

INTRODUCTION

Business Services provides procurement, asset management, central receiving, copying and mail services to The University of Alabama in Huntsville (UAH).

Business Services strives to provide quality services with the highest possible degree of proficiency and conforms to Federal, State, and University purchasing codes, statutes and policies.

Policies and Procedures Manual

The purpose of this manual is to guide the University community when performing day-to-day procurement transactions and other business functions. The manual incorporates Alabama State laws, University regulations and good business practices, as well as special requirements imposed by agencies that fund certain University programs. The policies and procedures should be used under normal operating circumstances. Exceptions are allowed when, in the opinion of the Associate Vice President for Finance & Business Services and/or the Senior Vice President for Finance & Administration, they appear to be in the best interest of the University. Any exceptions must be properly justified and documented.

These policies and procedures are subject to change and the manual will be revised accordingly.

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Revised 11/2016

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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**/Procurement Card, Central Receiving & Shipping/Asset Management, Mail Services, Telecommunication Services, and the UAH Copy Center. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 on an as needed basis. ****

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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 (UAH), 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 <http://www.uah.edu/finance/forms> Click on "Signature Authorization." The purchasing database is a component on the UAH 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	Contracts & Grants Accounting
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	Contracts & Grants Accounting
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 UAH 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 UAH 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
- Organization Code
- Account Code
- Program

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. All 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 person in Contracts & Grants Accounting.

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.5, “Issuing Checks on Purchase Orders.”

II.5. 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.6. 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.7. 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.8. 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 then email, 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. When a vendor is selected, if it is a new vendor, a W-9 will be requested by Business/Procurement Services. The vendor will only be created after a search has been completed in the Vendor Database by the person processing the PO. Address changes requested by the departments or vendors, are made by Accounts Payable or Business/Procurement Services Staff. Name changes requested by the departments or vendors are made by the Director of Procurement (or designee in his/her absence) and Accounts Payable Staff. The Procurement Officer will authorize the purchase and edit the Requisition for final printing of the Purchase Order. A Vendor Data Change Form will be used to document the changes.

Vendor creation (on-boarding) and adjustments are made in accordance with the guidelines printed in the Data Standards Committee through the Office of Information Technology.

For questions concerning Vendor Debarment, see section II.46 Debarred /Suspended Vendors.

For questions concerning Conflicts of Interest, see section VII.10 Disclosure Statement.

Confidentiality issues will be addressed on a case by case basis, when dealing with sensitive data.

7. The Procurement Officer will authorize the purchase and edit the Requisition for final printing of the Purchase Order.
8. The appropriate approval in Procurement Services commits UAH to the obligation.
9. 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.5, "Issuing Checks on Purchase Orders").

II.9. 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. However, if the increase is more than 10%, but is \$100 or less, an email approval from the department will be accepted.

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. If the change is less than \$100.00 or within 10% you will only need to send an email to the purchasing email at purch@uah.edu or email the buyer that handles that commodity.

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 (past fiscal year)
- 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 system 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.10. 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.16, “Consolidation of Similar Items”). Procurement Services will maintain quality standards. **For these and other reasons, no commitments, expressed or implied, should be made by UAH departments (other than Procurement Services) to vendors.**

II.11. 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

A list of several directories for departments to consult for products and services from disadvantaged and minority vendors are listed below.

www.thomasnet.com, www.asbdc.org, www.sba8a.com

II.12. Authorized Departmental Procurement

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

II.13. 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.14. 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.15. 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 UAH. (Ex. The office supply vendor charges a fee for orders under \$50.00.)

II.16. 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.17. Prohibited Purchases

This is not an exhaustive list; however, UAH does not permit the purchase of personal items (items for personal use) such as those listed below:

- 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
- Office Fans / Heaters

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.

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

- Alcoholic beverages
- Contributions

II.18. 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 6000-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.19. 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.20. 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, contract vendors and suppliers will be used as much as possible.

II.21. 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 UAH, departments should provide dollar value estimates on Requisitions if actual prices are unknown.

II.22. Pricing Agreements

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

- General Services Administration Contracts
- Manufacturer, State, Local, or University Pricing Agreements
- University Established Contracts / Competitive Bids
- State Contracts
- Consortium Contracts

II.23. 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 (except subcontracts through OSP) nor can it exceed competitive bid requirements for the UAH 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 UAH identification card before he or she can pick up the material. UAH reserves the right to change quantities or cancel the Purchase Order at any time. UAH is not obligated to purchase any specific amount, and no shipments / pick-ups are allowed after expiration date.

PURCHASES

Authorized individuals must submit a Memorandum Receiving Report (MRR), available on the Business Services website, (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>), 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.24. 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 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 <http://www.uah.edu/finance/forms>

II.25. 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.26. 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
- UAH property ID number
- Problem
- Contact person
- Telephone number

II.27. 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.28. 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 approves the Purchase Order 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.29. 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 Marketing and Communications has final approval on all public promotional activity advertisements (e.g., brochures, t-shirts, ads for newspapers and magazines, etc.) to ensure conformity to University policy. Advertisements must have the department dean/director approval before being submitted to the Office of Marketing and Communications.

SPORTS PROGRAM BOOK

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

II.30. 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.31. Federal and State Surplus

UAH 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.32. 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.33. 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.34. 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 UAH 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.35. 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. 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.

State Bond Issue Purchase Order Instructions

10/01/11

Policy

State Bond Issue Purchase Orders use special funding from the State of Alabama. Accounting & Finance establishes a special organization code for specific State Bond-approved requirements. **State Bond Issue Purchase Orders will follow the same process as regular university purchase orders.** Users assume all responsibilities associated with the orders. When all efforts to resolve conflicts have been exhausted, contact Procurement Services for

assistance in resolving any problems with the vendor

The department must submit an electronic Requisition in the Banner System. Then after receipt of an email from Procurement Services referencing the Requisition as being approved, the department may issue a State Bond Issue Purchase Order.

Limitations

The State Bond Issue Purchase Order must follow the standard procedure for making purchases.

Exclusions

State Bond Issue Purchase Orders must be issued in accordance with State and University policy and cannot be used for items that are not allowed.

Procedure

State Bond Issue Purchase Orders must be issued in a pre-numbered sequence. Procurement Services will maintain a record of the numbers assigned to each department.

All information must be typed or printed legibly. If more space is needed, attach a list and type "As per attached list" on the State Bond Issue Purchase Order. The user is responsible for sending the Purchase Order to the vendor. To eliminate duplicate orders when placing the order by telephone or fax, type "**Confirmation: Do not duplicate**" on the Purchase Order before mailing.

- Submit electronic Requisition in the Banner System (indicating that State Bond Issue money is being used)
- All required electronic approvals will be received
- Procurement will review Requisition for bid law compliance, etc.
- Procurement will then cancel the Requisition
- Procurement will send an email approving the Requisition to the department
- The department will then complete and distribute the State Bond Issue Purchase Order

Purchase Orders must have all pertinent information, including the following:

- Date of order

- Complete vendor name and address
- Proper Organization & Account Code
- Ship to “c/o”
- Contact for questions and phone number
- Item number (1, 2, 3,)
- Quantity ordered
- Complete item description (e.g., commodity, manufacturer, model and/or catalog numbers, name of item) - only items in accordance with University policy and Federal and State law will be approved
- Unit Cost
- Total Cost
- Signature approval by the Budget Unit Head or those persons to whom signature authorization has been delegated on file with Contracts & Grants Accounting

The **user** is responsible for:

- Ensuring sufficient funds are available in the organization code to cover the purchase
- Properly distributing copies (see Table 1)
- Delivering/mailling State Bond Issue Purchase Order to the vendor
- Typing “Confirmation: Do not duplicate” on orders placed by telephone or fax
- Consulting with contracted prices; refer to the Procurement Services website <http://www.uah.edu/business-services/faculty-staff/open-bid-information> for best possible prices on certain items (e.g., software, office supplies, diskettes) or contact Procurement Services
- Attaching a copy of the email approval to the C&G copy (yellow)

The **vendor** must reference the State Bond Issue Purchase Order number on invoices, on shipping documents, and in the shipping address. For example:

The University of Alabama in Huntsville
 c/o J.Smith / BIXXXX / Dept Name
 Central Receiving Building
 301 Sparkman Drive
 Huntsville, AL 35899

Upon issuance of the State Bond Issue Purchase Order, the department is to distribute the copies.

NOTE: There are to be four copies of the invoice certified by the vendor as being **“True, correct, and unpaid.”** The vendor’s signature is to be notarized. Attached to each copy of the invoice there must be a completed, signed, and dated **“State of Alabama Material Receipt”** confirming the receipt and conditions of all items covered by the invoice. All invoices are to be sent to Contracts & Grants Accounting.

Distribution

State Bond Issue Purchase Orders have five copies to be distributed as in Table 1.

Table 1, State Bond Distribution

Copy	Recipient	Instructions
White (1)	Vendor	Completely fill out this copy with the date and items being ordered. Show complete descriptions, prices, and total for order. Obtain signature approval by the Budget Unit Head or those persons to whom signature authorization has been delegated. Without this signature the order will not be valid.
Green (2)	State	Forward this copy with the Yellow copy to Contracts & Grants Accounting
Yellow (3)	Contracts & Grants Accounting	Forward this copy with the Green copy to Contracts & Grants Accounting upon issuance. A copy of the email approval from Procurement must be attached.
Pink (4)	Procurement Services	Forward this copy to Procurement Services
Gold (5)	Department	Retain for department files.

Voids

Before distribution: Justify the reason in a memo and send to Procurement Services with all remaining copies except the department copy (retain for your files). Notify the vendor if the vendor copy or the Purchase Order number has been released to them.

After distribution: Justify the reason in a memo and send copies to Procurement Services and Contracts & Grants Accounting.

Replenishment

Contact the Procurement Officer that is identified as the point of contact, and they will prepare a new batch of State Bond Issue Purchase Orders and contact you when they are ready for pick-up.

Record Retention

Retain State Bond Issue departmental copy in accordance with the state's record retention policy. (<http://www.uah.edu/finance/policies>)

II.36. 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.37. 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.38. 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.39. 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.40. 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.41. 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.42. 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.43. 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. If these expenses exceed the approved amount on the employee's offer letter it must be approved by the departmental VP in an additional letter.

II.44. 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.45. 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.46. 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 <https://www.sam.gov/portal/SAM/##11>

II.47. Cell Phones / iPads, and other Wireless Communication Devices

University policy allows reimbursement for the use of wireless communication devices to conduct University business (8/28/13). 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. (<http://www.uah.edu/business-services/faculty-staff/telecommunications/wireless-communication-devices>)

II.48. 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.49. Apparel / Logo Shirts / T-Shirts

The purchase of apparel, logo shirts, and T-shirts with state appropriated funds are permissible for authorized Student Organizations, UAH Administrative Offices, Colleges and Departments. However, some request may be deemed as an inappropriate use of state funds. To access the approvals required, colors, etc. that must be followed for authorization for these items you can go to the link below;

http://www.uah.edu/images/administrative/business-services/t-shirt_bid_b002384_colors_updated.pdf

T-Shirts displaying the University logo must be approved by the Office of Marketing & Communication.

II.50. 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.51. 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*": (www.uah.edu/business-services/faculty-staff/procurement-services/forms)

Gifts of Memorabilia

Items of memorabilia given to donors, visitors, alumni, students and potential students are allowed. Memorabilia includes but is not limited to signed team equipment, paperweights, mascots, etc. The memorabilia must be inscribed or imprinted with words and/or pictures identifying the University.

Limited Circumstances

In limited circumstances, appreciation gifts, Christmas cards, retirement cards, plaques and awards may be allowed if it is deemed that these expenditures are in the best interest of the University and promotes the purposes of the University. An employee shall receive written pre-approval from his/her Dean or Department Chair prior to making any expenditure contemplated by this section. Any reimbursement request for items contemplated in this section, shall be disallowed if such expenditure was made prior to receiving approval. Requisition requests should be supported in accordance with the Documentation provision herein. Additional information may be found in the UAH Expenditure Guidelines on the Accounting & Financial Reporting website (www.uah.edu/finance/policies).

II.52. Record Retention

Retain Requisitions in office for three years after the end of the fiscal year in which the records were created; then destroy. (<http://www.uah.edu/finance/policies>)

III. PURCHASE ORDERS

III.1. Policy

A Purchase Order is the formal document that authorizes the acquisition of goods or services for UAH. 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 Associate 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

UAH 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/lease 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. http://www.uah.edu/images/administrative/business-services/tax_exempt_2018_.pdf

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 the Procurement Officer that handled the purchase of your order 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 UAH forklift capacity is 6000-pounds. If ordering equipment larger than 6000-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 UAH 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.

(<http://www.uah.edu/finance/policies>)

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 UAH. 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. In addition, your paperwork must include a justification as to why one of the normal purchasing processes could not be followed.

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 Voucher Disbursement* is available at <http://www.uah.edu/finance/forms>.

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 Procurement Card (P-Card). **UAH 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 UAH 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, UAH must carefully consider those cases where UAH 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 UAH
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. Vendor Disclosure Statement

Completion of the "Vendor Disclosure Statement" is required for:

- Professional Services Contracts
- 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.
(<http://www.uah.edu/finance/policies>)

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 UAH).
\$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.

New Rules that Govern Federal Awards

The Office of Management and Budget (OMB) issued Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in the Federal Register. This "Uniform Guidance" will replace the administrative, accounting, audit rules and principles currently promulgated in the OMB Circulars, including A-21, A-110, and A-133. Per the OMB webpage this guidance "will supersede requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in 2 C.F.R. Parts 220, 225, 215, and 230); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up."

Based on the new **Uniform Guidance**, all orders using federal funds will be processed as follows:

\$3,000 - \$14,999.99 Procurement Services will obtain competitive pricing, if not currently available on a bid

\$15,000 and above Procurement Services will secure sealed bids, unless a Sole Source is requested and approved.

For additional information on the new Uniform Guidance, go to the following website: <http://www.uah.edu/osp/researcher-s-resources/new-omb-uniform-guidance>.

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 UAH 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 UAH 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 UAH department may use these standing bids regardless of originator.

VII.7. State Contracts

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. Vendor Disclosure Statement

Completion of the "Vendor Disclosure Statement" 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
- Professional Services Contracts

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. (<http://www.uah.edu/finance/policies>)

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, coverage is provided for all "hired" vehicles, which includes those rented by University employees for use in University business. Property damage coverage carries a \$1,500.00 deductible. However, when driving a personal vehicle on University business, the driver's insurance would be considered primary and the University's fleet coverage secondary.

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. For more information, go to <http://www.uah.edu/facilities-and-operations/facilities/fleet> or call 256-824-6482.

NOTE: *Check with Business Services before renting a vehicle. There may be a contract in place, that has insurance included in the vehicle rental.*

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 UAH 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 Risk Management and Insurance Office at 256-824-6633 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 his or her supervisor, Fleet Services at 256-824-6482, and the Risk Management and Insurance Office at 256-824-6633 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 The Office of Counsel in the Student Services 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 UAH 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 UAH 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 a trip out of state. 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 Risk Management & Insurance Office. The Vehicle Safety Management Program is

posted on the web at: www.uah.edu/rmi/policies-and-procedures
and www.uah.edu/facilities-and-operations/facilities/fleet.

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, UAH recycles or auctions surplus items according to Alabama State Law or obtains sealed bids for surplus property sales on special and unique items. (UAH 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

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Figure PS-1

The University of Alabama in Huntsville Banner Finance Self-Service (FSS) Request Form			
Step One - Application Information			
Name:	<div style="display: flex; justify-content: space-between;"> First MI Last </div>	Phone: _____	Email: _____ @UAH.EDU
		Fax: _____	
Department Name: _____			
Banner ID: A _____		OR	SSN # _____
Step Two - Check Module Requested			
	Finance Self Service	Includes Budget and Encumbrance Queries, View & Approve Documents, Purchase Requisitions, and Budget Transfers.	
		Posting Only	Query Only
			Both
	Budget Development	Restricted to only those who develop the annual budgets.	
Step Three - 6 Digit Organizational Code Requested			
Step Four - Applicant's Signature			
<p style="font-size: small;">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</p>			
Signature _____		Date _____	
Step Five - Department Authorization			
<p style="font-size: small;">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.</p>			
Signature: _____	Name (Print): _____		
Title _____	Date: _____		
(To Be Completed by Office of Budgets & Management Information) Madison Hall 221			
	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

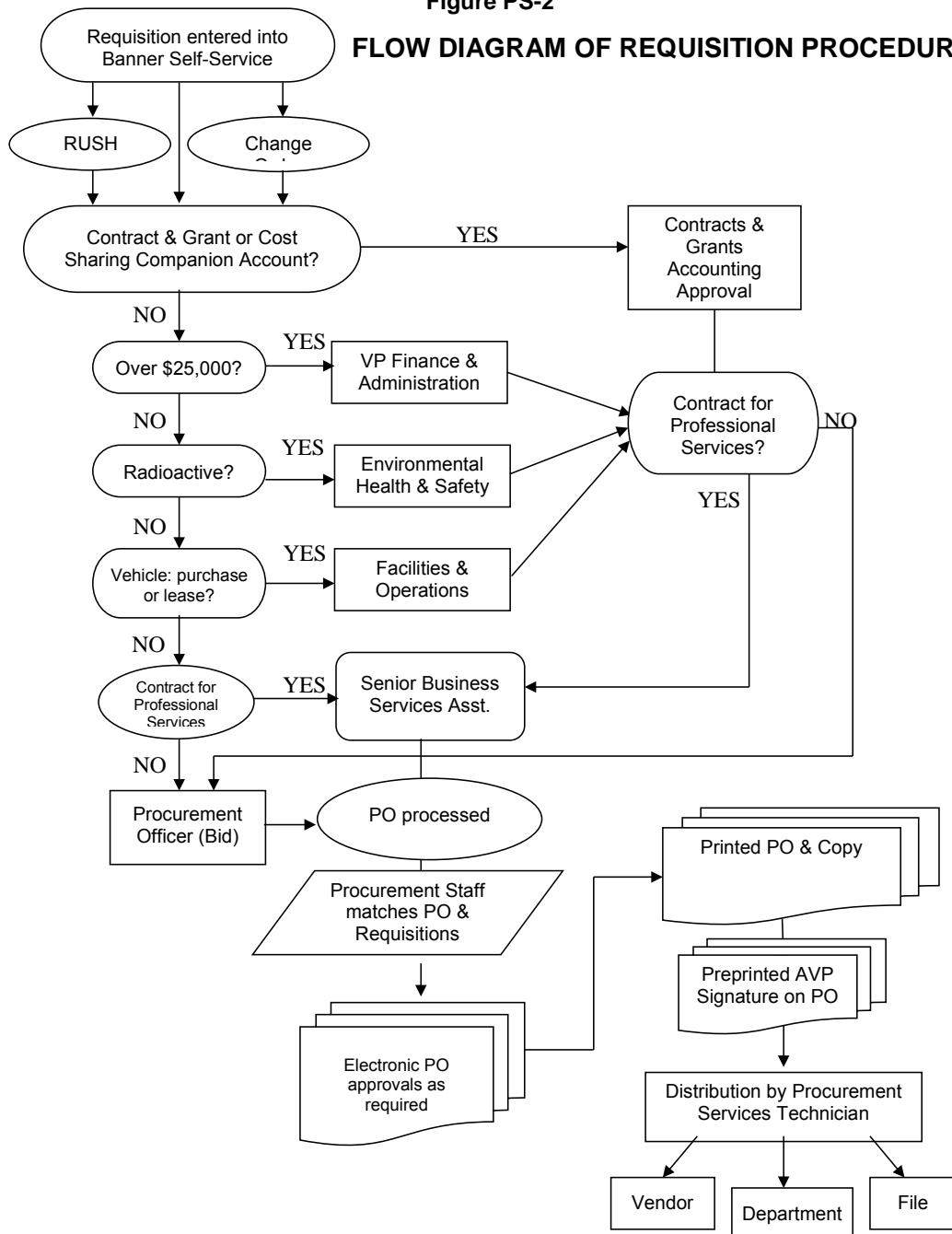


Figure PS-3
Commonly Used Banner Account Codes for Requisitions

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
7453	Internal Enhancements(\$2000-\$4999)
7454	Other Equipment (\$2000-\$4999)
7455	Musical Instruments/Equipment \$2,000 - \$4,999
7456	Computers & Peripherals (Federally funded) \$0 - \$4,999.99
7457	Audio Visual (Federally funded) \$0-\$4,999.99
7458	Other Equipment (Federally funded) \$0-\$4,999.99
7464	Computers & Peripherals \$500-\$999.99
7465	Computers & Peripherals \$1,000-\$4,999.99
7466	Audio Visual under \$1,000
7467	Audio Visual \$1,000-\$4,999.99
7468	Other Equipment under \$1,000
7469	Other Equipment \$1,000-\$4,999.99
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 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.

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 06/2016

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

Revised 06/2016

**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
02/03/15

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
P0063348
FOAPAL

R0075628

VENDOR NUMBER
A25034444

28164-202501-7465-30

Dell Marketing LP
One Dell Way
Round Rock TX 78664

SHIP TO:
P0063348/R. Fields
UAH 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

Net 30 days

FOB

POB Destination - UAH

PROCUREMENT CONTACT

Joy I. Benefield

PHONE

256-824--649

ESTIMATED DELIVERY

02/17/15

ITEM NO.	QUANTITY	UNIT	DESCRIPTION	UNIT PRICE	EXTENSION
			Reference UA Contract: T052128 Reference Quote: 700273067 Reference Revised Quote: 700773303		
1	2.00 EA		Laptop, Dell Latitude E5550/5550 CTO, Windows 7 Pro, English, 64-Bit; Includes Docking Station Warranty: Dell Limited Hardware, 3 Yrs ProSupport: 7x24 Technical Support, 3 Yrs ProSupport: NBD Onsite, 3 Yrs	1,465.7800	2,931.56

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

2) ITINERED PRICING 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. CONTRACT NO. ENTER FEDERAL I.D. NO. 00-0000000.

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

Robert Leonard

DISCOUNT: .00
ADDL CHARGES: .00
TOTAL TAXES: .00
TOTAL: 2,931.56

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.

EQUAL OPPORTUNITY: The contractor and any subcontractor shall abide by the requirements of 41 CFR 60-1.4(a), 60-300.5(a) and 60-741.5(a), to the extent applicable. These regulations prohibit discrimination against qualified individuals based on their status as protected veterans or individuals with disabilities, and prohibit discrimination against all individuals based on their race, color, religion, sex, sexual orientation, gender identity or national origin. Moreover, these regulations require that covered prime contractors and subcontractors take affirmative action to employ and advance in employment individuals without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability or veteran status.

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 a 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 the 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 of 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 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 package 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.

Additional terms and conditions will be posted on our web site at: <http://www.uah.edu/business-services/purchase-order-terms>

Revised 06/2016

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 of 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

- 1 -

- 2 -

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

REV. 5/07

Revised 06/2016

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 UAH 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, UAH 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 UAH 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.

Comment [BW1]: "therefrom" is correct

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	TERMS	WARRANTY
UAH DESTINATION		
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

Comment [BW2]: This is the certification used by vendors who are not covered by the Immigration law because they are not located in Alabama and have no employees in Alabama. See the second subparagraph in the paragraph immediately above.

Comment [BW3]: There is no longer a requirement for affidavits.



THE UNIVERSITY OF ALABAMA SYSTEM

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 for all contracts, such as 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, or who makes false or incomplete disclosures.

Definitions

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

- "Agreement." Any agreement, contract, memorandum of understanding, or grant document under which goods or services are to be provided by You.
• "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.
• "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 entity or individual who would be a party to the Agreement, (2) any partner, division or related business, (3) any member of your immediate family or any individual employed by You (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 or Individual Completing this Form (proposed contracting party)

Entity Name: []
Individual Name: []
Title: []
Address Line 1: []
Address Line 2: []
City, State, Zip: [] Telephone: []

2. UAS Entity with which you propose an Agreement? (i.e. University, College, Department, etc.)

[]

3. Describe the proposed Agreement:

Goods and services to be provided: []
Grant or proposal number (if applicable): []
Amount or anticipated amount: []
Term: []

Is the proposed Agreement the result of a competitive or bid process? [] Yes [] No

4. Have "You" (See definition above) previously provided goods and/ or services to UAS within the current or last fiscal year? Yes No

If yes, please provide the following information for each other agreement for such goods and/or services.

Entity Providing Goods or Services:

Campus and Department:

Type of Goods/Services:

Amount Received:

Entity Providing Goods or Services:

Campus and Department:

Type of Goods/Services:

Amount Received:

If you need to provide further details on goods or services provided to UAS within the current or last fiscal year, please attach an addendum to this Disclosure Statement.

5. Did the amount of goods and/or services identified in response to Question 4 total \$1,000,000 or more?

Yes No

6. Do you have a relationship with a UAS employee, UAS Trustee, or Public Official who may directly or indirectly receive any benefit from the proposed Agreement or whose family member may directly or indirectly benefit?

Yes No

If yes, please provide the following information for each UAS employee, Trustee, or Public Official with whom You have a Relationship.

Name of UAS employee, Trustee, or Public Official:

Campus/department where employed or position held:

Nature of relationship:

Potential Benefit:

Name of UAS employee, Trustee, or Public Official:

Campus/department where employed or position held:

Nature of relationship:

Potential Benefit:

If you need to provide further information regarding UAS employees, Trustees, or Public Officials with whom You have a Relationship, and who may directly or indirectly benefit from this Agreement, please attach an addendum to this Disclosure Statement.

7. Have any paid consultants and/or lobbyists assisted in obtaining the proposed Agreement?

Yes No

If yes, please provide the following information for each consultant or lobbyist.

Name:

Address:

Name:

Address:

If you need to provide further information regarding paid consultants and/or lobbyists utilized to obtain the proposed Agreement, please attach an addendum to this Disclosure Statement.

8. List any current litigation or administrative action that has been filed within the last 3 years, either state or federal, related to public or higher education construction or finance that the contractor or others associated with the firm may have against them.

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. By proposing or entering into an Agreement with UAS, I certify that no employee or official of UAS, nor any of their family members or any business with which they may be associated, will receive a benefit from this contract, except as has been disclosed, in writing herein. I will promptly disclose any Relationship which may arise in the future, or any existing Relationship which may become known to me, and update this statement to disclose the same.

Signature

Date

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

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

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

RESPONSE DUE BY:

1:30 PM

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

CONTACT _____

EMAIL _____

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

IF 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 KNOWLEDGE THAT HAVE SIGNED ARE AUTHORIZED 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

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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/Asset Management, Mail Services, Telecommunication Services, and the UAH Copy Center. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 also be authorized at the discretion of the Director of Procurement & Business Services on an as needed basis. ****

PROCUREMENT CARD

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I. INTRODUCTION

The University of Alabama in Huntsville (UAH) VISA Procurement Card (P-Card) Program is designed to allow most Cardholders to handle authorized purchases up to **\$2,999.99 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.

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 P-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 PC-25.

****Note: The P-Card Policies DO NOT necessarily mirror the Requisition/Purchase Order Policies.***

I.1. Purpose

The purpose of this guide is to establish policies and procedures under which departments of UAH 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 P-Card Vendor Software management reports to ensure the P-Cards are being used in accordance with UAH policies and procedures.

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

All transactions using the UAH P-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 the P-Card Vendor within 48 to 72 hours of each transaction, credit holds placed on the University Campus will cease to occur. 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 the Procurement Card Vendor 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 a copy of the Procurement Card application form (Figure PC-2). (pcard@uah.edu)
- Designate Department Reconciler(s) and Approver(s). Your Department Reconciler(s) should be the Budget Manager or someone familiar with the department's 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 or grant accounts to be utilized for the P-Card.
- Participants must receive training for Policies, Procedures, and P-CARD VENDOR 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 P-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 the Procurement Card Vendor, and is to be used for **Official University Business Purchases Only**.

IV. PARTIES INVOLVED

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

P-CARD VENDOR 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 Procurement Card Vendor 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 P-Card Vendor 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 P-CARD VENDOR'S SOFTWARE monthly Summary Reports, reviews account codes and making changes accordingly, and tracking receipt of packets, receiving and reviewing the Procurement Card Vendor's 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 P-CARD VENDOR SOFTWARE 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 \$2,999.99 including freight without prior approvals from Procurement.
- 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 the Procurement Card Vendor if the dispute or billing error is not satisfactorily.
- 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 the Procurement Card Vendor (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/ or Procurement 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 the Procurement Card Vendor'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.
- Attempt to resolve any disputes with the vendor and/or the Procurement Card Vendor 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 P-Card 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 the Procurement Card Vendor's 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, notification must be made to the Senior Procurement Card Site Coordinator. This is done by submitting a completed Procurement Card Approver Update Form (<http://www.uah.edu/business-services/faculty-staff/p-card-services/forms>)

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 for the Procurement Card Vendor.
- 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 \$2,999.99 ensuring proper approval documentation is received.
- Handle disputed charges / discrepancies not resolved by the Cardholder or Department Reconciler.
- Secure revoked P-Cards and submit information to the P- Card Vendor to cancel cards.
- Review and Reconcile monthly credit card receipts with the P-CARD VENDOR'S SOFTWARE Summary Report and review account codes, submit for correction where necessary.
- Download VISA transactions.
- Notify Department Reconcilers of cutoff date to perform monthly summary reconciliation.
- Receive, review, reconcile, and prepare the Procurement Card Vendor's master statement for Automated Clearing House payment.
- Audit P-Card 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 \$2,999.99 or less including freight. The P-Card is another means of making a purchase. 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.

NOTE: Warranted exceptions may be granted by the Director of Procurement & Business Services or Associate Vice President of Finance & Business Services.

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 P-Card transactions listed on the Procurement Card Vendor monthly statement and Reconciliation Report. *For example, a Cardholder cannot also act as the Approving Official for their own transactions.*

VIII.5. Cardholder Eligibility

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

- Individual Applicant must be employed full-time by UAH.
- 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) and the Delegation Authority (Figure PC-5) prior to receiving the P-Card.

VIII.6. Cardholder Liability

The P-Card is a corporate VISA or Mastercard 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 P-Card Vendor.
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 (Figure PC-4) and the Delegation Authority (Figure PC-5) 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 \$2,999.99 including freight charges (limit adjusted according to departmental need). Cardholder monthly limits will be monitored and adjusted as needed.

Ghost Cards are granted for specific contract vendors that are paid on a recurring monthly basis. The per transaction limit on Ghost Cards are based on the monthly contract payment.

Note: Credit limit increases, temporary increase in per transaction limit or authorization for an exception “may” be granted for reasons such as: (a) it is travel related, (b) you are making a purchase from a contract vendor, (c) credit card payment is required by the vendor, (d) or as deemed required by the Associate Vice President for Finance & Business Services or the Director for Procurement & Business Services. (Procurement Card Exception Request Form, Figure PC-15) Also, any transactions from the current Contract Vendor over \$25,000 are signed by the Senior Vice President for Finance or his designee.

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.) Always remember to review the university travel policies prior to traveling (<http://www.uah.edu/finance/travel-information>).

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 the 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 the Procurement Card Vendor toll-free at (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 Contracts & Grants Accounting staff is available to assist you.

<http://www.uah.edu/c-g>

** 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.

- A Grant Purchase Request does NOT have to be submitted for the purchase of commodities \$2,999.99 or lower. Prior to purchasing commodities \$2,999.99 or lower submit an email to your Contracts & Grants Accountant (CGA) detailing your required purchase. **Note:** A print out of the approval email from CGA must be included in the reconciliation packet with the receipt. ** (See notes below)
- **Emergency and out in the field purchases only:** It is not required that the cardholder delay purchases of commodities \$2,999.99 or lower, until the Contracts & Grants Accounting (CGA) email approval is received.

Prior to purchasing commodities \$2999.99 or lower, submit an email to your Contracts & Grants Accountant (CGA) detailing your required purchase. **If this is an emergency or out in the field purchase**, do not wait on the approval to make the purchase. **Note:** When the approval is received, a print out of the approval email from CGA must be included in the reconciliation packet with the receipt. In addition, there must be a statement explaining the emergency or that you are out in the field included with the paperwork. This exception to the process is meant to address emergency and out in the field issues only, and is not meant to replace the normal Grant Procurement Card purchase process, where you must wait on the email from CGA approving the purchase.

However, if the commodities charged are deemed unallowable, the charges will be transferred to the default org on the cardholder's application.

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.sam.gov/>. A print out of the search status 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.*
<http://resadmin.uah.edu/resadminweb/information/compliance/complianceguide.html>

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
- Check debarment Status and print results
- Send a detailed email to CGA 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, debarment printed results and CGA email approval to Department Reconciler

Reconcilers:

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

*NOTE: ** The department is responsible for purchasing material and supplies according to the terms and conditions outlined in the fully executed agreement. Any cost that is deemed unallowable by CGA will be transferred to the default org listed on the original Procurement Card Application.*

Any questions related to allowability to a grant or contract should be directed to the [Office of Contracts and Grants Accounting](#)

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 created in the P-CARD VENDOR SOFTWARE .
- 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 [Open Bid Information](#) 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. (Hotel, Airline Tickets, Rental and Gas purchases are exempt).

Determine if the intended transaction is within the single 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 a Request (using vendor software) for travel approval on behalf of the Cardholder.

** Remember, 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 (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, signoff, 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 Accounting(Out of State Travel Voucher.xls at <http://www.uah.edu/finance/forms>).

XIII.2. Placing Your Order

- Determine if 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 UAH employee. State that you are making a tax-exempt purchase using a University Corporate P-Card (Corporate Credit Card). For

in-store purchases, present the vendor with the P-Card and miniature tax exempt certificate card. For telephone or fax orders, state the Cardholder name, P-Card 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, 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 / P-Card
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-10) 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. UAH 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 from the supplier immediately.

- 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

The P-CARD VENDOR'S solution management software is the third party software provided to the University by the Procurement Card Vendor to manage the P-Card Program. It provides a method to track active orders, reconcile transactions to on-line the Procurement Card Vendor's transaction data, and acquire reports based on selective criteria. the Procurement Card Vendor's 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 P-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 the Procurement Card Vendor or Procurement Card Services.
- 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 the Procurement Card Vendor 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 P-Card Vendor 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 or email 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, 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. Procurement Card Vendor's Customer Service

P-Card Vendor's Customer Service is available 24 hours a day, 365 days a year for reporting a lost or stolen card and to discuss disputes.

XIV. WHO TO CALL?

Procurement Card Vendor's Customer Service Representative

- Lost or Stolen Cards
- Transaction Dispute

The Phone number is published in the P-Card's User's Guide.

Procurement Card Program Team

Sr. Procurement Card Site Coordinator

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

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

Procurement Card Coordinator

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

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

Director of Procurement & Business Services

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

- Oversees the program
- Addresses any concerns with the program

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 P- 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

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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 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 Corporate Procurement 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/Update (name, org, etc) Terminate

Is the fund to be used with PCard a GRANT/ CONTRACT with approved operating charges? YES NO

If yes, CGA # approval is _____

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 orgs*

\$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 Manager) Printed Name Signature Date

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

To be completed by CGA:

Printed Name Signature Date

To be completed by Procurement Services: (Return to Procurement Services, BSB)

\$2,999.99 FIXED

Monthly Credit Limit Single Transaction Limit

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

Rev May 2016

Figure PC-3 GRANT PURCHASE REQUEST FORM

Date: _____

Procurement Card# (last four digits) _____

____ Check if Urgent/Rush Order

QUANTITY ORDERED	CATALOG #	DESCRIPTION	UNIT COST		TOTAL
			SHP/HDLG		
			TOTAL		
VENDER NAME _____			ORG/INDEX #'s TO BE CHARGE		
ADDRESS _____					
CITY, ST, ZIP _____					
Phone # _____					
FAX # _____					

Requested By: (Printed Name / Signature) _____ / _____

Date: _____

PI Approval: (Printed Name / Signature) _____ / _____

Date: _____

CGA Approval: Printed Name: _____

Signature: _____ **Date:** _____

*This form is required for purchases over \$2,999.99 only

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 the Procurement Card Vendor.
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 the Procurement Card Vendor 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 the Procurement Card Vendor.
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 UAH 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 Procurement Card No. _____ and hereby agree as follows:

I shall protect and properly use the 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 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
- Appliances – *(not allowed for personal use)*
- Cash Advances, Cash Instruments
- Catering *(Setup, the replenishment of food and cleanup)*
- Cellular Phones and Service
- Coffee, Cream, Sugar, Soft Drinks, Cups, Napkins, etc. – *(When intended predominantly for consumption by University employees, unless otherwise covered by UAH Expenditure Guidelines)*
- Computers, I pads, Tablets, and other Wireless Devices (See: <http://www.uah.edu/business-services/faculty-staff/open-bid-information>)
- Contracts/Consulting for Professional Services
- Controlled Substances or Chemicals
- Cylinders: Containerized Gas Cylinders must be ordered through Central Receiving, unless special pre-approval has been granted by Procurement Services.
- Donations/Contributions
- Entertainment and Related Expenses – *(Related to receptions, retirements, department Christmas parties and the like are NOT allowable)*
- Equipment *(which exceeds \$999.99)*
- Floral Arrangements *(not for personal occasions, i.e. birthdays, weddings, etc.)*
- Hazardous Materials *(if unsure, consult the Office of Environmental Health and Safety)*
- Hazardous Waste Removal
- Greeting/Holiday Cards
- Items for non-University Purposes
- Insurance / Vehicle Insurance / Ticket Life Insurance / Ticket Cancellation Insurance etc.
- Laundry and Cleaning of Personal Items
- Leases / Rental – Land or Property
- Legal Services
- Live Animals
- Mailing Services (Bulk)
- Maintenance or Service Agreements
- Meals for University Travel *(exceptions per University Travel Policy with prior approval from Procurement)*
- Medical Services
- Mini-Storage for University Owned Items
- Money Orders
- Moving Expenses
- Pagers
- Parking Services (Ex. Valet Services)
- Party Supplies / Holiday Decorations and Supplies
- Personal Expenses / Purchases *(Amazon, paypal, groceries, fans, heaters, radios, etc.)*
- Pre-Paid Cards, Telephone Cards etc.
- Prizes / Gifts / Awards / Plaques, Gift Cards or other taxable expenses when not justified as benefiting the University
- Radioactive Materials
- Relocation of Household Goods
- Sales Tax
- Software – Multiple License Agreements requiring a UAH signature
- Specialty Gases in Cylinders (helium, oxygen, nitrogen)
- Split Transactions – *To avoid the single purchase limit unless the items are available on University contracts. A "split purchase" includes any action taken to "work around" or "bypass" the single transaction limits set on PCards. The splitting of purchases will not be tolerated and may result in revocation of your card.*

- **Temporary Labor Services**
- **Tax Title, License Fees**
- **Travel -- (In-State) -** *(Hotel expenses are allowed when attending a conference that is part of a national organization, with prior approval from Procurement. UAH students are exempted and should refer to UAH Travel Policy)*

Note: Some items that are not allowed on the P-Card, may be allowed through the Requisition process, in accordance with the University's Expenditure Guidelines.

Figure PC-8

PROCUREMENT CARD ALLOWABLES

Transactions \$2,999.99 and below

NOTE: This is intended as a guide. You must consult University Spending Policies, Travel Policies, Procurement Policies and Bid Guidelines to ensure the proper expenditure of funds.

(www.uah.edu/finance/policies, and www.uah.edu/business-services/faculty-staff/open-bid-information)

- **Advertisements** (*must include written approval/review by Advancement*)
- **Ammunition** (*allowed for Campus Police ONLY*)
- **Books that will become the property of the University**
- **Clothing/T-Shirts and/or Uniforms** (*student and highly visible departments with prior Procurement approval*)
- **Coffee Pots, Refrigerators, Microwaves** needed for research or conference situations only, documentation is required (*not for individual use – must have a demonstrated business need with prior Procurement approval*)
- **Engraving** when article to be engraved and engraving are purchased from the same supplier
- **Equipment totaling \$999.99 or less** (*this includes S&H*)
- **Floral Arrangements** (*official University functions, i.e. commencement*)
- **Food:** *Bulk food items for preparation typically purchased at grocery stores for students or business related meetings*
- **Framing Services** (*for official dept purpose - must include description of item being framed*)
- **Furniture** (*must be purchased from current contract vendor, if available*)
- **Industrial Supplies**
- **Internet Purchases for allowable items**
- **Lab Supplies** (*excludes DNA oligomers*)
- **Landscaping Supplies: Trees, Shrubs, Flowers, and Small Tools**
- **Meals** (*see notes below*)
- **Medical Supplies** (*Student and Faculty/Staff Clinics, Nursing, Athletics Trainer & first aid kits-supplies*)
- **Memberships Dues** (*University and Department only*)
- **Mini Blinds**
- **Music Supplies**
- **Novelty Items with printing** (*i.e. pens, usb thumb drives, cups; must include written approval by Advancement*)
- **Office Supplies** (*must be purchased from current contract vendor*)
- **Parts for in-house repairs of UAH owned equipment**
- **Peripheral Equipment, Power and Network Equipment, and Supplies for Computers**
- **Photographic Film and Slide Processing**
- **Plaques/Awards/Christmas Cards/Retirement Cards** (*in limited circumstances, with documentation, if it is deemed that this expense is in the best interest of the University and promotes the purposes of the University – written pre-approval required by Dean/Chair/Director or designee*)
- **Postage and shipping expenses, USPS, FedEx, UPS, etc.**
- **Printer Cartridges:** **Must be purchased from current contract vendor or pre-approved by Procurement Services.**

- **Printing with prior approval** (*must have email from UAH Copy Center stating they cannot print the material*)
- **Registrations**
- **Rental Equipment**
- **Repair of UAH owned Equipment; including emergency repairs**
- **Signage** (*use for advertisement after approval by Advancement*)
- **Software** (*single use, off the shelf and does not require UAH signatures*)
- **Sponsorships** (with VP approval)
- **Student Events** (*such as Orientations, Receptions, Residence Hall programs, Recruitment, WOW, and Homecoming with supporting documentation – refer to University Expenditure Guidelines*)
- **Subscription, Journals, Periodicals, and Book Renewals**
- **Travel (Out of State) with an approved Purchase Request** (*exempt from per transaction limit*)
 - **Air Fare for individuals for business related travel**
 - **Conference Registration Fees**
 - **Hotels** (*lodging for business related travel*)
- **Vehicle Rentals/Gasoline** (*for business related travel – not for personal vehicles*)

The University of Alabama in Huntsville is considered an entity of the State, and therefore must comply with the State Competitive Bid Law. Purchase requests for like or similar items or items to like or similar vendors that cumulatively total \$15,000.00 or more within a **fiscal year period** are **subject to the competitive bid law**. Periodically, expenditure reports (POs and PCards) will be reviewed to ensure that campus wide we are not exceeding the bid limit.

The per transaction limit does not apply when utilizing a current contract vendor (www.uah.edu/business-services/faculty-staff/open-bid-information)

Remember no sales taxes and that itemized receipts, stated business purposes and/or other backup documentation is required for your purchases.

***Meals 1)** while on travel with a student team/group, team and coaches/chaperon's meals are allowed on the P-Card (with itemized receipts and listing of all persons whose meal is being paid).

2) while traveling doing recruitment, recruiter meals along with the prospective student are allowed on the P-Card (with itemized receipts and listing of all persons whose meal is being paid).

3) while traveling (coaches/recruiters) without a student team/group to attend a conference/meeting - meals are not allowed on the P-Card

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

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-11

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-12

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

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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/Procurement Card, **Central Receiving & Shipping**, Asset Management, Mail Services, Telecommunication Services, and the UAH Copy Center. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 also be authorized at the discretion of the Director of Procurement & Business Services on an as needed basis. ****

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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 (UAH) 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 Pickup 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 or by email at crb@uah.edu.

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 *Asset Management Policies and Procedures* section of this Manual.

II.2. Damaged Items

EXTERNAL DAMAGES

Goods that arrive with apparent packaging damage 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://www.uah.edu/facilities-and-operations/facilities/forms>). Click on “Move Request Form.” Complete and submit this form directly to Facilities and Operations.

II.7. Personal Orders

Central Receiving is not responsible for loss or damage to personal packages addressed and delivered to the University. To avoid potential loss and to reduce issues involving liability, security, and safety at Central Receiving – It is strongly recommended that you have personal packages shipped to your home address.

To note, all packages received at Central Receiving are subject to inspection and personal packages may be opened. Personal packages will not receive any priority in delivery as that is reserved for University business.

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 reported and then 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

UAH 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: All containerized industrial gas cylinders are to be ordered through Central Receiving (unless special pre-approval has been granted by Procurement Services), 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 industrial 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.

NOTE: It is the responsibility of the requesting department to notify Central Receiving for the return of unused/empty cylinders to the vendor. Also, immediately notify Central Receiving of any account discrepancies related to cylinder rental charges.

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 most sizes of packages or freight items. All shipments must be charged to a departmental account number. A Purchase Order or P-Card transaction is required for payment of a motor freight shipment.

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 or a private packaging provider (Mail Services provides shipping containers only for small USPS shipments. Central Receiving can provide small containers for FedEx and UPS document and small package shipments)

It is the responsibility of the department to complete and submit a Shipping Order Form. The form is available from Central Receiving or the Business Services website (<http://www.uah.edu/business-services/faculty-staff/central-receiving/forms>) The form should accompany the package when it is picked up or dropped off at Central Receiving. No package will be picked up from a department without the completed Shipping Order Form.

For pickups of outgoing shipments, please contact Central Receiving at 256.824.6315 or email at crb@uah.edu.

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 or P-Card transaction 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.

Note: It is the responsibility of the department to declare the contents of the package according to export requirements.

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"). UAH 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.

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>).

UAH periodically auctions surplus items through a licensed auction dealer according to Alabama State Law. UAH also solicits bids for surplus property sales as deemed necessary. UAH 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 Asset Management (AM). AM personnel will visit the department and inspect the item(s). If AM determines the asset(s) has(have) no value, AM 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 / Asset Management 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 *Asset Management 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 that 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 8:15 a.m. – 5:00 p.m. Monday through Friday, 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 or auction process.

IV.3. Auction Process

Auctions are currently 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 UAH. The majority of auctions held at Fowler's, are available as an online auction. Please refer to Fowler's Auction website at: <http://www.fowlerauction.com> for details. 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.

Central Receiving & Shipping

Attachments

CENTRAL RECEIVING & SHIPPING ATTACHMENTS

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FIGURE CR-3	.	.	.	Gas Cylinder Account Change Form
FIGURE CR-4	.	.	.	UAH Property Disposition Form
FIGURE CR-5				Shipping Order and Returned Materials Request Form

**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



Material Control and Asset Management 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/are required prior to requisitioning containerized gas and/or laboratory alcohol. **Request 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 conduction 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 for by either the cylinder ID (or serial number), 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. **NOTE: ANY ORG/FUNDS FOUND TO BE INACTIVE OR NOT DATA-ENTERABLE WILL BE CHARGED BACK TO YOUR HOME LABOR ACCOUNT.**

TYPE OF GAS OR ALCOHOL	QTY	SIZE and/or PURITY	REQUESTING DEPARTMENT	CUSTODIAN (NAME)	DELIVERY LOCATION (BLDG AND ROOM NO.)	ACCOUNT NO.
NAME OF DEPARTMENTAL OR PRINCIPLE INVESTIGATOR / PHONE NO. (FOR C & G ACCOUNTS) (PLEASE PRINT)				NAME OF DEPARTMENTAL OR PRINCIPLE INVESTIGATOR / PHONE NO. (FOR C&G ACCOUNTS) (PLEASE PRINT)		
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



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 at Central Receiving and Shipping, Central Receiving Building (CRB). Please direct questions and/or concerns to Warehouse Operations, 824-6315.</p> <p>NOTE: ANY ORGS/FUNDS FOUND TO BE INACTIVE OR NOT DATA-ENTERABLE WILL BE CHARGED BACK TO YOUR HOME LABOR ACCOUNT.</p>	
Expired Account Number	New Account Number
Principal User/Responsible Person	Date of Requested Change
Quantity Gas Cylinders	Monthly Rental Fees/Charges
Name of Department	Building/Room Number
Reason for Change of Account Number:	
Printed Name of Principal User and/or Responsible Person	Printed Name of Budget Unit Head
Signature of Principal User and /or Responsible Person	Signature of Budget Unit Head
<p>NOTICE: THIS FORM MUST BE COMPLETED WITHIN 5 CALENDAR DAYS FOLLOWING EXPIRATION AND/OR CHANGE OF DEPARTMENTAL ACCOUNT NUMBER(S).</p>	

CRB Form 01-002 (6/16)

**THE UNIVERSITY OF ALABAMA IN HUNTSVILLE
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 Asset Management, Central Receiving Bldg., Room 100. Call 824-6315 if you have any questions.

Date of disposal or loan: _____

Capital Equipment Disposition

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

<p>Disposal Justification:</p> <p>_____</p> <p>_____</p>

<p>Details of Loan Agreement:</p> <p>Department Loaning Equipment: _____</p> <p>Receiver of Loaned Equipment: _____</p> <p>Location of Loaned Equipment: _____</p> <p>Length and Condition of Loan: _____</p> <p>_____</p> <p>_____</p>
--

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



Shipping Order and Returned Materials Request

University of Alabama in Huntsville
Central Receiving
301 Sparkman Drive
Huntsville AL 35899
Phone: 256.824.6315 - Fax: 256.824.7448
email: crb@uah.edu

This form is to be completed for all outgoing departmental shipments. If the shipment references a return authorization, involving a vendor, complete the RMA section below in addition to the shipping information and preferences.
For package pickup and/or shipping price quotes contact UAH Central Receiving at the number or email address provided.

Shipping From

Contact Name: _____ Phone: _____ Email: _____
Department: _____ Building: _____ Room: _____

Shipping To *(Note: Shipments to destinations outside the US require export documentation)*

Contact Name: _____ Phone: _____
Email: _____
Business Name: _____
Address: _____
City: _____ State: _____ Zip: _____

Carrier Preferences *(Note: All freight shipments require an issued purchase order)*

UPS _____ Service *(Check One)*: Ground _____ 2nd Day Air _____ Next Day Air _____
FedEx _____ Service *(Check One)*: Ground _____ First Overnight _____
Priority Overnight _____ Standard Overnight _____ 2nd Day _____
Express Saver *(Three Business Days)* _____

Other *(Note Here)* : _____
Insurance: Yes _____ Declared Value: \$ _____

Billing *(Check One and note account number)*

Sender: _____ - Organization Code: _____
Receiver: _____ - Account Number: _____
Third Party: _____ - Account Number: _____

Returned Material Authorizations *(Note: Procurement Officers are required to be notified of all material returns)*

Purchase Order: _____ Line Item: _____
Item Description: _____
RMA Number: _____ UAH Asset Number *(If applies)*: _____
Reason for return: _____

Mail Services

Policies and Procedures

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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/Procurement Card, Central Receiving & Shipping/Asset Management, **Mail Services**, Telecommunication Services, and the UAH Copy Center. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 also be authorized at the discretion of the Director of Procurement & Business Services on an as needed basis. ****

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 (UAH) 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 UAH 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 Associate 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

All Personal Off-Campus Mail that requires postage and the purchase of stamps are now processed in Charger Union Room 121 in the Copy Center / Mail Service Outlet 256-824-6964. If you already have postage on your personal mail it can be dropped off in any Off-Campus mail location on campus. Any personal Accountable Mail (Certified, Express, Insured, Registered, etc.) or personal International Mail you will need to take to your local Post Office.

All Outgoing Mail leaves each day at 2:30pm. To give Mail Services time to process mail, please have it in the Mailroom no later than 2:00 pm. All mail after 2:30 (First Class Mail, Accountable Mail, Standard Mail, ect.) will go out the following day. If you'd like to drop off your outgoing mail at the NEW Copy/Mail Services Outlet, have it there by 11:30 am to go out that day.

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”).**

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. 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 UAH “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.5. 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 code

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).

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).



NOTE: The UAH “Logo” is administered through University Relations. Please contact University Relations before designing any pre-printed materials using the UAH 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 UAH 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 UAH 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.

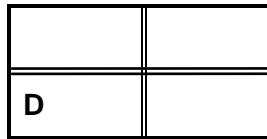
All articles of Standard Bulk Mail must be sorted and bundled by destination ZIP code. Every bundle must be secured with ¼-inch wide rubber bands. The top article of each bundle must have a sticker, total piece count, and valid UAH organization code. See Sections V.4. through V.7.

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



2. Three-Digit Bundles (All articles have the same three-digit ZIP code prefix):

- a. If ten or more articles have the same three-digit prefix, 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 green “3” sticker on the top article of each three-digit bundle in the lower left-hand corner of the article (see example below).
- d. Isolate the completed bundles from the remaining articles of mail and go to step 3.

Example, Three-Digit Bundles

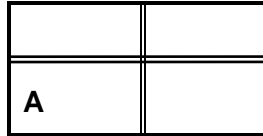


3. Area Bundles (Articles addressed to the same area as defined in *3-Digit ZIP Code Prefix Groups – ADC Sortation*, Figure MS-1):

- a. 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.)
- b. Bundle these articles together and secure with rubber bands per banding instructions in Section V.4., “Bundling and Banding.”
- c. 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).

- d. Isolate the completed bundles from the remaining articles of mail and go to step 4.

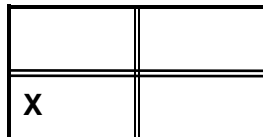
Example, Area Bundles



4. Mixed State Bundles (Articles meeting none of the above criteria):

- a. Sort remaining articles of mail by state.
- b. Bundle these articles and secure with rubber bands per banding instructions in Section V.4., "Bundling and Banding."
- c. 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



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.

All personal and stamped mail is now processed in Charger Union Bldg. Room 121. If your personal mail already has postage applied to it (stamped, pre-paid, etc.) you may drop it off at either Mail Service location Charger Union Rm. 121 or Mail Services CRB Rm.104 or in any designated mail drop box marked OFF CAMPUS located in each building on campus.

All OFF campus mail is processed and picked up by the United States Postal Service each day between 2:00 pm to 2:30 pm. All mail processed after this time goes out the following day.

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. UAH 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: Recipient and Department Name
301 Sparkman Drive
Huntsville, AL 35899**

The ZIP code 35899 is assigned to all buildings on the UAH 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: Recipient
P.O. Box 999
6230 Anderson Road
Redstone Arsenal, AL 35898

If UAH 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

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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.

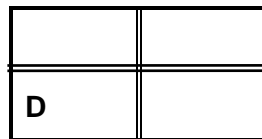
3. **Bundling, Sacking, and Banding** – All Standard Bulk Mail items larger than 5-inches in height and/or 10-inches in width must be bundled, banded, and sacked.
 - All sacked articles of Standard Bulk Mail must be sorted first by the ZIP code of destination, and then bundled according to the same. 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 UAH 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 $\frac{1}{4}$ ” to $\frac{1}{2}$ ” 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)

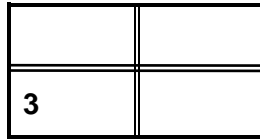
Example, 5-Digit Bundles



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



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)

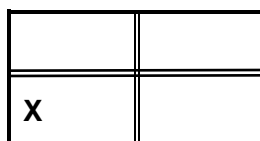
Example, Area Bundles



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



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.

Asset Management

Policies and Procedures

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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/Procurement Card, Central Receiving & Shipping, **Asset Management**, Mail Services, Telecommunication Services, and the UAH Copy Center. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 also be authorized at the discretion of the Director of Procurement & Business Services on an as needed basis. ****

ASSET MANAGEMENT

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I. GENERAL

I.1. Objective

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

Department heads and their designated property managers are responsible for ensuring that established policies and procedures related to equipment are followed.

The accountability for equipment lies with the department head who is responsible for all purchased and acquired property assigned to his or her area.

Asset Management is located in the Central Receiving Building on John Wright Drive and may be contacted at 256-824-6315 or by email at crb@uah.edu

I.2. Policy

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

I.3. Authority and Scope

Asset Management is responsible for:

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

Asset Management 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."

UNIVERSITY PURCHASED NON-CAPITAL EQUIPMENT / TRACKED PROPERTY (FIXED ASSETS)

The University tracks and maintains a fixed asset database records on designated University purchased non-capital equipment. According to Table AM-1, these equipment classifications include:

Table AM-2, Federally Funded Non-Capital Equipment Classifications

Equipment Description & Value	Accounting Codes
Computers and Computer Equipment costing \$1000 – \$4,999.99	7465
Audio Video Equipment costing \$1000 – \$4,999.99	7467
Other Equipment costing \$1000 – \$4,999.99	7469

FEDERALLY PURCHASED NON-CAPITAL EQUIPMENT / TRACKED PROPERTY (FIXED ASSETS)

The University tracks and maintains a fixed asset database record on some Federally funded non-capital equipment. According to Table AM-2, these equipment classifications include:

Table AM-2, Federally Funded Non-Capital Equipment Classifications

Equipment Description & Value	Accounting Codes
Computers and Computer Equipment (federal) costing \$0 – \$4,999.99	7456
Audio Video Equipment (federal) costing \$0 – \$4,999.99	7457
Other Equipment (federal) costing \$0 – \$4,999.99	7458

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 or by appraisal when required.

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 Asset Management (AM). AM personnel will visit the department and inspect the item(s). If AM determines the asset(s) has no value, AM 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 AM -1). Central Receiving/AM will provide this form, or it can be downloaded from the Business Services website (<http://www.uah.edu/business-services/faculty-staff/asset-management/forms>). **Departments are not authorized to cannibalize, scrap, or trash University property. Only Asset Management is approved to perform this function.**

II. INVENTORY SURVEY

II.1. Procedure

University titled capital and non-capital assets are surveyed every two years. Asset Management 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 software module.

After completing the survey, Asset Management must complete and sign the *Fixed Asset Inventory Acknowledgement Form* (Figure AM -2). This report will contain a listing of all fixed assets determined to be missing during the inventory survey. The report will be forwarded to the audited department for a response regarding any missing assets. The department will have 15 working days from the conclusion of the audit to respond, to Asset Management, concerning the status of all missing assets. If a department fails to respond to the missing asset report, at the end of the 15 working days, then it will be elevated within the department. If the missing items are not addressed within 15 working days of the departmental elevation, then it will be elevated to the Director of Procurement and Business Services. If after 10 working days there is no reply from the

department, it will be elevated to the Office of the Controller for further action as determined by the University. In the event the department refused to sign the supporting documentation, the forms will be signed by the Controller. See section II.4, "Missing Property."

NOTE: Asset Management is only responsible for collecting data. The individual departments are responsible for the care, maintenance and accountability of the University's 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 Asset Management completes the departmental audit.
4. Inventory Conducted By: — List all Asset Management 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 Asset Management 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

Asset Management uses the Disposition Codes described in Table AM -3 to account for equipment removed from a department's inventory.

Table AM -3, 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	Asset Management 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 AM -2) and is earmarked "Missing" on the property records. The Budget Unit Head should make every effort to locate the missing property and advise Asset Management if items are located.

Missing property will remain earmarked on the department's property records and the University accounting records for up to 60 days after completion of the department's inventory survey. If the missing property is not found after 60 days, a missing property report will be sent to the Controller for further action (unless paperwork is signed by the department). Asset Management 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 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

Designated property managers for each department are required to notify Asset Management of all equipment acquisitions, changes in custodians, transfers, and relocations. The departments involved must submit a *Property Relocation/Transfer Form* (Figure AM -3) to Asset Management. The form is available on the Asset Management website (<http://www.uah.edu/business-services/faculty-staff/asset-management/forms>), where it is titled "Property Relocation/Transfer."

NOTE: Following the termination of employees, it is required for departments to inform Asset Management of changes in the custodianship of assets. This can be done through the submission of the Property Relocation/Transfer Form.

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

UAH 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, deans, or director's office, and another copy is forwarded to Asset Management for annual follow-up. All departments loaning equipment must use the *UAH Property Relocation/Transfer Form* (Figure AM -3) to officially record the loan with Asset Management.

III.4. Stolen Property

The designated departmental property manager is required to notify Asset Management and University Police as soon as he or she suspects any

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 Asset Management. 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, Asset Management will advise Accounting and Finance to adjust the book value. A copy of the police report must be sent to the Asset Management Office before the item can be deleted from inventory records as stolen.

III.5. Transfers

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

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

Asset Management 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 Asset Management 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 AM -3) must be completed and submitted to the Asset Management Office.

NOTE: During a department's inventory survey, property located off-campus may be verified via the UAH Off-Campus Equipment Verification Worksheet (Figure AM-7).

III.7. Depreciation

Asset Management must use the depreciation codes according to *Property Classification Codes* (Figure AM-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 AM -1) must be used. This form is available on the Business Services' website (<http://www.uah.edu/business-services/faculty-staff/asset-management/forms>) under "Forms."

If a department plans to cannibalize, scrap, or otherwise dispose of University property, the department must first notify Asset Management (AM). AM personnel will visit the department and inspect the item(s). If AM determines the asset(s) has no value, AM 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 AM -1).

Departments are not authorized to cannibalize, scrap, or trash University property. Only Asset Management 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 AM 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 Asset Management.

IV. NEW PROPERTY

IV.1. Screening

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

Table AM -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 UAH 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 Asset Management at 256-824-6315 for campus-wide screening.*

IV.2. Fixed Asset Account Codes

Appropriate account codes, as described in Table AM -4, must be applied against fixed asset account expenditures at issuance of the Purchase Order.

Asset Management will tag the property with barcode labels, as applicable. The dollar value will be entered as the amount issued on the Purchase Order.

Table AM -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

Asset Management 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 DD Form 1149 that states the origin of the item
- UAH Non-Cash Gift Internal Approval / Acceptance Form

IV.4. Lease / Purchase Agreements

Equipment obtained under a Lease/Purchase agreement will be inventoried at the Lease/Purchase value. Asset Management 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 receives property directly from a vendor, or delivery is made directly to the department, the department must submit a Memorandum Receiving Report (MRR) to Accounts Payable and is required to notify Asset Management that property is available to tag and record. Asset Management will inventory and tag the property. 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.

Government property valued at \$5,000 or more, or property vested in the Government, will be tagged with a special Government / UAH 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 AM -5).

IV.6. Purchased Property

DEPARTMENT

- The Budget Unit Head determines the need for capital and non-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 and non-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 Senior Vice President for Finance and Administration or their designee.
- Procurement Services obtains competitive pricing and/or bids.
- Procurement Services issues a Purchase Order to the winning vendor.

CENTRAL RECEIVING / ASSET MANAGEMENT

- 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 approve assets using a new UAH barcode number as the approved asset number.
- For capital equipment, Central Receiving / Asset Management will tag the equipment with a barcode label.
- Asset Management 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
 - UAH 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 Accounts Payable and is required to notify Asset Management for tag placement and record creation. Tag placement must be completed within 30 days of property receipt. (See Section IV.5, "General Procedure").

IV.7. Property from Federal Contracts and Grants

UAH 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 UAH *Government Property Control System Manual (GPCSM)* (Figure AM -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 UAH 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, UAH is responsible for the care and maintenance of equipment records, which are maintained the same as UAH 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 UAH. A signed statement from the agency is necessary for equipment transfer to UAH. All requests for disposition of Government-owned property must be directed to OSP.

Asset Management 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 Asset Management system in accordance with UAH Asset Management Policies and Procedures.

Asset Management 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 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 appropriate 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 UAH 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 Asset Management and Accounting and Finance. This list indicates:

- Department delivered to or taking possession
- Description

- Donor
- Quantity
- Value

Asset Management sets up property records. Accounting and Finance sets up accounting records.

A *Temporary On-Loan/Donated Equipment Form* (AM - 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 UAH 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 UAH parts and labor and meeting the requirements of capital equipment (see Section I.4, “Definitions”) must be capitalized. Asset Management 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 Asset Management. Use the *Temporary On-Loan/Donated Equipment Inventory Form* (Figure IC-6) to report the receipt of loaned assets to Asset Management. This form is available on the Asset Management website (<http://www.uah.edu/business-services/faculty-staff/asset-management/forms>) 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 Asset Management.

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 Asset Management using the UAH Property Disposition Form.

Asset Management

Attachments

ASSET MANAGEMENT ATTACHMENTS

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FIGURE AM -4	.	Property Classification Codes
FIGURE AM -5	.	Government Property Control System Manual (See accompanying document)
FIGURE AM -6	.	Temporary On-Loan / Donated Equipment Inventory Form
FIGURE AM-7	.	Off-Campus Equipment Verification Worksheet

Figure AM -1

**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 Asset Management, Central Receiving Building, Room 100. Call (256) 824-6315 if you have any questions.

Date of disposal or loan: (1) _____

(2) **Capital Equipment Disposition**

<u>UAH ID NUMBER</u>	<u>DESCRIPTION</u>	<u>DISPOSITION METHOD</u>
(3)	(4)	(5)

Disposal Justification:
(6) _____

Details of Loan Agreement: (7)
 Department Loaning Equipment: _____
 Receiver of Loaned Equipment: _____
 Location of Loaned Equipment: _____
 Length and Condition of Loan: _____

(8) 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 AM -2

Fixed Asset Survey Acknowledgement Form

1 Dept: _____ Dept. Org. # _____

3 Survey Completion Date: _____

4 Survey Conducted by: _____

Asset Management Representative (print) Department Representative (print)

Asset Management Representative Department Representative

We, the undersigned, certify and acknowledge that a fixed asset survey audit was conducted by UAH Asset Management 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

UAH ID Number	Description	Last Known Location

(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 Asset Management if items are located.

Missing property will remain earmarked on the department's property records and the University accounting records until after completion of the department's inventory survey. 15 working days will be given to receive a signature on the form. 15 working days will be given to located missing property not found during the survey. 15 working days given, if missing property is not found, to elevate to Budget Head. 15 working days give, if missing property is still not located, missing property reported to Controller for further action as deemed necessary by the University..

7 _____
Budget Unit Head/Director/Chair/Dean Asset Management

Figure AM -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 Asset Management, 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. _____

⑪ Department _____

⑫ From Location (Bldg/Rm) _____

⑬ To Location _____

⑭ Approval _____

Department Head

Figure AM -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 AM -5

Government Property Control System Manual - please review/click on the accompanying document

Figure AM -6

UAH PROPERTY INVENTORY TEMPORARY ON-LOAN / DONATED EQUIPMENT INVENTORY FORM

This form is for TEMPORARY ASSET/DONATED EQUIPMENT inventory purposes only and is to be used when:

- A department receives item(s) of capital equipment valued at \$5000 or greater on temporary loan from an **outside agency**, or
- A department receives donated item(s) of capital equipment valued at \$5000 or greater

INSTRUCTIONS: This form is NOT to be used for gift receipt purposes. Donated equipment must be coordinated in advance through the University Development Office, in accordance with University Development policy and procedures, using the UAH Non-Cash Gift Approval/Acceptance Report. This inventory form shall not substitute as a gift receipt.

Complete the form below, including appropriate signatures by those with authority over the equipment, and submit to Asset Management, Central Receiving Building, Room 101. Call (256) 824-6315 if you have any questions. **NOTE: Campus relocation of assets must be reported using the Inventory Property Relocation form.**

Date of Inventory Addition Request: (1)

DESCRIPTION OF RECEIVED ASSET(s):

MODEL No. (2)	DESCRIPTION (3)	SERIAL No. (4)	VALUE (5)
_____ / _____	_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____	_____ / _____
_____ / _____	_____ / _____	_____ / _____	_____ / _____

(6) **UAH Location of Equipment:** Building: _____ Room: _____ Department: _____

DETAILS OF INCOMING LOAN:

(7) **Length of Loan:** _____

(8) **Terms and Conditions of Loan:** _____

(9) **PROPERTY OWNER (Loaned Equip. Only):**

Name _____
 Phone No. _____
 Company/Govt. Agency Name _____
 Building/Room No./Department _____
 Company/Agency Approval Signature _____ Date _____

(10) **UAH CUSTODIAN (All Equipment)**

Name _____
 Phone No. _____
 Department _____
 Building/Room No. _____
 Department Head Approval Signature _____ Date _____

RETURN OF ASSET AT END OF LOAN TERM

Return of temporary assets owned by outside agencies to property owner(s) must **immediately** be reported to Inventory Control using the Inventory Control **Property Disposition** form. Inventory Control must be notified in advance of return so that the property tag(s) can be removed prior to returning property to owner.

For Inventory Control Use Only

UAH Property Tag No.: _____
 UAH System Asset No.: _____
 Date Created: _____
 Record Entered by: _____
 Signature/Title _____



OFF CAMPUS EQUIPMENT VERIFICATION WORKSHEET

Purpose: All trackable equipment located off-campus must be accounted for during the physical inventory process. If you have UAH - owned or government-owned equipment at an off-campus location, you must complete this worksheet

To be completed by the person with custody of equipment at a location other than the UAH campus. The following pieces of equipment are assigned to your custody. Please fill out all fields below and return completed form to UAH Asset Management at the address listed below.

Asset Tag	Description	Serial Number	Condition Code	Complete Off-campus Location Address	Comments

I hereby certify the equipment was physically verified and the information listed above is current, accurate and complete.
 Printed Name: _____ Signature: _____ Date: _____

Note: In the event of large lists a separate spreadsheet listing of equipment may be attached.

- Condition Codes:** 101 - Unused and in good condition
 102 - Unused and in fair condition
 103 - Unused and in poor condition
 201 - In use and in good condition
 202 - In use and in fair condition
 203 - In use and in poor condition

If you have questions or need assistance completing this form, call (256) 824-6315

Unit/Dept. Equipment Custodian: Submit completed form to: UAH Asset Management, Central Receiving Bldg., Room 100

The UAH Copy Center

Policies and Procedures

INTRODUCTION

Business Services

Business Services provides centralized procurement and communication services to the University of Alabama in Huntsville (UAH) 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/Asset Management, Mail Services, Telecommunication Services, and the **UAH Copy Center**. 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 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 of Finance & Business Services and/or the Senior 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 of Finance & Business Services and the Senior 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 also be authorized at the discretion of the Director of Procurement & Business Services on an as needed basis. ****

THE UAH COPY CENTER
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I. GENERAL

I.1. Objective

The primary responsibility of the UAH Copy Center is to provide the University of Alabama in Huntsville (UAH) Community with centralized state of the art printing services, which includes electronic printing, scanning and copying services.

The UAH 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. Authority

The UAH Copy Center has the authority to perform all printing and copying jobs for the UAH Community. All UAH faculty, staff, and students are encouraged to use the UAH Copy Center. The UAH Copy Center is also available to the local community.

I.3. 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 UAH Copy Center is open from **8:00 a.m.–5:00 p.m., Monday through Friday.**

III. SERVICES AND PRODUCTS

III.1. Services

The UAH 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 UAH Copy Center accepts American Express, Discover, MasterCard, and Visa. We also accept cash and checks.

III.2. Finished Products

The UAH 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 UAH 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 UAH Copy Center and talk with a customer service representative. **The UAH Copy Center cannot provide accurate estimates over the telephone.**

III.4. Design

Contact the UAH Office of Marketing & Communications, located in Shelbie King Hall (SKH) room 324, at 256-824-6414 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 UAH Copy Center. Bring the completed Form, with appropriate signatures, and the printing/copying project to the UAH Copy Center. The project may also be submitted electronically, by emailing your file to copycenter@uah.edu.

There is a separate form for business cards, letterhead, notepad and envelope print requests. To submit a request for these items users should complete a Business Card, Letterhead, Notepad and Envelope Order Form.

The order forms are also available online on the UAH Copy Center website on the UAH Business Services webpage. The following are links to the two online order forms:

Regular Order Form:

https://www.uah.edu/images/administrative/business-services/regular_printing_order_form.pdf

Business Card, Letterhead, Notepad and Envelope Order Form:

http://www.uah.edu/images/administrative/business-services/business_card_letterhead_envelope_order_forms_2016.pdf

If you require assistance completing the appropriate work order form for your print request, please contact the UAH Copy Center by phone at 256-824-6383, or by email at copycenter@uah.edu.

V. PROOFING AND APPROVING DOCUMENTS

The UAH 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 UAH 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 UAH 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).

VII. UAH COPY & MAIL SERVICES OUTLET

The UAH Copy & Mail Services Outlet (Copy Outlet) is located in the Charger Union, Room 121. The hours of operation for the Outlet are from 8:15 a.m. until 5 p.m. Monday thru Friday. The phone number to reach the Copy Outlet is 256-824-6964. The Copy Outlet offers basic black & white and color copying and printing. At the Copy Outlet you may make your own copies and/or prints, or the on-site personnel can assist you. The Copy Outlet also offers fax and scanning services.

In addition, the Copy Outlet offers basic Mail Services. It serves as a drop-off location for sending United States Mail. You can also buy stamps and envelopes as well as obtain various United States Postal Service Priority Mail packaging.

The Copy Outlet accepts cash, flex card, and debit/card cards as forms of payment. The Copy Outlet currently does not accept personal checks.

The UAH Copy Center

Attachments

THE UAH COPY CENTER ATTACHMENTS

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- FIGURE CC-2** . Business Card, Letterhead, Notepad and Envelope Printing Order

Figure CC-1

Regular Printing Order

















 <p>THE UNIVERSITY OF ALABAMA IN HUNTSVILLE</p>	<p>Printing Order Form</p>	<p>JOB# _____</p> <p>Reference # _____</p> <p>BSB // t 256-824-6383 // f 256-824-6842 // copycenter@uah.edu</p>
<p>*Please fill out ALL requested information</p> <p>*Requested By _____</p> <p>*Phone # _____</p> <p>*Bldg/Rm # _____</p>		<p>* Department _____</p> <p>* Date Submitted _____</p> <p>* Date Required _____</p> <p>* Account Number _____</p>
<p><input type="checkbox"/> Delivery <input type="checkbox"/> Pick Up <input type="checkbox"/> Call When Ready <input type="checkbox"/> Email When Ready</p>		
<p>*Job Name _____</p>		
Paper Selection	<p>Paper Size _____ Paper Weight _____ Paper Color _____</p> <p>Cover Size _____ Cover Weight _____ Cover Color _____</p>	
CHECK ALL THAT APPLY	<p>Binding Options</p> <p><input type="checkbox"/> Cut</p> <p><input type="checkbox"/> Score</p> <p><input type="checkbox"/> Trim to Bleed</p> <p><input type="checkbox"/> Shrink Wrap</p> <p>Lamination</p> <p><input type="checkbox"/> 8 1/2 x 11</p> <p><input type="checkbox"/> 11 x 17</p>	
	<p>Staple Options</p> <p><input type="checkbox"/>  Staple</p> <p><input type="checkbox"/>  Dual Staple</p> <p><input type="checkbox"/>  Landscape</p> <p><input type="checkbox"/>  Portrait</p>	<p>Folding Options</p> <p><input type="checkbox"/> Tri - Fold</p> <p><input type="checkbox"/> Half Fold</p> <p><input type="checkbox"/> Z Fold</p> <p><input type="checkbox"/> Quad Fold</p>
	<p>Perforation (Not Done in House)</p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p>	<p>Drilling Options</p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p>
	<p>OverSize Print</p> <p><input type="checkbox"/> Vinyl Banner</p> <p><input type="checkbox"/> Coroplast Sign</p> <p><input type="checkbox"/> Grommets</p> <p><input type="checkbox"/> Foamcore</p>	<p>Padding Options</p> <p><input type="checkbox"/>  Portrait</p> <p><input type="checkbox"/>  Landscape</p>
	<p>GBC/Coil Binding</p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p> <p><input type="checkbox"/> </p>	
<p>Number of Originals _____ Number of Copies _____ Total Copies _____</p> <p><input type="checkbox"/> Copy One Sided <input type="checkbox"/> Copy Two Sided NOTE: SHARP CLEAN ORIGINALS REQUIRED. PLEASE REMOVE ALL STAPLES.</p>		
Special Instructions	<p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	
		<p><input type="checkbox"/> Black & White</p> <p><input type="checkbox"/> Color</p> <p>Printing Charges:</p> <p>Account Code: 7517</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Total Cost \$ _____</p>
<p>Department Head Approval: _____</p>		

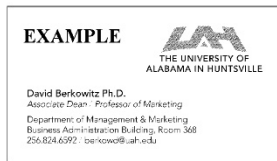
Figure CC-2

Business Card, Letterhead, Notepad & Envelope Printing Order

 THE UNIVERSITY OF ALABAMA IN HUNTSVILLE	Business Card, Letterhead, Notepad and Envelope Order Form UAH COPYCENTER JOB# _____ Reference # _____ BSB // t 256-824-6383 // f 256-824-6842 // copycenter@uah.edu
*Please fill out ALL requested information	
*Requested By _____	* Date Submitted _____
*Phone # _____	* Date Required _____
*Bldg/Rm # _____	* Account Number _____

*Please note all changes must be submitted to the Office of Marketing and Communications Department. Contact Patti Sparkman @ 256-824-6414.
 *Please send a copy of this form to the copy center for printing (we cannot print without paperwork)

Business Cards



Re-Order New File

*Name on Card _____

*Quantity _____

Letterhead



Re-Order New File

*Quantity _____

Notepads



Re-Order New File

*Name on Notepad _____

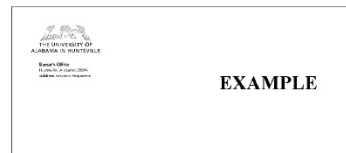
*Quantity _____

*Sheets per pad _____

*Note Pad Size () 4 x 6 () 5 1/2 x 8 1/2 () Other Please specify

*Note Pads Padded () Yes () No

Envelopes



Re-Order New File

() Window () Non Window () # 9

*Quantity _____

Department Head Approval: _____

Total: \$ _____

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 UAH Copy Center is to provide the University of Alabama in Huntsville (UAH) 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 UAH Copy Center has copy machines in every building on campus.

The UAH 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 UAH Copy Center is to provide copying equipment to the UAH Community. All requests must be submitted to the UAH 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 UAH Copy Center has the sole authority to place, monitor, and maintain all copying equipment on the UAH 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 UAH Copy Center is assigned one individual to be the key operator for that machine. Key operators are trained by the Copy Center and contracted 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 UAH 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 UAH 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 UAH 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 UAH Copy Center. The UAH 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 any reputable company. They will try to sell you dry ink cartridges. As a reminder: **ORDER SUPPLIES ONLY THROUGH THE UAH COPY CENTER.***

III.5. Monitoring Paper Usage

The UAH 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 UAH 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 contracted 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

UAH 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 UAH 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 contracted 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."