

Business Services Website Navigation of Forms

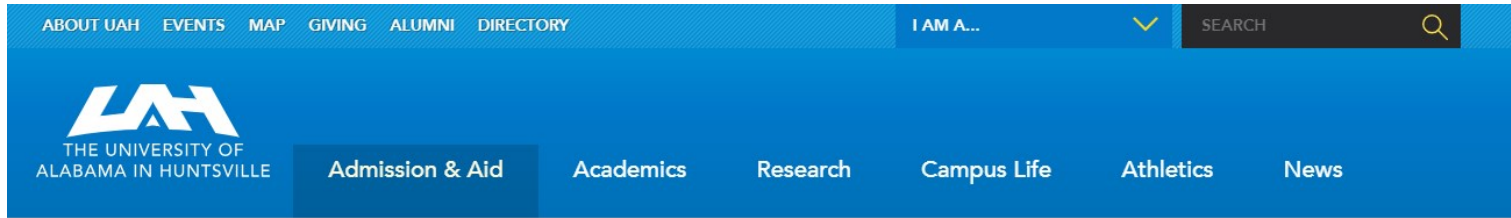


Department of Procurement and Business Services

Procurement Month 2024 Training

March 20, 2024

UAH Business Services



BUSINESS SERVICES



Welcome to Business Services

We hope you will find valuable and timely information that will assist you in understanding business processes that support UAH.

UAH Business Services Website



Contracts for Professional Services

[Contract Amendment](#)

[Contract for Professional Services](#) with Terms and Conditions

[Contract Summary Term Sheet](#)

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VENDOR DISCLOSURE STATEMENT

In compliance with the policies of The Board of Trustees of the University of Alabama, The University of Alabama System Office, this University, and with Alabama state law, this Disclosure Statement shall be completed on a per contract basis for all contracts in excess of the statutory minimum provided in Section 41-16-82, Code of Alabama 1975, including but not limited to proposals, bids, and contracts, including consulting/professional service contracts unless otherwise exempted ("Agreements"). The Board of Trustees of The University of Alabama reserves the right to refuse to enter into or to cancel, without penalty, any contract or agreement with any entity or individual who does not provide all of the information requested below, makes false or incomplete disclosures, or fails to supplement or amend such disclosures if circumstances change making the disclosures inaccurate or incomplete.

Definitions. For the purposes of this form, the following terms shall have the following meanings:

- **"Agreement."** Any single agreement, contract, memorandum of understanding, or grant document under which goods or services are to be provided by You.
- **"Entity."** The corporation, partnership, sole proprietorship, individual or business of any kind in whose name or on whose behalf the goods or services are being provided to the University.
- **"Family Member."** Your spouse, dependent, an adult child and his or her spouse, a parent, a spouse's parents, and a sibling and his or her spouse. The term "Dependent" shall include any person, regardless of his or her legal residence or domicile, who receives more than 50 percent of his or her support from the public official or employee or his or her spouse, or who resides with the public official or employee for more than 100 days during the reporting period.
- **"Public Official."** Any person elected to public office, whether or not that person has taken office, by vote of the people at state, county, or municipal level of government or their instrumentalities, including governmental corporations, and any person appointed to take a position at the state, county, or municipal level of government or their instrumentalities, including governmental corporations.
- **"Relationship."** Limited to familial or business in nature, or a personal relationship that the existence of which creates a Conflict of Interest or the appearance of a Conflict of Interest that would require disclosure under [Board Rule 106](#).
- **"UAS."** The Board of Trustees of The University of Alabama, and its constituent divisions including The University of Alabama System Office, The University of Alabama, The University of Alabama at Birmingham, and The University of Alabama in Huntsville.
- **"You."** Includes (1) the individual(s) or representative(s) of the Entity who (a) solicited the Agreement or (b) are responsible for managing the account or relationship with the University, and their partners or co-owners; and (2) any member of the foregoing individuals' immediate family (that You know to have a direct familial relationship with a UAS employee or official or family member of a UAS employee or official).

1. Name of Entity and Individual Completing this Form (may be completed by an authorized account manager/representative)

Entity Name: _____

Individual Name: _____

Title: _____

Address Line 1: _____

Address Line 2: _____

City, State, Zip: _____ Telephone: _____

Email: _____

Updated: September 2020

The State of Alabama requires that a Vendor Disclosure Statement be completed for all proposals, bids and purchases in excess of \$5,000.



Procurement Services

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[Vendor Disclosure Statement](#)

A W-9 is required for all New Vendors and is also required for any changes made to a Vendor's address. Procurement uses the information on the W-9 to set up the Vendor in the Banner system. Please make sure the W-9 form is properly signed and dated by the Vendor.



W-9 Request for Taxpayer Identification Number and Certification

Form (Rev. March 2024)
Department of the Treasury
Internal Revenue Service

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give form to the requester. Do not send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see Purpose of Form, below.

1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)

2 Business name/disregarded entity name, if different from above.

3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes.

Individual/sole proprietor C corporation S corporation Partnership Trust/estate

LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership)

Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner.

Other (see instructions)

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3).

Exempt payee code (if any) _____

Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____

(Applies to accounts maintained outside the United States.)

5b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions

5 Address (number, street, and apt. or suite no.). See instructions.

6 City, state, and ZIP code

7 List account number(s) here (optional)

Requestor's name and address (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Part II Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
- I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
- I am a U.S. citizen or other U.S. person (defined below); and
- The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here Signature of U.S. person Date

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/formw9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

Cal. No. 10231X Form W-9 (Rev. 3-2024)



UAH Business Services

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[Vendor Disclosure Statement](#) 

Other Helpful Documents

[UAH OOC Contract Intake Form](#)

Sole Source

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 \$75,000.00 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 Finance & Business Services or the Director of Procurement & Business Services may waive the competitive bid process and approve a sole source purchase. Completion of this 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 judicially 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.

[Sole Source Justification Form](#) (PDF fillable format)

Rev 3/24



Sole Source Purchase

- Applies to purchases over \$75,000 that can only be supplied by one source, to the best of the requester's knowledge.
- A sole source cannot be based on price.
- A sole source cannot be based on quality as this is a subjective evaluation based on opinion.

Q: What are the requirements for a purchase to be a sole source?

A: There are three requirements for a sole source: 1) Goods/ services offered must be unique. 2) Uniqueness must be substantially related to the intended purpose, use, and performance of the goods/ services sought. 3) The entity seeking to be declared "sole source" must show that other similar goods/ services cannot meet the desired objectives of the entity seeking goods/services.



UAH BSB Website

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Other Helpful Documents

[UAH OOC Contract Intake Form](#) 



OFFICE OF COUNSEL CONTRACT INTAKE FORM

CONTAINS REQUEST FOR LEGAL ADVICE / ATTORNEY-CLIENT PRIVILEGED COMMUNICATION

This form must be completed and submitted with all contracts for review. **Any contract submitted without this form completed in its entirety will be returned.**

I. REQUESTING UNIVERSITY DEPARTMENT/OFFICE

1. Department/Office Name: _____
2. Contact person: _____
3. Telephone and email: _____

II. DEADLINE

1. Submission Date: _____ Is there an impending deadline? If yes, dated needed: _____

Please allow at least 3 weeks from the date OOC receives the request. If you need your matter reviewed sooner, please indicate and state your reason below for the expedited need. **Notations like "Needed ASAP," "Expedite," or "RUSH" are not sufficient as they do not provide OOC with enough information to justify prioritizing your matter over other matters.** During times of increased workload for the OOC, review may take longer than 3 weeks.

Reason for request to expedite: _____

III. CONTRACT REVIEW PROCESS

Step 1: Read your contract. UAH departments are responsible for negotiating the business terms of their contract, reading the contract before submitting for review as to legal form, and ensuring that all terms are clear, accurate, and meet the department's needs. Basic business terms of a contract include: the duration of the contract, responsibilities, and obligations of each of the parties, insurance, warranties, not-to-exceed cost, and payment terms. Review by the OOC as to legal form ensures that UAH contracts comply with applicable UAH procurement policies and applicable state and federal laws, but does not serve as review or approval of the underlying transaction. The OOC is always available as a resource to discuss and assist with any contracting questions or concerns.

Step 2: Ask the counterparty if changes are accepted to the terms and conditions and, if so, in what form they are accepted. Prior to initiating any review, the OOC must know whether or not a counterparty will accept proposed changes to the terms and conditions of a contract. If the counterparty states that it does accept suggested revisions, determine whether an addendum is permitted (a separate document that addresses the changes), or if the counterparty requires redlined changes to its actual contract documentation. If a redline is required, the contract must be submitted to the OOC in Microsoft Word format. **As indicated below, you must attach to this form proof of the counterparty's response to these questions.**

Step 3: Complete this Contract Intake Form. The faculty/staff member responsible for management of the contract should complete all sections of this form. If you have any questions about completing this form, please contact Nancy Loehr in the UAH Office of Counsel at nloehr@uasystem.edu with "Contract Intake Form Question" in the subject line.



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- email
- faculty
- kuali
- kuali build
- payroll
- ssb
- time sheet
- timesheet
- about phishing
- account balance

Banner Links

- ADMINISTRATIVE BANNER
- SELF-SERVICE BANNER (V. 8)
- SELF-SERVICE BANNER (V. 9)


Campus Services

- UAH POLICE
- PARKING SERVICES
- CHARGER CARD
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✓ Departmental Resources

✓ Faculty Resources

✓ Faculty & Staff Resources

✓ Human Resources

✓ OIT Services

✓ Research



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▼ Campus Services

▲ Departmental Resources

Office of Academic Affairs

- Faculty Recruitment and Hiring Procedures
 - [Faculty Recruiting and Hiring Procedures](#)
- Faculty Recruitment Forms and Templates
 - [Faculty Position Advertisement](#)
 - [Faculty Recruitment Package - Approval Request](#)
 - [Assessment of Faculty Applicants and Rubric Scores](#)
 - [Faculty Preliminary Interview Evaluation Report](#)
- Faculty Recruitment Offer Letter and Terms of Employment Templates
 - [Terms of Employment for Tenure Track Faculty](#)
 - [Terms of Employment for Temporary -1 year - Full-Time Non-tenure Track Faculty](#)
 - [Terms of Employment for Lecturer or Clinical Non-tenure Track Faculty](#)
 - [Offer Letter Template for Professor-Tenured](#)
 - [Offer Letter Template for Lecturer/Clinical Faculty - Non-tenure](#)
 - [Offer Letter Template for Associate Professor - Tenured](#)
 - [Offer Letter Template for Associate Professor in Tenure Track](#)
 - [Offer Letter Template for Assistant Professor in Tenure Track](#)
 - [Patent Policy for Faculty Hires](#)
- [Disclosure Forms for Consulting Activities](#)
- [Faculty Modified Duties Form](#)
- [Tenure Clock Extension Form](#)
- [Sabbatical Leave Application](#)
- [Voluntary Self-Identification of Disability](#)
- [Am I a Protected Veteran?](#)
- [Application for International Visitor](#)

Office of Counsel

- [Contract Intake Form](#)
- [Contract Questions for Counterparty](#)



A. CONTRACT DESCRIPTION

1. Detailed Summary of Contract Purpose:

Vendor/Counterparty Name _____

2. In response to your inquiry in "Step 2" above, did the counterparty agree that it would review proposed revisions to the contract?

Yes No

Please provide backup documentation (copy of the email or otherwise) to substantiate your response to this question.

3. If the answer to question 2 was "yes," did the counterparty indicate that changes by addendum would be accepted?

Yes No

Please provide backup documentation (copy of the email or otherwise) to substantiate your response to this question.

4. If the answer to question 3 was "no," did you obtain a Microsoft Word version of the contract to be redlined?

Yes No

If not, please attempt to convert the document to Word and edit the converted version to ensure its accuracy before submission for review.

Make sure to include an email from the Vendor to substantiate your answers to Questions 2-4 on page 2 of the Contract Intake Form. This is required before we can submit your package to the Office of Counsel for their review.



UAH Business Services

Contract Questions for Counterparty:

1. Will you consider changes or revisions to your contract?
2. If you will consider revisions, may we provide our proposed changes in an addendum to the contract? (If you require redlined revisions, please provide your contract in Word form.)
3. Please provide all terms and conditions that you contend are applicable to the contract, including but not limited to any terms and conditions that are expressly incorporated into the contract and maintained on your website.
4. Does your office have an existing contract with UAH, UA, or UAB on this same type of issue? Please provide a copy of that contract.



