentation on the account to the assigned Reconciler prior to final separation. The Approving Official or Budget Manager shall forward the card (cut in half) along with a memorandum to the Senior Procurement Card Site Coordinator requesting that the card be cancelled.

XIII.14. Changes to an Account

All changes to a Cardholder's personal information must be promptly reported to the Senior Procurement Card Site Coordinator, including changes in last name, home address, campus location, campus telephone number, reconciler, approving official, or default account number.

XIII.15. Renewal of Existing Procurement Cards

A new P-Card will be automatically sent to the Senior Procurement Card Site Coordinator within the month of expiration in advance of your current card's expiration date. Renewed cards will be distributed by the Senior Procurement Card Site Coordinator to existing Cardholders.

XIII.16. Bank of America Customer Service

Bank of America Customer Service is available 24 hours a day, 365 days a year, at 1-888-449-2273 for reporting a lost or stolen card and to discuss disputes.

XIV. WHO TO CALL?

Bank of America Customer Service Representative

- Lost or Stolen Cards
- Transaction Dispute
- 1-888-449-2273

VISA Program Procurement Card Team

Demetrice Mitchell, Sr. Procurement Card Site Coordinator

Telephone: 256-824-1863, Fax: 256-824-6151

mitched@uah.edu

- Establishes New Accounts / Account Changes
- Declines
- Lost or Stolen Card Notification
- Cancellations
- Dispute Resolution
- P-Card Training
- Audits Daily Transactions

Printess Pickens, Procurement Card Coordinator

Telephone: 256-824-6515, Fax: 256-824-6151

pp0001t@uah.edu

- Approves Daily Transactions and Reviews Account Codes
- Receives and Reviews Monthly Summary Report
- Maintains Receipt Packages
- Reconciles monthly credit card receipts
- Downloads VISA Transactions & contacts Department Reconcilers
- Prepares Statement for ACH Payment
- Receives, Reviews, & Reconciles Bank of America Master Statement
- Audits VISA Accounts
- Notifies Accounting that the Master Statement is ready for payment

Terence Haley, Director of Procurement & Business Services

Telephone: 256-824-6674, Fax: 256-824-6151

haleyt@uah.edu

P-Card Program web address: www.uah.edu/business-services/faculty-staff/p-card-services/about

Business Services web address: www.uah.edu/business-services

XV. GUIDANCE IN THE PROCUREMENT FUNCTION

The use of the University VISA Procurement Card at the department level includes responsibilities and accountability. The Procurement function is being conducted in a decentralized manner by an increasing number of individuals. The following code of ethics, modeled after the National Association of Educational Procurement's Code of Ethics, is being offered to provide guidance in the procurement function.

CODE OF ETHICS

Give first consideration to the objectives and policies of my institution.

Strive to obtain the maximum value for each dollar of expenditure.

Decline personal gifts or gratuities in connection with the procurement function.

Refrain from entering into purchasing contracts with students, faculty, and staff or members of their immediate families unless full disclosure of the background facts is presented in writing to the Procurement Department.

Grant all competitive suppliers equal consideration insofar as state or federal statute and institutional policy permit.

Conduct business with potential and current suppliers in an atmosphere of good faith, devoid of intentional misrepresentation.

Demand honesty in sales representation whether offered through the medium of a verbal or written statement, an advertisement, or a sample of the product.

Receive consent of originator of proprietary ideas and designs before using them for competitive purchasing purposes.

Make every reasonable effort to negotiate an equitable and mutually agreeable settlement of a controversy with a supplier.

Accord a prompt and courteous reception insofar as conditions permit to all who call on legitimate business missions.

Cooperate with trade, industrial and professional associations, and with governmental and private agencies for the purposes of promoting and developing sound business methods.

Foster fair, ethical, and legal trade practices.

XVI. GLOSSARY

Automated Clearing House (ACH) – An electronic payments system for clearing and settling transactions. Funds are electronically exchanged directly to/from participants' accounts. Frequently used by end-user organizations as the payment method by which to pay their issuer.

Approving Official – University employee within each department who is primarily responsible for all transactions, and has the ability to reallocate individual charges; may oversee more than one Cardholder; ultimate approval for department.

Cardholder – An employee to whom a Commercial Card is issued for the purpose of making designated business purchases on behalf of their organization.

Controls - The internal, external, and/or environmental policies, procedures, and technological processes put in place to reduce the risk of card fraud and misuse.

Documentation – Any communicable material serving to record and support business expenses paid via the card (e.g., receipts).

Discretionary funds – An amount funded to the card that can be spent at the user's discretion (i.e., without approval).

Fraud – Unauthorized use of a card.

Incremental funds – An amount funded to the user's card only after a purchase request for the funds has been submitted online and approved.

Manager - University employee within each department who is primarily responsible for all transactions and has the ability to reallocate individual charges; may oversee more than one Cardholder; ultimate approval for department.

Personal Purchase – Improper transactions; transactions that are not authorized by policies and procedures.

Prohibited Purchase – Purchase of some items, supplies, or services that are subject to applicable statutes and regulations; see Procurement Card Restrictions list (Figure PC-7).

Reconciler – An employee who reviews, approves, and processes the card transactions of the Cardholder, performs the monthly reconciliation, and enters purchase requests on behalf of the Cardholder.

Reconciliation – Process of reviewing and comparing card transactions to internal records of orders/payments and receipts, including resolving discrepancies and validating or allocating transactions to appropriate accounting codes.

Transactions – An agreement, communication, or movement carried out between separate entities or objects, often involving the exchange of items of value such as information, goods, services, and money.

Procurement Card

Attachments

PROCUREMENT CARD ATTACHMENTS**List of Figures**

FIGURE PC-1	.	.	.	Authorization Memo for Secondary User
FIGURE PC-2	.	.	.	Procurement Card Application Form
FIGURE PC-3	.	.	.	Grant Purchase Request Form
FIGURE PC-4	.	.	.	Procurement Cardholder Agreement
FIGURE PC-5	.	.	.	Delegation of Authority for VISA Procurement Card
FIGURE PC-6	.	.	.	Payroll Deduction Form
FIGURE PC-7	.	.	.	Procurement Card Restrictions
FIGURE PC-8	.	.	.	Procurement Card Allowables
FIGURE PC-9	.	.	.	Procurement Card Transaction Form
FIGURE PC-10	.	.	.	Procurement Card Dispute Form
FIGURE PC-11	.	.	.	Purchase Request Form — Travel
FIGURE PC-12	.	.	.	Missing Receipt Affidavit
FIGURE PC-13	.	.	.	Merchandise Return Procedures
FIGURE PC-14	.	.	.	Return Merchandise Authorization Form

Figure PC-1

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
PROCUREMENT CARD
AUTHORIZATION MEMO FOR SECONDARY USER

Memorandum

DATE: _____

TO: _____

FROM: UAH Department: _____

This letter serves to introduce and authorize _____ to make an official University of Alabama Huntsville purchase using my Visa Corporate Procurement Card. This is a State of Alabama tax exempt purchase. The University's tax identification number is located on the front of the Visa Card. Please provide the Card User with an itemized sales receipt.

Please call me if you have any questions or require additional information.

Thank you.



Figure PC-2

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE PROCUREMENT CARD APPLICATION FORM

Action Requested: New Change *(name, org, etc)* Terminate

Is the fund to be used with PCard a GRANT/ CONTRACT with approved operating charges? YES NO
*if yes, OSP approval is needed

Cardholder Information (to be completed by applicant):

First Name Middle Initial Last Name 'A' Number

Name on Card if Different from Above Department Name

This card will be used for: Misc. Purchases (under \$2000) Travel (airfare, hotels, car rentals)

Job Title

E-mail Address (official email address not first.last) Campus Phone Number Campus Location (Room Number and Building)

Default State FOAPAL - (Fund, Orgn, Prog) ORG CODE

* Attach a separate sheet for multiple org's

\$2,000 () \$3,000 () \$5,000 () \$10,000 () \$20,000 () Other ()

Suggested Monthly Spending Limit *** Amount Must Be Specified ***

Department Reconciler Name Campus Location and Phone Number E-mail Address

Signature of Cardholder Printed Name of Cardholder Date

Approving Official for Monthly Transactions (Dept Head, Dean or Budget Mgr) Printed Name Signature Date

Dean/Director/Department Head /Budget Manager Approval Printed Name Signature Date

To be completed by OSP:

Printed Name Signature Date

To be completed by Procurement Services:

\$1,999.99 FIXED

Monthly Credit Limit Single Transaction Limit

Sr. Procurement Card Site Coordinator's Signature Date Received Date Processed

Figure PC-4

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE PROCUREMENT CARDHOLDER AGREEMENT

The University of Alabama in Huntsville is furnishing you with a Procurement Card because of its trust in you to make certain University purchases properly. By accepting the Card you assume the responsibility to protect the University from unauthorized and improper use of the Card. In recognition of that responsibility, I, the undersigned, acknowledge receipt of University Procurement Card No. _____ and hereby agree as follows:

1. I shall comply with the terms and conditions of this Agreement and with all of the provisions of the University Procurement Card Manual ("Manual"), which are incorporated herein by reference. I acknowledge receipt of a copy of the Manual and confirm that I have read, understand, and made myself familiar with all of its terms and provisions. I understand that when I make purchases using the Card, I make the University liable for those purchases in accordance with its agreement with Bank of America.
2. I shall protect and properly use the Card as outlined in this Agreement and the Manual. I shall use the Card solely and exclusively for authorized University business purposes in accordance with the Manual, University policies, and the laws of the State of Alabama. I understand that I cannot, and will not, use the Card to purchase certain restricted items that are described in the Manual. I agree that I cannot, and promise that I shall not, use the Card for personal purposes or make any personal purchases whatsoever for myself or any other person using the Card.
3. I will keep receipts, reconcile monthly statements, and resolve any discrepancies concerning my Card purchases, and shall follow proper Card security measures. I will immediately report to the Senior Procurement Card Site Coordinator any Card purchases that appear unauthorized or made by someone other than the undersigned.
4. I will report immediately the loss or theft of the Card to Bank of America Customer Service at 1-888-449-2273 and to the Senior Procurement Card Site Coordinator at Ext. 1863.
5. I understand that fraudulent, improper, or unauthorized use of the Card may subject me to disciplinary action, including termination of my employment. I will assist the Senior Procurement Card Site Coordinator in examining any discrepancies that may be deemed unallowable or unauthorized. **Human error and extraordinary circumstances may be taken into consideration when investigating any violation to this agreement.**
6. I understand that my failure to use the Card in accordance with this Agreement and the Manual may result in my being personally liable for all charges to my Card for fraudulent, unauthorized, or improper purchases made with the Card furnished to me. I hereby agree and promise to pay to the University on demand all Card charges, fees, interest, costs, including attorney fees, that the University may incur as a result of fraudulent, improper, or unauthorized purchases made with the Card furnished to me for which I am found liable or responsible. In addition to any other remedies it may have, I further hereby consent to and authorize the University to deduct and withhold from my salary, wages, or any other monies due or that become due to me from the University such amounts as equal the charges, fees, interest, costs, including attorney fees, incurred by the University as a result of such fraudulent, improper, or unauthorized Card purchases.
7. I understand that the University of Alabama in Huntsville may terminate my use of the Card at any time without reason or cause. Upon request by the University or upon termination of my employment by the University, I shall immediately return my Card to the Senior Procurement Card Site Coordinator. I acknowledge that at all times the Card is and shall remain the property of Bank of America.
8. I understand that if I choose to use my personal vehicle to pick up University related purchases, I do so at my own risk. I understand that I must be appropriately insured under Alabama law, and I understand that the University does not provide primary insurance for employees when they are using their personal vehicles.

Signature Date

Department

Figure PC-5

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE DELEGATION OF AUTHORITY FOR VISA PROCUREMENT CARD

By taking possession of The UAHuntsville VISA Procurement Card to make an official University purchase, you assume the responsibility to protect the University from unauthorized and improper use of the credit card.

In recognition of this responsibility, I, the undersigned, acknowledge receipt of VISA Procurement Card No. _____ and hereby agree as follows:

I shall protect and properly use the VISA Procurement Card in accordance with University policies, and the laws of the State of Alabama. I agree that I cannot, and promise that I shall not; use the credit cards for personal purposes or make any personal purchases whatsoever for me or any other person.

I will obtain a cash register receipt or a priced in-store receipt that itemizes the products purchased and return the VISA Procurement Card with the receipt(s) during the same business day that I receive them. I will reimburse the University for all improper and personal purchases.

I understand that if I choose to use my personal vehicle to make this purchase, I do so at my own risk. I understand that I must be appropriately insured under Alabama law, and I understand that the University does not provide primary insurance for employees when they are using their personal vehicles.

Signature

Date

Figure PC-6

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE PAYROLL DEDUCTION FOR PROCUREMENT CARD PERSONAL PURCHASE FORM

I hereby authorize **The University of Alabama in Huntsville** to initiate automatic payroll deduction from my payroll check for repayment of all personal purchases initiated on my Procurement Card. This deduction will apply to my next bi-weekly pay date following the notification of Procurement Card policy violation memo. In the event that my purchase amount exceeds my payroll check, I also authorize **The University of Alabama in Huntsville** to deduct from all necessary bi-weekly pay dates until the full amount is repaid.

In addition, I agree not to hold **The University of Alabama in Huntsville** responsible for any delays or loss of income due to incorrect or incomplete information.

This agreement will remain in effect until **The University of Alabama in Huntsville** receives a written notice of cancellation of my Procurement Card from myself or my department, or upon my separation from employment with **The University of Alabama in Huntsville**.

Name of Cardholder: _____

A Number: _____

Department: _____

State Account

Grant Account

Authorized Signature (Cardholder): _____

Date: _____

Authorized Signature (Approver): _____

Date: _____

Figure PC-7 PROCUREMENT CARD RESTRICTIONS

- **Alcoholic Beverages**
- **Ammunition, Firearms**
- **Cash Advances, Cash Instruments**
- **Catering**
- **Cellular Phones and Service**
- **Consulting Related Services**
- **Contracts**
- **Controlled Substances or Chemicals**
- **Computers, Ipads, Tablets, and other Wireless Devices**
(See: <http://www.uah.edu/business-services/faculty-staff/open-bid-information>)
- **Donations**
- **Entertainment and Related Expenses**
- **Equipment (\$500 or more)**
- **Floral Arrangements**
- **Framing services**
- **Hazardous Materials**
- **Hazardous Waste Removal**
- **Insurance**
- **Laundry and Cleaning**
- **Leases**
- **Legal Services**
- **Live Animals**
- **Mailing Services (Bulk)**
- **Maintenance or Service Agreements**
- **Meals for Travel**
- **Medical Services**
- **Mini-Storage for University Owned Items**
- **Money Orders**
- **Moving Expenses**
- **Pagers**
- **Parking Services (Ex. Valet Services)**
- **Party Supplies**
- **Personal Items**
- **Printing**
- **Prizes or Gifts**
- **Radioactive Materials with all appropriate approvals and documentation**
- **Relocation of Household Goods**
- **Software License Agreements**
- **Specialty Gases in Cylinders (helium, oxygen, nitrogen): **Must be purchased from current contract****
- **vendor or pre-approved by Procurement Services**
- **Split Transactions**
- **Temporary Labor Services**
- **Tax Title, License Fees**
- **Travel (In-State)**

Figure PC-8

PROCUREMENT CARD ALLOWABLES

Transactions under \$2,000.00

- **Advertisements** (after approval by required departments)
- **Books that will become the property of the University**
- **Clothing and/or Uniforms** (Athletics and student purposes only)
- **Coffee Pots, Refrigerators, Microwaves needed for research or conference situations only, documentation is required** (not for individual use)
- **Engraving when article to be engraved and engraving are purchased from the same supplier**
- **Food: Bulk food items for preparation typically purchased at grocery stores for business related meetings**
- **Furniture** (must be purchased from current contract vendor)
- **Industrial Supplies**
- **Internet Purchases for allowable items**
- **Lab Supplies**
- **Landscaping Supplies: Trees, Shrubs, Flowers, and Small Tools**
- **Medical Supplies** (Student and Faculty/Staff Clinics, Nursing, and Athletics only)
- **Memberships Dues** (Must be job related)
- **Mini Blinds from current contract vendor**
- **Music Supplies**
- **Office Supplies** (must be purchased from current contract vendor)
- **Parts for in-house repairs.** (does NOT include repair services with labor)
- **Peripheral Equipment, Power and Network Equipment, and Supplies for Computers**
- **Photographic Film and Slide Processing**
- **Postage and shipping expenses, USPS, FedEx, UPS, etc.**
- **Printer Cartridges: Must be purchased from current contract vendor or pre-approved by Procurement Services.**
- **Registrations**
- **Rental Equipment**
- **Repair of Equipment; including emergency repairs**
- **Signage** (use for advertisement after approval by required department)
- **Software** (single use, off the shelf and does not require signatures)
- **Subscription, Journals, Periodicals, and Book Renewals**
- **Travel (Out of State) with an approved Purchase Request**
 - **Air Fare for individuals for business related travel**
 - **Conference Registration Fees**
 - **Hotels** (lodging for business related travel)
- **Vehicle Rentals/Gasoline**

Figure PC-9

PROCUREMENT CARD TRANSACTION FORM

Department Name _____ Date of Purchase: _____

Account Number	_____	Amount	_____
	_____		_____
	_____		_____

Vendor Information:

Vendor Name: _____

Address: _____

Name of Vendor Representative _____

Telephone No. _____ Fax No. _____

Description of Items	Quantity	Unit Cost	Total Cost
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Attach additional sheets if necessary)

Shipping/Handling Charges _____

Total Cost _____

Signature _____

Date _____

Figure PC-10 COMMERCIAL CARD CLAIMS STATEMENT OF DISPUTED ITEM

Instructions: Your company should first make good-faith efforts to settle a claim for purchases directly with the merchant. If assistance from Bank of America is required, please complete this form, and fax or mail with required enclosures within 60 days from the billing close date to:

Bank of America – Commercial Card Services Operations
P. O. Box 53101
Phoenix, AZ 85072-3101

Company Name: _____
Account Number: _____
Cardholder Name: _____
Phone (800) 410-6465, FAX (888) 678-6046

This Charge appeared on my statement, billing close date: _____
Transaction Date: _____
Reference Number: _____
Merchant Name/Location: _____
Posted Amount: _____ Disputed Amount: _____

(Cardholder Signature) (Authorized Participant Signature) (Date) (Phone Number)

Please Check Only One

1. **Unauthorized Transaction:** I did not authorize, nor did I authorize anyone else to engage in this transaction. No goods or services represented by the above charge were received by me or anyone I authorized. My Bank of America card was in my possession at the time of the transaction.
2. **Charge Amount Does Not Agree With Order Authorizing the Charge:** The amount entered on the sales slip was increased from \$_____ to \$_____. I have enclosed a copy of the unaltered sales slip.
3. **Merchandise or Services Not Received:** I have not received the merchandise or services represented by the above transaction. The expected date of delivery of services was _____. (Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them and their response.)
4. **Defective or Wrong Merchandise:** I returned the merchandise on _____ because it was (check one):
_____ defective; _____ wrong size; _____ wrong color; _____ wrong quantity.
(Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them, their response and proof of the return of merchandise. Please provide a detailed description of the wrong or defective nature of the merchandise.)
5. **Recurring Charges After Cancellation:** On _____ (date), I notified the merchant to cancel the monthly/yearly agreement. Since then my Bank of America account has been charged _____ time(s). (Please enclose a copy of the merchant's confirmation of your cancellation request.)
6. **Recurring Charges Already Paid by Other Means:** I already paid for the goods and/or services represented by the above charge by means other than my Bank of America Commercial Card. (Please provide a copy of the front and back on the cancelled check, money order, cash receipt, credit card statement, or other documentation as proof of purchase/payment. Describe your efforts to resolve this matter directly with the merchant, the date(s) you contacted them, and their response.)
7. **Credit Appears as a Charge:** The enclosed Credit Voucher appeared as a charge on my Bank of America Commercial Card account.
8. **Credit From Merchant Not Received:** I did not receive credit for the enclosed Credit Voucher within 30 calendar days from the date it was issued to me by the merchant shown above. (Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them and their response. Provide a detailed statement explaining your reason(s) for disputing this charge.)
9. **Hotel Reservation Cancelled:** I made a reservation with the above hotel which I later cancelled on _____ (date) at _____ (time). I received a cancellation number which is _____. (Please describe how the reservation was cancelled, proof of cancellation and attempts to resolve this issue with the merchant.
_____ I was not given a cancellation number.
_____ I was not told at the time that I made the reservation that my account would be charged for a "No Show".
_____ I was not informed of the cancellation policy.)
10. **Double or Multiple Charges:** My Bank of America Commercial Card Account has been double charged. The valid charge appeared on _____ (date). The duplicate charge(s) appeared on _____.
11. **Do Not Recall the Transaction:** The statement has an inadequate description of the charge. Please supply supporting documentation.
12. **Other; Above Descriptions Do Not Apply:** Please attach a detailed letter explaining the reason for your dispute and your attempts to resolve this issue with the merchant.

Figure PC-11 PURCHASE REQUEST FORM

Works - Request Details **Printed by testaccount, 05/11/2009 10:23 AM**

REQ00001023 - 05/11/2009

Vendor: Pilot Program
 Total Requested: \$2,982.00 Total Allocated: \$2,982.00
 0 Payable(s) Attached, Total: \$0.00

General

Request Name: Test Account Sept. 1-6, 2009 travel	Approval Route: Exec Dir of Business
Vendor: Pilot Program	
Number: REQ00001023	Services
Created: 05/11/2009	Payment: Test Account
Funds Expire: n/a	Card ID: 4389
Requester: Test Account	
Requested For: Test Account	

Item Detail

Description	Item ID	Qty.	Unit	Unit Price	Total
Conference fee for Test Account to attend the ABC Conference in Washington, DC		1		\$595.00	\$595.00
Airfare roundtrip from Huntsville, AL to Washington, DC (Reagan International)		1		\$625.00	\$625.00
Lodging at the Hyatt Hilton in Washington, DC		1		\$1,272.00	\$1,272.00
Miscellaneous items (airport parking, transportation to and from airport, internet/phone access)		1		\$250.00	\$250.00
Meal allowance to be reimbursed after completion of trip (not authorized purchase on P-Card)		1		\$240.00	\$240.00
Total: \$2,982.00					

Allocation

Description	GL	Amount
Maximum amount allowed for reimbursement charged to Test Account 999999	999999-7220	\$2,982.00
Total: \$2,982.00		

Status

Current Status: Awaiting reconciliation.

Approval History:

Date	Status	Approver	Comment	From Group
05/11/09	A	Ruddle, Doris	Approved by R. Pinner.	
05/11/09	A	Penn, Suzanne	Ok to attend.	

Attached Payables

None Available

Comments

--

Figure PC-12

PROCUREMENT CARD MISSING RECEIPT AFFIDAVIT

CARDHOLDER: _____ VISA ACCOUNT NUMBER: _____

Department: _____ Campus Location: _____

TXN Number: _____ Date: _____

Supplier: _____ Total Amount: _____

Items Purchased:
(With cost) _____

Detailed explanation for missing documentation:

I certify that the amounts shown above were expended for University of Alabama in Huntsville business purposes. If charged to a grant or contract, I certify that the claimed expenses comply with the conditions of the grant or contract.

Cardholder Signature: _____ Date

Department Administrator _____ Date

Figure PC-13

MERCHANDISE RETURN PROCEDURES:

All returns for items ordered and received against University of Alabama in Huntsville Procurement Cards are the responsibility of the **ordering department** in accordance with the following procedures.

1. Department personnel are responsible for completing the Return Merchandise Authorization (RMA) form (Attachment 12). The Department Information section of the Return Merchandise Authorization form should be completed first with all pertinent information.
2. Department personnel will contact the vendor to complete the Vendor Information section of the RMA form including any special return instructions and to negotiate shipping charges if applicable. As a rule, the vendor will pay for return shipping for incorrect, duplicate, or damaged items. If the vendor is paying for the return shipping, a Return Authorization number will be given or an ARS (Authorization Return Service) label will be provided to affix to the outside of the package.
3. Department personnel must package the item(s) to be returned as instructed by the vendor including proper address and special instructions, if any. **REMEMBER** *it is very important to retain the original packing for repackaging. Some vendors will not accept return if the merchandise is not in the original packing. Also, in the case of a damage claim, the shipper will often come by to inspect the packaging to see if there is damage to the container.*
4. **PREPAID RETURNS:** Department personnel must request pickup by Central Receiving for all prepaid returns. Fax a copy of the completed Return Merchandise Authorization form to Central Receiving giving the building, room number and contact person for the pick-up. Central Receiving will schedule a pick-up of the return. Be sure that the package(s) is ready for pick-up at the time Central Receiving is notified. Department personnel will ask the Central Receiving representative to sign and date the original copy of the RMA form for proof of pickup of the merchandise.
5. **UAH PAID RETURNS:** If the method of return is to be paid by the returning department, the Department Personnel will complete the RMA form, package the item to be returned as instructed by the vendor, and complete a Campus "UPS Shipment" form. Receiving personnel will pick up the package(s) on their regular routes for return to the vendor or shipper by the appropriate method. Department personnel will ask Receiving personnel to sign and date the copy of the RMA form at the time of pick-up as their receipt for pickup of the merchandise.
6. Return shipments paid by the University must be insured for the actual value of the items in case of loss, theft, or damage. NOTE: UPS automatically insures packages up to \$100.00 at no extra charge. Additional insurance is available for an additional charge.

Figure PC-14

RETURN MERCHANDISE AUTHORIZATION FORM

FOR PROCUREMENT CARD ORDERS

DEPARTMENT INFORMATION:

Order # _____ ORGN _____ Date: _____
 Department _____
 Attention _____ Phone _____
 Building _____ Room _____
 Item (s) to be returned _____
 Reason (s) _____

VENDOR INFORMATION:

Vendor Name _____
 Authorization Return Service # _____ Date _____
 Authorized by _____ Phone _____
 Method of Return _____
 Return Address _____
 Attention _____
 Special Instructions _____

 Item (s) to be returned through _____ Central Receiving or _____ Campus Mail
 Requested by _____ Date _____
 Department Contact _____ Tel # _____
 Completed by _____ Date _____
 Carrier Representative

Central Receiving & Shipping

Policies and Procedures

CENTRAL RECEIVING & SHIPPING

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I. GENERAL

I.1. Objective

The primary responsibility of Central Receiving is to receive, distribute, and ship material for the University of Alabama in Huntsville (UAHuntsville) Community. As a clearinghouse for merchandise acquired by Procurement Services, Central Receiving ensures merchandise delivery that is as quick and damage-free as possible. Central Receiving also processes outgoing shipments in the most expedient and cost effective manner.

Central Receiving performs the following functions:

- Receives all parcels and packages shipped to the University
- Delivers (daily) parcels and packages to respective individuals and departments
- Packages and processes all outgoing shipments
- Provides temporary storage
- Furnishes industrial gases and alcohol products under strict controls
- Organizes auctions/surplus property sales
- Picks up surplus equipment – departments request this service by submitting a Surplus Request Form. This form is available from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

Central Receiving staff may be contacted at 256-824-6315.

I.2. Policy

Central Receiving's responsibility for merchandise delivered to the University begins on receipt of the merchandise and ends on acceptance by the requisitioning department. Central Receiving delivers merchandise directly to the requisitioning department.

To complete delivery, all items bought on a Purchase Order must be signed for by an authorized individual in the requisitioning department. All documentation (e.g., packing lists, invoices) that came with the package will be sent to the department.

I.3. Authority

Central Receiving has authority to receive and ship goods for the University Community.

II. RECEIVING PROCEDURES

II.1. Receipt of Deliveries

Central Receiving's personnel must physically inspect each item bought on a Purchase Order to ensure correctness of the item and to check for possible damage. If a Purchase Order is not referenced on the shipping documentation of a package, the Receiving personnel will attach a notice on the package that will request the department to submit a completed (or partial) Memorandum Receiving Report (MRR) to Accounts Payable once they are satisfied that all of the order has been received in the department. This information is entered into the receiving portion of the purchasing database. This database is a component of the University's current purchasing and procurement software module. Accounts Payable will process for payment the invoices they have received after reviewing the merchandise receipt information.

In cases where items are delivered directly to the department and are not processed by Central Receiving, the department receiving the items must prepare a *Memorandum Receiving Report* (MRR) and submit it to Accounts Payable to verify receipt of the item. See Section II.3, "Memorandum Receiving Report," for more information. If an item requires tagging (e.g., an item of capital equipment), an MRR should be submitted to Central Receiving. For more information on capital equipment, see *Inventory Control Policies and Procedures* section of this Manual.

II.2. Damaged Items

EXTERNAL DAMAGES

Goods that arrive damaged are thoroughly inspected. A full description of the damage is noted on the Bill of Lading and initialed by the carrier's representative (driver) and the Central Receiving staff member accepting the shipment. If the department chooses not to accept delivery due to the damage, the Procurement Officer will contact the shipper and/or vendor concerning replacement or repair of the damaged item. It is the department's responsibility to make sure that all information required to have the package returned to the vendor is provided to Central Receiving personnel (e.g., an RMA#, vendor's shipping information and shipper account number if the vendor is responsible for the return, or the department's University account# for shipping charges if the department is responsible for shipping the package back to the vendor). No package will be picked up from a department by Central Receiving without the necessary information to ensure the package is returned to a vendor.

INTERNAL DAMAGES

Detection of internal damage is the responsibility of the department and must be reported to the Procurement Officer within five (5) days after delivery. Central Receiving will file the damage claim with the carrier for replacement merchandise when required. Procurement Services will coordinate the return with Central Receiving. Central Receiving will pick up the damaged merchandise from the department. To process a claim, the damaged item must be in its original container.

It is the department's responsibility to make sure that all information required to have the package returned to the vendor is provided to Central Receiving personnel (e.g., an RMA#, vendor's shipping information and shipper account number if the vendor is responsible for the return, or the department's University account# for shipping charges if the department is responsible for shipping the package back to the vendor). No package will be picked up from a department by Central Receiving without the necessary information to ensure the package is returned to a vendor.

II.3. Memorandum Receiving Report

PROCEDURE

The MRR (Figure CR-1) verifies the receipt of merchandise and the status of a shipment, whether partial or complete. Departments must prepare MRRs when receiving:

- Equipment or items delivered directly to the department and not processed by Central Receiving
- Packages purchased with a Purchase Order but not having the Purchase Order number on the outside shipping label
- Radioactive materials
- Merchandise picked up by the department
- Merchandise purchased on a "No Receipt Required" Purchase Order

COMPLETING THE FORM

MRR forms are available on the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

Return completed MRRs to Accounts Payable (Shelbie King Hall, Room 241), unless otherwise instructed. **Be sure to attach packing slip, invoice, and/or other supporting documentation.** Instructions for completing the MRR are as follows:

1. Date — Enter the date on which the MRR is initiated.
2. Purchase Order No. — Enter the Purchase Order number.
3. Issued To — Enter the vendor's name.
4. Partially filled... or completed — Check the appropriate box indicating the status of the order.
5. Item/Quantity/ ... / Total — If the MRR is for a partial order, list the items received, quantity, and cost information. If the MRR is for a complete order, skip this section.
6. Approved by — The individual completing the form should sign here.
7. Title — Enter the title of the individual whose signature appears above.
8. Division — Enter the name of the division.
9. Department — Enter the name of the department.

II.4. Undeliverable Items

Packages received with an incorrect or insufficient address are undeliverable. The Procurement Officer will try to locate the owner or obtain a return authorization from the vendor.

II.5 Wrong Shipment

Shipment discrepancies (e.g., shortages, wrong items) are reported to the Procurement Officer who will contact the vendor to correct the problem.

II.6. Merchandise Requiring Assembly / Large Shipments

Whenever merchandise arrives that requires assembly, special handling, or installation, the department is contacted for the necessary arrangements to complete the delivery process.

Large shipments may require the assistance of Facilities and Operations to complete delivery. Departments requiring the services of Facilities and Operations should complete a *Move Request Form*, available from the Facilities website under "Forms" (<http://facilities.uah.edu/Facilities.htm#Forms>). Click on "Move Request Form." Complete and submit this form directly to Facilities and Operations.

II.7. Personal Orders

Packages without a Purchase Order number on the outside shipping label will not be opened by Central Receiving. Central Receiving will deliver the package directly to the department or individual on the mailing label.

If the package was obtained using a Purchase Order, the department must submit an MRR to Central Receiving to verify shipment status, whether partial or complete (see Section II.3, "Memorandum Receiving Report").

II.8. Express Packages

PRIORITY ONE

All Priority One (Overnight) express packages received by 10:30 a.m. are hand-delivered to the appropriate departments before noon.

STANDARD

Standard express packages will be delivered to the appropriate departments after 1:00 p.m. Departments may pick up items at Central Receiving if they desire, but they should notify Central Receiving before 12:30 p.m. to ensure packages are not loaded for afternoon delivery.

II.9. Radioactive Materials

All radioactive materials are immediately transferred to the Environmental Health and Safety (EHS) department. EHS will check the item and deliver it to the requisitioning department, where an authorized individual must sign for it. The requisitioning department must then submit an MRR to Central Receiving to verify the shipment status, whether partial or complete (see Section II.3, "Memorandum Receiving Report").

II.10. Laboratory Alcohol and Industrial Gases

LABORATORY ALCOHOL

UAHuntsville is licensed to provide tax-free laboratory alcohol, available for immediate delivery on request. To request laboratory alcohol, submit a *Gas Cylinder/Laboratory Alcohol Request Form* (Figure CR-2) to Central Receiving, Material Control Section. This form is available from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

INDUSTRIAL GASES

Requests: To order industrial gases through Central Receiving, submit a *Gas Cylinder/Laboratory Alcohol Request Form* (Figure CR-2) to Central Receiving. All gas orders must be in writing; telephone orders are not sufficient. Industrial gases are purchased on Blanket Purchase Orders previously established for Central Receiving. The purchase is then charged back to the department's account via budget transfer. Please allow three working days for delivery.

All containerized gas cylinder transactions, including acquisitions, storage, and turn-ins require recipient's signature.

Returns: To avoid payment of unnecessary rental charges/fees, report empty or unused cylinders to Central Receiving. This office will coordinate the return of the cylinder to the vendor. Use the bottom of the *Gas Cylinder/Laboratory Alcohol Request Form* (Figure CR-2) to authorize the return of empty or unused cylinders to the vendor. Enter the ID or serial number of the cylinder(s) and their pick-up location and sign the form. To receive a copy of the form, include your fax number. The new delivery date, vendor's signature, and pick-up date of the old cylinders will be recorded on your copy.

After receiving the form, Central Receiving will schedule the vendor to pick up the cylinder(s) as soon as possible.

Account Number Changes: To change a departmental account number used to bill containerized gas cylinder acquisitions and rental charges/fees, complete a *Gas Cylinder Account Change Form* (Figure CR-3) available from Central Receiving or from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>). This form must be signed by the Budget Unit Head.

Central Receiving will initiate completion of this form following the expiration of an existing account or when an existing account is changed for other administrative reasons. This form must be completed within five calendar days.

III. SHIPPING PROCEDURES

III.1. Shipments

Central Receiving provides a complete shipping facility capable of handling any size package or freight item. All shipments must be charged to a departmental account number.

The Central Receiving staff will provide assistance in determining the best shipping options and rates. Central Receiving does not supply shipping containers or packing material. If a wooden crate is needed for shipping, contact Facilities and Operations. (Mail Services provides shipping containers only for small Federal Express Corporation shipments.)

It is the responsibility of the department to make sure that all shipping information is provided and accompanies the package when it is picked up by Central Receiving. No package will be picked up from a department without an RMA#,

vendor's shipping information and shipper account number (if required for vendor responsible returns), or a department account number (required for University responsible shipments of any kind).

Shipping can be divided into three categories: (1) standard, (2) express, and (3) freight.

EXPRESS

Express service provides overnight or two-day delivery. Packages up to 150 pounds can be shipped by any of these commonly used express companies:

- DHL Express (International Shipments ONLY)
- Federal Express (FedEx)
- Federal Express Ground (FedEx Ground)
- United Parcel Service (UPS)
- United States Postal Service Express Mail

FREIGHT

Packages over 150 pounds are considered freight and should be shipped by a truck line, such as one of the following:

- AAA Cooper Freight Lines
- ABF Freight Lines
- North American Van Lines
- R&L Carriers
- Roadway
- SAIA Motor Freight
- Southeastern Freight Lines
- United Van Lines
- Yellow Freight Lines

NOTE: A Purchase Order is required for a motor freight shipment.

HAZARDOUS MATERIALS

Hazardous materials must be shipped through a freight carrier. They cannot be sent via express carriers at this time. Restrictions and special documentation and labeling requirements apply to hazardous material shipments. Contact Environmental Health and Safety at 256-824-6668 and Central Receiving at 256-824-6315 for compliance instructions prior to preparing hazardous materials for shipment.

INTERNATIONAL SHIPMENTS

Special restrictions and documentation requirements apply to all international shipments, including Canada and Mexico. Restrictions on the export of technology (hardware and software) apply to certain countries. Contact Central Receiving for specific requirements and restrictions prior to preparing any international shipment.

WEIGHT AND SIZE

Weight and size limits for most standard and express shippers are shown in Table CR-1.

Table CR-1, Weight and Size Limits

Measurement	Limit
Weight	150 pounds
Length + Girth	130 inches
Length	108 inches

To find Length + Girth:

1. With a tape measure, measure the longest side or edge of the package. This measurement is the length.
2. At a right angle to the longest side, wrap the tape measure around the package and measure the perimeter or the distance around the package. This measurement is the girth.
3. Add the length measurement to the girth measurement.

UPS SERVICES

UPS provides a variety of shipping options including the following:

- UPS Ground Service
- UPS 3 Day Select
- UPS 2nd Day Air
- UPS 2nd Day Air A.M.
- UPS Next Day Air
- UPS Next Day Air Saver
- UPS Next Day Air Early A.M.
- UPS Sonic Air Same Day Service

All of these options provide electronic package tracking and delivery verification. The same weight and size limits listed in Table CR-1 above apply to all UPS shipping options. Please refer to Table CR-2 for a further

description of several UPS options. Contact Central Receiving at 256-824-6315 for current rates based on weight and destination ZIP code.

Table CR-2, UPS Options

Option	Color Code	Guaranteed Time of Delivery	Destination
UPS 3 Day Select	None	Three Business Days	Continental United States
UPS 2nd Day Air	Blue	Priority Shipment	All 50 states and Puerto Rico
UPS Next Day Air Saver	Red	3:00 P.M. Next Day	Continental United States
UPS Next Day Air	Red	10:30 A.M. Next Day	Continental United States
UPS Next Day Air Early A.M.	Red	8:30 A.M. Next Day	See service guide

III.2. Returns

Departments should contact the Procurement Officer to return items acquired by Purchase Order—**DO NOT CONTACT THE VENDOR**. Reasons to return items may include: incorrect or damaged items, duplicate shipments, unordered items, and defective items. No package will be picked up from a department without the proper shipping information provided for vendor responsible returns or University responsible returns (e.g., RMA#, vendor's shipping information and shipper account number, or the department's University account number).

Departments must obtain an authorized Purchase Order before sending out University property for repair or estimate. Please refer to Section II.27, "Repair of University Equipment," in *Procurement Services Policies and Procedures*.

Retain original packaging until advised by Procurement Services.

Procurement Services will obtain the necessary return authorization, which is required by most vendors. Procurement Services will coordinate the return with Central Receiving. This procedure ensures proper insurance coverage and traceability of the items returned.

NOTE: Any package shipped without going through Central Receiving cannot be traced. Departments or individuals will be held responsible for lost packages shipped other than by Central Receiving. Packages shipped without proper authorization will be returned at the department's expense.

Departments should provide the Procurement Officer with the following information:

- Purchase Order number against which items were purchased
- Vendor's name
- The item(s) in question
- Date of receipt
- Method of receipt (i.e., Central Receiving or direct shipment)
- Reason for the return

IV. AUCTIONS AND SURPLUS PROPERTY SALES

IV.1. Policy

Any item designated salvageable but unusable or obsolete may be claimed as surplus or transferred to another department (see Section IV.2, "Procedure"). UAHuntsville employees may claim surplus items for use in their departments. To claim items from surplus, submit a "Surplus Pickup Request" form available from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>). Complete and submit this form to Central Receiving with signatures of the appropriate personnel of the receiving department and Central Receiving.

Fixed assets (capital equipment) claimed from Surplus will be transferred to the department claiming the equipment. A *UAH Property Relocation/Transfer* form will be completed by Central Receiving and signed by the appropriate personnel in the receiving department. This form is available from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

UAHuntsville periodically auctions surplus items through a licensed auction dealer according to Alabama State Law. UAHuntsville also solicits bids for surplus property sales as deemed necessary. UAHuntsville reserves the right to reject bids less than estimated market value.

CANNIBALIZATION OR DISPOSAL OF UNIVERSITY PROPERTY

If a department plans to cannibalize, scrap, or otherwise dispose of University property, the department must first notify Inventory Control (IC). IC personnel will visit the department and inspect the item(s). If IC determines the asset(s) has(have) no value, IC will remove the bar code property label(s) and dispose of the item(s). The department will be required to complete and sign the *UAH Property Disposition Form* (Figure CR-4). Central Receiving / Inventory Control will provide this form, or it can be printed from the Business Services

website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>). (Refer to *Inventory Control Policies and Procedures* for additional requirements and information on property disposal or cannibalization.)

VEHICLE SURPLUS

Departments or units desiring to turn in a vehicle as surplus must contact Fleet Services at 256-824-6482. Refer to Section IV.3., "Auction Process."

IV.2. Procedure

DEPARTMENT

To declare items as surplus, the department must complete a *Surplus Pickup Request* form is available from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

- Carefully list all surplus items in the spaces provided.
- After completing the Form, submit it to Central Receiving, which is responsible for picking up surplus equipment.

CENTRAL RECEIVING

Surplus property is available for inspection by any University employee from 2:00 p.m. – 4:00 p.m. on Friday's, except holidays. All departments claiming surplus property are responsible for having the item(s) removed from the surplus area before the disposal date. Any items not claimed will be disposed of through the surplus bid process.

IV.3. Auction Process

Auctions are held approximately every four to six months and are announced in *Insight*. Auctions are held at Fowler's Auction and Real Estate, 8710 Hwy 53, Toney, Alabama. Items are displayed at Fowler's one week before the auction. Successful auction bidders should make payment to Fowler's, which pays UAHuntsville. Please note that the only items sent to Fowler's Auction are furniture items. No electronic or computer equipment is sent to Fowler's Auction, but is handled through the surplus bid process.

Surplus vehicles are sold at auction through Fleet Services after the proper Surplus Property form has been filed by the department or unit. Fleet Services receives a processing fee for each vehicle with the remaining sale proceeds going to the department or unit to which the vehicle was most recently assigned. Fleet Services employees and employees in the department or unit to which the vehicle was assigned are prohibited from bidding.

IV.4. Surplus Bidding Process

Surplus bids are advertised in the *Huntsville Times*. Once surplus property has been advertised for bid, bidders may view and inspect the property items at Central Receiving.

- The sale lasts a minimum of three weeks, which allows interested persons ample opportunity to submit quotations. All bids must be submitted to Procurement in sealed envelopes, according to the instructions provided, before the designated closing date.
- After the bid closing, Procurement Services will tabulate the bids and award the property to the highest bidders.
- Successful bidders will receive invoices for the awarded items and should make payment at Procurement Services. To pick up the property, successful bidders should take their paid invoice copy to Central Receiving. Central Receiving will verify that the invoice has been paid prior to releasing merchandise.

IV.5. Proceeds

For requested surplus sales via bids, the net proceeds from the sale will be transferred into the department's account after completion of the surplus sale and deduction of advertising costs.

V. TELEPHONE DIRECTORY

V.1. Distribution

Central Receiving provides annual distribution of BellSouth Telephone Directories. An announcement will be made either by email or publication in *Insight* when new editions are available for distribution. Requests for directories should be submitted on the *Huntsville City Telephone Directory Form* (Figure CR-5), available from Central Receiving or from the Business Services' website under "Forms" (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>).

Requests for directories should be coordinated by department, with one request per department. Individual requests should be limited to replacement of lost or damaged directories.

V.2. Recycling

During the annual distribution of new directories, Central Receiving will pick up obsolete editions for recycling. The old directories should be available for pickup from the department at the time the new directories are delivered. The department should coordinate the collection of these directories for one pickup.

Central Receiving & Shipping

Attachments

CENTRAL RECEIVING & SHIPPING ATTACHMENTS

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FIGURE CR-4	.	.	.	UAH Property Disposition Form
FIGURE CR-5	.	.	.	Huntsville City Telephone Directory Request Form

Figure CR-1

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
MEMORANDUM RECEIVING REPORT**

TO: ACCOUNTS PAYABLE
SHELBY KING HALL 241
(256) 824-6425
Purchase Order No. _____

DATE: _____

2

3

Issued To: _____

has been: (a) partially filled as indicated below;

PAYMENT FOR ENUMERATED ITEMS IS AUTHORIZED

4

(b) completed

ITEM	QUANTITY	ITEM	COST PER UNIT	PURCHASE ORDER TOTAL
5				

INSTRUCTION FOR COMPLETING THIS FORM

To submit a Memorandum Receiving Report, list the Purchase Order number, vendor, and check the appropriate box indicating a partial or completed order. If the Memorandum Receiving Report is a partially completed order, list the items received and the quantity, or simply attach the packing slip or invoice to the Memorandum Receiving Report. Attach any supporting document, if available, that may apply. If the Memorandum Receiving Report is complete, simply check the complete box and sign. You need not list each item.

6

Approved by: (Signature)

7

Title

8

Division

9

Department

Figure CR-2

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
Material Control and Property Inventory, CRB, Room 103
Phone: (256) 824-6315 / Fax: (256) 824-7448
GAS CYLINDER / LABORATORY ALCOHOL REQUEST FORM

NOTICE: Completion of Gas Cylinder/Laboratory/Alcohol Request Form(s) is required prior to requisitioning containerized gases and/or laboratory alcohol. **Requests not bearing the authorized PI or Budget Unit Head's signature or not properly completed cannot be processed.** This form is used to assist in conducting property accountability and inventory actions, and payment of rental and usage fees. *To expedite delivery, fax or hand-deliver your request to the Central Receiving Building, Room 103.* **Note: This form must also be used to record all gas containers to be returned to the vendor.** Any empty or unused gas container(s) must be noted at the bottom of this form by either the cylinder ID or serial number and location, and the authorization to return must be signed and dated by the PI or Budget Unit Head. **No containers will be picked up without the appropriate signature.** A completed copy of this form, with the vendor's signature, delivery date and pick-up date, will be faxed to you for your records.

TYPE OF GAS OR ALCOHOL	QTY	SIZE and/or PURITY	REQUESTING DEPARTMENT	CUSTODIAN (NAME)	DELIVERY LOCATION (BLDG AND ROOM NO.)	ACCOUNT NO.
_____ / _____ NAME OF PRINCIPAL INVESTIGATOR (PLEASE PRINT) PHONE NO.				_____ / _____ SIGNATURE OF PRINCIPAL INVESTIGATOR DATE		
_____ / _____ NAME OF BUDGET UNIT HEAD (PLEASE PRINT) PHONE NO.				_____ / _____ SIGNATURE OF BUDGET UNIT HEAD DATE		

Gas Container Authorized Return: Request Date: _____ **Fax Number:** _____

Container ID or Serial Number:	Pick-Up Location:	Authorized Signature:	Signature (Please Print):

Delivery Date: _____ **Vendor's Signature:** _____

Pick-Up Date: _____ **Central Receiving Signature:** _____

Figure CR-3

UAH

Office of Material Control & Property Inventory
 Central Receiving Building
 Phone: (256) 824-6315
 Fax: (256) 824-7448

Change of Account Number for Billing of Containerized Gas Cylinder Rental Fees	
<p>Complete this form to authorize change to departmental account number(s) used in the billing of containerized gas cylinder acquisition and rental charges/fees. The UAH Material Control Office will initiate completion of this form following expiration of an existing account, or when an existing account is changed for other administrative reasons. THIS CHANGE FORM IS NOT VALID UNLESS IT BEARS THE SIGNATURE OF THE BUDGET UNIT HEAD. The original copy of this form must be filed in the Material Control Office, Central Receiving Building (CRB). Please direct questions and/or concerns to Warehouse Operations, (256) 824-6315.</p>	
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Expired Account Number</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">NEW ACCOUNT NUMBER</p>
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Principal User/Responsible Person</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Date of Requested Change</p>
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Quantity Gas Cylinders</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">\$ Monthly Rental Fees/Charges</p>
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Name of Department</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Building/Room Number</p>
<p>Reason for Change of Account Number:</p> <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>	
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Printed Name of Principal User and/or Responsible Person</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Printed Name of Budget Unit Head</p>
<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Signature of Principal User and/or Responsible Person</p>	<div style="border: 1px solid black; height: 20px; background-color: #e0e0e0; margin-bottom: 5px;"></div> <p style="text-align: center; margin: 0;">Signature of Budget Unit Head</p>
<p>NOTICE: THIS FORM MUST BE COMPLETED WITHIN 5 CALENDAR DAYS FOLLOWING EXPIRATION AND/OR CHANGE OF DEPARTMENTAL ACCOUNT NUMBER(S).</p>	

Figure CR-4

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE UAH PROPERTY DISPOSITION FORM

Use this form to authorize:

- The loaning of capital equipment to another University or Organization
- The cannibalization of capital equipment for useable parts
- The disposal of capital equipment by the user or department

INSTRUCTIONS:

Complete the form below with the UAH Inventory Number, the Item Description and the Method of Disposal (Cannibalized, Trashed, Scrapped, etc.) or the identification of loaned equipment. Please use the comment section to provide justification for property disposal or list the receiver, location and agreed conditions for any property loaned. **NOTE: Anyone taking equipment off-campus is responsible for replacement or repair of that equipment if it is damaged while off-campus. Anyone taking equipment off-campus should have adequate insurance in case the equipment is lost or damaged while in the individual's possession. The appropriate signatures by the Department Chairman and Budget Unit Head must be included.** Submit the completed form to Inventory Control, Central Receiving Building, Room 100. Call (256) 824-6315 if you have any questions.

Date of disposal or loan: _____

Capital Equipment Disposition

UAH ID NUMBER

DESCRIPTION

DISPOSITION METHOD

<u>UAH ID NUMBER</u>	<u>DESCRIPTION</u>	<u>DISPOSITION METHOD</u>

Disposal Justification:

Details of Loan Agreement:

Department Loaning Equipment: _____

Receiver of Loaned Equipment: _____

Location of Loaned Equipment: _____

Length and Condition of Loan: _____

I hereby accept the responsibility for and authorize the disposal of or the loan of the capital equipment listed above. The disposed property has been inspected and has been identified as unusable and/or not repairable.

_____/_____
Department Chairman Date

_____/_____
Budget Unit Head Date

Figure CR-5

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
HUNTSVILLE CITY TELEPHONE DIRECTORY REQUEST FORM

TO REQUEST A HUNTSVILLE CITY TELEPHONE DIRECTORY PLEASE COMPLETE THE FOLLOWING AND FAX (256-824-7448), OR CAMPUS MAIL TO THE CENTRAL RECEIVING AND SHIPPING OFFICE.

Department:	Delivery Location:	Contact Person:	Number of Directories:

If your entire department needs books, please collect that number and submit one form with your request. Departmental requests, or large orders, for new directories will only be delivered to the central office for each department. Old directories should be left in the central office for pick up. Individual requests for directories will be placed in the requestor's campus mailbox, if applicable.

_____/_____
Requestor's Signature Request Date

=====

We have _____ old directories in _____ ready for pick up.

Inventory Control

Policies and Procedures

INVENTORY CONTROL

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I. GENERAL

I.1. Objective

The primary responsibility of Inventory Control is to maintain accurate records and control of The University of Alabama in Huntsville (UAHuntsville) and Government-owned equipment. Inventory Control will furnish each Budget Unit Head a complete history of all capital equipment purchased or acquired for his or her department. The accuracy of these records depends on the cooperation of the departments to inform Inventory Control of equipment changes, transfers, and relocations.

Inventory Control is located in the Central Receiving Building on John Wright Drive and may be contacted at 256-824-6315.

I.2. Policy

The University of Alabama in Huntsville (UAHuntsville) will maintain accurate and reliable records of capital equipment acquired by UAHuntsville.

I.3. Authority and Scope

Inventory Control is responsible for:

- Collecting and maintaining property identification data on capital equipment and non-capital equipment
- Tagging capital equipment and other inventoried items with barcode labels

Inventory Control furnishes this data to the Budget Unit Head of each department for review and to Accounting and Finance for auditing purposes.

The policies and procedures in this section are all-inclusive and specialized.

I.4. Definitions

CAPITAL EQUIPMENT / PROPERTY (FIXED ASSETS)

Capital equipment is defined to be an item of movable, non-expendable, and tangible property. Capital equipment has a useful life of more than one year and a cost or value of \$5,000 or more. Capital equipment must be tagged with a barcode label. Capital equipment purchases should have one of the following account codes: 8100, 8101, 8103, 8105, 8106, 8107, 8108, 8109, and 8110. See Section IV.2., "Fixed Asset Account Codes." The designations "property," "equipment," and "fixed asset" are used interchangeably with "capital equipment."

NON-CAPITAL EQUIPMENT / TRACKED PROPERTY (FIXED ASSETS)

The University tracks and maintains fixed asset database records on some non-capital equipment for insurance and accountability purposes. According to Table IC-1, these equipment classifications include:

Table IC-1, Non-Capital Equipment Classifications

Equipment Description & Value	Accounting Codes
Computers and Computer Equipment costing \$500 – \$4,999	7450, 7460
Audio Video Equipment costing \$500 – \$4,999	7461, 7452
Laboratory / Scientific Equipment costing \$2,000 – \$4,999	7451

PROPERTY VALUE

Property value is the cost of capital equipment, including freight, installation, and other costs necessary to make the equipment operational as originally intended. The value of gifts will be the value placed on them by the donor.

OBSOLETE OR SURPLUS PROPERTY

Obsolete property is property no longer needed for the purpose intended. If it is not needed in another department, then it should be declared surplus and disposed of according to state and federal regulations. Items used as trade-ins for like items are deleted from the property and accounting records. Refer to *Central Receiving Policies and Procedures*, Section IV, "Auctions and Surplus Property Sales," for proper procedures for declaring surplus property.

CANNIBALIZED, SCRAPPED, OR TRASHED PROPERTY

Cannibalized, scrapped, or trashed properties are capital equipment items that are disposed of with no remaining salvageable or surplus value. If a department plans to cannibalize, scrap, or otherwise dispose of University property, the department must first notify Inventory Control (IC). IC personnel will visit the department and inspect the item(s). If IC determines the asset(s) has no value, IC will remove the barcode property label(s) at disposal and dispose of the item(s). The department will be required to complete and sign the *UAH Property Disposition Form* (Figure IC-1). Central Receiving/IC will provide this form, or it can be downloaded from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>). **Departments are not authorized to cannibalize, scrap, or trash University property. Only Inventory Control is approved to perform this function.**

II. INVENTORY SURVEY

II.1. Procedure

Inventory Control conducts a campus-wide inventory survey every two years. Inventory Control surveys each room on campus that contains equipment. Surveys are conducted using printed reports and/or barcode scanners. Reports are sorted by department and equipment custodian. Changes in equipment status are recorded after the survey in the Fixed Asset database of the University's current purchasing and procurement software module.

After completing the survey, Inventory Control and the department being audited must complete and sign the *Fixed Asset Inventory Acknowledgement Form* (Figure IC-2). This report will contain a listing of all fixed assets determined to be missing during the inventory survey. The department will have 90 days from the conclusion of the audit to locate the missing items and notify Inventory Control of the asset location(s). Items not found at the end of the 90 day period will be reported as missing to the Controller and will be subsequently written off accounting records according to University procedures. See section II.4., "Missing Property."

NOTE: Inventory Control is only responsible for collecting data. The departments are responsible for the care and maintenance of the University property that has been assigned to them.

II.2. Completing the Inventory Acknowledgement Form

1. Dept: — Enter the name of the department or division being audited.
2. Dept. Org. #: —Enter the primary organization (department) number for the department or division being audited. This number should be the organization number at the top of the hierarchy for the department. Do not use subordinate organization numbers.
3. Inventory Completion Date: — Enter the date that Inventory Control completes the departmental audit.
4. Inventory Conducted By: — List all Inventory Control team members and departmental staff and faculty involved in or assisting with the audit. Attach additional pages if necessary.
5. Missing Property Listing — List any and all capital assets or government property not found during the departmental audit.

Information on each asset should include: Asset (barcode) number, asset description, and last known location (building and room). If no property is missing, insert the word "NONE" into the listing area.

6. Missing Property Policy Statement — Department officials should read and understand the University policy regarding missing capital equipment.
7. Acknowledgement Signatures — A Budget Unit Head, director, chair, or dean should review and sign the completed acknowledgement of inventory audit and missing property.

An Inventory Control representative should also sign the document as verification that both parties are in agreement on the completion of the audit and the status of any missing property.

II.3. Codes

Inventory Control uses the Disposition Codes described in Table IC-2 to account for equipment removed from a department's inventory.

Table IC-2, Inventory Disposition Codes

Code	Explanation	Action
AS	Item Auctioned or Sold on special bid	Inventory records are deleted after auction or date of sale.
CP	Cannibalized for parts	Removes property from records and advises Accounting and Finance to adjust book value.
DR	Damaged (cannot be used without major repair)	Departments will determine if item is to be repaired. If damage is too severe, status will be changed to CP, ST, or AS when final status is determined by the department.
ML	Missing or Lost by department	Indicates property is Missing. Inventory data will be transferred to Missing Property Report, and Accounting and Finance will be advised of the change.
RC	Raised Capitalization Level	The University has raised the fixed asset capitalization level above the value of the item(s). Item(s) will be deleted from inventory.
RT	Item Returned to vendor	Indicates equipment has been returned to the vendor for exchange or refund. Inventory and accounting records for item will be deleted.
SE	Stolen (evidence of theft found; police investigation in progress)	Item will be deleted from department's inventory records on receipt of police report.
ST	Item Scrapped or Trashed	Inventory Control will take action at department's request to dispose of equipment.
TD	Item Transferred off active inventory records.	Indicates item no longer belongs to the University; records are deleted from inventory.

II.4. Missing Property

Property that cannot be located during the inventory survey is noted as "Missing" on the *Fixed Asset Inventory Acknowledgement Form* (Figure IC-2) and is earmarked "Missing" on the property records. The Budget Unit Head should make every effort to locate the missing property and advise Inventory Control if items are located.

Missing property will remain earmarked on the department's property records and the University accounting records for up to three months after completion of the department's inventory survey. If the missing property is not found after three months, a missing property report will be sent to the Controller for further action. Inventory Control will then coordinate with Accounting and Finance to adjust the book value of the missing property.

NOTE: Budget Unit Heads are responsible for all property in their assigned areas. Inventory deletions are subject to internal and external audits. Budget Unit Heads must furnish information to develop a satisfactory response to audit reports.

III. EXISTING PROPERTY

III.1. Responsibility

The Budget Unit Head is responsible for all property assigned to his or her area. When the Budget Unit Head changes for an area, the following procedures apply:

- The outgoing Budget Unit Head must sign off and account for all capital equipment in his or her old location before leaving.
- The incoming Budget Unit Head must sign for capital equipment in his or her new location when coming in.

III.2. Changes, Transfers, and Relocations

PROCEDURE

Departments must notify Inventory Control of any equipment changes, transfers, and relocations. The departments involved must submit a *Property Relocation/Transfer Form* (Figure IC-3) to Inventory Control. The form is available at the Inventory Control office, the UAHuntsville Copy Center, and the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>), where it is called "Inventory Property Relocation."

COMPLETING THE PROPERTY RELOCATION / TRANSFER FORM

1. Date — Enter the date of the move or transfer.
2. Move or Transfer Equipment On-Campus — Mark this box if equipment is to be moved or transferred from one department to another, from one building to another, or from one room to another on campus.
3. UAH ID Number — Enter the identification number of the property.
4. Description — Provide a description of the property. The description might include manufacturer, model or serial number, weight, size, color, etc.
5. Value — Provide a dollar value for the property. Provide an estimate if the actual value is unknown.
6. From / To — For both the original and new locations of the property, enter the following information:
 - Name — Enter the name of the responsible individual or contact person.
 - Phone No. — Enter the telephone number of the responsible individual.
 - Department — Enter the department name.
 - Building / Room No. — Enter the building name and the room number.
 - Approval — Obtain signature authorizations of the donating and the receiving Budget Unit Head.
7. Move Equipment Off-Campus — Mark this box to move the equipment to a location off-campus.
8. UAH ID Number / Description / Value — Provide the identification number, a description, and a dollar value for the property, as explained above in steps 3–5.
9. Name — Enter the name of the responsible individual.
10. Phone No. — Enter the telephone number of the responsible individual.
11. Department — Enter the responsible individual's department.
12. From Location (Bldg / Rm) — Enter the original building name and room number of the property.
13. To Location — Enter the new location including address, city, and state, as applicable, for the property.
14. Approval — Obtain the signature authorization of the appropriate Budget Unit Head.

III.3. Loans to Other Organizations

UAHuntsville property may be loaned to other organizations with an agreement in writing signed by the appropriate vice president, dean, or director. One copy of the agreement is kept in the vice president's, dean's, or director's office, and another copy is forwarded to Inventory Control for annual follow-up. All departments loaning equipment must use the *UAH Property Relocation/Transfer Form* (Figure IC-3) to officially record the loan with Inventory Control.

III.4. Stolen Property

The Budget Unit Head should notify Inventory Control and University Police as soon as he or she suspects capital equipment has been stolen. The property records will be coded "SE" for stolen property and an investigation will be conducted.

Once the investigation is complete, a report is made to the Budget Unit Head and Inventory Control. Based on the investigation's findings, a final determination is made concerning disposition of the equipment. If it is to be removed from the property records, Inventory Control will advise Accounting and Finance to adjust the book value. A copy of the police report must be sent to the Inventory Control Office before the item can be deleted from inventory records as stolen.

III.5. Transfers

Transfers of property between departments must be reported to Inventory Control on a *UAH Property Relocation/Transfer Form* (Figure IC-3). The following information must be typed or printed on the Form:

- Property description
- UAHuntsville ID number
- Building and room (original and new locations)
- Budget Unit Head signatures (original and new locations)

Inventory Control will adjust the property records to reflect the transfer. **Do not report temporary transfers of 60 days or less; however, authorization must be approved by the Budget Unit Head and maintained in departmental files.**

NOTE: Property moved within a department must also be reported to Inventory Control in order to maintain accurate property records.

III.6. Off-Campus Use of University Property

A dean or director may authorize off-campus use of University property by University employees. Such off-campus use of University property requires written approval by the dean or director responsible for the property. If the property is to be used off-campus for more than 60 days, the *UAH Property Relocation/Transfer Form* (Figure IC-3) must be completed and submitted to the Inventory Office.

III.7. Depreciation

Inventory Control must use the depreciation codes according to *Property Classification Codes* (Figure IC-4) when completing the Classification Code field in the receiving portion of the current purchasing and procurement database software. These codes are the only ones that can be entered into the Classification Code field.

III.8. Disposal of Property

The normal method for disposal of University property is through surplus declaration. Refer to *Central Receiving Policies and Procedures*, Section IV, "Auctions and Surplus Property Sales," for policies and procedures for declaring surplus property.

PROCEDURE

If a department wants to loan a piece of equipment to an off-campus school, business, or organization; cannibalize a piece of equipment for parts; or trash an item because it is no longer repairable or usable and/ or has no resalable value, the *UAH Property Disposition Form* (Figure IC-1) must be used. This form is available on the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>) under "Forms."

If a department plans to cannibalize, scrap, or otherwise dispose of University property, the department must first notify Inventory Control. IC personnel will visit the department and inspect the item(s). If IC determines the asset(s) has no value, IC will remove the barcode property label(s) at disposal and dispose of the item(s). The department will be required to complete and sign the *UAH Property Disposition Form* (Figure IC-1). **Departments are not authorized to cannibalize, scrap, or trash University property. Only Inventory Control is approved to perform this function.**

COMPLETING THE UAH PROPERTY DISPOSITION FORM

1. Date — Enter the date the item was loaned or disposed.
2. Capital Equipment Disposition — Mark this box to alert IC to a property status change.
3. UAH ID Number — Enter the number assigned to the property.
4. Description — Provide a description of the property, including model number and serial number, if available.
5. Disposition Method — Describe a method of disposition: Loaned, Cannibalized, Scrapped, or Trashed.
6. Disposal Justification — Provide reasons for disposal.
7. Details of Loan Agreement — List the department loaning the item, the person receiving the item, the off-campus location where the item will be used, and the length and conditions of the loan agreement.
8. Authorization — All actions taken to loan or dispose of a piece of equipment must be approved and authorized by the department chair's signature and Inventory Control.

IV. NEW PROPERTY

IV.1. Screening

Before purchasing new equipment, departments must screen equipment according to the guidelines in Table IC-3:

Table IC-3, Capital Equipment Screening

Equipment Costs	Screening Requirements
\$5,000.00 – \$9,999.99	None
\$10,000.00 – \$24,999.99	Department-level
\$25,000.00 – \$49,999.99	College-level
\$50,000.00 or more	Campus-wide

All equipment purchases on research funds must be screened by the department and verified and/or approved by Office of Sponsored Programs (OSP). **Obtain Screening Form RA97-01 from Office of Sponsored Programs and attach to the Requisition.** Indicate in Document Text on the electronic Requisition that the equipment has been screened. Note the Requisition number on the *Screening Form RA97-01* and forward a copy to the appropriate Procurement Officer as supporting documentation for the Requisition.

*NOTE: To avoid unnecessary or duplicate purchases, the Federal Government requires internal screening of UAHuntsville equipment according to Federal Regulations, Office of Management and Budgets (OMB), Circular A110, Attachment O, Paragraph 3.C.1. Equipment **must** be screened if it falls within the following ranges: **\$10,000–\$25,000**, by the department; **\$25,000–\$50,000**, by the college; **\$50,000 and over**, campus-wide. Contact Inventory Control at 256-824-6315 for campus-wide screening.*

IV.2. Fixed Asset Account Codes

Appropriate account codes, as described in Table IC-4, must be applied against fixed asset account expenditures at issuance of the Purchase Order. Inventory Control will tag the property with barcode labels, as applicable. The dollar value will be entered as the amount issued on the Purchase Order.

Table IC-4, Fixed Asset Account Codes

Account Code	Description
7435	Used for supply items when building or manufacturing a piece of equipment or a system only on a fixed asset account. Will not incur indirect charges.
7436	Used for supply items when building or manufacturing a piece of equipment or a system only on a fixed asset account. Will incur indirect charges.
8101	Used for the initial set-up for equipment purchases of \$5,000 or more; not associated with building construction.
8103	Used for internal enhancements over \$5,000; the Purchase Order will reference the existing inventoried equipment. The enhancement will be assigned a barcode number and entered into the inventory records the same as account code 8101 items.
8105	Used for equipment being installed on or attached to an existing piece of equipment; the Purchase Order will reference the existing equipment's ID number, serial number, etc. The installed equipment will be inventoried as a subset of the original equipment. The ID number of the installed equipment will be the same as that of the original equipment, except for the last digit.
8107	Used for vehicles.
8108	Used for Lease/Purchase agreements (does not apply to lease-only items).

IV.3. Equipment Obtained Without a Purchase Order

Inventory Control will inventory equipment not obtained against a Purchase Order only when appropriate backup documentation is available. Appropriate backup documentation may include the following:

- *Property Relocation/Transfer Form* (UAH/INV Form-010)
- *Temporary On-Loan/Donated Equipment Inventory Form* (UAH/INV Form-012)
- U.S. Government Form 1149 that states the origin of the item

IV.4. Lease / Purchase Agreements

Equipment obtained under a Lease/Purchase agreement will be inventoried at the Lease/Purchase value. Inventory Control will notify Accounting and Finance when these transactions are processed. Since the Lease/Purchase value differs from the Purchase Order amount and extends from three to five years, these transactions will be compared at year-end with the Lease Purchase Report prepared by Procurement Services.

IV.5. General Procedure

All new property is tagged at Central Receiving before delivery to departments.

If a department picks up property directly from a vendor, or delivery is made directly to the department, the department must submit a Memorandum Receiving Report (MRR) to Central Receiving. Central Receiving will inventory and tag the property and then forward the MRR to Accounts Payable for payment to be issued. For more information on the MRR, see *Central Receiving Policies and Procedures*, Section II.3, "Memorandum Receiving Report."

NOTE: If Accounts Payable fails to receive an MRR from the department, no payment will be issued on receipt of the invoice. The department must submit an MRR to Central Receiving to confirm receipt of the equipment, to have the equipment inventoried, and to have payment issued.

Government property valued at \$5,000 or more, or property vested in the Government, will be tagged with a special Government / UAHuntsville barcode label.

Government property surveys will be conducted annually. All property titled to the Federal Government will be inventoried once each year in accordance with Office of Sponsored Programs' government property inventory procedures. For more information, refer to the *Government Property Control System Manual* (Figure IC-5).

IV.6. Purchased Property

DEPARTMENT

- The Budget Unit Head determines the need for capital equipment and seeks approval through the budget process. For expenditures against fixed asset accounts, the department obtains electronic approval from Office of Sponsored Programs before submitting a Requisition to Procurement Services.
- The department screens the equipment according to the guidelines in Section IV.1, "Screening."
- The department submits a Requisition with appropriate signature approvals to Procurement Services to initiate the purchase of capital equipment.

PROCUREMENT SERVICES

- Procurement Services ensures that a complete copy of the OSP screening form has been submitted with the Requisition. Amounts of \$25,000 or greater will require approval from the Vice President for Finance and Administration.
- Procurement Services obtains competitive pricing and/or bids.
- Procurement Services issues a Purchase Order to the winning vendor.

CENTRAL RECEIVING / INVENTORY CONTROL

- On receipt of merchandise, Central Receiving matches the Purchase Order to the product and packing list to verify that items received are the same as those ordered.
- Central Receiving enters the necessary receiving information into the current purchasing and procurement database so Accounts Payable can process payment when the invoice arrives.
- On payment of invoice or receipt of item through the Receiving module, a pending asset file is created for each equipment item. The Purchase Order number becomes the pending asset number.
- The pending asset numbers are changed to approved assets using a new UAHuntsville barcode number as the approved asset number.
- For capital equipment, Central Receiving / Inventory Control will tag the equipment with a barcode label.
- Inventory Control sets up a property record for each equipment item in the current procurement database that contains the following information:
 - Account number(s)
 - Acquisition date (date received)
 - Building and room number
 - Custodian (Principal Investigator)

- Item description
- Manufacturer
- Model number
- Purchase Order number
- Responsible organization (department) number
- Serial number
- UAHuntsville property number
- Unit cost
- Vendor

DIRECT DEPARTMENTAL DELIVERY OR PICK-UP

When property is received other than through Central Receiving, the department submits an MRR to Central Receiving (see Section IV.5, “General Procedure”).

IV.7. Property from Federal Contracts and Grants

UAHuntsville complies with Federal Acquisition Regulations (FAR), the Government Property Control Systems Manual, and the Office of Management and Budgets (OMB) Circular A-110.

Government-purchased and Government-owned equipment procedures are outlined in the UAHuntsville *Government Property Control System Manual (GPCSM)* (Figure IC-5). In the event of any conflict between these *Policies and Procedures* and the *GPCSM* for Government-owned property, the *GPCSM* shall govern.

Government-titled equipment is monitored by the UAHuntsville Office of Sponsored Programs. Changes to status, location, and disposition of Government-owned property must be reported to and approved in advance by OSP.

Capital equipment may be obtained in the process of work performed on Federal contracts and grants. All items with an acquisition cost equal to or greater than \$5,000 and purchased against a contract are capitalized. Title to property purchased with Federal funds is generally specified in the contract under which the equipment is purchased. In the event title is not clearly specified in the contract, the governing sections of the FAR and the OMB Circular A-110 shall determine title.

Capital equipment may also be borrowed from the Government for use on a specific contract or for general use. In either case, UAHuntsville is responsible for the care and maintenance of equipment records, which are maintained the same as UAHuntsville property records. Government loaned or furnished equipment remains titled to the Federal Government unless formally abandoned-in-place by written notice from the Government in accordance with existing regulations.

When a contract is closed, loaned or borrowed equipment is either returned to the lending government agency or given to UAHuntsville. A signed statement from the agency is necessary for equipment transfer to UAHuntsville. All requests for disposition of Government-owned property must be directed to OSP.

Inventory Control will maintain Government property records in cooperation with OSP. Government property records will indicate whether equipment is Government Purchased (GP) or Government Furnished (GF).

GF or GP property valued below \$5,000 will be tracked in the Inventory Control system in accordance with UAHuntsville Inventory Control Policies and Procedures.

Inventory Control will coordinate with Accounting and Finance to establish accounting records for equipment abandoned-in-place by the Government for which the original acquisition cost is equal to or greater than \$5,000.

IV.8. Gifts and Donations

POLICY

University Development records and acknowledges all gifts and donations of capital equipment according to established institutional policy and procedures, particularly Rule 411 of The Board of Trustees of The University of Alabama. Those policies and procedures require, in some instances, that a gift be accepted by action of the Board itself. Other gifts may be accepted by designated University officials, including the president or a vice president, dean, research center director or department chair, but only if certain, stated conditions are met. **As a general rule, no faculty or staff member or student is authorized on behalf of the University to accept a gift or enter into an agreement with a prospective donor for the purpose of obtaining a gift.** All gifts and donations must be coordinated through the University Development office.

PROCEDURE

Before a non-cash gift can be accepted, a *UAH Non-Cash Gift Approval / Acceptance Report Form*, available from University Development or on the website www.uah.edu/admin/budget/forms, must be completed by an appropriate individual within the unit, who will be the primary user or beneficiary of the property or who has been involved otherwise in developing the gift. The Acceptance Form should be submitted to the vice president, whose responsibility includes the user / beneficiary unit, through the officials in the administrative chain, who will each indicate their approval or disapproval.

A UAHuntsville employee must not arrange delivery or take possession of property proposed to be given to the University until the gift has been approved and accepted according to established policies and procedures.

University Development provides information and documentation regarding the donated property to Inventory Control and Accounting and Finance. This list indicates:

- Department delivered to or taking possession
- Description
- Donor
- Quantity
- Value

Inventory Control sets up property records. Accounting and Finance sets up accounting records.

A Temporary On-Loan/Donated Equipment Form (IC- 6) must be completed for each approved asset received through donation and valued at \$5,000 or greater. This form is for inventory purposes only and is in addition to any and all requirements of University Development and the Office of Sponsored Programs.

IV.9. Federal Surplus Purchases

Equipment may be purchased, when authorized, from federal surplus sales.

- If the equipment originally cost the U.S. Government \$2,500 or more, the equipment is classified as “RESTRICTED” and cannot be disposed of or removed from the State unless approved by the Alabama State Agency for Surplus Property.
- If the equipment is to be used for the purpose originally intended, the equipment is set up in UAHuntsville property and accounting records as other capital equipment.
- If the property is acquired for spare parts, fabrication, etc., it is expensed.

IV.10. Fabricated Equipment

Equipment fabricated using UAHuntsville parts and labor and meeting the requirements of capital equipment (see Section I.4, “Definitions”) must be capitalized. Inventory Control sets up property records on such equipment and notifies Accounting and Finance to set up accounting records. The equipment’s

value is recorded as the expensed parts and labor associated with the fabrication.

Account code 7435 or 7436 should be used for supply items when building or manufacturing a piece of equipment or a system only on a capital asset account.

IV.11. Record Retention

Retain property inventory records (survey documents and surplus / cannibalized / disposed assets) three years after the end of the fiscal year in which the records were created; then destroy.

IV.12. Temporary On-Loan / Donated Equipment

PROCEDURE

If a department receives on-loan equipment, valued at \$5,000 or greater, from an outside agency or company, the department must report the receipt of this equipment to Inventory Control. Use the *Temporary On-Loan/Donated Equipment Inventory Form* (Figure IC-6) to report the receipt of loaned assets to Inventory Control. This form is available on the Business Services' website (<http://www.uah.edu/admin/bussvcs>) under "Forms," where it is called "Asset Loan Receipt."

Use this form to report capital assets received by the University only through the following methods:

- Temporary loaned equipment valued at \$5,000 or greater from an outside agency or entity
- Donation of equipment valued at \$5,000 or greater by an outside agency or entity

NOTE: This form is NOT to be used for gift receipt purposes. Donated equipment must be coordinated in advance through the University Development Office, according to University Development policy and procedures, using the UAH Non-Cash Gift Approval/Acceptance Report (available through the University Development office). A copy of the gift approval report should be attached to the Temporary On-Loan/Donated Equipment Inventory Form.

COMPLETING THE TEMPORARY ON-LOAN / DONATED EQUIPMENT INVENTORY FORM

1. Date of Inventory Addition Request — Enter the date the item is physically received by the University department.
2. Model No. — Enter manufacturer's model number for asset. If item is fabricated, use "FABRICATED" as the model number.

3. Description — Provide a detailed description of asset. Include manufacturer's name, brand name (e.g., Presario, Optiplex) and detailed technical description and component content.
4. Serial No. — Enter manufacturer's unique serial number for asset. If item is fabricated, use "FABRICATED" as the serial number.
5. Value — Enter the total value of the equipment as declared by lender or donating entity.
6. UAH Location of Equipment — List the exact building, room number, and department where the asset will be located.

NOTE: If property is relocated at any time, a UAH Property Relocation / Transfer Form shall be completed by the department and forwarded to Inventory Control.

7. Length of Loan — Record the intended length of loan. How long does the department intend to keep the asset or what specific length of time is specified in the terms of the loan?
8. Terms and Conditions of Loan — Record any terms and conditions of the loan (specific project use, restrictions on use, requirements for use, etc.).
9. Property Owner — **For loaned equipment only. Do not use for donated equipment.** Record the contact name, telephone number, company name, and department of the entity making the loan. Signature of the loaning entity's authorized agent is required.
10. UAH Custodian — Record the name of the person directly accountable for the loaned or donated equipment asset. Include telephone number, responsible department, building and room number of custodian.
11. Department Head Approval Signature — Dean's or director's signature is required.

NOTE: Return of temporary asset(s) owned by outside agencies to property owner(s) must be reported immediately to Inventory Control using the UAH Property Disposition Form.

Inventory Control

Attachments

INVENTORY CONTROL ATTACHMENTS

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FIGURE IC-2	.	.	.	Fixed Asset Inventory Acknowledgement Form
FIGURE IC-3	.	.	.	UAH Property Relocation / Transfer Form
FIGURE IC-4	.	.	.	Property Classification Codes
FIGURE IC-5	.	.	.	Government Property Control System Manual
FIGURE IC-6	.	.	.	Temporary On-Loan / Donated Equipment Inventory Form

Figure IC-2

**Inventory Control
Fixed Asset Inventory Acknowledgement Form**

① Dept: _____ ② Dept. Org. #: _____

③ Inventory Completion Date: _____

④ Inventory Conducted by:

Inventory Control Representative

Department Representative

Inventory Control Representative

Department Representative

We, the undersigned, certify and acknowledge that a fixed asset inventory audit was conducted by UAH Inventory Control personnel, in cooperation with the above named departmental representative(s).

A listing of all missing property (property that could not be located during the inventory survey) follows. We certify this equipment was not located during the audit:

UAH ID Number Description Last Known Location

⑤ _____

(attach additional pages if necessary)

⑥

Missing Property Policy Statement

Property that cannot be located during the inventory survey is earmarked "Missing" on the property records. The Budget Unit Head should make every effort to locate the missing property and advise Inventory Control if items are located.

Missing property will remain earmarked on the department's property records and the University accounting records for up to three months after completion of the department's inventory survey. If the missing property is not found after three months, a missing property report will be sent to the University's Controller for further action. Inventory Control then will coordinate with the Accounting Department to adjust the book value of the missing property.

⑦ _____
Budget Unit Head/Director/Chair/Dean

Inventory Control

Figure IC-3

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE UAH PROPERTY RELOCATION / TRANSFER FORM

This form is for inventory purposes only and is to be used when the department:

- Moves an item of equipment from one area of the department to another
- Transfers an item of equipment from one department to another
- Takes an item of equipment off-campus

For assistance from the Physical Plant with any move request, please use the Physical Plant Move Form (UAH/PP-011).

INSTRUCTIONS:

Complete the form below, including appropriate signatures by those with authority over the equipment, and submit to Inventory Control, Central Receiving Building, Room 100. Call (256) 824-6315 if you have any questions. **NOTE: Anyone taking equipment off-campus is responsible for replacement or repair of that equipment if it is damaged while off-campus. Anyone taking equipment off campus should have adequate insurance in case the equipment is damaged.**

① Date _____

② **Move or Transfer Equipment On-Campus**

③ UAH ID NUMBER	④ DESCRIPTION	⑤ VALUE
_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____

⑥ **FROM**

Name _____

Phone No. _____

Department _____

Building/Room No. _____

Department Head Approval _____

TO

Name _____

Phone No. _____

Department _____

Building/Room No. _____

Department Head Approval _____

⑦ **Move Equipment Off-Campus**

⑧ UAH ID NUMBER	DESCRIPTION	VALUE
_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____

⑨ Name _____

⑩ Phone No. _____

① Department _____

② From Location (Bldg/Rm) _____

③ To Location _____

④ Approval _____

Department Head

Figure IC-4
Property Classification Codes

Asset Type		Expect- ed Life	Dep. Mth. ¹	1 st Yr. ²	Cap. ³	Real/ Personal	Move/ Attach	Equity Account	Capitaliza- tion Fund	Asset Account	Accum. Deprec.	Dep. Exp. ⁴
01	Computer Equipment	5	SL	M	Y	P	M	9210	73550	1740	1790	7999
02	Office & Business Machines	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
03	Copiers	5	SL	M	Y	P	M	9210	73550	1740	1790	7999
04	Audio / Visual Equip.	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
08	Computer Equipment (Manual Depreciation)	5	MAN	M	Y	P	M	9210	73550	1740	1790	7999
10	Furniture	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
20	Lab/Scientific Equipment	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
25	Government Furnished Equipment	5	NO	N	N	P	M	9210	73550	1740	1790	7999
30	Medical Equipment	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
40	Athletic & Recreation Equipment	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
50	Tools & Machinery	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
70	General Equipment	8	SL	M	Y	P	M	9210	73550	1740	1790	7999
75	General Equipment (No Depreciation)	8	NO	N	N	P	M	9210	73550	1740	1790	7999
80	University Vehicles	5	SL	M	Y	P	M	9210	73550	1740	1790	7999

¹ Depreciation Method: SL = Straight Line Proportional, MAN = Manual Depreciation, NO = No Depreciation Taken

² 1st Year Depreciation Convention: M = Remaining Months Depreciation, N = No Depreciation

³ Capitalized: Y = Yes, N = No

⁴ Dep. Exp. = Depreciation Expense

Figure IC-5

GOVERNMENT PROPERTY

CONTROL SYSTEM

MANUAL

September 2007

**The University of Alabama in Huntsville
An Affirmative Action/Equal Opportunity Institution**

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EXECUTIVE SUMMARY

This manual delineates the Government Property (GP) Control System for the University of Alabama in Huntsville (UAHuntsville). It covers in detail the responsibilities of all employees having any connection with GP located at or procured by UAHuntsville. The following GP Summary delineates the important points of the manual.

GP Summary

WHO - All UAHuntsville personnel having any connection with GP located at or procured by UAHuntsville

1. Principal Investigator (PI). The person primarily responsible for and accountable for GP used on or acquired through his/her contract or grant.
2. Director, Office of Sponsored Programs (DOSPP). The UAHuntsville Office of Sponsored Programs (OSP) person through whom all documentation for property acquired under a contract for sponsored research is processed.
3. Manager, Inventory/Material Control (MMCPI). The person in the Central Receiving and Shipping (CRS) office through whom all property is shipped, received, tagged, and inventoried.

WHAT - All property loaned by the government or acquired under a contract or grant must be processed through the Office of Sponsored Programs for the following:

1. Compliance with the contract and agency
2. Approval by the Contracting Officer
3. Screening by the agency (Checking organization inventories for existing available items)
4. Coding of requisitions as to the proper accounting code and determination of ownership
5. Coordination with the MMCPI for tagging and inventory control
6. Screening of UAHuntsville inventory

WHEN - The Office of Sponsored Programs will process documentation for equipment when

1. The requisition is submitted for purchase.
2. The loaned property is shipped or received.

WHY – OSP is charged with the responsibility to protect the University by ascertaining that all Federal Regulations regarding GP are being followed.

Points of Information

1. Equipment is defined as having a cost of \$5,000 more and a life span of one year or more.
2. General purpose equipment cannot be purchased from contract funds except under special circumstances.
3. *All* equipment purchases must have agency approval.
4. Certain equipment purchases must be screened. (See section II.B.2.)
5. All property must be processed through the MMCPI (in Central Receiving and Inventory Control) and through the Office of Sponsored Programs.
6. The Principal Investigator is responsible for the maintenance, care and accountability of the equipment on his/her contract.
7. The Principal Investigator is responsible for all equipment loaned to or purchased by subcontractors on his/her contract.
8. All lost, stolen, or damaged GP must be reported immediately to the Office of Sponsored Programs.

I. GENERAL

A. Introduction

This manual delineates the Government Property Control System established by The University of Alabama in Huntsville (UAHuntsville) to “control, protect, preserve, and maintain all Government Property” in its possession or under its control. The requirement for this system is set forth in the Federal Acquisition Regulation (FAR), Subpart 45.5. Educational institutions are also governed by the Office of Management and Budget (OMB) Circulars A-21, A-110 and A-133. The Government Property Control System is reviewed and approved in writing by the assigned GPA who is located at the Department of the Navy, Office of Naval Research (ONR), Atlanta, Georgia.

This manual for the UAHuntsville Government Property Control System contains policies, procedures, and detailed instructions for meeting the minimum requirements set forth in FAR45.5. Also, each contract and grant specifies its own property control requirements. If there is any inconsistency between the FAR and the terms of the contract/grant, the terms of the contract/grant shall govern. UAHuntsville also holds a facilities contract with the National Aeronautics and Space Administration (NASA). These procedures do not apply to hardware placed on a rocket or spacecraft.

B. Scope and Authority

All UAHuntsville personnel having any connection with GP will adhere to the policies and control procedures of the UAHuntsville Government Property Control System. This particularly applies to the Principal Investigator for each contract/grant, who is ultimately accountable for any property acquired or furnished under the contract/grant. It also applies to any employee paid by the contract/grant, and all personnel in the offices of Research, Office of Sponsored Programs, Procurement, Accounting, Inventory Control, and Central Receiving and Shipping, who handle documentation for the property.

C. Definitions: See Appendix A

D. Delegation of Authority

1. Vice President for Research

The Vice President for Research is authorized, on behalf of the Board of Trustees and the President of UAHuntsville, to negotiate and sign contracts/grants for research, therefore, he/she is accountable for the Government Property Control System.

2. Associate Vice President for Research

The Associate Vice President for Research is delegated by the Vice President for Research for the accountability of the Government Property Control System. He/She is authorized on behalf of the Board of Trustees and the President of UAHuntsville to negotiate and sign contracts/grants for research.

3. Director, Office of Sponsored Programs

The Director, Office of Sponsored Programs is designated as GPA for UAHuntsville by the Associate Vice President for Research and is delegated the responsibility for implementing the UAHuntsville Government Property Control System. He/She is authorized on behalf of the Board of Trustees and the President of UAHuntsville to negotiate and sign contracts/grants for research.

4. Government Property Administrator (GPA)

The GPA is delegated by the Director, Office of Sponsored Programs and is responsible for developing, implementing, and maintaining the Government Property Control System for UAHuntsville. He/She will take appropriate action to insure that all UAHuntsville personnel are aware of and comply with regulations set forth in the Government Property Control System Manual and in each contract/grant. This responsibility includes timely submission of required reports and coordination of all related activities required by Government regulation. GP Administration is an extension of the activities of the Office of Sponsored Programs, which will act as the point-of-contact with the agencies' contracting officers. The GPA is authorized to sign, under his/her name and title, all documentation for GP including the acceptance of title to GP transferred to the University.

5. Director, Procurement Services

Except for responsibilities delegated herein, the Procurement Agent is responsible, in accordance with State and Federal regulations, for all materials functions relating to facilities, equipment, and materials located at UAHuntsville. This includes the development, implementation, and maintenance of a computerized inventory control system that meets the minimum requirements of the Federal Government as stated in FAR45.505 (See *Policies and Procedures Manual* for a description of the Inventory Control Procedure).

6. Manager, Material Control/Property Inventory

The MMCPI will be responsible for tagging all Contractor Acquired and Government Furnished Equipment (GFE) according to procedures established by the FAR and by State regulation. He/She or a designate will also enter and maintain accurate data in the computerized inventory control system, and will help in physically locating all GP when required. He/She or a designate will assist the GPA in accounting for all property during property surveys by the

Federal Government and will report to the GPA any discrepancies in the location of or accounting for GP.

7. Principal Investigator (PI)

The Principal Investigator, or his/her designee, is responsible for compliance with this manual and all terms and conditions of his/her contract/grant. He/She is ultimately accountable for the correct procurement, use, calibration, and disposition of GP acquired or furnished under the contract/grant and will be responsible for physically locating the Property when required.

8. Other Materials Control Personnel

Other Materials Control Personnel such as those involved in receiving, shipping, purchasing, etc., will comply with the requirements of this manual when it applies to their duties and responsibilities.

9. Administrative Contracting Officer (ACO)

The Administrative Contracting Officer, who is assigned by the Federal Government, may also act as PA.

10. Property Administrator (PA)

The PA is the authorized person assigned by the Government to administer the contract requirement and obligations relating to GP.

E. Facilities Contracts

Facilities contracts are awarded when the agency determines the need, as established in FAR 45.302. "Non-profit institutions of higher education whose primary purpose is the conduct of scientific research" are referenced in FAR 45.302-1(d)(1) and 45.302-7. Facilities are also addressed in FAR 52.245-7 and FAR 52.245-12 through 52.245-15.

"Facilities" is defined as all property provided under the Facilities Contract. "Related Contract" means a Government Contract or subcontract for supplies or services under which the use of the facilities is or may be authorized. (See Definitions Appendix A) A facilities contract is awarded for five (5) years, but may be extended for completion of "related contracts."

The Government retains title to all GFP unless otherwise specified. This applies even if the "facilities are incorporated into property not owned by the Government." The "facilities" may be used only at the locations specified in the

Schedule. With written approval of the contracting officer, the “facilities” may be used at other locations.

The University shall maintain property control procedures and records and a system of identification of the facilities in accordance with FAR45.5. The University shall perform normal maintenance except as otherwise provided in the Schedule.

The University or the Contracting may terminate its authority to use any or all of the facilities at any time. Disposal of the facilities upon written notice is addressed in FAR52.245-7 and Liability is referenced in 52.245-8.

UAHUNTSVILLE POLICY is as follows:

Property which is accountable under a facilities contract will be accepted by the GPA with proper documentation from the agency. It will be received, tagged, and logged into the GP System by the MMCPI, and located in the area designated by the Schedule. The inventory system will reflect the specific location including building and room and the responsible person. The property will not be moved, loaned, or otherwise disposed of without the knowledge and approval of the GPA who in turn will determine if agency approval is necessary. The MMCPI will also be informed and will make the necessary changes in the Government property Control Inventory System.

F. Office of Management and Budget (OMB) Circular A-21

OMB CircularA021 establishes principles for determining costs applicable to grants, contracts, and other agreements with educational institutions.

1. OMB A-21 establishes the following definitions:

- a. Equipment: An article of non expendable, tangible, personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the organization for financial statement purposes or \$5,000.
- b. Capital expenditure: Cost of the asset, including cost to put it in place.
- c. Special purpose equipment: Equipment which is used only for research, medical, scientific, or other technical activities.
- d. General Purpose Equipment: Equipment, the use of which is not limited only to research, medical, scientific or other technical activities.

For University purposes, the item must have a useful life of at least one year and an acquisition cost of at least \$5,000.

2. Rules established by OMB A-21 (Summary):

- a. Capital expenditures for general purpose equipment, buildings, and land must be approved in advance.
- b. Capital expenditures for special purpose equipment must have approval in advance.
- c. Capital expenditures for improvements must be approved in advance.
- d. Maintenance and repair costs are generally allowed.
- e. Material is usually considered to be those items not meeting the criteria for equipment; this means the item is under \$5,000 or has a useful life of less than one year.
- f. Rental costs are usually allowed if approved in advance.

G. State of Alabama and UAHuntsville Policy

See Appendix B.

II. ACQUISITION OF PROPERTY

A. Grants

Requisitions prepared by the PI and accompanied by Form RA 97-01 will be submitted through the Office of Sponsored Programs for purchase of equipment or property under a grant. NASA requires approval by the Grant Officer for any purchase over \$5,000, but the purchase is considered approved if it is specifically identified in the grant proposal. Other agencies may not have a dollar threshold and may require approval by the Grant Officer regardless of cost for any purchase even if it is specifically identified in the grant proposal. Approval is not required for items considered “Exempt Property” as described in OMB Circular A-110 section 74.2, Definitions. All letters requesting approval will be issued by the Office of Sponsored Programs. Title vests in the University in most cases, but terms and conditions of each grant will state any exceptions.

The National Science Foundation (NSF), the National Institute of Health (NIH), NASA, and ONR have instituted a “Prior Approval System” which requires a University committee to be established to make certain prior approvals. These committees are, respectively, the OPAS, IPAS, NASPAS, and NAVPAS committees, and they are charged with approving/disapproving equipment requests on grants with the respective agencies. The committees at UAHuntsville consist of the Associate Vice President for Research, the Director, Office of Sponsored Programs, and the Assistant Director, Office of Sponsored Programs. Any PI requesting a budget change for equipment shall send a memorandum to the committee requesting the budget change. The committee will make its decision

and notify the PI. The memorandum should state the budget change desired, the line item from which the funds will be moved, justification for the budget change, the grant number, account number, and agency.

The GPA will complete all documentation associated with property acquired under a grant and forward it to the PA designated in the grant. Upon completion of the grant, a final property report will be submitted to the PA showing the final inventory of Government-Furnished Equipment.

B. Contracts

Property under Government contracts can be “Contractor-Acquired”, “Contractor-Fabricated” or “Government-Furnished” (See Appendix A for Definitions.)

1. Contractor Acquired Property

Most property used on UAHuntsville contracts is considered “Contractor Acquired” as it is purchased from contract funds with approval of the Contracting Officer.

a. Approval and Screening

Requisitions, prepared by the PI and accompanied by Form RA 97-01 for purchase of equipment or property, will be submitted through the Office of Sponsored Programs.

All equipment requisitions will be reviewed and screened for compliance with the contract and current regulations. The Research Administrator’s or designee’s signature is required before the purchase is transacted.

1) Approval

Approval by the Contracting Officer is required for **any** equipment purchase. Purchase requests are considered approved when one of the following conditions are met.

- a) NASA — Receipt of a signed DD Form 1419 for items \$1,000 and over.
- b) DOD — Receipt of a signed DD Form 185 1 for items \$25,000 and over.
- c) The item is considered “Exempt Property” as described in OMB Circular A-110, section 74.2, Definitions.

All letters requesting approval will be issued by the Office of Sponsored Programs.

2) Screening

a) UAHuntsville Screening

i) Screening through UAHuntsville inventory is required. Screening means to check existing equipment to see if the desired item is available and idle. The following screening thresholds have been established

- (a) Under \$10,000 — no screening of UAHuntsville inventory required
- (b) \$10,000 to \$24,999 — screen departmental inventory
- (c) \$25,000 to \$50,000 — screen college or center inventory
- (d) Over \$50,000 — screen University inventory

ii) Inventory Control provides computer access to the entire UAHuntsville inventory, so that screening may be accomplished by the following sorts:

- | | |
|---------------------|--------------------|
| (a) Location | (e) Account Number |
| (b) Asset Number | (f) Tag Number |
| (c) Custodian | (g) Description |
| (d) Contract Number | (h) Asset Type |

iii) The Principal Investigator and Director, Office of Sponsored Programs or designee will sign Form RA 97-01 to certify that screening has been completed.

b) Federal Screening

Screening is required by DOD for all Automated Data Processing Equipment (ADPE) \$25,000 and over and Industrial Plant Equipment (IPE) over \$15,000 (Reference DOD Property Manual). It is also required by NASA on all Centrally Reportable Equipment (CRE) \$1,000 and over (Reference NASA FAR 18-45.7001 through 18-45.7101). It is suggested that the required DD Form 1419 for NASA CRE be submitted with the proposal to expedite the screening cycle. It is suggested that the required screening form DD Form 185 1for ADPE \$25,000 and over on DOD contracts be submitted with the proposal to expedite the screening cycle. A copy of DD Form 1419 and 1851 are shown in Exhibits - Forms. All forms requesting screening will be issued by the Office of Sponsored Programs.

b. Acquiring System Components

Requisitions for components of a system should be clearly delineated as to which system or piece of fabricated equipment they will be incorporated. The system must be identified as one of the following:

1) Deliverable

An end item to be delivered under the contract.

2) Residual

A residual item that will be used as a piece of special test equipment.

c. Title

FAR35.014 addresses title to equipment that is Contractor Acquired under contracts for research and development. Following is a summary of the basic guidelines to determine whether title will vest in the University.

- 1) If prior approval is obtained from the contracting officer and the item is less than \$5,000, title automatically vests in the University.
- 2) If the equipment is \$5,000 or greater, title is determined by terms of the contractor at the time of contract close-out. A letter must be written to the C/O requesting disposition.
- 3) Individual agencies may set lower limits.

FAR52.245-5 Alt. 1 states that the University is required to submit to ONR a list of all equipment vesting in the University within ten (10) days following the end of the calendar quarter in which it was acquired.

2. Contractor Fabricated property

Contractor Fabricated property will be treated in the same manner as Contractor Acquired Property.

3. Government Furnished Property (GFP)

GFP is material or equipment loaned to the University for use on Federal contracts. The title to this property is retained by the government. GFP is also Contractor acquired property where title vests in the government. The property will be identified in the Schedule and the University shall be responsible and accountable for it. FAR 45.5 describes the requirements for accountability which constitutes the basis for the UAHuntsville Government Property Control System.

All GFP shall be processed through the Office of Sponsored Programs to assure compliance with government regulations. Government Property will be received and shipped through the MMCPI who will tag and log it into the property control system. A receipt from the agency must accompany the GFP.

4. Procurement of Materials

Any item under \$5,000 or with a useful life of less than one year and is expendable is considered material. These items will not be considered equipment, even if they are incorporated into a piece of equipment that is being delivered to the government. They will carry the full indirect burden. Since Federal regulations require tagging of equipment, it is inefficient and cumbersome to carry any item as government equipment that costs less than \$5,000 or that has a useful life of less than one year. The same criteria will be applied to items purchased on other research contracts. An expendable item will not be carried as equipment regardless of the cost. An exception to this rule may be applied to certain Contractor Fabricated Property which will be approved by the Associate Vice President for Research and handled by the Accounting Office under a special account code.

III. PROPERTY MANAGEMENT

A. Contractor Responsibility

FAR 45.502, Contractor Responsibility, states, "The contractor is directly responsible and accountable for all GP in accordance with the requirements of the contract. This includes GP in the possession or control of a subcontractor.

The contractor shall establish and maintain a system...to control, protect, preserve, and maintain all GP." The contractor must maintain and make available all required records and account for GP until relieved of the responsibility.

B. Receiving Procedure

GP, either Government Furnished or Contractor Acquired, will be processed through the MMCPI and the GPA. The MMCPI is located in the Central Receiving Building and the GPA is in the Office of Sponsored Programs. The procedure for receiving is as follows:

1. Contractor Acquired

a. Property received through Central Receiving:

- 1) The MMCPI or his/her representative will check the shipment against the shipping documents, enter it into the Fixed Assets module of the Banner system, and electronically sign that the correct quantity and condition are represented.
- 2) The property will be delivered to the purchaser who will sign a receiving list after he/she has examined and determined that the contents are acceptable.

- 3) Any discrepancies incident to shipment will be reported within ten (10) working days of receipt of the property in accordance with FAR 45.502-2.

These discrepancies will be listed in a memorandum to Procurement Services with a copy to the GPA. Procurement will notify the vendor. This memorandum will state condition, apparent causes, and other pertinent data.

b. Property delivered directly to the PI

- 1) The PI will check the shipment against the shipping document and sign that the correct quantity and condition are represented.
- 2) A Memorandum Receiving Report (MRR) will be prepared, signed, and sent to Accounts Payable. A copy will be sent to the MMCPI.
- 3) Any discrepancies will be reported as described above.

2. Government Furnished Property

Immediately upon receipt of GFP, the MMCPI will check the shipment against the shipping document (see sample form in Exhibits) and sign that the correct quantity and condition are correctly represented. He/She will then notify the GPA and will also furnish a written receipt to the government as specified in FAR 45.502-1. A copy of this receipt will be sent to the GPA and a copy will be retained in Central Receiving and Shipping. Any discrepancies incident to shipment will be reported in accordance with FAR 45.502-2, and only the property actually received will be recorded on the official record. The "Report of Loss, Damage, or Shrinkage" on the Bill of Lading received with any damaged shipment will be completed.

a. Equipment

All equipment or instrumentation will be checked within five days of receipt by the PI to assure operability. Any discrepancies must be reported as stated in IILB.1.a.3.

b. Material

Receipt of material will be as described above. All Government Furnished material will be considered consumed under the contract.

C. Motor Vehicles

1. Contractors shall ordinarily furnish any motor vehicles needed in performing Government contracts. Agencies may provide motor vehicles only when there is expected substantial savings and the contract will bear the entire cost. The vehicles will not be used on any other contract other than that for which the vehicles are provided without proper approval referenced in FAR 45.304.

2. Vehicles may be obtained through the Property Disposal System as “Excess” or “Surplus.” Procedures for obtaining Excess or Surplus Property are described in Section V. C of this manual.

D. Relief From Responsibility

Non-profit organizations are relieved of responsibility for GP when title is transferred to the contractor or returned to the agency. They may also seek relief when the property is consumed or lost.

E. Contractor Liability

The Contractor may be liable for GP depending on the circumstances. All cases of loss, damage, or destruction will be investigated and reported immediately to the GPA and the University police department. A report will then be sent to the PA at ONR. Subcontractors will also be required to report as described above.

F. Records and Reports

1. Contractor’s Records

The Contractor’s property control records shall constitute the Government’s official property records. In accordance with FAR45.505-1 the records will provide the following:

- a. Financial Accounts
- b. Identification and a complete, current, auditable record of all transactions
- c. Separate records for each contract showing the following basic information:
 - 1) Name, description, National Stock Number (if available)
 - 2) Quantity received (or fabricated), issued, and on hand
 - 3) Unit price (and unit of measure)
 - 4) Contract number
 - 5) Location
 - 6) Disposition
 - 7) Posting reference and date of transaction
 - 8) Condition Code (See list of condition codes in Exhibits)
- d. Ability to locate any item within a reasonable period of time

2. Tagging Systems

- a. Upon receipt, the MMCPI or a designee will enter the above information into the computerized Banner system.
- b. The property will be tagged with ONE of TWO metal tags:

- 1) GP will have a tag which reads "Property of US Government" with a six-digit number beginning with the number 3.
- 2) UAHuntsville property will have a tag which reads "Property of UAHuntsville" with a six-digit number beginning with the number 2.
- c. Property will have only the government tag as long as title remains with the government. When title transfers to UAHuntsville, the government tag will be removed and the UAHuntsville tag will be placed on the item.

3. Material

FAR 45.505-3 addresses records of material. It states that material "shall be recorded in accordance with the Contractor's property control system...." For both fixed price and cost-reimbursement contracts, receipt and issue of material will be documented by copies of UAHuntsville purchase orders, memorandums of receiving, departmental transfers, invoices, and payment checks. The material will be considered consumed under the contract.

4. Plant Equipment, FAR45.505-5

- a. Individual item records will be maintained including all information listed in III.F.1.c. plus the following:
 - 1) Federal Supply Code for the manufacturer
 - 2) Federal Supply Classification
 - 3) Original manufacturer's model or part number
 - 4) Serial number and year built
 - 5) Government identification number
 - 6) Acquisition and disposition document referencing dates
- b. The property will be tagged according to III.F.2.

5. Special Test Equipment, FAR45.5054

- a. Individual item records will be maintained and include all information listed in III.F.1.c.
- b. The property will be tagged according to III.F.2.

6. Real Property

Real property is addressed in FAR 45.505-7. All records for Government real property will be maintained in the Office of Sponsored Programs and in the GPL.

7. Completed Products

FAR 45.505-10 states that records will be maintained for all completed products produced under a contract and vesting in the Government. These records will be maintained in the Office of Sponsored Programs and in the GPI.

G. Reports of Government Property

1. An annual report of the total acquisition cost of contractor acquired GP and GFE for which UAHuntsville is accountable will be submitted to the PA. This will be listed by contract with each Agency and will include property at subcontractor facilities or at alternate locations. Reports to NASA will be submitted on Form 1018 by October 31 and to DOD on Form 1662 by October 31 (Examples of forms are shown under Exhibits).
2. Reports as above will also be submitted upon request by the Contracting Officer.

H. Identification

Identification is addressed in FAR45.506. The UAHuntsville system is stated in III.F. Markings must be removed or obliterated when the property no longer qualifies as GP.

I. Segregation

When practical GP shall be kept physically separate from contractor-owned property unless otherwise approved by the PA. In most cases physical separation at UAHuntsville is impractical.

J. Care, Maintenance, and Use

FAR 45.509 states that the “contractor shall be responsible for the proper care, maintenance and use of GP in its possession or control from the time of receipt until properly relieved of responsibility, in accordance with sound industrial practices and terms of the contract.”

1. Care

A maintenance program is delineated in the FAR which in summary requires regularly scheduled preventive maintenance and reporting of defects and need for major repair, replacement, or capital rehabilitation. UAHuntsville will keep records of maintenance actions and any deficiencies discovered as a result of regularly scheduled inspections. Inspections, calibration, and record keeping will be the responsibility of the PI or his/her designee. Copies of inspection reports will be submitted to the GPA. GP may not be altered from its original form. Desired alterations require the Contracting Officer's approval.

2. Use

The contractor's procedures will be in writing and adequate to assure the property will be used only for those purposes authorized by the contract. Required approvals will be obtained for use on other contracts.

K. Storage and Movement

1. On-Campus

Any movement from one on-campus location to another must be reported to the GPA and the MMCPI by submission of a *UAH Property Relocation/Transfer Form* (see Exhibits) from the custodian so that the change can be made in the Government Property Inventory (GPI). The GPI must reflect the current location of the property at all times. The movement of heavy equipment will be conducted under the supervision of the MMCPI.

2. Off-Campus

Movement off-campus must be approved by the contract, the PA, or the Contracting Officer. A *UAH Property Relocation/Transfer Form* (see Exhibits) will be prepared by the custodian and copies will be furnished to the GPA and the MMCPI. The GPA will request authorization from the PA. When authorization is received, the GPA will inform the custodian and the MMCPI.

3. Protection

Adequate protection during authorized movement will be exercised. Appropriate safety and handling will be in accordance with standard commercial practices, and any accidents or damage will be reported immediately to the GPA and the MMCPI.

4. Storage

When property is temporarily idle, but needed for future authorized research, the custodian will notify, by memo, the GPA and the MMCPI. If other researchers wish to use the property, the GPA will be notified so that authorization can be obtained from the PA. The custodian will insure that storage conditions are in accordance with commercial housekeeping procedures and that the property is properly protected from corrosion, contamination, and accidental damage. If the property will be idle for a long period of time with no foreseeable use, it must be reported to the PA as idle and excess.

L. Subcontractors

All subcontractors will be required to make the same assurances for control of GP as required of the University.

M. Lost or Stolen Property

Any lost or stolen property will be immediately reported to the GPA at (256) 824-6000 and to UAHuntsville Police at (256) 824-6911. If the property is not located, the GPA will immediately notify the PA.

N. Residual Property Transfer

Residual property at contract termination may be transferred to another contract if authorized by the PA. There must be a definite contractual requirement for the transfer. The request for authorization will be submitted by the GPA upon notification by the Principal Investigator. If there is no further need for the property, it will be declared idle and excess.

IV. INVENTORIES

FAR 45.508 states, "The contractor shall periodically physically inventory all GP (except materials issued from stock for manufacturing, research, design, or other services required by the contract) in its possession or control, and shall cause . subcontractors to do likewise...Personnel who perform the physical inventory shall not be the same individuals who maintain the property records unless the contractor's operation is too small to do otherwise."

Inventories at UAHuntsville will be conducted as follows:

A. Annual Inventories

An Annual Inventory of all GP will be conducted between May and September of each year. An individual chosen by each department or center will be responsible for updating that department's or center's portion of the inventory. After the GPA and MMCPI update the GPI, the GPA will submit the report to the PA by the specified due date.

1. National Aeronautics and Space Administration (NASA)

The NASA report will be submitted on NASA Form 1018 by October 31 for inventory through September 30.

2. Department of Defense (DOD)

The DOD report will be submitted on DD Form 1662 by October 31 for inventory through September 30.

B. Inventories Upon Termination or Completion of Contract

Immediately upon termination or completion of a contract, the contractor shall perform and cause each subcontractor to perform a physical inventory, adequate for disposal purposes, of all GP applicable to the contract unless the requirement is

waived. This inventory is the responsibility of the PI who will also require an inventory by his subcontractors. A complete tabulation of all residual property will be provided to the GPA and the MMCPI. The MMCPI will reconcile the tabulation and report to the GPA who submits the required reports to the PA.

C. University Inventory

A biennial inventory is conducted of all University property under guidelines effective April 2006. This inventory will include property acquired under government contracts and grants that has vested in the University. This inventory will assure that property procured under government contract or grant is marked and flagged so that it is never considered when determining the indirect rate charged to government contract/grants. Flagging will also assure that the Government is never charged for use of the property. A report will be submitted by the MMCPI to the Director of Purchasing who will in turn report to the Vice President for Finance and Administration.

D. Scope of Inventories

Physical inventories consist of sighting, tagging or marking, describing, recording, reporting, and reconciling the property records. A condition Code Chart is shown in Exhibits.

E. Reporting of Inventories

1. Annual Government Property Inventory Report

The GPA will submit a report to the PA by October 31 after completion of the GP inventory. This will include the following:

- a. A list of all GP
- b. A listing identifying all discrepancies disclosed
- c. A signed statement that the inventory was completed on a given date and that the official property records were found in agreement except for reported discrepancies

2. NASA Government Property

- a) Includes all NASA property \$5,000 and over inventoried through September 30 each year.
- b) Use NASA Form 1018. See NASA FAR 18-45.7101.
- c) Due no later than October 31.

3. DOD — Defense Federal Acquisition Regulation (DFAR) 245-505-14

- a. Covers all DOD GFE inventoried through September 30 each year.
- b. Use DD Form 1662-Report of Government (DOD) Facilities.

- c. Due no later than October 31.

V. DISPOSAL

A. Reporting

Reporting, Redistribution and Disposal of Contractor Inventory is addressed in FAR 45-6 and in the FAR Supplements. This applies only to GFP and not to property or equipment where title vests in the University. When a contract is completed, the Principal Investigator will report any GFP assigned for use on the contract to the GPA. The GPA will determine if there is any need by other Principal Investigators in the University for use on contracts with the same agency. If there is a need, the GPA will request the authority from the PA to transfer the equipment. If there is no need, the item should be reported to the PA as idle and excess and procedures in the FAR supplements should be followed. A DD Form 1342 will be prepared as described in Defense Industrial Property Equipment Centers (DIPEC) Manual Appendix 2B.

B. Returning

The MMCPI will be responsible for returning property to the government after notification from the GPA. All property will be returned through the agency's Central Receiving Organization and a signed shipping receipt will be obtained by the MMCPI who will send a copy to the GPA.

C. Obtaining Excess or Surplus Property

1. Excess property is obtained through Defense Industrial Property Equipment Centers (DIPEC) which are located throughout the United States. Permission to screen for excess property is obtained from a Contracting Officer and the Associate Vice President for Research or higher designee. During screening, excess property that is identified as usable on a contract can be requested by completing DD Form 1348. This form should be submitted to the Office of Sponsored Programs with justification as to how it will be used on a designated contract. OSP will forward the request to the PA at the Office of Naval Research for approval. When approval is received, the excess property may be transferred to the University for use on a designated project. The property will be entered in the GP Inventory.
2. Surplus Property is obtained through the Alabama State Agency for Federal Property Assistance and is not considered GP. It is processed through the Purchasing Office.

Appendix A

FORMS

DEFINITIONS

OFFICE OF SPONSORED PROGRAMS
EQUIPMENT & COMPUTER PRODUCTS PURCHASE APPROVAL FORM

Requisition No.: _____ Org No.: _____
Agency: _____ Grant/Contract No.: _____
Department: _____ Budget Unit Head: _____
Location: _____ Custodian: _____

I. ITEM INFORMATION

Description:

Manufacturer (NOT VENDOR): _____

Estimated Cost: \$ _____ Model No.: _____

Intended Use: _____

II. GENERAL (Answer “Yes” or “No”)

_____ Is the item a Computer Product other than equipment? (e.g., parts, software, PC < \$5K)

_____ Does the item meet the University’s definition of equipment? (Account code 8101,8103, 8105)

■ Cost at least \$5,000?

■ Have a useful life of one year or more?

_____ Is the item being built into a system? (Account code 8105 for equipment; Banner 7435 or 7436 for materials. Note: 7435 must have prior approval of VP for Research.)

If “yes”, give System Name: _____

■ Include this “system name” in the description block of the requisition form

■ Notify the Materials Control Supervisor in Central Receiving & Shipping when building a system.

_____ Is the item an internal enhancement or upgrade for an existing system? (Account code 8103)

_____ Is the item a deliverable to the agency or a component part of a deliverable to the agency?

_____ Is the item sole-source (only one acceptable vendor)? If “yes”, a UAHuntsville “Request for Sole Source Justification” Form must be attached to the requisition.

Justification: _____

III. APPROVAL (Answer “Yes” or “No”)

_____ Is the item listed in the proposal? If “No”, answer below:

■ Indicate proposal line item from which it will be rebudgeted: _____

■ Justification for the purchase:

IV. CERTIFICATION

By signing this document, I am certifying that:

- 1. This item has been screened through department/center and is not available for the following reason(s):
 - Not required (item cost is under \$10,000 threshold for screening of UAHuntsville inventory.)
 - Not available (item is not in inventory.)
 - In use on another contract.
 - Obsolete (state of disrepair or no longer state-of-the-art.)
 - Other: _____
- 2. Approval to purchase this item does not negate my obligation under this contract, nor does it authorize expenditure in excess of funds allocated on the contract.

Name (Principal Investigator)

Date

For Research Administration Use Only –

CERTIFICATION:

By signing this document, I am certifying that:

A. APPROVAL (Answer “Yes” or “No”)

Approved: All required approvals have been received from the contracting agency.

B. SCREENING (Check One)

This item has been screened through the University’s inventory and is not available for the following reasons:

- Not required (item cost is under \$10,000 threshold for screening of UAHuntsville inventory.)
- Not available (item is not in inventory.)
- In use on another contract.
- Obsolete (state of disrepair or no longer state-of-the-art.)
- Other: _____

C. Title (Check One)

- Title will vest in the State.**
- Title will vest in the Government.**
- Title will vest in _____.**

Name (Research Administration)

Date

MAILING ADDRESSES FOR NASA NEW TECHNOLOGY SUMMARY REPORT

To submit a New Technology Summary Report to NASA, send the attached form to the NASA Center that is funding the activity at the address listed below.

NASA Ames Research Center
Attention: New Technology Representative
Commercial Technology Office, Mail Stop 202A-3
Moffett Field, California 94035-1000

NASA Dryden Flight Research Center
Technology Utilization Office
P.O. Box 273, Mail Stop D-2131
Edwards, CA 93523-3119

NASA John H. Glenn Research Center at Lewis Field
Technology Transfer & Partnership Office
21000 Brookpark Road, M S 4-2
Cleveland, Ohio 44135
Kathleen.A.Kerrigan@grc.nasa.gov

NASA Goddard Space Flight Center
Technology Transfer Program
Greenbelt Road - Mail Stop 504
Greenbelt, MD 20771

NASA Headquarters
Code R/Attn: Mike Battaglia
300 E. Street, S.W.
Washington, D.C. 20546

Jet Propulsion Lab
NASA Stennis Space Center
Attn: Intellectual Property Manager
Technology Development and Transfer Office
Mail Stop HA30
Stennis Space Center, Mississippi 39529-6000
NASA NTSR Revised (10/03) Page 1 of 3

Attn: JPL SBIR Program Office
4800 Oak Grove Drive,
Mail Stop 249-103
Pasadena, Ca 91109-8099
SBIR.Program.Office@jpl.nasa.gov

NASA Johnson Space Center
Technology Transfer & Commercialization
2101 NASA Road 1 - Mail Stop HA
Houston, TX 77058-3696

NASA John F. Kennedy Space Center
Attention: Technology Transfer Officer
Technology Transfer Office, Mail Stop YA-C1
Kennedy Space Center, FL 32899

NASA Langley Research Center
Patent Counsel Office
3 Langley Blvd. - Mail Stop 212
Hampton, VA 23681-2199

NASA George C. Marshall Space Flight Center
Technology Transfer Department
New Technology Representative/CD30
MSFC, Alabama 35812
Susan.L.Whitfield@msfc.nasa.gov

NASA contracts, grants, cooperative agreements, and subcontracts (Funding Agreements) for experimental, developmental or research work require each Contractor/Grantee/Subcontractor (C/G/S) to report New Technology Items to NASA. For that purpose, the following reports and corresponding schedules are provided:

Title of Report/Form	Schedule for Submission
Disclosure of Invention and New Technology (Including Software) NASA Form 1679 or Equivalent information required (http://invention.nasa.gov for access to form or On-line reporting	The C/G/S must submit a detailed disclosure of each New Technology Item (reportable item or subject invention – see definition below) made under the funding agreement within two months after innovator’s disclosure to C/G/S.
New Technology Summary Report (NTSR) (check marked “Interim”)	For multi-year efforts, the C/G/S must submit a summary listing of all New Technology Items developed during the reporting period, OR provide certification that there were none. The first Interim New Technology Summary Report is due 12 months from the effective date of the effort. Additional reports are due annually thereafter.
New Technology Summary Report (NTSR) (check marked “Final”)	The C/G/S must submit a cumulative summary listing of all New Technology Items developed during the entire performance of the Funding Agreement, OR provide certification that there were none. The Final New Technology Summary Report must be submitted within 3 months of completion of work under the funding agreement.

Submitting C/G/S Name and Address:

C/G/S New Technology Representative:

Report Submitted by:
(if not New Technology Representative)

Contact Telephone Number: () - Contact Email Address:

NASA Funding Agreement Number: Funding Agreement Completion Date: / /

Title of Funded Activity:

NASA Project Manager/*COTR or Grant Monitor:

Report Submission Date: / / *COTR=Contracting Officer’s Technical Representative

Definition of New Technology Items

Large business C/G/S must disclose all **reportable items** to NASA. Reportable item as used in NASA Funding Agreements with large businesses means any invention, discovery, improvement, or innovation, **whether or not patentable**, conceived or first actually reduced to practice in the performance of work under a NASA Funding Agreements. Reportable items include, but are not limited to, new processes, machines, manufactures, and compositions of matter, and improvements to, or new applications of, existing processes, machines, manufactures, and compositions of matter. Reportable items also include new computer programs, and improvements to, or new applications of, existing computer programs, whether or not copyrightable.

Small business, nonprofit organization, and college and university C/G/S must disclose all **subject inventions** to NASA. Subject invention as used in NASA Funding Agreements with other than large businesses means any invention or discovery which **is or may be patentable** and is conceived or first actually reduced to practice in the performance of work under a NASA Funding Agreements. Subject inventions include any new process, machine, manufacture, or composition of matter, including software, and improvements to, or new applications of, existing processes, machines, manufactures, and compositions of matter, including software.

Note: Subject to approval by C/G/S who retain or obtain title to subject inventions or reportable items, all such technologies are evaluated for publication in NASA Tech Briefs magazine. If an item is published in NASA Tech Briefs, the innovator may be considered for a monetary award from NASA. Innovations meeting eligibility requirements may also be considered for additional Space Act Awards (<http://icb.nasa.gov>).

NASA NEW TECHNOLOGY SUMMARY REPORT

I. General Information

1. Type of Report: Interim Final Reporting Period (Begin/End Dates): / / / /
2. Business Type: Large Small College/University Nonprofit Organization
3. Have any New Technology Items resulted from work performed under this Funding Agreement during this reporting period? Yes No
 - 3a. If Yes, were they disclosed to NASA? Yes No
 Note: If they have not yet been disclosed, they can be disclosed with this Summary Report (See I.4.).
4. Are New Technology Items being disclosed with this Summary Report? Yes No
 (Use NASA Form 1679 or equivalent – see <http://invention.nasa.gov> for access to form or on-line reporting).

II. New Technology Items

Please provide the following information for all New Technology Items reportable under this Funding Agreement during the reporting period. If additional space is required, include an attachment.

<u>Title</u>	<u>Internal Report/Docket Number (if applicable)</u>	<u>Date Submitted to NASA</u>
1.		/ /
2.		/ /
3.		/ /
4.		/ /

III. Subcontractors

Please complete the following section listing all research subcontractors participating to date. Include each research subcontractor's name, address, contact person, telephone number and email address. Note: If subcontractors have New Technology Items to disclose, they should follow the same reporting process as prime participants.

IV. Certification

I certify that active and effective procedures ensuring prompt identification and timely disclosures of reportable New Technology Items have been followed. Furthermore, I certify that all New Technology Items required to be disclosed during the period identified on this form have been disclosed to NASA or are being submitted herewith.

Name and Title of Authorized Official

Signature

/ /
Date

Please submit completed NASA New Technology Summary Reports and/or Disclosures of Invention and New Technologies to the NASA Center funding the activity (see attached listing).

Note: If an individual Disclosure of Invention and New Technology is submitted using the on-line reporting tool, it is not necessary to follow up with a hard copy submission.

REQUISITION AND INVOICE/SHIPPING DOCUMENT

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington Headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302 and to the Office of Management and Budget, Paperwork Reduction Project (0704-0246), Washington, DC 20503.

Form Approved
OMB No. 0704-0246
Expires Dec 31, 1999

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO EITHER OF THESE ADDRESSES. RETURN COMPLETED FORM TO THE ADDRESS IN ITEM 2

1. FROM: (Include Zip Code)	SHEET NO. 1	NO. OF SHEETS	5. REQUISITION DATE	6. REQUISITION NUMBER
2. TO: (Include ZIP Code)	7. DATE MATERIAL REQUIRED		8. PRIORITY	
3. SHIP TO: MARK FOR	9. AUTHORITY OR PURPOSE		11a. VOUCHER NUMBER & DATE	
	10. SIGNATURE Temple B. Powell		b.	
	12. DATE SHIPPED (YYYYMMDD)		14. BILL OF LADING NUMBER	
	13. MODE OF SHIPMENT		15. AIR MOVEMENT DESIGNATOR OR PORT REFERENCE NO.	
Accepted:	Date:			
4. APPROPRIATIONS SYMBOL AND SUBHEAD	AMOUNT			

ITEM NO.	FEDERAL STOCK NUMBER, DESCRIPTION AND CODING OF MATERIEL AND/OR SERVICES (b)	UNIT OF ISSUE (c)	QUANTITY REQUESTED (d)	SUPPLY ACTION (e)	TYPE CON-TAINER (f)	CON-TAINER NOS (g)	UNIT PRICE (h)	TOTAL COST (i)
1		1						

16. TRANSPORTATION VIA MATS OR MATS CHARGEABLE TO										
18. RECAPITULATION OF SHIP-MENT	ISSUED BY	TOTAL CON-TAINERS	TYPE CON-TAINERS	DESCRIPTION	TOTAL WEIGH T	TOTAL CUBE	19. CONTAINERS RECEIVED EXCEPT AS NOTED		BY	SHEET TOTAL
							DATE	DATE		
	CHECKED BY						QUANTITIES RECEIVED EXCEPT AS NOTED	DATE	BY	GRAND TOTAL
	PACKED BY						POSTED	DATE	BY	20. RECEIVER'S VOUCHER NO.
				TOTAL						

DD FORM 1149C, JAN 1997 (EG) 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

DD FORM 1149C, JAN 1997 (EG) PREVIOUS EDITION MAY BE USED

DOD PROPERTY IN THE CUSTODY OF CONTRACTORS

(DFARS 245.505-14)

(See Instructions on back before completing this form.)

REPORT AS OF

30 SEP _____

OR

Form Approved

OMB No. 0704-0246

Expires Feb 28, 2006

The public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0704-0246), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THIS ADDRESS.

RETURN COMPLETED FORM TO THE ADDRESS IN ITEM 1.

<p>1. TO (Enter name and address of property administrator)</p>	<p>2. FROM (Enter full name, address and CAGE code of contractor)</p>
---	---

3. IF GOVERNMENT-OWNED, CONTRACTOR-OPERATED PLANT, ENTER GOVERNMENT NAME OF PLANT

4. CONTRACT NO. (PIIN)	5. CONTRACT PURPOSE	6. BUSINESS TYPE (Enter L, S, or N)	7. OFFICIAL NAME OF PARENT COMPANY
------------------------	---------------------	-------------------------------------	------------------------------------

8. PROPERTY LOCATION(S)	9. PLANT EQUIPMENT PACKAGE (PEP No. and use)
-------------------------	--

a. PROPERTY (Type or Account)	b. BALANCE START OF PERIOD		c. ADDITIONS (in dollars)	d. DELETIONS (in dollars)	e. BALANCE END OF PERIOD	
	(1) ACQUISITION COST (in dollars)	(2) QUANTITY (in units or acres)			(1) ACQUISITION COST (in dollars)	(2) QUANTITY (in units or acres)
10. LAND						
11. OTHER REAL PROPERTY						
12. OTHER PLANT EQUIPMENT						
13. INDUSTRIAL PLANT EQUIPMENT						
14. SPECIAL TEST EQUIPMENT						
15. SPECIAL TOOLING (Government Title Only)						
16. MILITARY PROPERTY (Agency-Peculiar)						
17. GOVERNMENT MATERIAL (Government-Furnished)						
18. GOVERNMENT MATERIAL (Contractor-Acquired)						

19. CONTRACTOR REPRESENTATIVE

a. TYPED NAME (Last, First, Middle Initial)	b. SIGNATURE	c. DATE SIGNED (YYYYMMDD)
---	--------------	---------------------------

20. DOD PROPERTY REPRESENTATIVE

a. TYPED NAME (Last, First, Middle Initial)	c. SIGNATURE	d. DATE SIGNED (YYYYMMDD)
b. TELEPHONE NUMBERS (Commercial and DSN)		

REPORTING INSTRUCTIONS

GENERAL. The prime contractor shall report all DoD property (as indicated) in its custody or in that of its subcontractors as of September 30 to the Government Property Representative by October 31 of each year. Also report zero end of period balances when no DoD property remains accountable to the contract. Report data from records maintained in accordance with FAR Subpart 45.5 and DFARS Subpart 245.5.

REPORT AS OF 30 SEP _____. Fill in the appropriate year (or other date).

ITEM 1 - TO. Enter the name of the Government Property Representative, the Contract Administration Office or other office the Government Property Representative works for, and the full mailing address (including City, State, and ZIP + 4).

ITEM 2 - FROM. Enter the full name and address of the reporting contractor with the Division name stated after the Corporate name. Use the name as it appears on the contract but omit articles and insert spaces between company names that are made up of letters like XYZ Inc., for example. Also enter the Commercial and Government Entity (CAGE) Code.

ITEM 3 - IF GOVERNMENT-OWNED CONTRACTOR-OPERATED PLANT, ENTER GOVERNMENT NAME OF PLANT. Enter the Government name of the plant if the plant is Government-owned and Contractor-operated. Leave blank if it is a contractor-owned plant.

ITEM 4 - CONTRACT NO. (PIIN). Enter the 13-digit contract number or Procurement Instrument Identification Number (PIIN) under which the Government property is accountable. Use format XXXXXX-XX-X-XXXX.

ITEM 5 - CONTRACT PURPOSE. Enter one of the following 1-character alphabetic codes to identify the general purposes of the contract:

- A. RDT&E
- B. Supplies and Equipment (*deliverable end items*)
- C. Facilities Contract
- D. Lease of facilities by the contractor
- E. Maintenance, Repair, Modification, or Rebuilding of Equipment
- F. Operation of Government-Owned Plant or Facilities including test sites, ranges, installations
- G. Service contract performed primarily on Military Installations, test facilities, ranges or sites
- H. Contract for storage of Government Property
- I. Others

ITEM 6 - BUSINESS TYPE. Enter a 1-character alphabetic code indicating the type of business concern:

L = Large S = Small N = Non-profit

(See FAR Part 19 for definition of Small Business and FAR 31.701 for definition of Non-profit Organizations.)

ITEM 7 - OFFICIAL NAME OF PARENT COMPANY. Enter the name of the Parent Corporation of the Reporting Contractor. The Parent Corporation is one in which common stock has been issued whether or not the stock is publicly traded and which is not a subsidiary of another corporation.

ITEM 8 - PROPERTY LOCATION(S). Enter the primary location(s) of the property if it is located at site(s) other than that of the Reporting Contractor, e.g., location of subcontract property or property at alternate sites of the prime contractor. Location is the City, State and Zip or the Military Installation or the Foreign site. Limit input to 69 characters. NOTE: Can be used as a "REMARKS" field.

ITEM 9 - PLANT EQUIPMENT PACKAGE. Enter the Number and Use of a Plant Equipment Package (PEP) if one exists on this contract. Leave blank otherwise. Example: ARMY PEP #570 - 81 mm Shells.

ITEMS 10 - 18.b.(1) - ACQUISITION COST (BALANCE AT THE BEGINNING OF THE FISCAL YEAR). Enter the acquisition cost for each type of property as defined in FAR 45.5 or DFARS 245.5. The amounts reported must agree with the amounts reported in the previous year for BALANCE AT END OF PERIOD.

ITEMS 10, 12 - 16.b.(2) - QUANTITY (BALANCE AT BEGINNING OF THE FISCAL YEAR). Enter the quantity for all categories of Government property except for Other Real Property and Material on hand at the beginning of the fiscal year. The amounts reported must agree with the amounts reported in the previous year for BALANCE AT END OF PERIOD.

ITEMS 10 - 15.c. - ADDITIONS (*in dollars*). For the property categories indicated, enter the acquisition cost for the total additions to the contract from any source during the fiscal year. Do not enter for Government Material or Military Property.

ITEMS 10 - 15.d. - DELETIONS (*in dollars*). For the property categories indicated, enter the acquisition cost for the total deletions from the contract during the fiscal year. Do not enter for Government Material or Military Property.

ITEMS 10 - 18.e.(1) - ACQUISITION COST (BALANCE AT THE END OF THE FISCAL YEAR). Enter the acquisition cost for each type of property as defined in FAR 45.5 or DFARS 245.5.

ITEMS 10, 12-16.e.(2) - QUANTITY (BALANCE AT END OF FISCAL YEAR). Enter the quantity for all categories of Government Property except for Other Real Property and Material on hand at the end of the fiscal year. These will be carried forward to reflect the balance at the beginning of the following year.

ITEMS 17 and 18 - GOVERNMENT MATERIAL. Report material as reflected on inventory records in accordance with FAR 45.505-3.

ITEM 19 - CONTRACTOR REPRESENTATIVE. Type the name of the contractor representative authorized by the property control system to sign this report.

ITEM 20 - DOD PROPERTY REPRESENTATIVE. Type the name of the DoD Property Administrator or other Authorized Property Representative, plus that individual's commercial area code and telephone number and DSN number (*if one exists*). Signature and date.

NOTE TO CONTRACTOR: When reporting more than one contract from the same location and the same contractor, you may elect to fill out Data Elements 1, 3, 6, 7, and 19 only once as long as each form can be readily identified if any form becomes separated from the others.

Grant Number: _____

Final Equipment/Property/Material Report

You may use this as a guide regarding what information you need to submit as your Final Property Report for any grant or cooperative agreement.

Note:

Check one under Federally-owned and check one under Grantee-acquired.

I. Federally-owned: Federally-owned items provided to the Grantee.

- ___ 1. There are no Federally-owned items under the above grant.
- ___ 2. There are Federally-owned items under the above grant.
Disposition request and inventory are attached to this e-mail.
- ___ 3. There were Federally-owned items under the above grant which were returned to the Government on _____(date).
Attach documentation regarding receipt by the Government.
- ___ 4. There were Federally-owned items. Accountability transferred from the above grant to Award Number: _____ by Modification, Supplement, DD Form 1149, or other document, copy of which is **attached**.

II. Grantee-acquired: Grantee bought the items with Grant funds.

- ___ 1. There are no Grantee-acquired items under the above grant.
- ___ 2. There are no Grantee-acquired items, title to which vests with Grantee, which are required to be submitted in a final inventory.
- ___ 3. There are Grantee-acquired items, title to which vests with Grantee, which are required to be submitted in a final inventory. **The final inventory is attached to this e-mail.**
- ___ 4. There are Grantee-acquired items, title to which vests with the Government, which are required to be submitted in a final inventory. **The final inventory is attached to this e-mail.**
- ___ 5. As a participant in the Federal Demonstration Partnership, title vests with the Grantee to all Grantee-acquired items and the Grantee is not required to submit a final inventory.

Signature: _____ Date: _____

DEFINITIONS

Accessory item - An item that facilitates or enhances the operation of plant equipment but is not essential for its operation.

Auxiliary item - An item without which the basic unit of plant equipment cannot operate.

Centrally Reportable Equipment (CRE) - A NASA term defined as "plant equipment, special test equipment (including components), special tooling and non-flight space property (including ground support equipment) which is 1) generally commercially available and used as a separate item or component of a system 2) is valued at \$1,000 or more, and 3) is identifiable by a manufacturer and model number."

Contractor-acquired Property - Property acquired or otherwise provided by the contractor for use on a contract.

Custodial Records - Written memoranda of any kind, such as requisitions, issued hand receipts, tool checks, and stock record books, used to control items issued from tool cribs, tool rooms, and stockrooms.

Custodian - Person responsible for specifically identified GP.

Discrepancies Incident to Shipment - All deficiencies incident to shipment of GP to or from a contractor's facility whereby differences exist between the property reported to have been shipped and property actually received. Such deficiencies include loss, damage, destruction, improper status and condition coding, errors in identity or classification, and improper consignment.

Equipment - An article of non expendable, tangible, personal property having a useful life of more than one year, and an acquisition cost of \$2000 or more per unit.

Facilities - property used for production, maintenance, research, development, or testing. It includes plant equipment and real property. It does not include material, special test equipment, special tooling, or agency-peculiar property. When used in a facilities contract, the term includes all property provided under that contract.

Facilities Contract - A contract under which Government facilities are provided to a contractor or subcontractor by the Government for use in connection with performing one or more related contracts for supplies or services. It is used occasionally to provide special tooling or special test equipment. Facilities contracts may take any of the following forms:

- (a) A facilities acquisition contract providing for the acquisition, construction, and installation of facilities.
- (b) A facilities use contract providing for the use, maintenance, accountability, and disposition of facilities.

(c) A consolidated facilities contract, which is a combination of a facilities acquisition and a facilities use contract.

General Purpose Equipment – Equipment, the use of which is not limited to research, medical, scientific or other technical activities. Examples of general purpose equipment include office equipment and furnishings, air conditioning equipment, reproduction and printing equipment, motor vehicles, and automatic data processing equipment.

Government Furnished Equipment – Property in the possession of, or directly acquired by, the Government and subsequently made available to the contractor.

Government Production and Research Property – Government-owned facilities, Government owned special test equipment, and special tooling to which the Government has title or the right to acquire title.

Government Property – All property owned by or leased to the Government or acquired by the Government under the terms of the contract. It includes both GFP and Contractor Acquired Property (if the Contractor Acquired Property vests in the Government).

Individual Item Record – A separate card, form, document or specific line(s) of computer data used to account for one item of property.

Industrial Plant Equipment (IPE) – Plant equipment in federal stock group 34 with an acquisition cost of \$15,000 or more.

Material – Property that may be incorporated into or attached to a deliverable end item or that may be consumed or expended in performing a contract. It includes assemblies, components, parts, raw and processed materials, and small tools and supplies that may be consumed in normal use in performing a contract.

Nonprofit Organization – Any corporation, foundation, trust, or institution operated for scientific, educational, or medical purposes, not organized for profit, and no part of the net earnings of which inures to the benefit of any private shareholder or individual.

Nonseverable – Property that cannot be removed after erection or installation without substantial loss of value or damage to the property or to the premises where installed.

Other Plant Equipment – Plant equipment not listed as IPE, regardless of dollar value.

Plant Equipment – Personal property of a capital nature (including equipment, machine tools, test equipment, furniture, vehicles, and accessory and auxiliary items) for use in manufacturing supplies, in performing services, or for any administrative or general plant purpose. It does not include special tooling or special test equipment.

Property – All property, both real and personal. It includes facilities, material, special [tooling, special test equipment, and agency-peculiar property.

Property Administrator – An authorized representative of the contracting officer assigned to administer the contract requirements and obligations relating to GP.

Real Property – Land and rights in land, ground improvements, utility distribution systems, and buildings and other structures. It does not include foundations and other work necessary for installing special tooling, special test equipment, or plant equipment.

Salvage – Property that, because of its worn, damaged, deteriorated, or incomplete condition or specialized nature, has no reasonable prospect of sale or use as serviceable property without major repairs, but has some value in excess of its scrap value.

Scrap – Personal property that has no value for its basic material content.

Special Purpose Equipment – Equipment which is used only for research, medical, scientific, or other technical activities.

Special Test Equipment – Either single or multipurpose integrated test units engineered, designed, fabricated, or modified to accomplish special purpose testing in performing a contract. It consists of items or assemblies of equipment including standard or general purpose equipment that are interconnected and interdependent so as to become a new functional entity for special testing purposes. It does not include material, special tooling, facilities (except foundations and similar improvements necessary for installing special test equipment), and plant equipment items used for general plant testing purposes.

Special Tooling – Jigs, dies, fixtures, molds, patterns, taps, gauges, other equipment and manufacturing aids, all components of these items, and replacement of these items, which are of such a specialized nature that without substantial modification or alteration their use is limited to the development or production of particular supplies or parts thereof or to the performance of particular services. It does not include material, special test equipment, facilities (except foundations and similar improvements necessary for installing special tooling), general or special machine tools, or similar capital items.

Stock Record – A perpetual inventory record which shows, by nomenclature, the quantities of each item received and issued and the balance on hand.

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ACRONYMS

ACO	Administrative Contracting Officer
ADPE	Automated Data Processing Equipment
CRE	Centrally Reportable Equipment
DFAR	Defense Federal Acquisition Regulation
DIPEC	Defense Industrial Property Equipment Center
DOD	Department of Defense
FAR	Federal Acquisition Regulation
GFE	Government Furnished Equipment, same as GFP
GFP	Government Furnished Property, same as GFE
GP	Government Property
GPA	Government Property Administrator
GPI	Government Property Inventory
IPE	Industrial Plant Equipment
MMCPI	Manager Material Control/Property Inventory
MRR	Memorandum Receiving Report
NASA	National Aeronautics and Space Administration
NIH	National Institute of Health
NSF	National Science Foundation
OMB	Office of Management and Budget
ONR	Office of Naval Research Representative
PA	Property Administrator

Page 4 of 5
CONDITION CODE CHART

GSA CODE	DESCRIPTION	REVISED CODE
N1	New - excellent	1
N2	New - Good	1
N3	New – Fair	2
N4	New - Poor	3
E1	Used - Reconditioned Excellent	4
E2	Used - Reconditioned still in good usable condition	4
E3	Used - Reconditioned Fair	8
E4	Used - Reconditioned –Poor	9
01	Used - Usable w/out repairs Excellent	4
02	Used - Usable w/out repairs –Good	5
03	Used - Usable w/out repairs -Fair	6
04	Used - Usable w/out repairs - Poor	6
R1	Used - Repairs required -Excellent	7
R2	Used - Repairs required-Good	8
R3	Used - Repairs required –Fair	8
R4	Used - Repairs required-Poor	9
XX	No further value for use originally	X
SS	Scrap	S

Mail Services

Policies and Procedures

MAIL SERVICES

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I. GENERAL

I.1. Objective

The primary responsibility of Mail Services is to provide for the postal needs of the University of Alabama in Huntsville (UAHuntsville) Community, including faculty, staff, and student personnel.

Mail Services is located in the Central Mail Facility (CMF), in the Central Receiving Building, on John Wright Drive and may be contacted at 256-824-6116.

I.2. Policy

Mail Services operates under the “centralized mailroom” concept, channeling resources to provide postal support in the most timely, accurate, and cost effective manner possible.

Mail Services will develop, revise, and notify users of all postal policies and procedures. Furthermore, all reasonable efforts will be made to provide users with ease of access to the services offered by Mail Services.

Departmental faculty, staff, and student body are urged to comply with the policies adopted by UAHuntsville and contained in this manual. Changes affecting the availability of or accessibility to the services specified in this manual will be posted immediately with alternate course(s) of action.

I.3. Authority

Under the direction of the Vice President for Finance and Administration, the Assistant Vice President for Finance & Business Services, and the Director of Procurement & Business Services, Mail Services complies with all federal, state, and local postal regulations and observes the policies, guidelines, and provisions established with private industry and/or commercial mailers.

II. HOURS OF OPERATION

II.1. Normal Workdays

Mail Services' hours are from **8:15 a.m. – 5:00 p.m., Monday through Friday**, except holidays. Please direct any questions or concerns to Mail Services at 256-824-6116 during normal work hours.

II.2. Holidays

Christmas holiday hours are from **9:00 a.m. – 1:00 p.m.** unless otherwise posted prior to the beginning of the holiday period. **Delivery and collection services are not provided.**

III. DELIVERY AND COLLECTION

III.1. Workday Delivery and Collection

Mail Services' couriers make delivery and collection runs every business day. Delivery and collection are limited to the main campus. Departments unable to meet scheduled delivery and collection times can bring mail to the CMF for immediate processing.

Mail Service: Mail Services' couriers conduct delivery and collection from **11:00 – 12:30 a.m.** each business day.

III.2. Holiday Delivery and Collection

Mail Services will process incoming and outgoing mail during the scheduled holiday hours (see Section II.2, "Holidays"). **Delivery and collection services, however, are not provided.**

Outgoing Mail: Departmental personnel may bring outgoing mail to the CMF for processing and dispatching. Outgoing mail will be processed "on demand" the next business day. Exceptions to this policy may be granted if coordinated in advance with Mail Services Staff.

Incoming Mail: Authorized personnel may pick up incoming mail at the CMF. All incoming mail not collected during the holiday will be delivered on the first business day following the holiday.

IV. MAIL PREPARATION REQUIREMENTS

Faculty, staff, and student personnel using Mail Services should familiarize themselves with the mail preparation requirements and guidelines in this section.

NOTE: These requirements and guidelines are designed to enhance the capabilities of Mail Services and to maintain the highest standards of quality and efficiency.

IV.1. On-Campus and Interdepartmental Mail

On-Campus mail delivery and collection services are provided to

- Expedite internal communications between faculty, staff, and student body personnel while acting in an official capacity.
- Support University goals and objectives.

These services are offered to all departments located on the main campus grounds.

ADDRESS INFORMATION

All addresses must include a valid department name and office name and may include the name of a specific person and building. Delivery and collection services, however, are not provided on a room-to-room basis. Abbreviations, such as for department or building, are acceptable.

Example of valid on-campus/interdepartmental address:	
TO: Chemistry Department Office	FROM: Bursar's Office
ATTN: Dr. U. R. Receiving	Dr. I. M. Sending
MSB	UC

PHYSICAL LIMITATIONS

Mail delivery and collection services are normally limited to standard, legal-sized, and flat-sized envelopes. (Flat-sized envelopes are generally the brown 6"x9", 9"x12", and 10"x13" envelopes, and which are sealed by a clasp, self-sealing tape, or gummed flap.) Contact Central Receiving at 256-824-6315 for delivery and collection of boxes, parcels, containers, and other non-flat articles of mail.

DELIVERY AND COLLECTION SITES

All buildings serviced by Mail Services have a designated mail drop area, which serves as the sole delivery and collection site for that building. Deposit all on-campus/interdepartmental mail, international mail, and accountable mail in the receptacles marked "CAMPUS MAIL" provided at these sites.

*NOTE: To avoid delays in processing and handling, do not deposit **off-campus** mail in receptacles marked "CAMPUS MAIL."*

SORTING AND BUNDLING REQUIREMENTS

Single mailings with 50 or more articles of on-campus/inter-departmental mail originating from the same department or office must be sorted by building destination and bundled with rubber bands.

ORGANIZATION CODES

On-campus/interdepartmental mail does not require postage; therefore, organization codes are not necessary.

IV.2. Off-Campus Mail, Domestic

Off-Campus domestic mail includes all classes of ordinary outgoing mail destined for addresses within the continental United States, Alaska, and Hawaii.

DESTINATION ADDRESS

Per U. S. Postal Service (USPS) requirements, all articles of mail must bear a valid and legible address. As a minimum, the destination address should contain the following:

- Name of addressee or business
- Street, rural route, or Post Office box
- City
- State
- ZIP code

RETURN ADDRESS

The return address should include the same information as above. The return address should be located in the upper left-hand corner of the envelope face. Ensure that the bottom line of the return address does not extend below the top line of the destination address.

NOTE: The U. S. Postal Service uses an Optical Character Reader (OCR) to sort mail, and improper addressing may cause mail to be misrouted. Prior to printing new or additional stationery, departments should consult the Mail Services Staff to ensure compliance with postal regulations.

PHYSICAL LIMITATIONS

The U. S. Postal Service will accept for delivery any article that meets the size specifications in Table MS-1:

Table MS-1, Delivery Specifications

Dimension	Measurement
Weight	69-pounds or less
Length + Girth	108-inches or less

To find Length + Girth:

1. With a tape measure, measure the longest side or edge of the package. This measurement is the length.
2. At a right angle to the longest side, wrap the tape measure around the package and measure the perimeter or the distance around the package. This measurement is the girth.
3. Add the length measurement to the girth measurement.

Additional restrictions prohibit the mailing of guns and weapons, combustibles, biodegradable items, and certain other articles. Please consult the Mail Services Staff before mailing questionable items.

DELIVERY AND COLLECTION SITES

All buildings serviced by Mail Services have a designated mail drop area, which serves as the sole delivery and collection site for that building. Deposit all off-campus mail in receptacles marked "OFF CAMPUS MAIL" provided at these sites.

*NOTE: To avoid delays in processing and handling, do not deposit **campus** mail in receptacles marked "OFF CAMPUS MAIL."*

SORTING AND BUNDLING REQUIREMENTS

Multiple articles of off-campus mail originating from the same department or office and bearing the same organization code should be bundled together with ¼-inch wide rubber bands. Bundles should not exceed a reasonable thickness (grab-size). **Envelopes can be unsealed, but do not mingle sealed and unsealed envelopes in the same bundle. Envelopes should face in the same direction with flaps closed.**

SEALING LETTERS AND FLAT-SIZED ARTICLES

Letters: Mail Services provides an automated service to seal letter-sized envelopes of off-campus mail. Standard and legal envelopes must fit the dimensions specified in Table MS-2:

Table MS-2, Envelope Dimensions for Sealing

Dimension	Minimum (in inches)	Maximum (in inches)
Length	5	11½
Height	3½	6⅛
Thickness	.007	¼

Mail Services will seal articles of letter-sized mail if provided in the required format, as follows:

- Ensure that each article of unsealed mail has the same shape and size.
- Turn each article of mail in the same direction.
- Flaps must be closed as if sealed; **please do not nest envelopes with flaps open!**
- Bundle unsealed articles separately from sealed articles. Do not mix sealed and unsealed envelopes in the same bundle.

Flat-Sized Articles: Due to equipment and time limitations, Mail Services does **not** provide a sealing service for flat-sized articles, or envelopes larger than the dimensions in Table MS-2. Consequently, unsealed oversized envelopes (e.g., 9"x12" brown envelope) will be returned to the sender.

PACKAGING REQUIREMENTS

Departments are responsible for packaging articles of off-campus mail. Supplies of packaging materials such as envelopes, boxes, tape, and labels are available from the University Bookstore.

ORGANIZATION CODES

U. S. Postal Service regulation requires that all articles of mail must bear the appropriate amount of postage. Postage is based on class of delivery, weight, and destination. Mail Services uses a mail-processing machine to determine postage and track cumulative postage expenses per departmental organization code. Therefore, all articles of off-campus mail must bear a valid organization code.

Organization codes should be hand-written, typed, or stamped in the upper right-hand corner of the envelope face. When mailing bundles of off-campus mail from the same department and organization code, only the top article of mail must bear the organization code.

IV.3. Off-Campus Mail, International

Off-campus international mail includes all articles of outgoing mail destined for addresses outside the continental United States, Alaska, and Hawaii.

ADDRESS INFORMATION

U. S. Postal Service regulation reserves the bottom line of the destination address for identifying the name of the destination country. **The name of the destination country must be spelled out in all capital letters, without abbreviations (e.g., "CANADA" rather than "Can."; "UNITED KINGDOM" rather than "UK").**

Postage discounts are available on articles of international mail (e.g., SEAMAIL, PRINTED MATTER), depending on class of delivery and contents. Departments should contact Mail Services for information on available services, postage discounts, postage costs, and delivery schedules.

PHYSICAL LIMITATIONS

International parcels are subject to weight limitations and restrictions, depending on the destination country and class of delivery. Contact Mail Services for additional information.

SORTING AND BUNDLING REQUIREMENTS

Multiple articles of international mail originating from the same department or office and bearing the same organization code should be bundled together with ¼-inch wide rubber bands.

DELIVERY AND COLLECTION SITES

All buildings serviced by Mail Services have a designated mail drop area, which serves as the sole delivery and collection site for that building. Place all international mail in the "ON CAMPUS" receptacle.

NOTE: To avoid delays in processing and handling, do not co-mingle articles of international mail in the same bundle with domestic mail.

IV.4. First-Class Presort Mailings

U. S. Postal Service regulation permits mailing of First-Class mail at discounted rates per the following guidelines and restrictions. Contact Mail Services for size and weight restrictions.

- Mailings must consist of a minimum of 500 articles of First-Class mail, presorted and bundled according to the destination ZIP code.
- Bundles must contain either a minimum of:
 - Ten articles addressed to the same five-digit ZIP code destination
 - Fifty articles addressed to the same three-digit ZIP code prefix group (Figure MS-1)
- Each article must bear either a postage permit imprint or a postage meter imprint to indicate postage payment.
- Mailings must be assembled in mail trays (available from Mail Services).

NOTE: Due to the low volume of 1st class presort mail, UAHuntsville Mail Services does not maintain a permit to handle this type of mail. To expedite your first class presort mailing please contact either United Mailing (256-837-2100)

or Alabama Mailing (256-355-7404). The postage will be deducted from UAHuntsville's Standard Bulk Mail Account at the U.S. Postal Service. Mail Services must be notified of any large presort mailings to be sure funds are available.

IV.5. Standard Bulk Mail

Standard (formerly "Third-Class") Bulk Mail postage rates are substantially lower than First-Class rates, thereby offering the most economical means of sending correspondence (with certain restrictions). To qualify for Standard Bulk Mail rates, the following minimum criteria must be met:

- Mailings must consist of a minimum of 200 articles of mail.
- Articles of mail must be printed.
- Articles must be identical in content, size, and weight.
- Articles may not be personalized.
- Articles must be imprinted with the UAHuntsville "Non-profit Organization" Permit Imprint Indicia or have a paste-on bulk stamp applied.
- Mail must be presorted and bundled by ZIP code.

Mail Services has published *Standard Bulk Mail Preparation Guidelines/Procedures* (Figure MS-2). This publication helps users minimize mail preparation time and follow current U.S. Postal Service regulations. (Much of this information is also in Section V, "Standard Bulk Mail Procedures.")

Contact Mail Services for additional information or to request mailbags, rubber bands, stickers, trays, and other postal paraphernalia.

Postage Meter Imprint: All articles of Standard Bulk Mail must be stamped, preprinted, or labeled with the University's mail permit number. Refer to Section V.2., "Permit Imprint," for specific requirements.

NOTE: U.S. Postal Service regulation requires that all mail be affixed with the appropriate amount of postage.

IV.6. Special Services

Special services offered by the USPS include the following special categories of mail: Certified, Registered, Insured, and Express. Mail Services offers all special services offered by the USPS, except the sale of money orders.

To obtain a special service on articles of mail, write or type the name of the special service desired (e.g., "REGISTERED") in the upper right-hand corner of

the envelope face. Place the mail in the receptacle marked "ON CAMPUS MAIL" in the nearest mail drop area.

*NOTE: Mail Services is unable to process **personal** special services mail (i.e., Certified, Registered, Insured, Delivery Confirmation, Signature Confirmation, Air Mail). Personal shipments requiring tracking and/or insurance may be shipped through the University Book Store via UPS or through a local U. S. Postal Service branch. Mail Services will continue to provide regular stamped and metered personal domestic mail service.*

The following paragraphs contain additional instructions regarding special services.

CERTIFIED MAIL

Provided by request, this service is designed to safeguard articles of mail that are both non-negotiable as a form of currency and non-tangible in nature. Examples of articles best suited for this service are:

- Graduation diplomas
- Legal documents
- Checks
- Correspondence requiring a receipt for delivery

All articles of Certified mail must bear the appropriate amount of First-Class postage including the appropriate fee(s) for certification. Unless otherwise requested, Mail Services will prepare a USPS Form 3811, *Return Receipt Requested*, to accompany all articles of Certified mail. Receipts are used to validate the actual delivery of the article of mail and are forwarded to the appropriate department or office on return.

This service is restricted to articles of First-Class domestic mail only. Please place all accountable outgoing mail in the "ON CAMPUS" receptacle.

REGISTERED MAIL

Provided by request, this service is designed to safeguard articles of mail that are either negotiable or tangible or both. Examples of articles best suited for this service are:

- Currency
- Airline tickets
- Irreplaceable documents
- Valuable goods

All articles of Registered mail must bear the appropriate amount of First-Class postage. Unless otherwise requested, Mail Services will prepare a USPS

Form 3811, *Return Receipt Requested*, to accompany all articles of Registered mail. Receipts are used to validate the actual delivery of the article of mail and are forwarded to the appropriate department or office on return.

Registry is available on domestic and international mail. Departments should contact Mail Services for information on packaging Registered mail because some restrictions apply.

INSURED MAIL

Provided by request, this service insures articles of mail against loss or damage during shipment by the USPS. To insure an article of mail, write "INSURED MAIL" and the monetary value of the article in the upper right-hand corner of the envelope face. Deposit the article of mail in the nearest receptacle marked "ON CAMPUS MAIL."

Return Receipt Requested Forms are not provided with insured mail except by request. Insured mail is available for all classes and categories of mail except international mail.

EXPRESS MAIL

Overnight/24-hour Express Mail delivery services, both domestic and international, are available on request through the following:

- U. S. Postal Service

NOTE: Next Day Service not available to some destinations/ZIP codes. Contact Mail Services to determine availability of Next Day Service to specific ZIP codes.

- Federal Express Corporation
- United Parcel Service
- DHL Express

Express Mail offers the most expedient means of delivery to most parts of the world. Domestic delivery is guaranteed within 24 hours; the delivery guarantee on international articles is limited to leaving the continent within 24 hours.

U. S. Postal Service: To obtain Express Mail service, write or type "EXPRESS" in the upper right-hand corner of the envelope face and deposit the article of mail in the nearest receptacle marked "ON CAMPUS MAIL." Mail Services' employees will package articles, prepare mailing labels, affix applicable postage, and dispatch all articles of Overnight Express Mail (U. S. Postal Service only).

Federal Express furnishes an Express Mail collection box, located in front of the Von Braun Research Hall, for depositing outgoing articles of Federal Express Overnight Mail. The scheduled collection time is **5:30 p.m., Monday through Friday**, except holidays. Packaging and labeling materials for articles of Federal Express Overnight Mail are available at the CMF and are provided to users on request. For additional information and/or assistance in preparing Federal Express Mail (i.e., mailing labels, packaging), contact Mail Services' personnel.

NOTE: A valid departmental organization code must be provided on each Federal Express mailing sheet in the space marked, "YOUR INTERNAL BILLING REFERENCE NUMBER." A copy of the mailing sheet must be forwarded to Accounts Payable.

V. STANDARD BULK MAIL PROCEDURES

V.1. Qualifying Matter

Only printed and "like" item pieces may be mailed at the standard bulk rate. "Like" articles are those articles of mail that are exactly the same in content, weight, size, paper, etc. Articles of Standard Bulk Mail should have a broad scope intended for a general audience. They should neither be personalized nor signed individually by the sender. Articles of Standard Bulk Mail should be no larger than 12"x15" (maximum allowable size).

V.2. Permit Imprint

All articles of Standard Bulk Mail must be stamped, preprinted, or labeled with the University's #283 "Non-profit Organization" Permit Imprint Indicia. (See example below.) Contact Mail Services or refer to the *Standard Bulk Mail Preparation Guidelines/Procedures* (Figure MS-2) for additional information and for specific label requirements if using self-adhesive or paste-on labels for the imprint indicia.

Pre-Printed Permit Imprint Indicia: Mail Services recommends that departments who frequently use Standard Bulk Mail have stationery printed with the #283 Permit Imprint Indicia on the envelope face. Specific format requirements for "Non-Profit Organization" Permit Imprint Indicia are outlined in the *Standard Bulk Mail Preparation Guidelines/Procedures* (Figure MS-2).

<p>Nonprofit Org. US Postage Paid Huntsville, AL 35899 Permit No. 283</p>

NOTE: The UAHuntsville "Logo" is administered through University Relations. Please contact University Relations before designing any pre-printed materials using the UAHuntsville name or logo.

V.3. Endorsements

The use of endorsements (i.e., “Address Service Requested” and “Return Service Guaranteed”) must conform to format specifications as published by the USPS. These specifications require that endorsements must be located **¼-inch to ½-inch** below the return address. “Endorsements are no longer permitted to be located below the permit imprint indicia.” Failure to comply with this specification will result in non-acceptance for mailing.

NOTE: The U. S. Postal Service will not accept articles of mail improperly endorsed.

V.4. Bundling and Banding

All Standard Bulk Mail items larger than 5”x10” must be bundled, banded, and sacked. The sender must have a minimum of 200 pieces or 50 pounds of mail to qualify for Standard Bulk Mail. The sender must presort and bundle all Standard Bulk Mail by ZIP code before Mail Services can collect it or accept delivery. The top article of mail of each bundle must include the appropriate classification sticker, departmental organization code used to pay the postage, and a total count of pieces being mailed. Mail Services will provide bundling material and classification stickers on request.

Banding: When sending bundled mail through UAHuntsville Mail Services, use one ¼-inch rubber band per letter-sized bundle. All flat-sized bundles require a minimum of two ¼-inch rubber bands. See Section V.9., “Detailed Sorting and Bundling Instructions.”

V.5. Stickers

Each bundle of Standard Bulk Mail must have the appropriate sticker (i.e., D, 3, A, X) affixed to the lower left-hand corner of the top article of mail. These stickers are explained in Table MS-3:

Table MS-3, Standard Bulk Mail Stickers

Sticker	Description
D	Direct to five-digit ZIP code destination
3	Three-digit ZIP code prefix destination
A	Area destination
X	Mixed states destination

V.6. Sacking

All Standard Bulk Mail must be sacked or placed in trays. Sacks, or mailbags, should only be used in conjunction with flats or bulk items that are too large for standard mail trays. Sacked mail must be bundled. See *Standard Bulk Mail Preparation Guidelines/Procedures* (Figure MS-2), for more detailed instructions on sacking.

MAXIMUM WEIGHT PER SACK

The U. S. Postal Service will not deliver any article or sack of articles exceeding **70-pounds** gross weight.

MINIMUM WEIGHT OR NUMBER OF ARTICLES PER SACK

Every sack of **letter-sized envelopes** must contain a minimum of 150 pieces of mail to qualify for discount Standard Bulk Mail rates.

Every sack of **flat-sized articles** (including catalogs and magazines as well as oversized envelopes) must contain a minimum of 125 pieces or 50 pounds, whichever comes first.

SACK SIZE

The Bulk Acceptance Unit of the U. S. Postal Service advises that only Number 3 mailbags be used in the shipment of Standard Bulk Mail. This mailbag, which is approximately 2-feet long, is the most commonly used mailbag and is easily recognized due to its size.

SACK LABELS

All Standard Bulk Mail sacks should have temporary labels securely affixed to their clasps by the department. Follow the instructions below for completing the temporary labels. Plain paper may be used for these labels.

Temporary labels must contain the following information:

- Destination ZIP code(s) (Refer to USPS Publication *3-Digit ZIP Code Prefix Groups — ADC Sortation* (Figure MS-1) and Section V.9., "Sorting and Bundling Instructions," for proper sorting instructions.)
- Type of matter enclosed

The U. S. Postal Service will print official mailing labels for each sack based on information provided on the temporary labels. Mail Services will contact the U. S. Postal Service to obtain the U. S. Postal Service mailing labels. Therefore, providing correct information on every sack label is essential.

V.7. Total Piece Count

The total piece count is the total number of pieces in the mailing. The total piece count must be provided to Mail Services for each mailing submitted. You must have a minimum of 200 pieces per mailing. Write the total piece count on the top article of the bundle.

V.8. Organization Code

A valid UAHuntsville organization code must be provided to Mail Services for each mailing submitted. Write the organization code on the top article of the bundle.

V.9. Detailed Sorting and Bundling Instructions

The U.S. Postal Service does not want the mail bundled unless it is in mailbags (or trays, except for oversized items, when the minimum to fill a mailbag cannot be met). Mail Services will provide assistance with the bundling and sacking of Standard Bulk Mail.

All articles of Standard Bulk Mail must be sorted and bundled by destination ZIP code. Every bundle must be secured with ¼-inch wide rubber bands. The top article of each bundle must have a sticker, total piece count, and valid UAHuntsville organization code. See Sections V.4. through V.7.

NOTE: Bundles should be no thicker than the average person's hand-grasp, approximately four-inches or twenty-five articles of mail.

1. Five-Digit Bundles: (All articles have the same five-digit ZIP code):

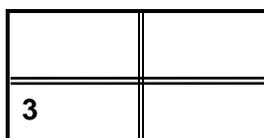
- a. If ten or more articles have the same five-digit ZIP code, separate them from the rest of the mail.
- b. Bundle these articles together and secure with rubber bands per banding instructions in Section V.4., "Bundling and Banding."
- c. Place a red "D" sticker on the top article of each five-digit bundle in the lower left-hand corner of the article (see example).
- d. Isolate the completed bundles from the remaining articles of mail and go to step 2.

Example, Five-Digit Bundles

D	

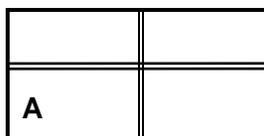
- 2. Three-Digit Bundles** (All articles have the same three-digit ZIP code prefix):
- If ten or more articles have the same three-digit prefix, separate them from the rest of the mail.
 - Bundle these articles together and secure with rubber bands per banding instructions in Section V.4., “Bundling and Banding.”
 - Place a green “3” sticker on the top article of each three-digit bundle in the lower left-hand corner of the article (see example below).
 - Isolate the completed bundles from the remaining articles of mail and go to step 3.

Example, Three-Digit Bundles



- 3. Area Bundles** (Articles addressed to the same area as defined in *3-Digit ZIP Code Prefix Groups – ADC Sortation*, Figure MS-1):
- If ten or more articles are addressed to the same area according to *3-Digit Prefix Groups – ADC Sortation* (Figure MS-1), separate them from the rest of the mail. (Area bundles are no longer grouped by state but by specific three-digit ZIP code prefixes.)
 - Bundle these articles together and secure with rubber bands per banding instructions in Section V.4., “Bundling and Banding.”
 - Place an orange “A” sticker on the top article of each area bundle in the lower left-hand corner of the article (see example below).
 - Isolate the completed bundles from the remaining articles of mail and go to step 4.

Example, Area Bundles



- 4. Mixed State Bundles** (Articles meeting none of the above criteria):
- Sort remaining articles of mail by state.
 - Bundle these articles and secure with rubber bands per banding instructions in Section V.4., “Bundling and Banding.”
 - Place a “MIXED STATES” facing slip over the top article of mail in each bundle, or place an “X” sticker in the lower left-hand corner of the top article (see example below).

Example, Mixed State Bundles

X	

VI. PERSONAL MAIL**VI.1. Collection**

Mail Services will accept and dispatch personal mail collected during scheduled delivery and collection. Individuals are responsible, however, for sealing and affixing proper postage to personal mail. Mail Services will only provide transportation of personal mail to the U.S. Postal Service branch.

Mail Services is unable to process personal Special Services mail (i.e., Certified, Registered, Insured, Delivery Confirmation, Signature Confirmation, Air Mail). Personal shipments requiring tracking and/or insurance may be shipped through the University Book Store via UPS or through a local U. S. Postal Service branch. Mail Services will continue to provide regular stamped and metered personal domestic mail service.

Mail Services cannot process outgoing personal metered international mail.

VI.2. Unlawful Use of State Funds

As a reminder to all University employees, using state funds to purchase stamps for personal mail is unlawful. Submitting articles of personal mail with a departmental organization code may result in adverse administrative action(s).

VII. INCOMING MAIL TO THE UNIVERSITY**VII.1. UAHuntsville Mailing Address**

The U. S. Postal Service (USPS) official mailing address for all incoming mail to the University is:

**The University of Alabama in Huntsville
Attn: Receiver and Department Name
301 Sparkman Drive
Huntsville, AL 35899**

The ZIP code 35899 is assigned to all buildings on the UAHuntsville campus including Technology Hall, Shelbie King Hall, and the National Space Science

and Technology Center (NSSTC). This address and ZIP code will route all U.S. Postal Service mail to Mail Services. The recipient's name and department are necessary so mail can be properly sorted for campus delivery.

Mail Services sorts all campus mail by department and delivers it to the appropriate mailbox in the mail drop area of each building. The recipient's name and department are the minimum required information on intra-campus mail. Building and room numbers are optional additional information but should not be substituted for the recipient's name and department.

VII.2. Aerophysics Research Center

The only facility associated with the University exempt from the 35899 ZIP code is the Aerophysics Research Center (ARC), located on Redstone Arsenal. The correct ZIP code for the ARC is 35898. The direct mail address is:

Aerophysics Research Center (ARC)
Attn: Receiver
P.O. Box 999
6230 Anderson Road
Redstone Arsenal, AL 35898

If UAHuntsville is included in the ARC address, mail will automatically come to Mail Services and it will be the responsibility of the ARC to pick up all mail shipments.

Mail Services

Attachments

MAIL SERVICES ATTACHMENTS

List of Figures

FIGURE MS-1	3-Digit ZIP Code Prefix Groups— ADC Sortation
FIGURE MS-2	Standard Bulk Mail Preparation Guidelines/Procedures

Figure MS-1

3-Digit ZIP Code Prefix Groups—ADC Sortation

Column A 3-Digit ZIP Code Prefix Group	Column B Label to
005, 115, 117-119	ADC LONG ISLAND NY 117
006-009	ADC SAN JUAN PR 006
010-017	ADC SPRINGFIELD MA 010
018, 019, 021, 022, 024, 055	ADC BOSTON MA 021
020, 023, 025-029	ADC PROVIDENCE RI 028
030-034, 038, 039	[FCM and PER only] ADC MANCHESTER NH 030
030-034, 038, 039	[STD and BPM only] ADC PORTSMOUTH NH 038
035-037, 050-054, 056-059	ADC WHITE RIV JCT VT 050
040-049	ADC PORTLAND ME 040
060-069	[FCM only] ADC HARTFORD CT 060
	[PER, STD, and BPM only] ADC SOUTHERN CT 064
070-079, 085-089	ADC DV DANIELS NJ 07099
080-084	ADC SOUTH JERSEY NJ 080
090-099	[FCM only] AMF JFK APO/FPO NY 00309
	[PER, STD, and BPM only] MILITARY CENTER NY 090
100-102, 104	[FCM, STD, and BPM only] ADC NEW YORK NY 100
	[PER only] ADC JAF NY 10180
103, 110-114, 116	ADC QUEENS NY 110
105-109	ADC WESTCHESTER NY 105
120-129	ADC ALBANY NY 120
130-139	ADC SYRACUSE NY 130
140-149	ADC BUFFALO NY 140
150-168, 260	ADC PITTSBURGH PA 150
169-178	ADC HARRISBURG PA 170
179, 189, 193-196	ADC SOUTHEASTERN PA 189
180-188	ADC LEHIGH VALLEY PA 180
190-192	ADC PHILADELPHIA PA 190
197-199	ADC WILMINGTON DE 197
200	WASHINGTON DC 200
202-205	ADC WASHINGTON DC 202
201, 220-223, 226, 227	ADC NORTHERN VA VA 220
206-209	[PER, STD, and BPM only] ADC SOUTHERN MD MD 207
206-209	[FCM only] ADC SUBURBAN MD 208
210-212, 214-219, 254, 267	[FCM and PER only] ADC BALTIMORE MD 212
	[STD and BPM only] ADC LINTHICUM MD 210
224, 225, 228-239, 244	ADC RICHMOND VA 230
240-243, 245	ADC ROANOKE VA 240
246-253, 255-259	ADC CHARLESTON WV 250
261-266, 268	ADC CLARKSBURG WV 263
270-279, 285	ADC GREENSBORO NC 270
280-284, 286-289, 297	ADC CHARLOTTE NC 280
290-296	ADC COLUMBIA SC 290
298, 300, 301, 305, 306, 308, 309	[FCM and PER only] ADC NORTH METRO GA 301
299, 304, 313-315, 320-324, 326, 344	[FCM and PER only] ADC JACKSONVILLE FL 320
	[STD and BPM only] ADC JACKSONVILLE FL 32088
302, 303, 311, 399	ADC ATLANTA GA 303

3-Digit ZIP Code Prefix Groups, continued

307, 370-374, 376-379, 384, 385	[FCM and PER only] ADC NASHVILLE TN 370 [STD and BPM only] ADC NASHVILLE TN 37099
310, 312, 316-319, 398	[FCM and PER only] ADC MACON GA 310 [STD and BPM only] ADC MACON GA 31293
325, 365, 366, 394, 395, 700, 701, 703-708	[FCM and PER only] ADC NEW ORLEANS LA 700 [STD and BPM only] ADC NEW ORLEANS LA 70099
327-329, 334, 347, 349	[FCM only] ADC ORLANDO FL 328 [PER only] ADC MID FLORIDA FL 327 [STD and BPM only] ADC MID FLORIDA FL 32799
330-333	[FCM and PER only] ADC MIAMI FL 331 [STD and BPM only] ADC MIAMI FL 33298
335-339, 341, 342, 346	[FCM only] ADC TAMPA FL 335 [PER only] ADC MANASOTA FL 342 [STD and BPM only] ADC MANASOTA FL 34299
340	[FCM only] ADC MIAMI FL 331 [PER, STD, and BPM only] MILITARY CENTER NY 090
350-352, 354-359, 362	[FCM and PER only] ADC BIRMINGHAM AL 350 [STD and BPM only] ADC BIRMINGHAM AL 35099
360, 361, 363, 364, 367, 368	[FCM and PER only] ADC MONTGOMERY AL 360 [STD and BPM only] ADC MONTGOMERY AL 36099
369, 390-393, 396, 397	[FCM and PER only] ADC JACKSON MS 390 [STD and BPM only] ADC JACKSON MS 39099
375, 380-383, 386-389, 723	[FCM and PER only] ADC MEMPHIS TN 380 [STD and BPM only] ADC MEMPHIS TN 38099
400-409, 411-418, 420-427, 471, 476, 477	ADC LOUISVILLE KY 400
410, 450-455, 458, 459, 470	ADC CINCINNATI OH 450
430-438, 456, 457	ADC COLUMBUS OH 430
439-449	ADC CLEVELAND OH 440
460-462, 465-469, 472-475, 478, 479	ADC INDIANAPOLIS IN 460
463, 464, 606-608	[PER, STD, and BPM only] ADC CHICAGO IL 606
463, 464, 606-608	[FCM only] ADC CHI IRVING PK IL 607
480-489, 492	ADC DETROIT MI 481
490, 491, 493-497	ADC GRAND RAPIDS MI 493
498, 499, 530-532, 534, 535, 537-539, 541-545, 549	ADC MILWAUKEE WI 530
500-509, 520-528, 612	[FCM only] ADC DES MOINES IA 500 [PER only] ADC DES MOINES IA 50092 [STD and BPM only] ADC DES MOINES IA 50091
510-516, 680, 681, 683-693	ADC OMAHA NE 680
540, 546-548, 550, 551, 556-559	[FCM only] ADC ST PAUL MN 550 [PER only] ADC ST PAUL MN 55222 [STD and BPM only] ADC ST PAUL MN 55233
553-555, 560-564, 566	[FCM only] ADC MINNEAPOLIS MN 553 [PER only] ADC MINNEAPOLIS MN 55522 [STD and BPM only] ADC MINNEAPOLIS MN 55533
565, 567, 580-588	ADC FARGO ND 580
570-577	ADC SIOUX FALLS SD 570
590-599, 821	ADC BILLINGS MT 590
600-603, 610, 611, 614-616	ADC CAROL STREAM IL 601
604, 605, 609, 613, 617-619	ADC S SUBURBAN IL 604
620, 622-631, 633-639	[FCM and PER only] ADC ST LOUIS MO 630 [STD and BPM only] ADC ST LOUIS MO 63203
640, 641, 644-658, 660-662, 664-668	[FCM only] ADC KANSAS CITY MO 640 [PER only] ADC KANSAS CITY MO 64240 [STD and BPM only] ADC KANSAS CITY MO 66340
669-679, 739	[FCM and PER only] ADC WICHITA KS 670 [STD and BPM only] ADC WICHITA KS 67099
710-714	[FCM and PER only] ADC SHREVEPORT LA 710 [STD and BPM only] ADC SHREVEPORT LA 71099

3-Digit ZIP Code Prefix Groups, continued

716-722, 724-729	[FCM and PER only] ADC LITTLE ROCK AR 720 [STD and BPM only] ADC LITTLE ROCK AR 72098
730, 731, 734-738, 748	ADC OKLAHOMA CITY OK 730
733, 779-789, 798, 799, 885	[FCM and PER only] ADC SAN ANTONIO TX 780 [STD and BPM only] ADC SAN ANTONIO TX 78099
740, 741, 743-747, 749	ADC TULSA OK 740
750-759	ADC NORTH TEXAS TX 750
760-769, 790-797	ADC FT WORTH TX 760
770-778	ADC NORTH HOUSTON TX 773
800-816	ADC DENVER CO 800
820, 822-831	ADC CHEYENNE WY 820
832-834, 836, 837, 979	ADC BOISE ID 836
835, 838, 980-985, 988-994, 998, 999	ADC SEATTLE WA 980
840-847, 898	ADC SALT LAKE CTY UT 840
850, 852, 853, 855, 859, 860, 863	ADC PHOENIX AZ 852
856, 857	ADC TUCSON AZ 856
864, 889-891, 893-895, 897, 961	ADC LAS VEGAS NV 890
865, 870-875, 877-884	ADC ALBUQUERQUE NM 870
900, 901	ADC LOS ANGELES CA 900
902-908, 910-918	ADC TWIN VALLEY CA 90197
919-921	ADC SAN DIEGO CA 920
922-928, 930-935	ADC SEQUOIA CA 90198
936-939, 942, 945-948, 950-953, 956-960	[FCM only] ADC SIERRA CA 940
936-939, 945-948, 950, 951	[PER, STD, and BPM only] ADC OAKLAND CA 945
940, 941, 943, 944, 949, 954, 955	ADC PENINSULA CA 941
942, 952, 953, 956-960	[PER, STD, and BPM only] ADC SACRAMENTO CA 956
962-966	AMF SFO APO/FPO CA 962
967, 968	ADC HONOLULU HI 967
969	[FCM only] ADC HONOLULU HI 967
	[PER, STD, and BPM only] ADC OAKLAND CA 945
970-978, 986	ADC PORTLAND OR 970
995-997	ADC ANCHORAGE AK 995

Figure MS-2

Standard Bulk Mail

Preparation Guidelines/Procedures

Mail Services
The University of Alabama in Huntsville
Huntsville, AL 35899

Revised June, 2005

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Standard Bulk Mail Sorting & Bundling, General

1. **Qualifying Matter** – Only “printed” and “like” matter (all pieces are exactly the same in content, paper weight, etc.) may be mailed at the applicable standard bulk rates. The information must not be personalized in nature (broad in scope; not directed at any one person; and cannot be individually signed by the mailer). The maximum allowable size for bulk articles is 12” x 15”.
2. **Permit Imprint** – All articles of Standard Bulk Mail must be stamped, preprinted, or labeled with the University’s #283 Permit Imprint (see example). It is recommended that departments who frequently use Standard Bulk Mail have stationary printed with the Permit Imprint on the facing. Self-adhesive or paste-on labels with the Permit Imprint may be opted for. Contact Mail Services for information on the use of “paste-on” type Standard Bulk Mail Permit Imprints.



Example Permit Imprint Indicia used to authenticate payment of postage on Standard Bulk Mail. The USPS will not accept articles of Standard Bulk Mail not properly endorsed.

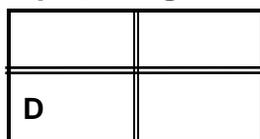
3. **Bundling, Sacking, and Banding** – All Standard Bulk Mail items larger than 5-inches in height and/or 10-inches in width must be bundled, banded, and sacked.
 - All sacked articles of Standard Bulk Mail must be sorted first by the ZIP code of destination, and then bundled according to the same. Detailed instructions on bundling procedures are provided later in these instructions.
 - **NOTE:** The thickness of individual bundles should not exceed that which could be grasped in the hand of an average person and should not exceed four (4) inches in overall thickness.
 - **Sacking** – All bundles of Standard Bulk Mail must be sacked in accordance with the detailed instructions provided in this report. Each sack must also be labeled as per the instructions provided, so as to indicate the destination of the contents. Sacking should be reserved for large envelopes. Trays should be used for standard envelopes and postcards (see #4 below).
 - **Banding** – A minimum of two (2) each ¼-inch thick rubber bands must be used to secure each bundle of Standard Bulk Mail. Cross-banding is the preferred method of securing the bundles. However, if this method causes the bundle to collapse, affix the bands in parallel fashion. If the bundle is still not rigid enough to withstand the pressure of the rubber bands without bending, roll the bundle so that the address label is on the outside.

- **Stickers** – Each bundle of Standard Bulk Mail must have the appropriate sticker (**D, 3, A, X**) affixed to the lower left corner of the top piece of mail in each bundle.
4. **Trays** – Standard Envelopes, postcards, and similarly sized items should be sorted by ZIP code and placed into mail trays. Items taller than 5-inches and/or wider than 10-inches must be sacked. Please do not use trays for large items.
 5. **Piece Count** – Mail Services must be provided a total piece count (total number of pieces in the entire individual mailing) for each mailing submitted.
 6. **Departmental Organization Code** – A valid UAHuntsville departmental organization code must be provided with each mailing submitted.
 7. **Endorsements** – The use of endorsements (i.e., Address Correction Requested, Return Postage Guaranteed) must conform to format specifications as published by the U. S. Postal Service. Said specifications state that “if used, endorsement’s MUST be located ¼” to ½” below the return address. Endorsement’s are no longer permitted to be located below the Permit Imprint indicia.” Failure to comply with this directive will result in non-acceptance for mailing.

Standard Bulk Mail Sorting & Bundling Step-by-Step Instructions

Step # 1 – Five-Digit ZIP Code Packages/Bundles (all five (5) digits of the destination ZIP code are identical, not to include ZIP+4)

Example, 5-Digit Bundles



If ten (10) or more pieces of mail have the same 5-digit ZIP code, they must be bundled together separately from pieces of mail not having the same ZIP code. Once this task has been accomplished on the entire lot, cross-band the individual 5-digit bundles, and place a red “**D**” sticker on the top piece of mail in each bundle, lower left-hand corner. Once this step has been completed, isolate the 5-digit bundles from the remaining pieces of mail and proceed to Step #2.

Step # 2 – Three-Digit ZIP Code Packages/Bundles (all pieces share the same first three (3) digits of the ZIP code)

Example, 3-Digit Bundles

3	

If ten (10) or more pieces of mail have the same three-digit prefix (first three digits of the ZIP code are the same, fourth and/or fifth digits are different), bundle the pieces of mail together separately from pieces of mail having a different three-digit prefix. Once this process has been completed on the entire lot, cross-band each three-digit bundle and place a green “3” sticker on the top piece of mail of each bundle, lower left-hand corner. Once this step is completed, isolate these pieces of bundled mail from any remaining pieces and proceed to Step # 3.

Step # 3 – Area Packages/Bundles (pieces of mail addressed to the same area as defined in USPS publication *3-Digit ZIP Code Prefix Groups — ADC Sortation*, Figure MS-1)

Example, Area Bundles

A	

If ten (10) or fewer remaining pieces of mail are addressed to the same area (see Figure MS-1), bundle them together separately from pieces of mail addressed to other areas. Once this sorting is completed, cross-band the bundles and affix a purple “A” sticker to the top piece of each bundle, lower left-hand corner. Isolate this mail from any remaining mail and proceed to Step # 4.

Step # 4 – Mixed State Packages/Bundles (none of the pieces qualify for bundling per steps 1, 2, or 3 above).

Example, Mixed State Bundles

X	

Bundle any remaining pieces of mail, grouped by state, together in four (4) inch bundles, placing an “X” facing slip over the top piece of mail in each bundle.

Standard Bulk Mail Tray and Sack Preparation, General

All Standard Bulk Mail must be sacked or placed in trays prior to acceptance by Mail Services. When individual piece size is too large for the use of trays, the mailing should be sacked. (Maximum piece size for tray use is 6 $\frac{1}{8}$ ” x 11 $\frac{1}{2}$ ”.) The U. S. Postal Service requires strict conformance to standards/guidelines governing the sacking of Standard Bulk Mail. To avoid delays in service, please ensure that the following criteria are met prior to submitting to Mail Services for processing.

1. **Maximum Weight Per Sack** – The U. S. Postal Service will not deliver any article exceeding 70 pounds in gross weight. This includes mailbags.
2. **Sack Size** – The Bulk Acceptance Unit, U. S. Postal Service, advises that only Number 3 sized mailbags be used in the shipment of Standard Bulk Mail. This is the most commonly used mailbag, and is easily recognizable by its size of approximately 2 feet in length.
3. **Minimum Pieces Per Sack** – Each mailbag must contain a minimum of 150 pieces in order to qualify for mailing at the discounted Standard Bulk Mail rates.

NOTE: The total piece count for the entire mailing must be at least 200 pieces. Trays should be used when there is insufficient volume to fill mailbags.

Standard Bulk Mail Sacking

Step-by-Step Instructions

Step # 1 – Five-Digit ZIP Code Sacks – If there are one or more bundles of mail comprising 125 or more pieces of mail addressed to the same 5-digit ZIP code destination, they must be placed in their own sack, separate from the remaining pieces of mail. Once this task is accomplished, prepare the label(s) according to the example provided below and affix to the clasp(s).

Example: 5-Digit Sack Label

City (Destination), State (Abbreviation)	5-Digit ZIP Code
STD LTRS/FLATS (As Applicable)	NON-OCR
Huntsville, Alabama	35899

Please ensure that Step # 1 is thoroughly completed before proceeding to Step # 2.

Step # 2 – Three-Digit ZIP Code Sacks – If there are one or more bundles/packages of mail comprising 125 or more pieces of mail addressed to the same 3-digit prefix ZIP code destination, they must be placed in their own sack, separate from the remaining pieces of mail. The top line information to be used on the sack label can be found on the *3-Digit ZIP Code Prefix Groups—ADC Sortation* (see Figure MS-1 or contact Mail Services for a copy). To use this chart correctly, locate the 3-digit prefix on the chart, and transcribe the information beside the number onto the sack label. Lines two and three will be the same on all sacks in the mailing. **NOTE: Do not omit “SCF” from the top line information.** (See example below.)

Example: 3-Digit Sack Label

SCF City (Destination), State (Abbreviation)	3-Digit ZIP Code Prefix
STD LTRS/FLATS (As Applicable)	NON-OCR
Huntsville, Alabama	35899

Please ensure that Step # 2 is thoroughly completed before proceeding to Step # 3.

Step # 3 – Area Sacks – If there are one or more bundles/packages of mail comprising 125 or more pieces of mail addressed to the same destination area (defined in the *3-Digit ZIP Code Prefix Groups—ADC Sortation*, Figure MS-1), they must be placed in their own sack or tray, separate from the remaining pieces of mail. Refer to the *3-Digit ZIP Code Prefix Groups—ADC Sortation*, Figure MS-1 for the areas and proper data to be transcribed onto the top and middle lines of sack labels. To use the chart, simply locate the appropriate area destination mail facility by finding the ZIP code prefix that matches your items.

Example: Area Sack Label

BMC Atlanta, GA (Code, City, and State from USPS chart)	3-Digit or 5-Digit ZIP Code from Chart
STD LTRS/FLATS (As Applicable)	NON-OCR
Huntsville, Alabama	35899

Step # 3 must be thoroughly completed before proceeding to Step # 4.

Step # 4 – Mixed States – All remaining bundles may now be placed in one or more sacks or trays, depending on the size and quantity of pieces, and labeled as follows:

Example: Mixed States Sack Label

MXD Birmingham, AL	35099
STD LTRS/FLATS (As Applicable)	NON-OCR
Huntsville, Alabama	35899

NOTE: Trays and sacks use different size labels. Please make certain to use the proper label for each. Contact Mail Services for additional information and to obtain labels.

The UAHuntsville Copy Center

Policies and Procedures

THE UAHUNTSVILLE COPY CENTER
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I. GENERAL

I.1. Objective

The primary responsibility of the UAHuntsville Copy Center is to provide the University of Alabama in Huntsville (UAHuntsville) Community with centralized state of the art printing services, which includes electronic printing, scanning and copying services.

The UAHuntsville Copy Center is located in the Business Services Building on John Wright Drive and may be contacted by phone at 256-824-6383 or by email at copycenter@uah.edu.

I.2. Policy

All printing for the UAHuntsville Community must be submitted to the UAHuntsville Copy Center. See Section III.1., "Services," for a sample listing of services provided.

I.3. Authority

The UAHuntsville Copy Center has the authority to perform all printing and copying jobs for the UAHuntsville Community. All UAHuntsville faculty, staff, and students are encouraged to use the UAHuntsville Copy Center. The UAHuntsville Copy Center is also available to the local community.

I.4. Copyright Material

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted materials.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement.

This institution reserves the right to refuse a copying order, if, in its judgment, fulfillment of the order would result in violation of copyright law.

II. HOURS OF OPERATION

The UAHuntsville Copy Center is open from **8:00 a.m.–5:00 p.m., Monday through Friday.**

III. SERVICES AND PRODUCTS

III.1. Services

The UAHuntsville Copy Center offers the following services:

- Color copies from hard copy or file
- Enlarging and reducing of copies by Xerox Machine: 200%–50%
- Estimating and quoting
- Extracting and formatting of data
- High speed copying
- High volume copying
- Binding Options
 - Saddle-Stitch
 - Comb Bind
 - Coil Bind
 - Perfect Bound Booklets
- Mail merging
 - Labeling
 - Inserting into envelopes
 - Mail sorting
 - Delivering to Mail Services
- Paper & transparency sales
- Paper sizes for printing and copying jobs range from 8½x11 to 12x18 inches; print jobs may be trimmed to smaller sizes (see section IV.2, “Completing the Form”)
- Scanning documents for archival purposes to PDF
- Scanning graphics
- Scanning text for Optical Character Recognition (OCR)
- Typesetting
- Walk-in copying

Payment: The UAHuntsville Copy Center accepts American Express, Discover, MasterCard, and Visa. We also accept cash and checks.

III.2. Finished Products

The UAHuntsville Copy Center offers the following finished products:

- Books/Booklets
- Brochures
- Bulletins
- Course Paks
- Dissertations
- Envelopes
- Flyers
- Invitations
- Letterhead
- Manuals
- Newsletters
- Postcards
- Posters
- Resumes
- Templates
- Theses
- Tickets
- Plus others

III.3. Estimates

The UAHuntsville Copy Center can provide estimates for printing and copying projects. **However, because project specifications often change before printing is completed, these estimates are not binding price quotes.**

To obtain an estimate, bring a sample idea or copy of the project to the UAHuntsville Copy Center and talk with a customer service representative. **The UAHuntsville Copy Center cannot provide accurate estimates over the telephone.**

III.4. Design

Contact Susan Altman in the UAHuntsville Office of Advancement, located in Shelbie King Hall (SKH) room 327, at 256-824-6041 for projects requiring graphic design.

IV. THE PRINTING ORDER FORM

IV.1. Printing/Copying Procedure

To submit a printing/copying project, users must complete a *Printing Order Form* (Figure CC-1), available from the UAHuntsville Copy Center. Bring the completed Form, with appropriate signatures, and the printing/copying project to the UAHuntsville Copy Center. The project may also be submitted electronically, by emailing your file to copycenter@uah.edu.

IV.2. Completing the Form

1. **Job Number** — **Do not write in this area.** This number is assigned to each job by the UAHuntsville Copy Center staff.
2. **Request** — In the appropriate spaces, TYPE or PRINT the following information:
 - Date the order was submitted
 - Date requested for completion of the order (**not ASAP or As Soon As Possible**)
 - The name of the person (“Requested By”) requesting the service or someone familiar with the project
 - The requester’s department name, telephone number, building, and room number
 - “PROOF REQUIRED” — If a proof is required, check the “Yes” box and indicate the date the proof is needed. If no proof is required, simply check “No.”
- 2a. **Please Deliver** — Indicate the preferred method of delivery. Check the appropriate box to indicate whether the printing order is to be delivered or picked up by the customer and if the customer wishes to be called when the order is ready.
3. **Accounting** — Indicate the organization code to which the work will be charged. **Please verify that the organization code is correct and that it has sufficient funds.**

Check “Yes” or “No” to indicate whether artwork, photos, or original documents are to be returned.
4. **Job Name** — Provide a name for the print job that will be easy to remember (for identification purposes only).
5. **Paper Selection** — Indicate the type (or size), weight, and color of paper to be used. Most projects are printed on 8.5 x 11-in., 20-lb., white paper. If the project has a cover, select the type, weight, and color of paper to be used for the cover. Samples are available at the UAHuntsville Copy Center.
6. **Bindery** — Indicate the desired finishing for the project by checking or circling all options that apply. Samples of the different types of binding are available at the UAHuntsville Copy Center.

- “Cut” applies when the project has multiple items on one page, such as business cards or post cards.
- “Shrink Wrap” applies if the project should be wrapped in plastic.
- “Trim to” applies when an item is smaller than 8½x11 inches (the smallest size paper used in the UAHuntsville Copy Center) and needs to be trimmed down to the appropriate size. An example would be an insert for a tri-fold brochure. Print the size needed in the blank (e.g., 3¼ x 8½ inches).
- “Fold” applies if the project requires folding. Explain the type of folding needed on the blank. For example, if the project is to be folded in half with a single or double fold.
- “Rubber Band” applies if the project should be contained in a rubber band.
- The “Head to Head” or “Head to Toe” options apply when you have padding, binding, or two-sided copying.
- “Tri-Fold” applies to projects requiring three folds, such as brochures or letters.
- A “GBC Spiral Bind” is the same as a 19-hole comb bind. The bind can be located on the top or the left side. A “Tape Bind” is on the left side only. Choose the type and location for your binding and circle the correct sample diagram.
- “Padding” applies when the project requires making the document into a notepad or tablet of paper. Choose the type of orientation preferred (Portrait or Landscape), choose the location for the glue (top or side), and circle the correct sample diagram.
- “Staple” applies if the project requires stapling. Circle the correct sample diagram to indicate the location of the staple(s). Saddle Stitch refers to staples down the center, as in a booklet.
- “Perforate” applies if the project requires perforation. Choose the location for the perforation (top, center, or left). Examples are tickets or bills in which a portion is torn off.
- “Drilling” applies if the project is to be printed on paper with holes along one edge. Choose the number and location for the holes and circle the correct sample diagram.
- “Other” applies for options or special instructions not provided for or covered in this area. Use the “Special Instructions” area to explain.

7. **Special Instructions** — Use this area to provide special instructions or important information (not covered elsewhere on the Form) to help the UAHuntsville Copy Center complete the project.

8. **Quick Copy** — Indicate the quantity of items to be printed.
 - The “Number of Originals” refers to the number of pages contained in the original document. For example, a two-sided document printed on a single sheet of paper would contain two originals.
 - The “Number of Copies” refers to the number of complete documents (or sets) needed. For example, if a requester needs 5 complete sets of a term paper containing 25 pages, then he or she would type “5” on this blank.
 - “Total Copies” indicates the total number to be printed by the UAHuntsville Copy Center. This would be the Number of Originals multiplied by the Number of Copies. For instance, if 5 sets of a 25-page document are needed, as in the previous example, the requester would type “125” on this blank.
 - Check the appropriate box to indicate whether copies should be printed on only one side of the paper or on both sides (front and back).

9. **Authorization** — The small print in this area informs the user of the United States Copyright Law and his or her responsibility to make sure no copyright laws have been violated.

“Dept. Head Approval” — Obtain the signature of the Budget Unit Head or other person(s) fiscally responsible for the account being charged. The UAHuntsville Copy Center **requires** this signature on the Printing Order Form before any print job can be accepted. No work can be completed without this authorization (see note in the “Accounting” section of the Form.)

V. PROOFING AND APPROVING DOCUMENTS

The UAHuntsville Copy Center permits and encourages customers to review proofs of their documents before final printing. Use the Printing Order Form to request a review of proofs.

VI. STATUS AND NOTIFICATION

VI.1. Status

If a customer calls the UAHuntsville Copy Center (256-824-6383) for the status of a project, he or she must provide the following information:

- Department name under which the project was submitted
- Job Number from the Printing Order Form
- Responsible individual's (requester's) name
- Account number under which the project was submitted
- Brief description
- The caller's name (if different from the responsible individual), and
- Telephone number of the caller

VI.2. Notification of Completion

A customer can request that the UAHuntsville Copy Center call when the project is completed. To request this service, check the box "Call When Ready" on the Printing Order Form (be sure to include a valid telephone number or campus extension).

The UAHuntsville Copy Center

Attachments

THE UAHUNTSVILLE COPY CENTER ATTACHMENTS
List of Figures

FIGURE CC-1 Printing Order Form



PRINTING ORDER

UAHuntsville

Copy Center
Phone: (256) 824-6383
Fax: (256) 824-6842
Email: printsvc@uah.edu

1 JOB NUMBER

004658

This form is to be used when ordering any of the products or services offered by the Copy Center. After completing this form, attach a sample of the work to be manufactured, please include the white and canary sheets.

FOLLOWING AREA FOR COPY CENTER USE ONLY

Date / Time Received: _____
Reference# _____

RUSH (20% Charge)

OVERTIME APPROVAL
 YES Cust. Initial _____
 NO

PRICING INFORMATION: Job Assigned To:

Black & White
 Color

PRINTING CHARGES:
Account Code: 7517

2	Request	Date: _____ / _____ / _____		Requested By (PLEASE PRINT) _____	Building / Room Number _____
		Date Requested (ASAP not acceptable) _____ / _____ / _____		Department (PLEASE PRINT) _____	<input type="checkbox"/> Please Deliver 2a
		Telephone _____		<input type="checkbox"/> Will Pick Up	<input type="checkbox"/> Call When Ready
		PROOF REQUIRED <input type="checkbox"/> Yes <input type="checkbox"/> No		Date Proof Needed _____	
3	Accounting	Authorization Signature area located on bottom of this page. No work can be completed with out authorization.			
		ACCOUNT NUMBER (Complete Account Number and Authorization Signature Required)			
		Return Artwork, Photos or Original Copy: <input type="checkbox"/> YES <input type="checkbox"/> NO			
4	Job Name	Job Name _____			
5	Paper Selection	Paper Size _____	Paper Weight _____	Paper Color _____	
		Cover Size _____	Cover Weight _____	Cover Color _____	
6	Bindery	(Check All That Apply) <input type="checkbox"/> Cut <input type="checkbox"/> Trim to bleed Folding Options <input type="checkbox"/> Shrink Wrap <input type="checkbox"/> Rubber Band <input type="checkbox"/> Tri-Fold <input type="checkbox"/> Other: Please specify in special instructions area. <input type="checkbox"/> Half Fold 			
		Padding Staple Dual Stitch Perforate (Not done in house) Drilling 			
7	Special Instructions	_____ _____ _____			
8	Quick Copy	Number of Originals _____	Number of Copies _____	Total Copies _____	
		<input type="checkbox"/> Copy One Sided <input type="checkbox"/> Copy Two Sided Note: SHARP CLEAN ORIGINALS REQUIRED PLEASE REMOVE ALL STAPLES FROM ORIGINALS			
9	Authorization	The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted materials. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photography or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement. This institution reserves the right to refuse a copying order, if, in its judgment, fulfillment of the order would involve violation of copyright law.			
		Dept. Head Approval _____		Date _____	

Sub-Total \$ _____
TAX _____
Total Cost \$ _____

White - UAH Yellow- Billing
Pink - Customer

Copying Services (On Campus Copiers)

Policies and Procedures

COPYING SERVICES (ON CAMPUS COPIERS)

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I. GENERAL

I.1. Objective

The primary responsibility of the UAHuntsville Copy Center is to provide the University of Alabama in Huntsville (UAHuntsville) Community with state-of-the-art copy machines and the following services:

- Centralized copy machine services
- Streamlined copy machine maintenance and repair
- Enhanced purchasing strength
- Managed inventory levels
- Controlled and uniform pricing for copy machine supplies

The UAHuntsville Copy Center has copy machines in every building on campus.

The UAHuntsville Copy Center is located in the Business Services Building (BSB 112) on John Wright Drive and may be contacted by phone at 256-824-6383 or by email at copycenter@uah.edu.

I.2. Policy

The policy of the UAHuntsville Copy Center is to provide copying equipment to the UAHuntsville Community. All requests must be submitted to the UAHuntsville Copy Center (BSB 112). Departments requesting this service must assign one individual in the department per copy machine to serve as “key operator” for that machine.

I.3. Authority

The UAHuntsville Copy Center has the sole authority to place, monitor, and maintain all copying equipment on the UAHuntsville campus. All faculty, staff, and students can use the copy machines through an individual account or by purchasing a Charger Card.

II. SERVICES

II.1. Copy Machine Services

- Maintenance
- Repairs
- Supplies (e.g., ink cartridges, paper) stocked and delivered
- Training for key operators and departmental staff

II.2. Charger Card Reader Services

- Maintenance
- Repairs

III. KEY OPERATORS

III.1. Training

Each copy machine provided by the UAHuntsville Copy Center is assigned one individual to be the key operator for that machine. Key operators are trained by the Copy Center and Xerox Services Account Associates to:

- Operate the copy machine
- Clear paper jams
- Load paper into the copy machine
- Load dry ink cartridges into the copy machine

III.2. Reporting Copy Machine Malfunctions

The key operator should report all copy machine malfunctions immediately to the UAHuntsville Copy Center at 256-824-6383 or copycenter@uah.edu. A representative will discuss the machine's problem with the key operator and will make the necessary arrangements for repair. Depending on the problem and the work load, most repair services have an approximate four- to eight-hour turnaround time.

III.3. Notifying Key Operators

The key operator's name, location, and phone number are posted over his or her assigned copy machine. When a user experiences problems with a copy machine, the user shall notify the key operator. If the key operator is not trained to handle the copy machine's particular problem, he or she should notify the UAHuntsville Copy Center. The Copy Center will arrange for repairs.

III.4. Maintaining Copy Supply Inventory

The key operator is responsible for monitoring the copy machine's supply inventory at the copy machine site. The key operator must ensure the availability of adequate supplies of copier paper and dry ink cartridges. When new supplies are needed, the key operator must contact the UAHuntsville Copy Center at 256-824-6383 or copycenter@uah.edu. Supplies will be delivered to the key operator.

NOTE: Key operators should not wait until completely out of supplies before ordering new supplies through the UAHuntsville Copy Center. The UAHuntsville Copy Center makes every effort to deliver supplies promptly. Delivery time, however, can be delayed one or two days by the Site Management Personnel's workload.

*NOTE: Beware of "Toner Phoners" who claim to be calling from Xerox. They will try to sell you dry ink cartridges. As a reminder: **ORDER SUPPLIES ONLY THROUGH THE UAHUNTSVILLE COPY CENTER.***

III.5. Monitoring Paper Usage

The UAHuntsville Copy Center provides copier paper for use **only** in copy machines. The cost of the paper is covered by the monthly copy machine billing charges. To check against excess copier paper use, the Copy Center compares the number of copies made each month against the amount of paper ordered for the copy machine.

When copier paper is needed for office use other than copying, please submit an order on the Printing Order Form. The Copy Center will bill separately for this paper.

III.6. Changing Key Operators

When a key operator in a department leaves the position, the department is responsible for contacting the UAHuntsville Copy Center. The department may assign a new key operator, or the Copy Center will locate a volunteer to fill the position. Once a new key operator has been identified, the Copy Center will arrange for training on the copy machine for which he or she will be responsible.

IV. MONTHLY BILLING

A Xerox Account Associate takes meter readings each month to determine the number of copies made on each copy machine during the billing period. The corresponding organization codes are billed for the appropriate number of copies. Billing is entered at the end of each month.

V. INDIVIDUAL ACCESS CODES

V.1. Requesting an Access Code

UAHuntsville faculty and staff may request a personal access code for use on a specific copy machine. The designated copy machine will be programmed to accept the access code. All copies made on the copy machine using this access code will be billed to an individual account.

To request this service, contact the UAHuntsville Copy Center at 256-824-6383 or copycenter@uah.edu. The user must have a valid departmental account number that can be billed. The user can either request a specific 5-digit access code or the Copy Center will assign a random code. The user can submit a request to change the access code at any time.

NOTE: To maintain security, you are strongly urged to change your access code periodically.

V.2. Individual Account Billing

A Xerox Account Associate reviews the copy machine's usage each month and determines the number of copies made using the access code. These copies are then billed to the appropriate individual account. See Section IV., "Monthly Billing."

Telecommunication Services

Policies and Procedures

TELECOMMUNICATION SERVICES

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I. GENERAL

I.1. Objective

The primary responsibility of Telecommunication Services is to provide the University of Alabama in Huntsville (UAHuntsville) Community with various voice and data telecommunication services. Telecommunication Services' goals are:

- Carry out uniform procedures for efficient, expeditious completion of service orders
- Perform effective cost allocation and billing procedures
- Maintain all UAHuntsville telecommunications equipment

Telecommunication Services is located inside the Business Services Building on John Wright Drive and may be contacted at 256-824-6129.

I.2. Policy

Telecommunication Services coordinates all telecommunication service orders. Departments should contact Telecommunication Services to request service and report problems.

Departments should not contact vendors or perform their own telephone wiring. Only the vendor(s) under University contract may perform wiring for telecommunication equipment and services.

NOTE: Vendors can only complete telecommunication service orders that have been processed through Telecommunication Services and have proper signature approval.

I.3. Authority

Telecommunication Services has sole authority to contact telecommunication vendors for service orders and repairs.

I.4. Telephone Equipment

UAHuntsville currently uses the following telephone equipment:

- Non-digital (analog)
- Northern Telecom Meridian (digital)
- Meridian Mail Voice Messaging System

Departments wishing to update their telephone equipment should contact Telecommunication Services for more information.

II. WORK REQUESTS

II.1. Procedure

Service orders, or work requests, should be submitted on the *Telecommunications Department Work Request Form* (Figure TS-1), available from the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/telecommunications/forms>) under "Forms" or from Telecommunication Services personnel. Use the *Work Request Form* to make Moves, Adds, and Changes (MACs) to existing lines and equipment or to install new equipment. Also use the *Work Request Form* to add or change the following:

- Voice Mail
- Features and programming
- Long distance restrictions
- Corporate calling cards
- Pagers

After completing the *Work Request Form*, verify that sufficient funds are available in the account indicated at the top of the form, and then submit the Work Request to Telecommunication Services.

II.2. Completing the Work Request

To process Work Requests as expeditiously as possible, departments must provide the following information. If more space is needed, attach additional sheets and write or type "As per attachment" on the Work Request.

1. Contact Person — Enter the name of the individual who can answer questions about the Work Request or who can show the technician the location of the equipment to be serviced or installed.
2. Date Prepared — Enter the date when the Work Request is initiated.
3. Telephone / Extension — Enter the telephone number and extension of the contact person.
4. Department — Enter the name of the department requesting the work.

Date Required — Enter the date for work to be completed (see Section II.3., "Time Frame," to estimate the time needed to complete the request).

5. Approved by — Obtain signature authorization of the Budget Unit Head or other person(s) having authority for the account being charged.

Acct# and Acct Name — Enter the account number / organization code to which the work is to be charged. Please verify that the organization code is correct.
6. New Service ... Other — Check the box for the type of work being requested, whether new service, move, change, repair, disconnect, or other. Please enter a description on the blank.
7. Analog ... Voice Mail — Check the type of equipment to which this Work Request is referring:
 - Analog (Fax, Modem, etc.)
 - M3902
 - M3903
 - M3904
 - Other (specify type on the blank)
 - Add-on Module
 - Voice Mail
8. Phone restrictions — Check the appropriate box to change restrictions on existing service or to indicate restrictions on new service.
9. Additional Items — Use this area to add or change voice mail service, pager service, or calling cards.
 - Voice Mail – Check the appropriate box to add voice mail service, reset voice mail password, or add the auto log-on procedure.
 - Pager – For pager service, specify type of pager (alpha-numeric or digital) and the coverage area required.
 - Calling Card – Check whether you want an AT&T or ATNet (Alabama Tandem Telecommunications Network) calling card.
10. Description of work being requested — Provide a brief description of the work to be completed. Attach additional sheets as necessary.

II.3. Time Frame

The usual time frame for completing a Work Request depends on the type of service or equipment. Work Requests may take up to thirty days; trouble tickets will be processed as soon as they are received but could take up to five working days.

II.4. Trouble Reporting

Report equipment trouble to Telecommunication Services at 256-824-6129. Equipment includes phone sets, lines, modems, headsets, and phone jacks. Also report trouble with ATTNNet, long distance, or local service directly to Telecommunication Services.

III. MONTHLY STATEMENTS

III.1. Departmental Monthly Printout

Each department will receive a Departmental Monthly Printout (DMP) of telephone charges. Because of the billing system, the DMP is always one month in arrears. For example, in March, each department receives its monthly printout for February.

Please review the Departmental Monthly Printout each month; if any questions or discrepancies arise concerning the monthly review, please contact Telecommunication Services no later than 14 business days from the billing statement date. Departments can only request credits for the current fiscal year. Departments must submit phone bill credit requests in writing to Telecommunication Services.

DMPs are mailed to the department head or the budget analyst each month. Please submit any mailing address changes on a memorandum to Telecommunication Services.

III.2. Account Changes

When a department needs to change organization codes for monthly departmental telephone charges (e.g., telephone equipment, calling cards, pagers), submit a departmental memorandum to Telecommunication Services. Indicate on the memorandum the month for which the account change is to be effective.

For account changes on current DMPs, submit a Transfer Authorization Form to Accounting.

III.3. Budget Account Statement

The monthly Budget Account Statement will reflect telephone charges that appeared on the previous Departmental Monthly Printout. For example, each department receives a DMP of February telephone charges in March; the totals of the February charges, listed by organization codes, will appear on the March Budget Account Statement.

Please verify that the total telephone charges on the monthly Budget Account Statement match the total telephone charges on the previous DMP. If any changes in organization codes or discrepancies are found notify Telecommunication Services immediately.

III.4. Year-End Closings

Because the Departmental Monthly Printouts are one month in arrears, the DMPs for the fiscal year will begin in September and end in August.

IV. DIRECTORIES

IV.1. Huntsville

AT&T Huntsville Directories are distributed annually to each department by Central Receiving. Central Receiving will announce by email or publication in *Insights* when new editions are available. Requests for new directories should be made to Central Receiving on the Huntsville City / Campus Telephone Directory Form, available from Central Receiving or on the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>) under "Forms." For further information refer to the Central Receiving Policies and Procedures Manual, Section V., "Telephone Directory."

Telecommunication Services will distribute a memorandum annually to department telephone coordinators to update their Huntsville Directory listings. AT&T charges a fee for each departmental listing in bold type in the Huntsville Directory.

IV.2. Foreign (Out-of-Town)

Departments should submit a memorandum to request foreign (out-of-town) directories. Include the following information on the memorandum:

- City and state
- Number of copies
- Organization code to be charged

IV.3. UAHuntsville Faculty, Staff, & Students

UAHuntsville Faculty, Staff, and Student Directories are distributed annually to each department by University Relations. Each Faculty and Staff member will receive one directory during the annual distribution. University Relations will individually label directories and Mail Services will perform the initial distribution. Requests for new directories should be made to University Relations by phone 256-824-6414. University Relations will arrange for distribution of additional directories as needed.

V. PAGERS AND CALLING CARDS

V.1. Pagers

NEW

An employee wishing to acquire a pager should contact his or her department telephone coordinator. The department telephone coordinator should complete a *Work Request Form* (Figure TS-1) as explained in Section II., "Work Requests." Use the "Additional Items" area to request new pager service.

TERMINATION

When an employee terminates from UAHuntsville, he or she should turn in pagers to his or her department telephone coordinator prior to termination date. Department telephone coordinators should collect all pagers from terminating employees prior to departure and return them to Telecommunication Services for deactivation.

TRANSFER

Any employee possessing a pager and transferring to a different department on campus should immediately notify his or her department telephone coordinator. A transferring employee who elects to retain his or her pager must have the Budget Account Coordinator from the new department approve a *Pager Transfer Form* (Figure TS-2) and then return it to his or her current Budget Account Coordinator for processing.

LOST OR STOLEN PAGERS

An employee who has a lost or stolen pager should immediately notify his or her department telephone coordinator. The department telephone coordinator should immediately notify Telecommunication Services. Departments will be charged \$25 for lost or stolen analog pagers and \$50 for lost or stolen digital pagers.

V.2. Calling Cards

NEW

An employee wishing to acquire a calling card should contact his or her department telephone coordinator. The department telephone coordinator should complete a *Work Request Form* as explained in Section II., "Work Requests." Use the "*Additional Items*" area to request new calling cards.

TERMINATION

When an employee terminates from UAHuntsville, he or she should turn in all calling cards to his or her department telephone coordinator prior to termination date. Department telephone coordinators should collect all calling cards from terminating employees prior to departure and return them to Telecommunication Services for cancellation.

TRANSFER

Any employee possessing calling cards and transferring to a different department on campus should immediately notify his or her department telephone coordinator. A transferring employee who elects to retain his or her calling card must have the Budget Account Coordinator from the new department approve a *Calling Card Transfer Form* (Figure TS-3) before a transfer of the calling cards can occur. The approved form will be returned to the current Budget Account Coordinator for processing.

LOST OR STOLEN CALLING CARDS

An employee who has a lost or stolen calling card should immediately notify his or her department telephone coordinator. The department telephone coordinator should immediately notify Telecommunication Services.

V.3. Wireless Communication Device

POLICY

The policy provides a wireless communication supplement to eligible employees. Employees may use the service provider of their choice. However, they must agree to make the number available to the University and also pay the amount due to the service provider. This policy provides a taxable supplement for expenses incurred while conducting University business, giving the employee flexibility to choose a communication device and service provider that best meets their needs.

GUIDELINES / PROCEDURES:

Employees desiring a wireless communication device supplement must comply with the following procedures:

A. Application. If an employee's job duties require spending considerable time away from their office or work area or require them to be accessible outside of normal working hours, he/she may apply for a wireless communication device supplement with approval by the employee's supervisor and the appropriate vice president. Approval of the supplement shall remain in effect until terminated pursuant to the terms of this policy. A wireless communication supplement is not an entitlement and may be changed or withdrawn by the University at any time.

B. Amount of Supplement. The amount of the supplement is established as a maximum of \$45 per month for voice and \$95 for voice and data service. These amounts will be reviewed annually and revised as warranted.

No more frequently than every twelve months, an employee may request a wireless communication equipment supplement. Upon approval of such request and submission of an invoice showing the date of purchase and purchase price of the equipment, the employee shall receive a lump sum reimbursement of eighty percent (80%) of the cost of a new wireless communication device, not to exceed five hundred dollars (\$500).

C. Payment of Supplement. The wireless communication device supplement shall be paid to the employee on a bi-weekly basis as part of the employee's bi-weekly compensation. The supplement is a taxable fringe benefit and is subject to withholding requirements. The supplement is not an increase in base pay and will not be included in calculations of percentage increases in pay, retirement contributions, or other similar calculations.

D. Contracting for Services. Employees who receive approval for a wireless communication device supplement are responsible for selecting and contracting with a service provider in their own name for approved voice service, data service, and wireless communication equipment. The employee must retain an active service provider contract as long as he/she receives the wireless communication device supplement. Any charges by the employee's service provider in excess of the communication supplement are the personal responsibility of the employee and not the University.

E. Use of Equipment. Because the employee owns the equipment personally and the supplement is provided as taxable income, the employee may use the communication device for both business

and personal purposes. Maintenance and service of the equipment is the personal responsibility of the employee. Use of the equipment in any manner contrary to local, state, or federal law will result in termination of the wireless communication device supplement.

- F. Contract Changes.** The employee shall bear the cost of any service provider contract termination fees if the contract is terminated at the election of the employee or due to a violation of this policy by the employee. The University shall bear such costs in the event the termination of the employee's service provider contract is required due to a change in University policy or other reason unrelated to the employee's violation of this policy.
- G. University Email Service.** Computer and Network Services have developed procedures to configure your device to check email on the campus system. These procedures can be accessed at <http://www.uah.edu/admin/helpdesk>. The helpdesk email address is helpdesk@uah.edu.
- H. Ownership.** If the employee discontinues employment with the University, he/she will retain ownership of their wireless device.
- I. Infrequent Use of Personal Cell Phone.** If an employee is not eligible for a wireless communication device or supplement, or chooses not to apply for a device or a supplement, business-related calls made on personal cell phones may be reimbursed by the University under certain circumstances. If the employee uses a personal cell phone to make business-related calls, the cost of such calls may be reimbursed if the business-related calls cause the individual to exceed the number of minutes included in his or her personal calling plan. A reimbursement form showing any such excess charges attributable to business-related calls may be submitted, with appropriate documentation, to the Office of Accounting and Financial Reporting.

The *Wireless Communication Device Supplement* (Figure TS-4) is available on the Business Services website (<http://www.uah.edu/business-services/faculty-staff/telecommunications/wireless-communication-devices>) or from Telecommunication Services personnel.

VI. DIALING INFORMATION

VI.1. Local Calls

For on-campus calls simply dial the last four digits of the telephone number. For off-campus calls press 9 before dialing the telephone number. See Table TS-1 for a quick guide.

Table TS-1, Local Calls

From	To	Dial
On-campus	On-campus	Last 4 digits of the 7-digit telephone number
On-campus	Local, Off-campus*	9 + 10-digit telephone number

*The University subscribes to area calling. Calls to Decatur and Athens are made as local calls.

VI.2. Emergency

For emergency calls, dial 911.

Campus Police-6911 or 6596

VI.3. Directory Assistance

On-campus (No charge):	1001
Alabama (No Charge):	8 + 1 + 334 + 555-1212
Long distance (No Charge):	8 + 1 + area code + 555-1212

VI.4. ATTNNet

ATTNet service should be restricted for official state business only. **Use email as much as possible to keep ATTNNet costs to a minimum.** Only Alabama state offices have ATTNNet prefixes. However, "8 +" lines are available for other official business, both in-state and out-of-state. It is available for international use only with an ATTNNet calling card. Each department is responsible for restricting "8 +" calls from potential unauthorized users.

For all ATTNNet (in- and out-of-state) calls, dial 8 + 1 + area code + 7-digit telephone number.

VI.5. Long Distance

FACULTY AND STAFF

Long distance calls made by faculty and staff are charged directly to departmental telephone numbers. Faculty and staff should use the ATNet whenever possible for business calls.

STUDENTS

Students in University Housing should charge long distance calls to their personal calling cards.

Direct dial calls:	9 + 1 + area code + 7-digit telephone number
Person-to-person:	9 + 0 + area code + 7-digit telephone number
International calls:	9 + 011 + country code + city code + telephone number

VII. TELEPHONE PROCEDURES

VII.1. Transferring Incoming, Off-campus Calls

To transfer an incoming, off-campus call to another on-campus number:

1. Inform caller of transfer.
2. Depress transfer button once to place caller on hold.
3. Dial four-digit extension number.
4. Listen for call to ring through and press connect button.
5. Hang up.

VII.2. Conference Calling

Conference Calling allows a third party to be added to an existing call. It provides both consultation and add-on capabilities. For example, one party may exclude the other party on an existing call, dial a third party, and consult privately. Then the excluded party can be added-on again to form a three-way call.

Some users can set up a conference call for as many as six people (including the user). Contact Telecommunication Services to determine the maximum number of people the system allows on a conference call.

To add parties:

1. Press the Conference Key while on a call. The other party will be on hold, and you will hear a dial tone.
2. Dial the number of the person being added to the conference.

3. If calling on an M3903 or M3094, press the Swap Key to switch between the original party and the new party.
4. Press the Connect Key to complete the conference.
5. Repeat steps 2 and 4 for additional parties until all parties are added on to the conference.
6. If the person is unavailable, press the Goodbye Key. Press the Line Key (DN) to return to the original call.

VII.3 Voice Mail Instructions

Please see Table TS-2, Summary of Voice Mail Instructions, for a quick reference guide, or refer to the more detailed instructions below.

ACCESSING

Users can access their Voice Mail from any telephone at UAHuntsville by dialing 2000. To access voice mail from any off-campus phone dial 256-824-2000. Your mailbox number is the same as your extension (i.e., if your telephone number is 256-824-7551, your mailbox number is 7551). Change your password by pressing 8* and following the prompts.

MESSAGES

Most telephones on campus have a message waiting indicator light. Single line telephones have a broken dial tone signifying that you have a message. Once voice mail is accessed, the system provides brief information about the messages. To hear the messages, press 2. Press 2 again to repeat the messages. To delete a message after hearing it, press 76. To log off the system, press 83. Do not just hang up unless you are unable to use 83. In that case, simply hang up the receiver.

NOTE: To help preserve system integrity and storage capability, delete your messages immediately after listening to them. Do NOT use voice mail as a "file cabinet" for storing messages. If you do not delete a message yourself, after five days the system will delete it for you.

GREETINGS

To record internal and external greetings, access the system and press 8*. At the prompt, press 2 to record a greeting. Then press either 1 for external greeting or 2 for internal greeting. To begin recording, press 5; to end the recording press #. A suggested greeting is: "Hello, this is John Smith. I'm either away from my desk or on the phone right now. At the tone, please leave a message." If you are on the phone or away from the desk and receive a call, the call now will "hunt" to your voice mail, and the caller will receive your message. (You do not have call waiting.)

NOTE: When you delete a message and log off the voice mail system, the message cannot be restored—it's gone forever.

EXPRESS MESSAGING

Use express messaging to leave a message for someone without talking to them. This procedure can also be used to “transfer” a call directly into someone else’s voice mail. To send a message using express messaging:

1. Obtain dial tone and enter the digits 2001.
2. When the system prompts you for the mailbox, enter the mailbox number to which you want to send the message. End the number with the # key. (The “#” is similar to the return key.) Example: 7551# will send the message to extension 7551.

NOTE: The person receiving the message must have UAHuntsville voice mail.

TRANSFER

To transfer a caller straight to another user’s mailbox:

1. Press the transfer button.
2. Enter the digits 2001.
3. At the prompt, enter the mailbox number (i.e., extension) and press #.
4. Immediately press the transfer button again to move the caller to the requested mailbox.

NOTE: UAHuntsville does not use name addressing.

SKIP GREETING

When someone’s voice mail picks up and you want to skip their greeting, press the # key and leave your message.

PAUSE

When listening to a voice mail message that you have received, press the # key to pause the message. To have it begin playing again where you paused it, press 2.

VOICE SPEED

To speed up a slow voice mail message, press 23. The person will talk faster but will be understandable. For slower playback, press 21.

FORWARDING A MESSAGE

To forward a message for someone else:

1. After you have listened to the message, press 73. (The system will prompt you.)
2. Enter the mailbox number to which you want to send the message. You can send it to more than one mailbox. Be sure to end each mailbox request with #. After the last mailbox request, press # again.
3. You may record a greeting with the message. To do this, press 5 to begin recording and # to end recording.
4. Press 79 to send the message. A copy of what you just did will appear in your mailbox. You can delete it, since it only verifies that the message was sent.

REPLYING

To reply to a message, both parties must subscribe to the UAHuntsville voice mail system.

1. Press 71 to begin the reply.
2. Press 5 when you are ready to record. After the tone, record your message. Then press # to end recording.
3. Press 79 to send the reply.

CALLING THE SENDER

To use this feature, both parties must subscribe to the UAHuntsville voice mail system. If you listen to a message and need to call the sender back immediately, press 9 after listening to the message.

TAGGING A MESSAGE

You have two options, urgent and private tags. If you are calling within UAHuntsville, from mailbox to mailbox, you may request an acknowledgement that your message has been received. To tag a message (after recording it) press # and 70.

- For urgent delivery, press 1.
- For private delivery, press 4.
- For acknowledgement, press 5.

To send the message, press 79.

ASSISTANCE

For help while using voice messaging, press:

- * General help
- 7* Message command help
- 8* Mailbox command help

NOTE: If having trouble hearing the caller's voice on the speakerphone, press the mute button to disable the microphone. The microphone overrides the speaker and causes the voice to fade in and out.

Table TS-2, Summary of Voice Mail Instructions

Function/Feature	Procedure/Explanation
To Access Voice Mail	On campus: Dial 2000. Off campus: Dial 256-824-2000.
Mailbox Number	Same as your extension.
To Change Password	Press 8* and follow prompts.
Message Indicator	A broken dial tone (on single line phones).
To Play Messages	Press 2.
To Repeat Messages	Press 2 again.
To Delete a Message	Press 76.
To Log off the System	Press 83.
To Record Greetings	Press 8*. After the prompt, press 2. Press 1 for external greeting or 2 for internal greeting. Press 5 to start recording your message. Press # to end the recording.
Read Message Retention	Five days
Express Messaging	Press 2001. Enter mailbox number and #.
Transfer	Press transfer button. Press 2001. Enter mailbox number and #. Press transfer button again.
Skip Greeting	Press # when voice mail answers and leave message.
Pause	Press # to pause. Press 2 to begin playing where you paused it.
Voice Speed	Press 23 for faster playback. Press 21 for slower playback.
Forwarding a Message	Press 73. Enter mailbox number and #. Repeat for each mailbox. Press # again.
Replying	Press 71. Press 5. Wait for the tone. Record your message. Press # to end recording. Press 79.
Calling the Sender	Press 9 after listening to the message.
Tagging a Message	After recording a message, press 70. Press 1 for urgent, 4 for private, or 5 for acknowledgement. Press 79.
Help	Press * for general help. Press 7* for message command help Press 8* for mailbox command help.

VIII. GLOSSARY

Add-on Module	Extension box equipment for the M3904 telephone with programmable keys for additional numbers.
Alabama Area Calling Service (AACS)	Extends the University's local service to locations that previously were long distance (such as Decatur and Athens); dial 9 + 7-digit telephone number.
Alabama Tandem Telecommunications Network (ATTNet)	The state-owned telephone network for use by all state agencies; a call placed on ATTNet does not travel on any public switched network circuits.
Analog Equipment	A non-digital, non-expandable telephone unit that has few central office capabilities.
AT & T	Provides telecommunication services to UAHuntsville.
Auto Dial	This feature allows the user to press a feature key (Auto Dial) to automatically dial a specific telephone number.
Busy Lamp Field (BLF)	A panel of Liquid Crystal Diode (LCD) indicator lights on the telephone that indicates which telephones in the office are in use.
Call Forward	This feature allows the user to direct calls to ring at another line (DN).
Call Log	Records the name and number of incoming and outgoing calls; generates a Callers List for incoming calls and a Redial List for outgoing calls.
Call Pickup	This feature allows the user to pick up a call from any telephone in the same pickup group.
Call Waiting	This feature allows the user to put the current call on hold while answering a new incoming call.
Carrier	A company that provides telecommunication service, such as BellSouth or AT&T.
Circular Hunting	This feature rolls calls to a busy line over to the next available line.
Conference Calling	This feature enables three or more conversations at separate locations to be connected to one another at the same time.
Cross Talk	Occurs when conversation from a party other than the intended party is heard in the background of an established call.
Cut Off	The involuntary disconnection of a call in progress.

Group Listening	A feature that allows others to listen to a call through the speaker while the user speaks through the handset.
Hunting	A feature in which calls made to a busy number will automatically transfer to another number; also known as “rolling over.”
Interstate Call	A telephone call, routed long-distance, that goes out-of-state (i.e., city to city between different states).
Intrastate Call	A telephone call, routed long-distance, that stays within Alabama (i.e., city to city within Alabama).
Jack	The termination point for a voice or data line; various types of service require different types of jacks.
Line	The wire, cable, or fiber that carries a signal.
M3902	Northern Telecom Meridian Digital Telephone equipped with one line (DN) and three programmable feature keys (self-labeled).
M3903	Northern Telecom Meridian Digital Telephone equipped with two programmable line (DN)/feature keys (self-labeled) with two features or lines (DNs) configured on each key. Also has four context sensitive soft keys (self-labeled).
M3904	Northern Telecom Meridian Digital Telephone equipped with six programmable line (DN)/feature keys (self-labeled) with two features or lines (DNs) configured on each key. Also has four context sensitive soft keys (self-labeled).
MACs	Moves, Adds, and Changes
Network	An organization of stations capable of intercommunications but not necessarily on the same channel, or a combination of terminals and circuits in which transmission facilities directly interconnect the users.
Options List	Allows the user to customize certain characteristics of his or her telephone (e.g., language, screen contrast, volume adjustment).
Sequential Hunting	This feature rolls over calls to a busy line to the next available line in a pre-designated sequence.
Speed Call or Autodial	This feature allows the user to automatically dial frequently called numbers by entering a one-, two-, or three-digit code.
Voice Messaging	The Voice Messaging Control Screen allows the user to send commands while connected to the voice messaging system using the soft keys instead of the dial pad.

Telecommunication Services

Attachments

TELECOMMUNICATION SERVICES ATTACHMENTS

List of Figures

FIGURE TS-1	Work Request Form
FIGURE TS-2	Pager Transfer Form
FIGURE TS-3	Calling Card Transfer Form
FIGURE TS-4	Wireless Communication Device Supplement Request Form



Figure TS-1

TELECOMMUNICATIONS DEPARTMENT WORK REQUEST FORM

FAX: 256-824-6333 PHONE: 256-824-6129

Customer Information

1	Contact Person		Date Prepared		2
3	Telephone	() -	Extension		
4	Department		Date Required		
5	Approved By		Acct# and Acct Name		
<i>I hereby certify that funds are available for work requested.</i>					

6

- New Service
 Move
 Change
 Repair
 Disconnect
 Other _____

7

- Analog (Fax, Modem, Etc.)
 M3902 (Digital single line, with display and speakerphone)
 M3903 (Digital multi-line, with display and speakerphone)
 M3904 (Large digital multi-line, with display and speakerphone)
 Other (Specify Type): _____
 Add-on Module (M3904 only)
 Voice Mail

8

- Phone restrictions:**
 Campus Only
 Campus & Local Only
 Campus, Local & ATTNET Only
 Unrestricted

9

- Additional Items:**
 Voice Mail
 Reset Voice Mail password
 Auto log on feature

 Pager
 Alpha Numeric
 Digital
 Coverage area :
 Local
 Statewide
 Regional
 Nationwide

 Calling Card
 AT&T
 ATTNET

10

Description of work being requested *(use additional sheets and/or sketches if necessary)*

Figure TS-2



TELECOMMUNICATIONS DEPARTMENT
PAGER TRANSFER FORM

1. **CURRENT CUSTOMER INFORMATION**

User's Name	
Pager Phone Number	() -
Current Department Name	
Current Budget Account Number	
Current Budget Account Coordinator's Approval Signature	

2. **TRANSFER APPROVAL INFORMATION**

New Department Name	
New Budget Account Number	
New Budget Account Coordinator's Approval Signature	

Figure TS-3



TELECOMMUNICATIONS DEPARTMENT
CALLING CARD TRANSFER FORM

1. **CURRENT CUSTOMER INFORMATION**

User's Name	
Calling Card Number	
Current Department Name	
Current Budget Account Number	
Current Budget Account Coordinator's Approval Signature	

2. **TRANSFER APPROVAL INFORMATION**

New Department Name	
New Budget Account Number	
New Budget Account Coordinator's Approval Signature	

Figure TS-4

The University of Alabama in Huntsville Wireless Communication Device Supplement

Enrollment Cancellation

Name (type or print) _____ Date: _____
Last, First, MI

Employee ID #: A Department: _____

Email: _____ UAH ORG/Index Code to Bill: _____

Campus Address: _____ Work Phone #: _____
Building / Room Number

I request approval to enroll in The University of Alabama in Huntsville (UAH) Wireless Communication Service Supplement Plan. I have read and understand the appropriate policy on wireless communication device Supplements as well as the employee responsibilities listed below.

The University will supplement the actual cost, not to exceed \$95 per month for voice and data service, or \$45 per month for voice service only. The supplement is a taxable benefit, but not part of the base salary. Initial proof of payment for the device and services is required and must be attached to this form and submitted to the Office of Telecommunication Services.

Employee Responsibilities:

1. The employee receiving a supplement must provide to his/her department and Telecommunication Services the number to the communication device within five (5) working days of the activation of the number.
2. The employee is personally liable for contract stipulations including payment of all expenses incurred (including long distance, roaming fees, and taxes). In the event that an employee leaves the position which qualified for the supplement, he/she continues to be responsible for the contractual obligations of the communication device plan.
3. The employee receiving a supplement must notify his/her department head and the Director of Telecommunication Services within five (5) working days of the inactivation of the wireless communication service or in the event the device is lost or stolen.
4. The maximum supplement per employee per month is \$95 for voice and data or \$45 for voice only. The employee may not receive multiple supplements from multiple departments on campus.

Please mark only one selected supplement type:

Voice & Data Supplement: Monthly Cost: \$ _____ Voice Supplement: Monthly Cost: \$ _____
Cost (one-time) of Device/Hardware: \$ _____

Requestor's Signature: _____ Date: _____
(Required)

Supervisor: _____ Date: _____
(If applicable)

Department Head / Dean: _____ Date: _____
(Required)

Vice President: _____ Date: _____
(Required)

Send completed form to: Bob Blood, Director, Telecommunication Services, BSB 115A

NOTE: Forms **must** be received by Telecommunication Services no later than the 5th day of the month for the supplement to be paid for that month.

This area to be completed by Telecommunication Services

Date Received in Office: _____ Date Processed: _____ Processed by: _____

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