UNIVERSITY OF ALABAMA AT BIRMINGHAM
UAB Contracts & Vendor Compliance

Contract End-User Training Manual
Chapter One: Contract Overview

The UAB Contracts & Vendor Compliance office facilitates the contract review process, maintains the contract database, and serves as the central repository for UAB's contracts. Departments should enter the contract in the End-User Dashboard, attach the contract routing form, and obtain the appropriate departmental signatures as indicated on the form. The contract is then ready to route to UAB Contracts & Vendor Compliance. UAB Contracts & Vendor Compliance will coordinate the central review of the contract and obtain the appropriate Board Signature.
When is an Agreement Required?

The following guide should be used to assist in determining when a formal contract is required:

- **Advertising/Advertisements**- regardless of the amount, a contract is required.
  - This does not apply to departments that report to Office of VP Development, Alumni & Ext Relations.
- **Branding/Logo**- Any services related to UAB branding/logo requires a contract, regardless of the amount.
- **Consulting** - Any agreement equal to or exceeding $2,500 annually.
- **Credit Applications** - Any agreement to establish a new account or credit in the University's name.
- **Equipment** - Any agreement equal to or in excess of $15,000 annually.
- **Facility/Space rental**- Any off campus facility/space rental requires a contract, regardless of the amount.
- **Lease** - Any agreement equal to or in excess of $15,000 over the life of the lease.
- **Maintenance Agreements** - Any agreement equal to or in excess of $15,000 annually.
- **Professional Services** - Any agreement equal to or exceeding $2,500 annually.
  - A contract must be routed for services related to outdoor stage and/or sound equipment being setup on UAB property, regardless of the amount.
- **Public Works** - Title 39 Agreements processed in excess of $50,000.
- **Rental** - Any agreement equal to or in excess of $15,000 annually.
- **Software**- Any agreement regardless of the amount:
  - downloading software, subscriptions, or services,
  - hosting/processing/transmission of UAB data external to UAB,
  - PCI (Payment Card Industry) acceptance/processing of credit card transactions,
  - Design, creation, maintenance, support, and/or hosing of any website/webpage,
  - Personally identifiable information (PII) or personal health information,
  - Audit Language,
  - Custom software development, and/or
  - Hardware purchase with embedded software with any of the above.
- **Supplies**- Any agreement equal to or in excess of $15,000 annually.

A General Rule of Thumb

If any agreement or quote requires one of the following, it will need to be routed through UAB Contracts & Vendor Compliance:

- A Signature,
- Terms and Conditions, and/or
- A Pre-Payment, a Deposit, or a Down Payment.
Contract Templates and Forms:

If the vendor does not supply you with a contract and you are unsure about which UAB template to use, a Fee for Services should be used. This is our most basic contract and should cover many of the terms you will need for contract. Additional contract templates can be found online at: http://financialaffairs.uab.edu/content.asp?id=1456771.

1. **Addendum Agreement**- is the additional UAB terms that are required to be added to contracts from outside vendor.

2. **Addendum to Agreement for Clinical Affiliations** - adds UAB terms to an outside vendor’s agreement.

3. **Affiliation Agreement for Clinical Education or Preceptorship Education** - are agreements that provide clinical education and training for UAB students.

4. **Amendment to Fully Executed Agreement** – allows for departments to amend or add terms to an agreement that has already been signed by both UAB and the vendor.

5. **Business Associate Agreement (BAA)** – is used in addition to a contract when personal identifiable information (PII) or personal health information is being passed between UAB and the vendor.

6. **Car/Van Rental Form** – is generally used when UAB is renting a vehicle for work related trips.

7. **Consulting Services from a Company** – is used when UAB purchases consulting services from an outside vendor. A W-9 should be processed with this agreement and it must be approved through Tax.

8. **Consulting Services from an Individual** – is used when UAB is purchasing consulting services from an outside individual. A Personal Services Form (PSF) should to be processed with this agreement and it must be approved through Tax.

9. **Child Protection Addendum** – should to be added to any agreement that allows any UAB employee or students to work with children.

10. **Credit and Vendor Applications** – these types of agreements are generally provided from an outside vendor. The UAB sales tax exemption certificate and the list of credit information may be required with these applications.

11. **Fee for Service Agreement UAB Providing Services** - is used when UAB is providing services to an outside vendor.

12. **Fee for Service Agreement UAB Purchasing Services from a Company** - is used when UAB is purchasing services from an outside vendor.
13. **Fee for Service Agreement UAB Purchasing Services from an Individual** - is used when UAB is purchasing services from an individual.

14. **Guest Speaker Agreement** - is used when UAB is receiving/providing speaking services from an individual.

**Additional Forms:**

These forms can be found online at: [http://financialaffairs.uab.edu/forms.asp](http://financialaffairs.uab.edu/forms.asp).

1. **Personal Services Form (PSF)** - Used to apply for an individual or employee to be paid as an Independent Contractor per UAB's Personal Services Policy.

2. **W-9 Forms** - This form is required to set up US-based individuals or companies as a supplier in Oracle.

3. **W-8 Ben Forms** - This form is required to set up non-US individuals as suppliers in Oracle.
**Contract Quick Tips for New Agreements:**

When submitting a new contract for review, please ensure the following items are included in order to route your document quickly:

1. Provide the names of the parties involved.
   a. The legal name for UAB is The Board of Trustees for the University of Alabama for the University of Alabama at Birmingham. The legal name should be on all contracts for UAB.
   b. The legal name for the vendor should be in the opening paragraph of the agreement or on the signatures page.

2. Make sure there is a start date, and if applicable, an end date for all agreements.
   a. To find the start date, look for these key phrases: the agreement is entered into on this date; this agreement shall become effective on this date; upon the date of the last signature date, etc.

3. The total amount or anticipated amount is provided.
   a. Any payment of $10,000.00 or more should be broken into multiple payments. I.E.: weekly, monthly, quarterly, annually, upon completion of tasks, etc.
   b. Total compensation should not be paid up front. UAB will only pay 90% up front, and will withhold 10% until the services are rendered.
   c. There should always be a fee schedule and a scope of work.

4. If additional forms are required, such as a PFS or BAA, please make sure that these forms are approved and included before routing the agreement through your departmental routing process.
   a. Personal Services Forms (PSF) are valid for a one year term.
   b. Business Associate Agreements (BAA) last for the life of the contract. I.E. - if the agreement is for a term of three years, then the BAA will last for three years.
Contract Quick Tips for Amending Agreements:

When you are submitting an amendment, an addendum, or a revision to a contract for review, please ensure the following items are included in order to route your document quickly:

1. Provide the original document number or the original document with the names of the parties involved.

2. Make sure the original start date is shown in the amendment.
   a. If the original agreement term was for October 1, 2012 through September 30, 2013; and we need to extend the agreement to May 31, 2014, then the amendment dates should read from October 1, 2012 through May 31, 2014.

3. The total amount or anticipated amount should be provided, including with the original amount from the original agreement.
   a. Any payment of $10,000.00 or more should be broken into multiple payments. I.E.: weekly, monthly, quarterly, annually, upon completion of tasks, etc.
   b. Total compensation should not be paid up front. UAB will only pay 90% up front and will withhold 10% until the services are rendered.

4. If you are revising/amending/adding to a contract, the changes need to be stated in the summary section of the Dashboard.
   a. Acceptable Example: Amendment to Doc 12345 by increasing the price by 20% and extending the period of performance.
   b. If a red-line is provided for a revised agreement, both the red-line and a clean copy of the agreement should be provided for legal and board approval.

5. All agreements have a five year limit. You can amend or add to an agreement for up to five years. I.E.: if an agreement begins on 01/01/2015, then it will reach its five year limit on 12/31/2019.
   a. An agreement is more than five years old, please route a new agreement.
   b. If there is a significant reason for UAB to continue an agreement with a specific vendor, the contract can be submitted to an additional review to extend the contract into its sixth year. I.E. - if we enter into a new agreement and the prices are going to rise exponentially.
      i. With this option, the agreement will have to be reviewed annually to make sure the agreement is still up to date and in compliance with UAB guidelines.
Cancelling Agreements:

1. If the vendor wishes to cancel an agreement, a letter on company letter head stating that the contract has been cancelled is required.

2. If the department wishes to cancel an agreement, a letter (e-mail) stating that the contract has been cancelled is required.
Some Helpful Tips:

- Grant agreements should provide the approved budget from the account that will disburse the funds. UAB Contracts & Vendor Compliance will check to see if these services are funded/approved to be paid by the grant.

- All Shred-It agreements must have a BAA included.

- Fully Executed Agreements are signed by both parties.

- Executed Agreements are only signed by UAB.

- An Amendment means to change or edit an agreement after it has been fully executed.

- An Addendum means to add additional information to an agreement after it has been fully executed.

- A Revision means to change or edit an agreement before it is fully executed.

- If anything is affixed to the building, the agreement will need to originate from the Facilities office.

- If leasing property, the agreement will need to originate from the Real Estate Office.

- Only Board Signatories have the authority to sign on behalf of UAB.

For the listing of the UAB Signatories please visit: http://financialaffairs.uab.edu/content.asp?id=196482
Chapter Two: Using the End-User Dashboard

UAB Contracts & Vendor Compliance has created an End-User Dashboard to help departments track their contract submissions. Please keep in mind this is a work in progress. New features will be added to this site over time. The following instructions will walk you through the basic submission contracts and modifications.

Click the following link:
https://acsapps.ad.uab.edu/UABContracts/Account/Login
Helpful Tip:
Save the link to your favorites bar or favorites list.

Log into the End-User dashboard with your Blazer ID and strong password.

If you are unable to log in and are denied access, please send an e-mail to UABContracts@uab.edu with your name, BlazerID, and organization numbers you have access to enter contracts for in your department.
Once you log into the Dashboard, your home page should look like this.

Please note the agreements are in descending order, based on the contract number and/or received date.

When searching for a specific contract, the contract number, contract status, received date, vendor, and contract type can be changed from ascending to descending order by simply clicking on the gray arrows or on the name of the field.

Type in the contract number or vendor name in the Search box to locate a specific agreement.
Adding a New Contract to the Dashboard:

When you are ready to create a new contract in the Dashboard, click on the “Add New Contract”. Once this page opens, the following fields are required:

You will not be able to save this agreement if the above highlighted fields are not filled in. Incomplete fields will be highlighted in red.
To begin, start by entering in the UAB Organization. This may be the Org’s name or the Org Number.

Next, enter your name in the UAB Contact and your email in the UAB Contact Email.
When adding a vendor, type in the first few letters of the company’s name. A drop down should start to populate vendors with the example of “SHRED” in the title.

If your vendor does not show up in the vendor drop down, you can add a new vendor by clicking the “Add New Vendor” button.
Once the “Add New Vendor” button has been clicked, this box should appear. Type in the new vendor name and click “Save”. After saving the vendor, Shredding Express will appear in the Vendor box. The asterisk (*) behind it denotes that the save was successful.

**Helpful Tip:** Many agreements will have abbreviated names or are listed based upon their Oracle vendor name.

For example: if the contract is with another University type in Univ and this should pull up many of the universities. For instance, The University of Alabama is listed under Univ of AL.
For our example, we are going to use Shred It as our vendor.

The “Compliance Type” must be completed. Many contracts will not have a compliance type and “None” will need to be selected.

The “Project Number” box is generally used for agreements that originate from the Facilities Administration or the Real Estate Office.

The “PSF Included” check box is for agreements with individuals that are doing business with UAB. The PSF form needs to be completed before routing the agreement to the UAB Contracts & Vendor Compliance office.

However, if your compliance type is a “BAA” the following information will need to be supplied.
Note: This section is for agreements that require a BAA a part of the agreement. The “Vendor Address” and “Vendor Phone” will need to be supplied. The “Vendor Secondary Phone” is for an additional phone number or an extension if one is supplied.

Once you have completed the Vendor information section, fill in the summary and select the type of service that best fits the agreement. To select a “Contract Type”, click on the arrow to display the drop down menu. Since this agreement is for shredding services, a “Fee for Service or Consulting Services” is the best choice.
After selecting your contract type, indicate if the “Goods/Services” are having “UAB Receiving” or “UAB Providing”. To do this, click the arrow to display the drop down.

After selecting the “Goods/Services,” click on the arrow to drop down the “Contract Term” choices.

Please review the contract term from the paper copy of the agreement to determine the correct choice from the drop down menu.
To review the contract for the start date, fill in the “Effective Date” field. In correspondence with the “Contract Term”, the end date will be need to be filled in the “Expiration Date” field.

Once the date fields have been filled in, please fill in the “Amount” field with the total amount for the agreement. For example: if there is not a total amount but a monthly amount, fill in the “Amount” field with the monthly amount and in the “Amount Other” fill in with monthly.

Once this is completed, click “Save New Contract.”
After you have saved your agreement, this page should appear prompting you to print your departmental routing form.

Please notice that a pop up will appear to allow you to print the routing page. Click “Open” to print the document.
Once you have opened the PDF file from the bottom of the page, this form should appear. Note that this is an editable form in which you can add the appropriate manager/department head and Dean/Director for initial approval. After you have received their approval for your agreement, route the electronic copy to UAB Contracts & Vendor Compliance at UABContracts@uab.edu.

**Emails from the Dashboard**

Once an agreement has been received and has begun the Central Review Routing Process, you will receive an email updating you on the agreements progress.

In addition to the received email, you will receive a completed/pick up email when your agreement has been approved and signed.

If your agreement has been cancelled, you will receive an email updating you on the status of the contract. After the agreement has been scanned, you will receive the email for pick up.

If your agreement has been Completed-OSP or Cancelled-OSP, you will receive an email updating you to the status of the contract. After the agreement has been scanned, UAB Contracts & Vendor Compliance will send the agreement to the Office of Sponsored Programs for their handling.
Searching for Agreements in the Dashboard

When searching for agreements in the Dashboard, use the Search Field located at the top right corner of the page.

The Search Field will allow you to search for agreements by Contract Number, UAB Organization, and Vendor.

You can also customize the columns to go from ascending to descending order by contract number, received date and UAB organization; active to rejected for the current assignment; and alphabetical order for vendors and contract type.
Reading the Review Status for Agreements

Please note that we have searched for all agreements with 7511 in them in the Search field.

Select the agreement you wish to review. Here, we are going to select document 75113.

Please note that document 75113’s contract Status is listed as Active and the Current Assignment is CFOUAB. This means that the contract is currently routing through the Central Review Process and is awaiting the CFOUAB’s review and approval.
Please note that if the Details button is clicked it will open the following pop-up window.

Note in the Reviewers for contract 75113, the agreement has completed the legal review and is awaiting the CFOUAB’s review and approval. They Board Signature should have a ‘Yes’ beside the name of the appropriate Reviewer.
You may also click on the document number and open up the main page of the agreement.

Opening the main page will show the Reviewers at the bottom of the contracts page. This is the same as clicking the Details button on the home page.

Notice that the fields have now been greyed out since the contract has gone active. The Submitter will not be able to edit the agreement or create a revision, amendment, or addendum until the agreement has been completed.

The Contract Status types are:

Pending- the agreement has not reached UAB Contracts & Vendor Compliance to begin the Central Review Routing Process.

Active- the agreement has reached UAB Contracts & Vendor Compliance and has begun the Central Review Routing Process.

On Hold- the agreement has reached UAB Contracts & Vendor Compliance, but is missing some information before it can begin the Central Review Routing Process. University Contract will email the UAB Contact listed in the agreement.

Cancelled/Rejected- the agreement has reached UAB Contracts & Vendor Compliance and begun the Central Review Routing Process. However, one of the approvers in the routing process found issue with the agreement and stopped the agreement from moving forward to Board Signature.
Complete- the agreement has finished the Central Review Routing Process and was approved by a Board Signatory.

Completed-OSP- the agreement has finished the Central Review Routing Process and was approved by a Board Signatory, but has additional routing through the Office of Sponsored Programs. UAB Contracts & Vendor Compliance will forward the agreement to the Office of Sponsored Programs to continue the proper processing.

Cancelled-OSP- the agreement does not require the Central Review Routing Process and will be routed to the Office of Sponsored Programs for their review and approval.
Adding Amendment, Addendums, and Revisions in the Dashboard

**Note:**

An Amendment means to change or edit an agreement *after* it has been fully executed.

An Addendum means to add additional information to an agreement *after* it has been fully executed.

A Revision means to change or edit an agreement *before* it is fully executed.

Any agreements that were routed prior to September 23, 2013 or have document numbers within the range of 0 through 69999; **will not be able to be amended** through the Submitter’s Dashboard. These agreements will need to be routed through the departmental routing process with the original document number provided and with the University Routing form found at: [http://financialaffairs.uab.edu/content.asp?id=1460997](http://financialaffairs.uab.edu/content.asp?id=1460997). Once the agreement reaches UAB Contracts & Vendor Compliance, we will add the agreement to the Dashboard and route the agreement for approval. After the amendment has been added to the Dashboard, the Submitter should be able to view the agreements review process.

After logging into the Dashboard, you should be able to locate the approved document you wish to amend by typing in the document number “Search” field.
Note that your agreement has now been updated to the “Complete” status. Click on the document number you wish to amend. The agreement should appear like this in your Dashboard.

To extend the agreement’s time period and increase the price, we will need to amend the agreement. To create an amendment in the Dashboard, click on the “Actions” button to produce the create selection. Scroll over it to have the drop down menu appear.
Once you click on to the “Amendment,” this page should appear.

Please note that much of the information from the previous agreement has been carried over to the Amendment, with the exception of the “Summary,” the “Contract Term,” the “Effective Date,” the “Expiration Date,” and the “Amount.”

Please fill in the appropriate fields to route the Amendment.
Please note that the “Contract Term” should change from “A year or less without automatic renewal” to “A year or more with automatic renewal.”

The “Effective Date” is the original date of the previous agreement and the “Expiration Date” is the end date of the extension.

The “Amount” of $1800.00, includes the original amount from the previous agreement and the additional $600.00 from the amendment. If there is not a change to the amount, note this on the amendment form.

After saving the agreement, this page should appear prompting you to print your departmental routing form.

Notice that a pop up will appear to allow you to print the routing page after you press “Click here to view and print the Departmental Routing Form.” Click “Open” to print the document.
Once you have opened the PDF file from the bottom of the page, this form should appear. Note that this is an editable form in which you can add the appropriate manager/department head and Dean/Director for initial approval. After you have received their approval for your agreement, route the electronic copy to UAB Contracts & Vendor Compliance at UABContracts@uab.edu.

**Emails from the Dashboard**

Once an agreement has been received and has begun the Central Review Routing Process, you will receive an email updating you on the agreements progress.

In addition to the received email, you will receive a completed/pick up email when your agreement has been approved and signed.

If your agreement has been cancelled, you will receive an email updating you on the status of the contract. After the agreement has been scanned, you will receive the email for pick up.

If your agreement has been Completed-OSP or Cancelled-OSP, you will receive an email updating you to the status of the contract. After the agreement has been scanned, UABContracts & Vendor Compliance will send the agreement to the Office of Sponsored Programs for their handling.
What happens after the agreement has completed the Central Review Process?

1. Obtain the counter signature (if UAB signed the agreement before the vendor).
2. Return a copy of the fully executed agreement to UAB Contracts & Vendor Compliance.
   a. Include the document number and the entire contract.
   b. Send a copy via email to UABContracts@uab.edu.
3. Receive the deliverables as outlined in the contract.
4. Process a payment request, if payment is required.