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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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. ***
## PROCUREMENT SERVICES

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Revised 11/2016
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**

<table>
<thead>
<tr>
<th>Requisitions for:</th>
<th>Individual/Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>All fund 2xxxx accounts and cost sharing fund 159xxx accounts that are companion accounts to 2xxxx accounts</td>
<td>Contracts &amp; Grants Accounting</td>
</tr>
<tr>
<td>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</td>
<td>Contracts &amp; Grants Accounting</td>
</tr>
<tr>
<td>Any individual purchases over $25,000.00</td>
<td>Vice President for Finance and Administration</td>
</tr>
<tr>
<td>Radioactive supplies</td>
<td>Environmental Health &amp; Safety</td>
</tr>
<tr>
<td>Vehicles, purchase or lease</td>
<td>Facilities &amp; Operations</td>
</tr>
</tbody>
</table>

**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](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. Deparmental 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 date.

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
Policies & Procedures

- 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.


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:
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](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 textbooks 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.

Revised 11/2016
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/mailing 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:
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>
<thead>
<tr>
<th>Copy</th>
<th>Recipient</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>White (1)</td>
<td>Vendor</td>
<td>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.</td>
</tr>
<tr>
<td>Green (2)</td>
<td>State</td>
<td>Forward this copy with the Yellow copy to Contracts &amp; Grants Accounting</td>
</tr>
<tr>
<td>Yellow (3)</td>
<td>Contracts &amp; Grants Accounting</td>
<td>Forward this copy with the Green copy to Contracts &amp; Grants Accounting upon issuance. A copy of the email approval from Procurement must be attached.</td>
</tr>
<tr>
<td>Pink (4)</td>
<td>Procurement Services</td>
<td>Forward this copy to Procurement Services</td>
</tr>
<tr>
<td>Gold (5)</td>
<td>Department</td>
<td>Retain for department files.</td>
</tr>
</tbody>
</table>

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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)
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;
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 of 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](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

Revised 11/2016
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.

Revised 11/2016
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>
<thead>
<tr>
<th>Price Range</th>
<th>Procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td>$14,000.00 and below</td>
<td>Procurement Services contacts vendors and receives quotations with no documentation required.</td>
</tr>
<tr>
<td>$14,000.01 to $14,999.99</td>
<td>Procurement Services receives quotations with supporting documentation attached to Requisitions (faxed or mailed to UAH).</td>
</tr>
<tr>
<td>$15,000.00 and above</td>
<td>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.</td>
</tr>
</tbody>
</table>

**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](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](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

 Revised 11/2016
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...
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

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FIGURE PS-4 . . . Sole Source Justification Requirements
FIGURE PS-5 . . . Purchase Order
FIGURE PS-6 . . . Contract Guidelines
FIGURE PS-7 . . . Contract for Professional Services
FIGURE PS-8 . . . General Terms and Conditions
FIGURE PS-9 . . . Amendment of Contract
FIGURE PS-10 . . . General Conditions
FIGURE PS-11 . . . Request for Formal Bid

Revised 11/2016
### Figure PS-1

**The University of Alabama in Huntsville**
**Banner Finance Self-Service (FSS) Request Form**

<table>
<thead>
<tr>
<th>Step One - Application Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: ___________________________</td>
</tr>
<tr>
<td>Phone: __________________________</td>
</tr>
<tr>
<td>Email: __________________________</td>
</tr>
<tr>
<td>First MI Last Fax: __________________________</td>
</tr>
<tr>
<td>Department Name: ______________________</td>
</tr>
<tr>
<td>Banner ID: A ______________________</td>
</tr>
<tr>
<td>OR SSN #: ______________________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step Two - Check Module Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finance Self Service Includes Budget and Encumbrance Queries, View &amp; Approve Documents, Purchase Requisitions, and Budget Transfers.</td>
</tr>
<tr>
<td>Posting Only</td>
</tr>
<tr>
<td>Budget Development Restricted to only those who develop the annual budgets.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step Three - 6 Digit Organizational Code Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>___________ ___________ ___________ ___________</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step Four - Applicant’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>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 &amp; Network Use Policy &amp; the University Confidentiality Statement</td>
</tr>
</tbody>
</table>

| Signature: ______________________ |
| Date: ______________________ |

<table>
<thead>
<tr>
<th>Step Five - Department Authorization</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

| Signature: ______________________ |
| Title: ______________________ |
| Name (Print): ______________________ |
| Date: ______________________ |

(To Be Completed by Office of Budgets & Management Information)
Madison Hall 221

<table>
<thead>
<tr>
<th>The applicant has received training in Banner Self-Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fund: ______________________</td>
</tr>
<tr>
<td>Organizational Code: ______________________</td>
</tr>
</tbody>
</table>

| Approved Date Position #: ______________________ |

Revised 11/2016
**Figure PS-2**

**FLOW DIAGRAM OF REQUISITION PROCEDURE**

1. **Requisition entered into Banner Self-Service**
   - **RUSH**
   - **Change**

2. **Contract & Grant or Cost Sharing Companion Account?**
   - **YES** → **Contracts & Grants Accounting Approval**
   - **NO**
      - **Over $25,000?**
        - **YES** → **VP Finance & Administration**
        - **NO** → **Radioactive?**
          - **YES** → **Environmental Health & Safety**
          - **NO** → **Vehicle: purchase or lease?**
            - **YES** → **Facilities & Operations**
            - **NO** → **Contract for Professional Services**
              - **YES** → **Senior Business Services Asst.**
              - **NO**

3. **Procurement Officer (Bid)**
   - **PO processed**
     - **Procurement Staff matches PO & Requisitions**
       - **YES** → **Printed PO & Copy**
       - **NO** → **Preprinted AVP Signature on PO**
     - **Electronic PO approvals as required**

4. **Distribution by Procurement Services Technician**
   - **Vendor**
   - **Department**
   - **File**

Revised 06/2016
<table>
<thead>
<tr>
<th>Banner Account Code</th>
<th>Category</th>
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<tbody>
<tr>
<td>7103</td>
<td>Honorariums and Consultants¹</td>
</tr>
<tr>
<td>7151</td>
<td>Advertising</td>
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<td>7152</td>
<td>Institutional Dues and Memberships</td>
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<td>7153</td>
<td>Institutional Subscriptions</td>
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<td>7156</td>
<td>Postage and Freight</td>
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<td>7159</td>
<td>Telephone Expense</td>
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<tr>
<td>7167</td>
<td>Printing</td>
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<tr>
<td>7168</td>
<td>Binding and Publications</td>
</tr>
<tr>
<td>7170</td>
<td>Bulletins and Catalogs</td>
</tr>
<tr>
<td>7171</td>
<td>Page Charges</td>
</tr>
<tr>
<td>7172</td>
<td>Internet/Web Services</td>
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<tr>
<td>7174</td>
<td>Software Purchase</td>
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<td>7175</td>
<td>Software Maintenance Support</td>
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<tr>
<td>7205</td>
<td>Travel: Air</td>
</tr>
<tr>
<td>7210</td>
<td>Travel: Rail/Bus</td>
</tr>
<tr>
<td>7216</td>
<td>Travel Over 60 Days Taxable</td>
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<tr>
<td>7220</td>
<td>Travel Expense²</td>
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<tr>
<td>7229</td>
<td>Vehicle Rental</td>
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<tr>
<td>7230</td>
<td>Personnel Recruitment</td>
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<tr>
<td>7231</td>
<td>Personnel Recruitment Advertisement</td>
</tr>
<tr>
<td>7232</td>
<td>Moving Expense</td>
</tr>
<tr>
<td>7245</td>
<td>Travel Expense: Non-Employee</td>
</tr>
<tr>
<td></td>
<td>For reimbursement of expenses or</td>
</tr>
<tr>
<td></td>
<td>travel.</td>
</tr>
<tr>
<td>7304</td>
<td>Maintenance and Repair: Equipment</td>
</tr>
<tr>
<td>7306</td>
<td>Maintenance Agreements</td>
</tr>
<tr>
<td>7310</td>
<td>Hazardous Material Handling</td>
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<tr>
<td>7312</td>
<td>Rental of Equipment</td>
</tr>
<tr>
<td>7313</td>
<td>Rental of Premises</td>
</tr>
<tr>
<td>7314</td>
<td>Lease of Vehicles</td>
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<tr>
<td>7317</td>
<td>Vehicle Fuel Charges</td>
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<tr>
<td>7318</td>
<td>Maintenance &amp; Repair – Athletic Fields</td>
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<tr>
<td>7319</td>
<td>F&amp;O Mechanical Contractor</td>
</tr>
<tr>
<td>7320</td>
<td>F&amp;O Electrical Contractor</td>
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<tr>
<td>7321</td>
<td>F&amp;O Other Contractor Service</td>
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<tr>
<td>7404</td>
<td>Office Supplies</td>
</tr>
<tr>
<td>7406</td>
<td>Educational Supplies</td>
</tr>
<tr>
<td>7425</td>
<td>Books: Non-Library</td>
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<tr>
<td>7428</td>
<td>Other Supplies and Materials</td>
</tr>
<tr>
<td>7430</td>
<td>Chemical Supplies</td>
</tr>
<tr>
<td>7431</td>
<td>Radioactive Materials</td>
</tr>
<tr>
<td>7432</td>
<td>iPods, PDAs, etc.</td>
</tr>
<tr>
<td>7433</td>
<td>Computer and Peripheral Supplies</td>
</tr>
<tr>
<td>7434</td>
<td>Laboratory Supplies</td>
</tr>
<tr>
<td>7435</td>
<td>Supplies: Equipment Manufacturing³Will not incur indirect charges.</td>
</tr>
<tr>
<td>7436</td>
<td>Supplies: Equipment Manufacturing³Will incur indirect charges.</td>
</tr>
<tr>
<td>7437</td>
<td>Supplies: UAH Bookstore</td>
</tr>
</tbody>
</table>

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<tr>
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<th>Category</th>
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<tbody>
<tr>
<td>7453</td>
<td>Internal Enhancements ($2,000–$4,999)</td>
</tr>
<tr>
<td>7454</td>
<td>Other Equipment ($2,000–$4,999)</td>
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<tr>
<td>7455</td>
<td>Musical Instruments/Equipment $2,000–$4,999</td>
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<tr>
<td>7456</td>
<td>Computers &amp; Peripherals (Federally funded) $0–$4,999.99</td>
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<tr>
<td>7457</td>
<td>Audio Visual (Federally funded) $0–$4,999.99</td>
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<tr>
<td>7458</td>
<td>Other Equipment (Federally funded) $0–$4,999.99</td>
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<td>7464</td>
<td>Computers &amp; Peripherals $500–$999.99</td>
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<tr>
<td>7465</td>
<td>Computers &amp; Peripherals $1,000–$4,999.99</td>
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<td>7466</td>
<td>Audio Visual under $1,000</td>
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<td>7467</td>
<td>Audio Visual $1,000–$4,999.99</td>
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<tr>
<td>7468</td>
<td>Other Equipment under $1,000</td>
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<tr>
<td>7469</td>
<td>Other Equipment $1,000–$4,999.99</td>
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<tr>
<td>7603</td>
<td>Business Conferences and Luncheons</td>
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<td>7604</td>
<td>Plaques and Awards</td>
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<td>7605</td>
<td>Cash Awards</td>
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<tr>
<td>7612</td>
<td>Registration Fees: Conferences</td>
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<td>7621</td>
<td>Other Miscellaneous Operating Expenditures</td>
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<td>7633</td>
<td>Miscellaneous Reimbursement Over 60 Days Taxable</td>
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<tr>
<td>8101</td>
<td>Movable Equipment (excluding vehicles)¹</td>
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<tr>
<td>8103</td>
<td>Internal Enhancements over $5,000</td>
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<tr>
<td>8105</td>
<td>Equipment Special PR</td>
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<td>8107</td>
<td>Vehicles</td>
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<tr>
<td>8108</td>
<td>Payment on Equipment Obligations (Lease-Purchase)</td>
</tr>
<tr>
<td>8109</td>
<td>Fixed Equipment</td>
</tr>
<tr>
<td></td>
<td>For equipment and fixtures to be attached to a building which increases the value of the building</td>
</tr>
<tr>
<td>8111</td>
<td>Fixed Equipment-not capitalized (improvement) $5,000 and above</td>
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</tbody>
</table>

**PROFESSIONAL SERVICES CONTRACTS CODES**

<table>
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<th>Banner Account Code</th>
<th>Category</th>
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<tbody>
<tr>
<td>7114</td>
<td>Contract: Not an individual up to $25,000</td>
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<tr>
<td>7115</td>
<td>Contract: Not an individual over $25,000</td>
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<tr>
<td>7116</td>
<td>Contract: Individual up to $25,000</td>
</tr>
<tr>
<td>7117</td>
<td>Contract: Individual over $25,000</td>
</tr>
</tbody>
</table>

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.
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.
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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
Figure PS-5

PURCHASE ORDER
(Front)

The University of Alabama in Huntsville
Procurement Services
Huntsville, AL 35899

PURCHASE ORDER NUMBER:
P0063348

DATE:
02/09/15

PURCHASE ORDER NUMBER MUST APPEAR ON ALL INVOICE, PURCHASE ORDER, SHIPPING PAPERS, CONTAINERS, AND PACKING LIST.

VENDOR NUMBER:
A25034644

Dell Marketing LP
One Dell Way
Round Rock TX 78664

SHIP TO:
P0063348/VT. Fields
UAH Central Receiving Bldg
301 Sparkman Drive
Huntsville AL 35899

TERMS:
Net 30 days

FOR:
P0B Destination - UAH
256-824-649

ESTIMATED DELIVERY:
02/10/15

PROCUREMENT CONTACT:
Joy I. Benefield

REFERENCE:
Reference 2015-128
Reference Quotes 7907275567
Reference Revised Quote 790773303

<table>
<thead>
<tr>
<th>ITEM NO</th>
<th>QUANTITY</th>
<th>UNIT</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td></td>
<td>2.00 BA Laptop, Dell Latitude E5550/E5555 CPU, Windows 7 Pro, English, 64-Bit; Included Docking Station; Warranty: Dell Limited Hardware, 3 Yrs; ProSupport: Dell Technical Support, 3 Yrs</td>
</tr>
</tbody>
</table>

UNIT PRICE: 1,465.7800
EXTENSION: 2,931.56

DISCOUNT: .00
ADDS CHARGED: .00
TOTAL TAXES: .00
TOTAL: 2,931.56

Robert Yeoward
UAH Authorized Purchasing Official

Revised 06/2016
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 89-352, 86th 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 additional attached as 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 of all items 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. 2006-657: Alabama Law (Section 41-4-116, Code of Alabama 1975) provides that every bid submitted and contract executed shall contain a notification that the vendor, or 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 excise 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. 2006-657, they are not barred from bidding or entering into a contract pursuant to 414-4-116, 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 or modify, 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 of 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 same or similar materials, supplies, equipment, 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 rescission has 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 with written authority of the Purchasing Office.

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.

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

REVISIONS: All supplies purchased hereunder are subject to inspection and rejection upon receipt by the University, and rejected supplies must 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 of the returned supplies shall be final and conclusive on all shipments not accompanied by a package label. 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 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, or shortages at Vendor's expense and to deduct from the price the cost of such correction.

TITLE AND RISK OF LOSS: The title and risk of loss of the goods shall pass to Buyer until Buyer actually receives the goods at the point of delivery.

MEDIES AND APPLICABLE LAW: This agreement shall be governed by and between Buyer and Seller shall be all remedies afforded 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 website at: http://www.ua.edu/business-services/purchase-order-terms
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)

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

CONTRACT FOR PROFESSIONAL SERVICES

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").

WITNESS H:

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:

2. Compensation. The University shall pay the Contractor (from Contract/Account No. ____________________________) as follows (check one or more if applicable):
   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 60 days after completion of contract, unless a different arrangement (e.g., monthly, upon proper billing, etc.) is herein set forth:

______________________________
______________________________
______________________________
______________________________
______________________________
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______________________________
______________________________
______________________________
______________________________

Revised 06/2016
CONTRACT FOR PROFESSIONAL SERVICES
(Back)

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 it set forth in full herein.

5. **Attorney 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.):

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**

BY: __________________________
Name: __________________________
Title: __________________________
Address: __________________________

Date: __________________________
Soc. Sec. No./Tax Identification Number: __________________________

Date: __________________________

---

**Revised 06/2016**
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*Revised 06/2016*
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
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 contact 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
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

BY: ________________________________ ________________________________
   Name: ________________________________
   Title: ________________________________

______________________________ ________________________________
Date Date

REV. 5/07

Revised 06/2016
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

Revised 06/2016
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.

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<tr>
<th>F.O.B. Point</th>
<th>TERMS</th>
<th>WARRANTY</th>
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<tr>
<td>UAH DESTINATION</td>
<td>YOUR REFERENCE NO.*</td>
<td>QUOTATION EFFECTIVE UNTIL</td>
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<td>ESTIMATED DELIVERY</td>
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<tr>
<td>BUSINESS CLASSIFICATION (see note below):</td>
<td>EMAIL ADDRESS:</td>
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* 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.

REV. 8/12

Revised 06/2016
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.
# 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 parent, and a sibling and his or her spouse. The term "Dependent" shall include any person, regardless of his or her legal residence or domicile, who receives more than 50 percent of his or her support from the public official or employee or his or her spouse, or who resides with the public official or employee for more than 180 days during the reporting period.
- **"Public Official."** Any person elected to public office, whether or not that person has taken office, by vote of the people at state, county, or municipal level of government or their instrumentalities, including governmental corporations, and any person appointed to take a position at the state, county, or municipal level of government or their instrumentalities, including governmental corporations.
- **"Relationship."** Limited to familial or business in nature, or a personal relationship that the existence of which creates a Conflict of Interest or the appearance of a Conflict of Interest that would require disclosure under Board Rule 105.
- **"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)

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<th>Entity Name:</th>
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<td>Individual Name:</td>
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<td>Title:</td>
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<td>Address Line 1:</td>
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<td>Address Line 2:</td>
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<td>City, State, Zip:</td>
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<tr>
<td>Telephone:</td>
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## 2. UAS Entity with which you propose an Agreement? (i.e. University, College, Department, etc.)

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## 3. Describe the proposed Agreement:

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<th>Goods and services to be provided:</th>
<th></th>
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<tbody>
<tr>
<td>Grant or proposal number (if applicable):</td>
<td></td>
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<tr>
<td>Amount or anticipated amount:</td>
<td></td>
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<tr>
<td>Term:</td>
<td></td>
</tr>
</tbody>
</table>

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

Revised 06/2016
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

Revised 06/2016
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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Revised 11/2016
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.

1.2. 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/](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](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:**

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

**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.

Revised 11/2016
2. For the 2\textsuperscript{nd} violation, the cardholder will \textbf{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 3\textsuperscript{rd} 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. \textit{(Note: Training reduces point total by half)}

\begin{itemize}
  \item 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.
  \item Procurement Card Services reserves the right to require retraining or to revoke cards for repeat violations.
\end{itemize}

XIII. COMPLETING A PROCUREMENT CARD TRANSACTION

General

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

\begin{itemize}
  \item Check the list of Procurement Card Restrictions (Figure PC-7) to make sure it is not a restricted item.
  \item Determine if the intended transaction is for travel. If so, a Purchase Request must be created in the P-CARD VENDOR SOFTWARE.
  \item Identify whether a State or University contract is available that could be applicable to your purchase. \textit{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.}
  \item Sales and Use Tax: \textit{The Cardholder should advise the supplier of the tax exempt status and should monitor the purchases to verify that no} ...
\end{itemize}


**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](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 statues 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

List of Figures

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

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 _______ Travel (airfare, hotels, car rental) _______

Job Title _______

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

Default State FOAPAL - (Fund, Org, Prog) _______ ORG CODE _______

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

Suggested Monthly Spending Limit _______

*** Amount Must Be Specified ***

Department Reconductor Name _______ Campus Location _______ 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)

Monthly Credit Limit _______ Single Transaction Limit _______

$2,999.99 FIXED _______

Sr. Procurement Card Site Coordinator’s Signature _______ Date Received _______ Date Processed _______

Rev May 2016

Revised 11/2016
# Figure PC-3
## GRANT PURCHASE REQUEST FORM

**Date:** ____________________  
**Procurement Card# (last four digits):** ____________  
___ Check if Urgent/Rush Order

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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

---

*Revision 11/2016*
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 __________________________

Revised 11/2016
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: __________
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, Ipads, 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 benefitting 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)*
  o Air Fare for individuals for business related travel
  o Conference Registration Fees
  o 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
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 ____________

Revised 11/2016
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
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.

Revised 11/2016
**RETURN MERCHANDISE AUTHORIZATION FORM**

**FOR PROCUREMENT CARD ORDERS**

**DEPARTMENT INFORMATION:**

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**VENDOR INFORMATION:**

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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. ***

Revised 11/2016
# CENTRAL RECEIVING & SHIPPING

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I. GENERAL

I.1. Objective

The primary responsibility of Central Receiving is to receive, distribute, and ship material for the University of Alabama in Huntsville (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 number 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 number 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.
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](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**

<table>
<thead>
<tr>
<th>Measurement</th>
<th>Limit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weight</td>
<td>150 pounds</td>
</tr>
<tr>
<td>Length + Girth</td>
<td>130 inches</td>
</tr>
<tr>
<td>Length</td>
<td>108 inches</td>
</tr>
</tbody>
</table>

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

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

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](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](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
| FIGURE CR-1 | . . . | Memorandum Receiving Report |
| FIGURE CR-2 | . . . | Gas Cylinder / Laboratory Alcohol Request Form |
| 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
SHELbie KING HALL 241
(256) 824-6425
Purchase Order No. ________

DATE: ____________

Issued To: ____________

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

PAYMENT FOR ENUMERATED ITEMS IS AUTHORIZED

<table>
<thead>
<tr>
<th>ITEM</th>
<th>QUANTITY</th>
<th>ITEM</th>
<th>COST PER UNIT</th>
<th>PURCHASE ORDER TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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.

Approved by: (Signature)  
Title: _______  
Division: _______  
Department: _______

Revised 11/2016
**FIGURE CR - 2**

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 conducting property accountability and inventory actions, and payment of rental and usage fees. To expedite delivery, fax or hand-deliver your request to the Central Receiving Building, Room 103. **Note:** This form must also be used to record all gas containers to be returned to the vendor. Any empty or unused gas container(s) must be noted at the bottom of this form by either the cylinder ID (or serial number), 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.

<table>
<thead>
<tr>
<th>TYPE OF GAS OR ALCOHOL</th>
<th>QTY</th>
<th>SIZE and/or PURITY</th>
<th>REQUESTING DEPARTMENT</th>
<th>CUSTODIAN (NAME)</th>
<th>DELIVERY LOCATION (BLDG AND ROOM NO.)</th>
<th>ACCOUNT NO.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**NAME OF DEPARTMENTAL OR PRINCIPLE INVESTIGATOR (FOR G & D ACCOUNTS) PLEASE PRINT**  
**PHONE NO:**  

**NAME OF DEPARTMENTAL OR PRINCIPLE INVESTIGATOR (FOR G & D ACCOUNTS) PLEASE PRINT**  
**PHONE NO:**  

**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:**  

CRB FORM 1-001 (Rev. 11/16)

*Revised 11/2016*
Change of Account Number for Billing of Containerized Gas Cylinder Rental Fees

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.

NOTE: ANY ORGS/FUNDS FOUND TO BE INACTIVE OR NOT DATA-ENTERABLE WILL BE CHARGED BACK TO YOUR HOME LABOR ACCOUNT.

<table>
<thead>
<tr>
<th>Expired Account Number</th>
<th>New Account Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal User/Responsible Person</td>
<td>Date of Requested Change</td>
</tr>
<tr>
<td>Quantity Gas Cylinders</td>
<td>Monthly Rental Fees/Charges</td>
</tr>
<tr>
<td>Name of Department</td>
<td>Building/Room Number</td>
</tr>
</tbody>
</table>

Reason for Change of Account Number:

<table>
<thead>
<tr>
<th>Printed Name of Principal User and/or Responsible Person</th>
<th>Printed Name of Budget Unit Head</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature of Principal User and/or Responsible Person</td>
<td>Signature of Budget Unit Head</td>
</tr>
</tbody>
</table>

NOTICE: THIS FORM MUST BE COMPLETED WITHIN 5 CALENDAR DAYS FOLLOWING EXPIRATION AND/OR CHANGE OF DEPARTMENTAL ACCOUNT NUMBER(S).
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

<table>
<thead>
<tr>
<th>UAH ID NUMBER</th>
<th>DESCRIPTION</th>
<th>DISPOSITION METHOD</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Disposal Justification:
__________________________________________________________

Details of Loan Agreement:
Department Loaning Equipment: ________________________________
Receiver of Loaned Equipment: ________________________________
Location of Loaned Equipment: ________________________________
Length and Condition of Loan: ________________________________

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

____________________________________ / _________________
Department Chairman                     Date

____________________________________ / _________________
Budget Unit Head                        Date

UAH/AM Form-011 Rev 5/2016

Revised 11/2016
Shipping Order and Returned Materials Request

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)*

<table>
<thead>
<tr>
<th>UPS</th>
<th>FedEx</th>
</tr>
</thead>
<tbody>
<tr>
<td>_____</td>
<td>_____</td>
</tr>
<tr>
<td>Service (Check One): Ground</td>
<td>Service (Check One): Ground</td>
</tr>
<tr>
<td>2nd Day Air</td>
<td>First Overnight</td>
</tr>
<tr>
<td>Next Day Air</td>
<td>Priority Overnight</td>
</tr>
<tr>
<td>Standard Overnight</td>
<td>Express Saver (Three Business Days)</td>
</tr>
</tbody>
</table>

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

Billing *(Check One and note account number)*

<table>
<thead>
<tr>
<th>Sender</th>
<th>Receiver</th>
<th>Third Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>_____</td>
<td>_____</td>
<td>_____</td>
</tr>
</tbody>
</table>
| Organization Code: ___________________________ | Account Number: ___________________________ | 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: ___________________________
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. ***
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 if 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, etc.) 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>
<thead>
<tr>
<th>Dimension</th>
<th>Measurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Weight</td>
<td>69-pounds or less</td>
</tr>
<tr>
<td>Length + Girth</td>
<td>108-inches or less</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Dimension</th>
<th>Minimum (in inches)</th>
<th>Maximum (in inches)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Length</td>
<td>5</td>
<td>11 ½</td>
</tr>
<tr>
<td>Height</td>
<td>3 ½</td>
<td>6 ⅛</td>
</tr>
<tr>
<td>Thickness</td>
<td>.007</td>
<td>¼</td>
</tr>
</tbody>
</table>

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>
<thead>
<tr>
<th>Sticker</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>D</td>
<td>Direct to five-digit ZIP code destination</td>
</tr>
<tr>
<td>3</td>
<td>Three-digit ZIP code prefix destination</td>
</tr>
<tr>
<td>A</td>
<td>Area destination</td>
</tr>
<tr>
<td>X</td>
<td>Mixed states destination</td>
</tr>
</tbody>
</table>

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**
   ![Example, Five-Digit Bundles](image)

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**
   ![Example, Three-Digit Bundles](image)

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

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FIGURE MS-2 . . Standard Bulk Mail Preparation Guidelines/Procedures
### Figure MS-1

**3-Digit ZIP Code Prefix Groups—ADC Sortation**

<table>
<thead>
<tr>
<th>Column A</th>
<th>Column B</th>
</tr>
</thead>
<tbody>
<tr>
<td>005, 115, 117-119</td>
<td>ADC LONG ISLAND NY 117</td>
</tr>
<tr>
<td>006-009</td>
<td>ADC SAN JUAN PR 006</td>
</tr>
<tr>
<td>010-017</td>
<td>ADC SPRINGFIELD MA 010</td>
</tr>
<tr>
<td>018, 019, 021, 022, 024, 055</td>
<td>ADC BOSTON MA 021</td>
</tr>
<tr>
<td>020, 023, 025-029</td>
<td>ADC PROVIDENCE RI 028</td>
</tr>
<tr>
<td>030-034, 038, 039</td>
<td>[FCM and PER only] ADC MANCHESTER NH 030</td>
</tr>
<tr>
<td>030-034, 038, 039</td>
<td>[STD and BPM only] ADC PORTSMOUTH NH 038</td>
</tr>
<tr>
<td>035-037, 050-054, 056-059</td>
<td>ADC WHITE RIV JCT VT 050</td>
</tr>
<tr>
<td>040-049</td>
<td>ADC PORTLAND ME 040</td>
</tr>
<tr>
<td>060-069</td>
<td>[FCM only] ADC HARTFORD CT 060</td>
</tr>
<tr>
<td>070-079, 085-089</td>
<td>[PER, STD, and BPM only] ADC SOUTHERN CT 064</td>
</tr>
<tr>
<td>080-084</td>
<td>ADC DV DANIELS NJ 07099</td>
</tr>
<tr>
<td>090-099</td>
<td>[FCM only] AMF JFK APO/FPO NY 00309</td>
</tr>
<tr>
<td>100-102, 104</td>
<td>[FCM, STD, and BPM only] ADC NEW YORK NY 100</td>
</tr>
<tr>
<td>103, 110-114, 116</td>
<td>ADC QUEENS NY 110</td>
</tr>
<tr>
<td>105-109</td>
<td>ADC WESTCHESTER NY 105</td>
</tr>
<tr>
<td>120-129</td>
<td>ADC ALBANY NY 120</td>
</tr>
<tr>
<td>130-139</td>
<td>ADC SYRACUSE NY 130</td>
</tr>
<tr>
<td>140-149</td>
<td>ADC BUFFALO NY 140</td>
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<tr>
<td>150-168, 260</td>
<td>ADC PITTSBURGH PA 150</td>
</tr>
<tr>
<td>169-178</td>
<td>ADC HARRISBURG PA 170</td>
</tr>
<tr>
<td>179, 189, 193-196</td>
<td>ADC SOUTHEASTERN PA 189</td>
</tr>
<tr>
<td>180-188</td>
<td>ADC LEHIGH VALLEY PA 180</td>
</tr>
<tr>
<td>190-192</td>
<td>ADC PHILADELPHIA PA 190</td>
</tr>
<tr>
<td>197-199</td>
<td>ADC WILMINGTON DE 197</td>
</tr>
<tr>
<td>200</td>
<td>WASHINGTON DC 200</td>
</tr>
<tr>
<td>202-205</td>
<td>ADC WASHINGTON DC 202</td>
</tr>
<tr>
<td>201, 220-223, 225, 227</td>
<td>ADC NORTHERN VA VA 220</td>
</tr>
<tr>
<td>206-209</td>
<td>[PER, STD, and BPM only] ADC SOUTHERN MD MD 207</td>
</tr>
<tr>
<td>206-209</td>
<td>[FCM only] ADC SUBURBAN MD 208</td>
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<tr>
<td>210-212, 214-219, 254, 267</td>
<td>[FCM and PER only] ADC BALTIMORE MD 212</td>
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<td>224, 225, 228-239, 244</td>
<td>[STD and BPM only] ADC LINTHICUM MD 210</td>
</tr>
<tr>
<td>240-253, 245</td>
<td>ADC RICHMOND VA 230</td>
</tr>
<tr>
<td>246-253, 255-259</td>
<td>ADC CHARLESTON WV 250</td>
</tr>
<tr>
<td>261-266, 268</td>
<td>ADC CLARKSBURG WV 263</td>
</tr>
<tr>
<td>270-279, 285</td>
<td>ADC GREENSBORO NC 270</td>
</tr>
<tr>
<td>280-284, 286-289, 297</td>
<td>ADC CHARLOTTE NC 280</td>
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<tr>
<td>290-296</td>
<td>ADC COLUMBIA SC 290</td>
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<tr>
<td>298, 300, 301, 305, 306, 308, 309</td>
<td>[FCM and PER only] ADC NORTH METRO GA 301</td>
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<td>299, 304, 313-315, 320-324, 326, 344</td>
<td>[FCM and PER only] ADC JACKSONVILLE FL 320</td>
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<tr>
<td>302, 303, 311, 399</td>
<td>[STD and BPM only] ADC JACKSONVILLE FL 32088</td>
</tr>
<tr>
<td>302, 303, 311, 399</td>
<td>ADC ATLANTA GA 303</td>
</tr>
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</table>
### 3-Digit ZIP Code Prefix Groups, continued

<p>| 307, 370-374, 376-379, 384, 385 | [FCM and PER only] ADC NASHVILLE TN 370 |
| 310, 312, 316-319, 398 | [STD and BPM only] ADC NASHVILLE TN 37099 |
| 325, 365, 366, 394, 700, 701, 703-708 | [FCM and PER only] ADC NEW ORLEANS LA 70009 |
| 327-329, 334, 347, 349 | [STD and BPM only] ADC ORLANDO FL 328 |
| 330-333 | [PER only] ADC MID FLORIDA FL 327 |
| 335, 336, 337, 338, 339, 347, 349 | [STD and BPM only] ADC MID FLORIDA FL 32799 |
| 340 | [FCM only] ADC MIAMI FL 331 |
| 345-352, 354-359, 362 | [STD and BPM only] ADC MIAMI FL 33298 |
| 360, 361, 363, 364, 367, 368 | [FCM and PER only] ADC BIRMINGHAM AL 350 |
| 369, 390-393, 396, 397 | [FCM and PER only] ADC BIRMINGHAM AL 35099 |
| 375, 380-383, 386-389, 723 | [STD and BPM only] ADC BIRMINGHAM AL 35099 |
| 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 |
| 553-555, 560-564, 566 | [FCM only] ADC MINNEAPOLIS MN 553 |
| 565, 567, 580-588 | ADC FARGO ND 580 |
| 570-597 | ADC SIOUX FALLS SD 570 |
| 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 |
| 640, 641, 644-658, 660-662, 664-668 | [FCM only] ADC KANSAS CITY MO 640 |
| 669-679, 739 | [PER only] ADC KANSAS CITY MO 64240 |
| 710-714 | [FCM and PER only] ADC SHREVEPORT LA 710 |
| Revised 11/2016 | [STD and BPM only] ADC SHREVEPORT LA 71099 |</p>
<table>
<thead>
<tr>
<th>Zip Code Prefix</th>
<th>City and State</th>
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<tbody>
<tr>
<td>3-Digit ZIP Code Prefix Groups, continued</td>
<td></td>
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<tr>
<td>716-722, 724-729</td>
<td>[FCM and PER only] ADC LITTLE ROCK AR 720</td>
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<tr>
<td>730, 731, 734-738, 748</td>
<td>[STD and BPM only] ADC OKLAHOMA CITY OK 730</td>
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<tr>
<td>733, 779-789, 798, 799, 885</td>
<td>[FCM and PER only] ADC SAN ANTONIO TX 780</td>
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<td>740, 741, 743-747, 749</td>
<td>[STD and BPM only] ADC SAN ANTONIO TX 78099</td>
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<td>750-759</td>
<td>ADC NORTH TEXAS TX 750</td>
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<td>760-769, 790-797</td>
<td>ADC FT WORTH TX 760</td>
</tr>
<tr>
<td>770-778</td>
<td>ADC NORTH HOUSTON TX 773</td>
</tr>
<tr>
<td>800-816</td>
<td>ADC DENVER CO 800</td>
</tr>
<tr>
<td>820, 822-831</td>
<td>ADC CHEYENNE WY 820</td>
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<tr>
<td>832-834, 836, 837, 979</td>
<td>ADC BOISE ID 836</td>
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<tr>
<td>835, 838, 980-985, 988-994, 998, 999</td>
<td>ADC SEATTLE WA 980</td>
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<td>840-847, 898</td>
<td>ADC SALT LAKE CTY UT 840</td>
</tr>
<tr>
<td>850, 852, 853, 855, 859, 860, 863</td>
<td>ADC PHOENIX AZ 852</td>
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<tr>
<td>856, 857</td>
<td>ADC TUCSON AZ 856</td>
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<tr>
<td>864, 889-891, 893-895, 897, 961</td>
<td>ADC LAS VEGAS NV 890</td>
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<td>865, 870-875, 877-884</td>
<td>ADC ALBUQUERQUE NM 870</td>
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<tr>
<td>900, 901</td>
<td>ADC LOS ANGELES CA 900</td>
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<tr>
<td>902-908, 910-918</td>
<td>ADC TWIN VALLEY CA 90197</td>
</tr>
<tr>
<td>919-921</td>
<td>ADC SAN DIEGO CA 920</td>
</tr>
<tr>
<td>922-928, 930-936</td>
<td>ADC SEQUOIA CA 90198</td>
</tr>
<tr>
<td>936-939, 942, 945-948, 950-953, 956-960</td>
<td>[FCM only] ADC SIERRA CA 940</td>
</tr>
<tr>
<td>936-939, 945-948, 950, 951</td>
<td>[PER, STD, and BPM only] ADC OAKLAND CA 945</td>
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<tr>
<td>940, 941, 943, 944, 949, 954, 955</td>
<td>ADC PENINSULA CA 941</td>
</tr>
<tr>
<td>942, 952, 953, 956-960</td>
<td>[PER, STD, and BPM only] ADC SACRAMENTO CA 956</td>
</tr>
<tr>
<td>962-966</td>
<td>AMF SFO APO/FPO CA 962</td>
</tr>
<tr>
<td>967, 968</td>
<td>ADC HONOLULU HI 967</td>
</tr>
<tr>
<td>969</td>
<td>[FCM only] ADC HONOLULU HI 967</td>
</tr>
<tr>
<td>970-978, 986</td>
<td>[PER, STD, and BPM only] ADC OAKLAND CA 945</td>
</tr>
<tr>
<td>995-997</td>
<td>ADC PORTLAND OR 970</td>
</tr>
</tbody>
</table>

ADC ANCHORAGE AK 995

Revised 11/2016
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.](image)

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 ¼” to ½” below the return address. Endorsement’s are no longer permitted to be located below the Permit Imprint indicia.” Failure to comply with this directive will result in non-acceptance for mailing.

---

**Standard Bulk Mail Sorting & Bundling**

**Step-by-Step Instructions**

**Step # 1 – Five-Digit ZIP Code Packages/Bundles** (all five (5) digits of the destination ZIP code are identical, not to include ZIP+4)

*Example, 5-Digit Bundles*

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>D</td>
</tr>
</tbody>
</table>

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 6½” x 11½”.)

Revised 11/2016
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 labels(s) according to the example provided below and affix to the clasp(s).

**Example: 5-Digit Sack Label**

<table>
<thead>
<tr>
<th>City (Destination), State (Abbreviation)</th>
<th>5-Digit ZIP Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>STD LTRS/FLATS (As Applicable)</td>
<td>NON-OCR</td>
</tr>
<tr>
<td>Huntsville, Alabama</td>
<td>35899</td>
</tr>
</tbody>
</table>

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**

<table>
<thead>
<tr>
<th>SCF</th>
<th>City (Destination), State (Abbreviation)</th>
<th>3-Digit ZIP Code Prefix</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>STD LTRS/FLATS (As Applicable)</td>
<td>NON-OCR</td>
</tr>
<tr>
<td></td>
<td>Huntsville, Alabama</td>
<td>35899</td>
</tr>
</tbody>
</table>

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**

<table>
<thead>
<tr>
<th>BMC Atlanta, GA</th>
<th>3-Digit or 5-Digit ZIP Code from Chart</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Code, City, and State from USPS chart)</td>
<td></td>
</tr>
<tr>
<td>STD LTRS/FLATS (As Applicable)</td>
<td>NON-OCR</td>
</tr>
<tr>
<td>Huntsville, Alabama</td>
<td>35899</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>MXD Birmingham, AL</th>
<th>35099</th>
</tr>
</thead>
<tbody>
<tr>
<td>STD LTRS/FLATS (As Applicable)</td>
<td>NON-OCR</td>
</tr>
<tr>
<td>Huntsville, Alabama</td>
<td>35899</td>
</tr>
</tbody>
</table>

**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.
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>
<thead>
<tr>
<th>Equipment Description &amp; Value</th>
<th>Accounting Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computers and Computer Equipment costing $0 – $4,999.99</td>
<td>7456</td>
</tr>
<tr>
<td>Audio Video Equipment costing $0 – $4,999.99</td>
<td>7457</td>
</tr>
<tr>
<td>Other Equipment costing $0 – $4,999.99</td>
<td>7458</td>
</tr>
</tbody>
</table>

**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>
<thead>
<tr>
<th>Equipment Description &amp; Value</th>
<th>Accounting Codes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computers and Computer Equipment (federal) costing $0 – $4,999.99</td>
<td>7465</td>
</tr>
<tr>
<td>Audio Video Equipment (federal) costing $0 – $4,999.99</td>
<td>7467</td>
</tr>
<tr>
<td>Other Equipment (federal) costing $0 – $4,999.99</td>
<td>7469</td>
</tr>
</tbody>
</table>

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

### 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.
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>
<thead>
<tr>
<th>Equipment Costs</th>
<th>Screening Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>$5,000.00 – $9,999.99</td>
<td>None</td>
</tr>
<tr>
<td>$10,000.00 – $24,999.99</td>
<td>Department-level</td>
</tr>
<tr>
<td>$25,000.00 – $49,999.99</td>
<td>College-level</td>
</tr>
<tr>
<td>$50,000.00 or more</td>
<td>Campus-wide</td>
</tr>
</tbody>
</table>

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>
<thead>
<tr>
<th>Account Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>7435</td>
<td>Used for supply items when building or manufacturing a piece of equipment or a system only on a fixed asset account. Will <strong>not</strong> incur indirect charges.</td>
</tr>
<tr>
<td>7436</td>
<td>Used for supply items when building or manufacturing a piece of equipment or a system only on a fixed asset account. <strong>Will</strong> incur indirect charges.</td>
</tr>
<tr>
<td>8101</td>
<td>Used for the initial set-up for equipment purchases of $5,000 or more; not associated with building construction.</td>
</tr>
<tr>
<td>8103</td>
<td>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.</td>
</tr>
<tr>
<td>8105</td>
<td>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.</td>
</tr>
<tr>
<td>8107</td>
<td>Used for vehicles.</td>
</tr>
<tr>
<td>8108</td>
<td>Used for Lease/Purchase agreements (does not apply to lease-only items).</td>
</tr>
</tbody>
</table>

**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:
  
  o Account number(s)
  o Acquisition date (date received)
  o Building and room number
  o Custodian (Principal Investigator)
  o Item description
  o Manufacturer
  o Model number
  o Purchase Order number
  o Responsible organization (department) number
  o Serial number
  o UAH property number
  o Unit cost
  o 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


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

List of Figures

FIGURE AM-1  .  UAH Property Disposition Form
FIGURE AM-2  .  Fixed Asset Inventory Acknowledgement Form
FIGURE AM-3  .  UAH Property Relocation / Transfer Form
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
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: ____________________________

□ Capital Equipment Disposition

<table>
<thead>
<tr>
<th>UAH ID NUMBER</th>
<th>DESCRIPTION</th>
<th>DISPOSITION METHOD</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>4</td>
<td>5</td>
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</tr>
</tbody>
</table>

Disposal Justification: __________________________________________

Details of Loan Agreement:
Department Loaning Equipment: ___________________________________
Receiver of Loaned Equipment: ____________________________________
Location of Loaned Equipment: ____________________________________
Length and Condition of Loan: ____________________________________

________________________________________ /____________________ |
Department Chairman                      Date                                         Budget Unit Head                         Date

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

UAH/INV Form-011 Rev. 5/05)

Revised 11/2016
Fixed Asset Survey Acknowledgement Form

Dept:____________________  Dept. Org #:________________

Survey Completion Date:____________________

Survey Conducted by:

<table>
<thead>
<tr>
<th>Asset Management Representative (print)</th>
<th>Department Representative (print)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Management Representative</td>
<td>Department Representative</td>
</tr>
</tbody>
</table>

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:

<table>
<thead>
<tr>
<th>UAH ID Number</th>
<th>Description</th>
<th>Last Known Location</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(attach additional pages if necessary)

**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.

Budget Unit Head/Director/Chair/Dean: ____________________

Asset Management
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 / DESCRIPTION / VALUE
   
   __________________________________________________________ / __________________________________________________________ / ____________
   
   __________________________________________________________ / __________________________________________________________ / ____________
   
   __________________________________________________________ / __________________________________________________________ / ____________

   FROM
   Name ________________________________________________
   Phone No. ____________________________________________
   Department __________________________________________
   Building/Room No. ____________________________________
   Department Head Approval ____________________________

   TO
   Name ________________________________________________
   Phone No. ____________________________________________
   Department __________________________________________
   Building/Room No. ____________________________________
   Department Head Approval ____________________________

3. Move Equipment Off-Campus

4. UAH ID NUMBER / DESCRIPTION / VALUE
   
   __________________________________________________________ / __________________________________________________________ / ____________
   
   __________________________________________________________ / __________________________________________________________ / ____________
   
   __________________________________________________________ / __________________________________________________________ / ____________

   Name ________________________________
   Phone No. ____________________________
   Department __________________________
   From Location (Bldg/Rm) ______________
   To Location __________________________
   Approval ____________________________
   _________________________________
   _________________________________
   _________________________________
   _________________________________

   Department Head

UAH/INV Form-010 (Rev. 5/05)

Revised 11/2016
## Figure AM-4

**Property Classification Codes**

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>01 Computer Equipment</td>
<td>5</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>02 Office &amp; Business Machines</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>03 Copiers</td>
<td>5</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>04 Audio / Visual Equip.</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>08 Computer Equipment (Manual Depreciation)</td>
<td>5</td>
<td>MAN</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>10 Furniture</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>20 Lab/Scientific Equipment</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>25 Government Furnished Equipment</td>
<td>5</td>
<td>NO</td>
<td>N</td>
<td>N</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>30 Medical Equipment</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>40 Athletic &amp; Recreation Equipment</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>50 Tools &amp; Machinery</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>70 General Equipment</td>
<td>8</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
<tr>
<td>75 General Equipment (No Depreciation)</td>
<td>8</td>
<td>NO</td>
<td>N</td>
<td>N</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
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<td>7999</td>
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<tr>
<td>80 University Vehicles</td>
<td>5</td>
<td>SL</td>
<td>M</td>
<td>Y</td>
<td>P</td>
<td>M</td>
<td>9210</td>
<td>73550</td>
<td>1740</td>
<td>1790</td>
<td>7999</td>
</tr>
</tbody>
</table>

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

*Revised 11/2016*
Figure AM -5

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

□ DESCRIPTION OF RECEIVED ASSET(s):

<table>
<thead>
<tr>
<th>MODEL No.</th>
<th>DESCRIPTION</th>
<th>SERIAL No.</th>
<th>VALUE</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

UAH Location of Equipment: Building: __________ Room: __________ Department: __________

□ DETAILS OF INCOMING LOAN:

Length of Loan: ____________________________

Terms and Conditions of Loan: ____________________________

□ PROPERTY OWNER (Loaned Equip. Only):

Name
Phone No.
Company/Govt. Agency Name
Building/Room No./Department

Company/Agency Approval Signature / Date

□ 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

<table>
<thead>
<tr>
<th>UAH Property Tag No.: ____________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>UAH System Asset No.: ____________________________</td>
</tr>
<tr>
<td>Date Created: ____________________________</td>
</tr>
<tr>
<td>Record Entered by: ____________________________</td>
</tr>
</tbody>
</table>

Signature/Title

UAH/INV Form-012 (Rev. 03/2005)

Revised 11/2016
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.

<table>
<thead>
<tr>
<th>Asset Tag</th>
<th>Description</th>
<th>Serial Number</th>
<th>Control Code</th>
<th>Completed Off-campus Location Address</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

I hereby certify the equipment was physically verified and the information listed above is current, accurate and complete.

Instructor 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
111 - Item Missing or Lost
112 - Item has been returned
113 - Item has been disposed

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

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, 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
- Manuals
- Brochures
- Newsletters
- Bulletins
- Postcards
- Course Paks
- Posters
- Dissertations
- Resumes
- Envelopes
- Templates
- Flyers
- Theses
- Invitations
- Tickets
- Letterhead
- 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:


Business Card, Letterhead, Notepad and Envelope Order Form:


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

List of Figures

Figure CC-1 . . . . . . . . . . . . . Regular Printing Order Form

Figure CC-2 . Business Card, Letterhead, Notepad and Envelope Printing Order
Figure CC-1

Regular Printing Order

Printing Order Form

Job# ____________

Reference # ____________

BSB / t 256-824-6383 / f 256-824-6842 / copycenter@uah.edu

* Please fill out ALL requested information
* Department ______________________
* Requested By ______________________
* Phone # ______________________
* Date Submitted ______________________
* Bldg/Rm # ______________________
* Date Required ______________________
* Account Number ______________________

[ ] Delivery [ ] Pick Up [ ] Call When Ready [ ] Email When Ready

* Job Name ______________________

Paper

[ ] Cut
[ ] Score
[ ] Trim to Bleed
[ ] Shrink Wrap

Paper Size ______________________
Paper Weight ______________________
Paper Color ______________________

Cover Size ______________________
Cover Weight ______________________
Cover Color ______________________

Staple Options

[ ] Tri - Fold
[ ] Half Fold
[ ] Z Fold
[ ] Quad Fold

Folding Options

Drilling Options

GBC/Coil Binding

Number of Originals ____________
Number of Copies ____________
Total Copies ____________

[ ] Copy One Sided [ ] Copy Two Sided

NOTE: SHARP CLEAN ORIGINALS REQUIRED. PLEASE REMOVE ALL STAPLES.

[ ] Black & White
[ ] Color

Printing Charges:
Account Code: 7517

Special Instructions

[ ] Black & White
[ ] Color

Department Head Approval: ______________________

Total Cost $ _______

Revised 11/2016
Figure CC-2

Business Card, Letterhead, Notepad & Envelope Printing Order

**Please fill out ALL requested information**

- **Requested By:** __________________________
- **Phone #:** __________________________
- **Bldg/Rm #:** __________________________
- **Date Submitted:** __________________________
- **Date Required:** __________________________
- **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
- [ ] Letterhead
- [ ] Re-Order
- [ ] New File
- [ ] Re-Order
- [ ] New File
- [ ] Re-Order
- [ ] New File
- [ ] Re-Order
- [ ] New File
- [ ] Re-Order
- [ ] New File

- **Name on Card:** __________________________
- **Quantity:** __________________________
- **Name on Notepad:** __________________________
- **Quantity:** __________________________
- **Sheets per pad:** __________________________
- **Note Pad Size:**
  - ( ) 4 x 6
  - ( ) 5 ½ x 8
  - ( ) Other Please specify
- **Note Pads Padded:**
  - ( ) Yes
  - ( ) No

**Department Head Approval:** __________________________

**Total:** $________

Revised 11/2016
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.”