FLORIDA INTERNATIONAL UNIVERSITY

Total Contract Manager

- For Procurement Contracts -

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Overview

Total Contract Manager (TCM) is a robust tool for creating, maintaining, and managing procurement contracts. Information about contracts can be tracked within TCM and contract documents managed as attachments. This contracting tool will assist Procurement Services and The Office of the General Counsel eliminate inefficient contract management practices and increase contract accessibility across the University.

Risk is reduced with the introduction of specific compliance questions developed through the involvement of certain University departments, including The Office of the Controller, Compliance, Office of Research & Economic Development, Department of IT, External Relations, Office of Finance and Budget, Environmental Health & Safety, and the Provost Office. Responses to these questions ensures that all the appropriate approvals are obtained automatically, thanks to TCM's approval workflow process.

TCM's collaborative environment also interfaces with an eSignature application, DocuSign, where University signatories and Suppliers can seamlessly execute their procurement contracts.

Learning Objectives

By utilizing this manual, TCM users will be able to:

- Efficiently search for existing Contracts within TCM.
- Correctly search for and identify a Supplier's Status in both TCM and PantherSoft Financials.
- Successfully enter a Contract into TCM, as well as accurately answer all Compliance Questions.
- Understand how each Compliance Question may impact the Contract Approval Workflow.
- Confidently identify Help Notes.
- Attach relevant documents to a Contract in an orderly manner.
- Recognize what actions initiate System Notifications.
- Accurately identify and explain TCM Contract Statuses.
- Easily send Contract Documents out for eSignature via the DocuSign Application.

TCM Terminology

Action Items: Appear above the flag in the upper right-hand corner of the screen. A signal that you need to take action in TCM for the contracting process to continue.

Assign to Myself: This locks the Contract form from other approvers while you are reviewing it.

Check In: This unlocks the contract – this should be done after you are finished reviewing the contract. After the contract is check in, other users with access to the contract will be able to edit it.

Check Out: This locks the contract during review so that users (other than the reviewer to whom it is checked out) cannot edit the contract. The contract will be displayed with a lock sign to other users to signify that the contract is checked out to another user and not available for editing.

Competitive Solicitation: A fair and open method of procuring goods and contractual services that serves to ensure transparency, best value, reduces the appearance and opportunity of favoritism, and inspires public confidence in the entire procurement process.

Contract Execution: A contract that, once fully approved at FIU, has signatures from all parties involved. This is an active contract as of the designated Start Date in TCM.

DocuSign: An application that provides electronic signature technology used to facilitate the electronic exchange of contracts and obtain eSignatures within TCM.

eSignature: This is used to avoid the manual signature process. FIU uses DocuSign to facilitate eSignature, which will take the user out of TCM to the DocuSign webpage. The user will be required to indicate where the signatories need to sign, date, initial etc., and DocuSign will send the contract to the first signatory and route it to the following signatory directly after the first signatory has signed.

First Party: At FIU, the First Party should always be FIU's authorized signatory for the Procurement Contract.

Fund Code: Identifies major funding sources that the University must report on separately. Each fund has its own rules spending and receiving money.

Master Agreement/Contract: A document agreement between two parties that sets out standard terms that apply to all the transactions entered between those parties. Each time that a transaction is entered, the terms of the master agreement do not need to be re-negotiated and apply automatically.

My Action Items – Alerts users as to pending Action Items. These can also be found via the **Flag** icon within the top-right header pane.

Notifications: Appear above the bell in the upper right-hand corner of the screen or through an email. A signal that a contract that you have been involved in creating, approving, or managing or will be responsible for approving or managing, has begun or completed a step in the contracting process. This does not always require your action.

Quick Links – Provides links to useful Procurement websites, documents, and other resources.

Second Party: The person or company with whom FIU is contracting. Also referred to throughout the handbook as vendor, Supplier, or contractor. These terms are all synonymous.

TCM Roles

Each user has a designated role within TCM. Roles in TCM come with a set of permissions that allow users to complete the responsibilities of their designated role.

Contract Manager: User responsible for review, submission, and administration of procurement contracts.

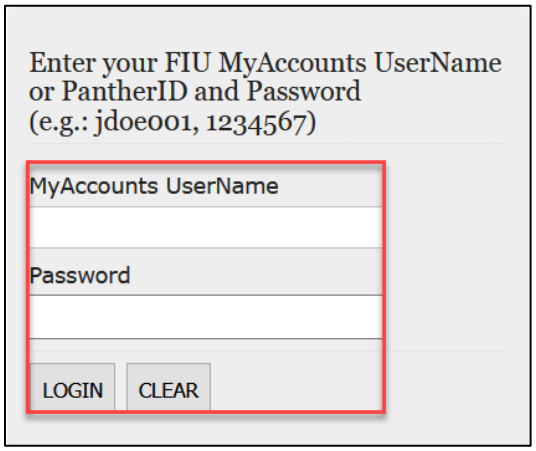
Contract Approver: User responsible for approval of a designated workflow step for applicable procurement contracts.

TCM Viewer: User with view-only access to all TCM procurement contracts.

Requesting TCM Access

Should users require any of the roles within Total Contract Manager (TCM), they may request this access be granted via the **Total Contract Manager Access Request Form**. This can be found via the following link: go.fiu.edu/TCMAccessRequest .

Users will need to log in via their FIU Username and Password.



Users' FIU Employee Information will automatically be populated. They can then proceed to select the appropriate Security Role required for TCM and submit.

FLORIDA INTERNATIONAL UNIVERSITY

Florida International University
Office of the Controller

TOTAL CONTRACT MANAGER
Access Request Form

Employee Info

AD Username:	rpanther	First Name:	Roary	Last Name:	Panther
Email:	rpanther@fiu.edu	Department:	Financial Systems Support S	Request Date:	12/19/2017

Security Roles

○ TCM Contract Approver	User responsible for review, submission and administration of procurement contract
○ TCM Contract Manager	User responsible for approval of a designated workflow step for applicable procurement contracts
○ TCM Contract Viewer	User with view-only access to all TCM procurement contracts

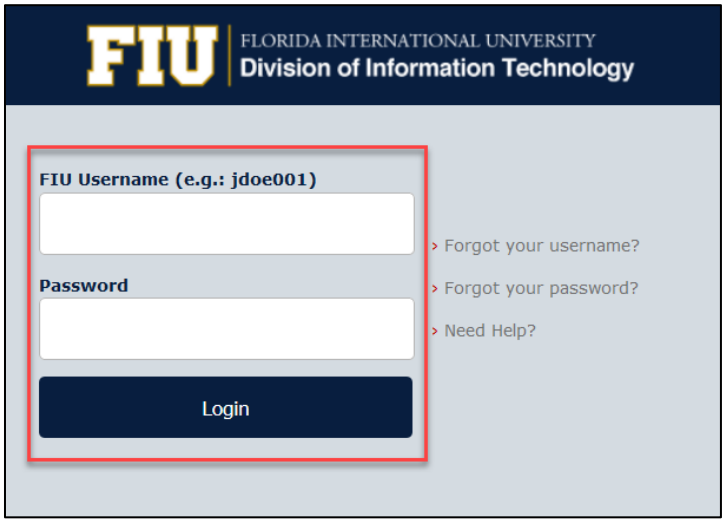
Office of the Controller | 11200 SW 8th Street | Miami,FL 33199

The form will then be routed to the user's HR Supervisor for approval. Once approved, it will be routed to Herve-Serge Menyonga in Procurement Services who will configure the user's profile and grant the access.

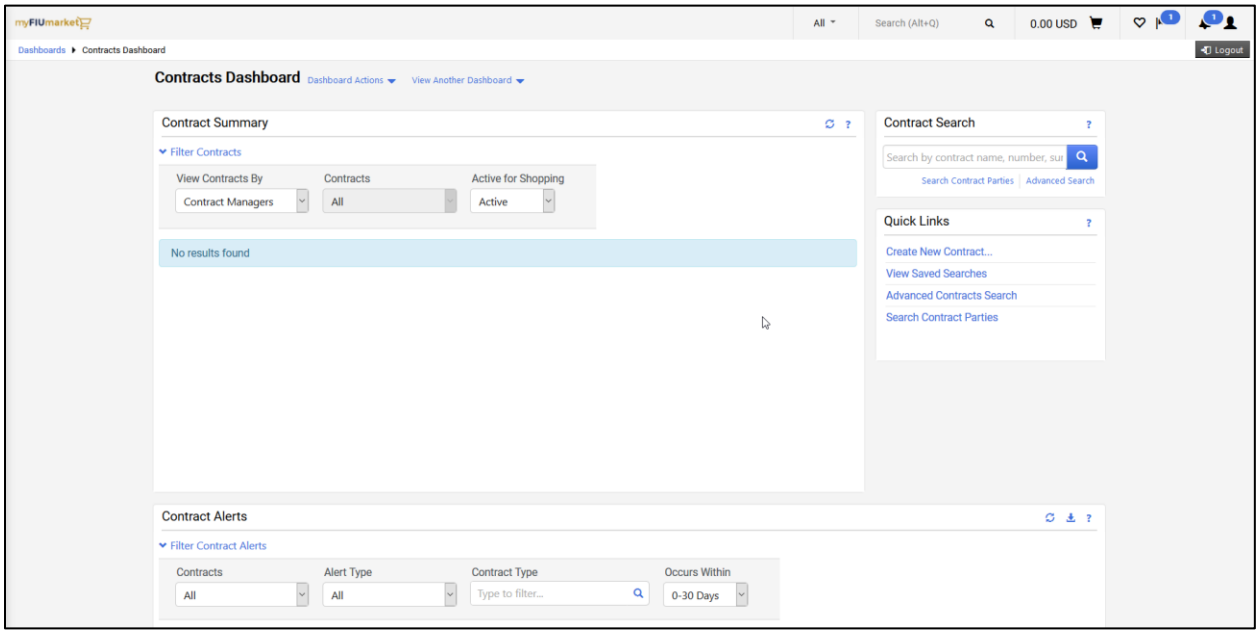
Logging in to TCM

1. Enter https://solutions.sciquest.com/apps /Router/SAMLAuth/FIU into your browser.

2. On the below screen, enter your FIU Username & Password, then click **Sign In.**



3. The Total Contract Management Dashboard appears.

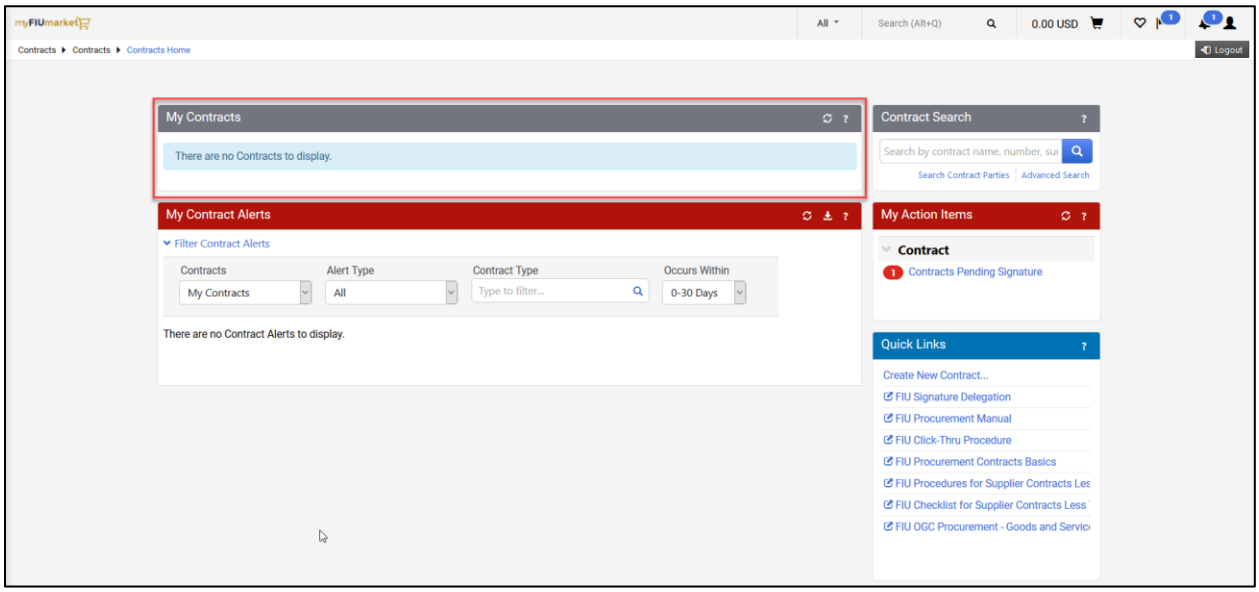


If users find themselves on any screen beside the Dashboard upon login, they may access it via the **Contracts** icon within the left-hand navigation pane.

TCM Dashboard

All TCM users have access to a Contracts Dashboard, which provides quick access to key tasks and activities related to the management of contracts. These functions are specific to the user's access and permissions.

At FIU, Contract Managers can find the contracts they oversee via the **My Contracts** pane. These include contracts in all statuses. (i.e., Draft, Out for Signature, etc.)



Additional panes will be discussed throughout this document, including the following:

Contract Search – Allows users to immediately search for contracts utilizing keywords.

My Action Items – Alerts users as to pending Action Items. These can also be found via the **Flag** icon within the top-right header pane.

Quick Links – Provides links to useful Procurement websites, documents, and other resources.

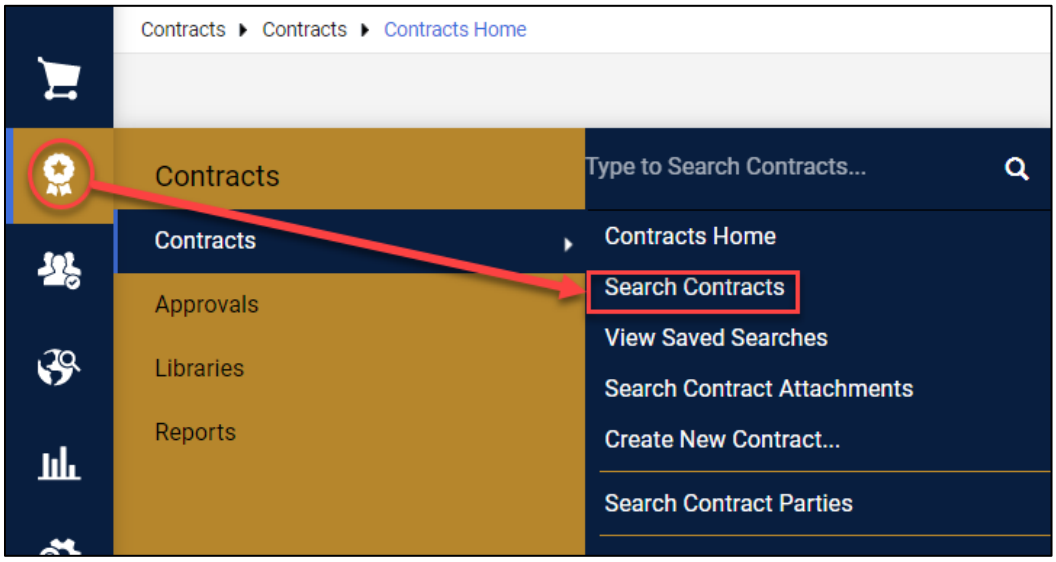
Contract Search

All TCM users can search through all University contracts within TCM. There are two ways to search:

Simple Search can be used when the user may not have that much specific information. The system will search all contract fields for keyword(s) entered, providing broad results.

Advanced Search can be used when the user has exact data or a complex set of values they are to search for. The system will only return results that are an exact match to the values entered.

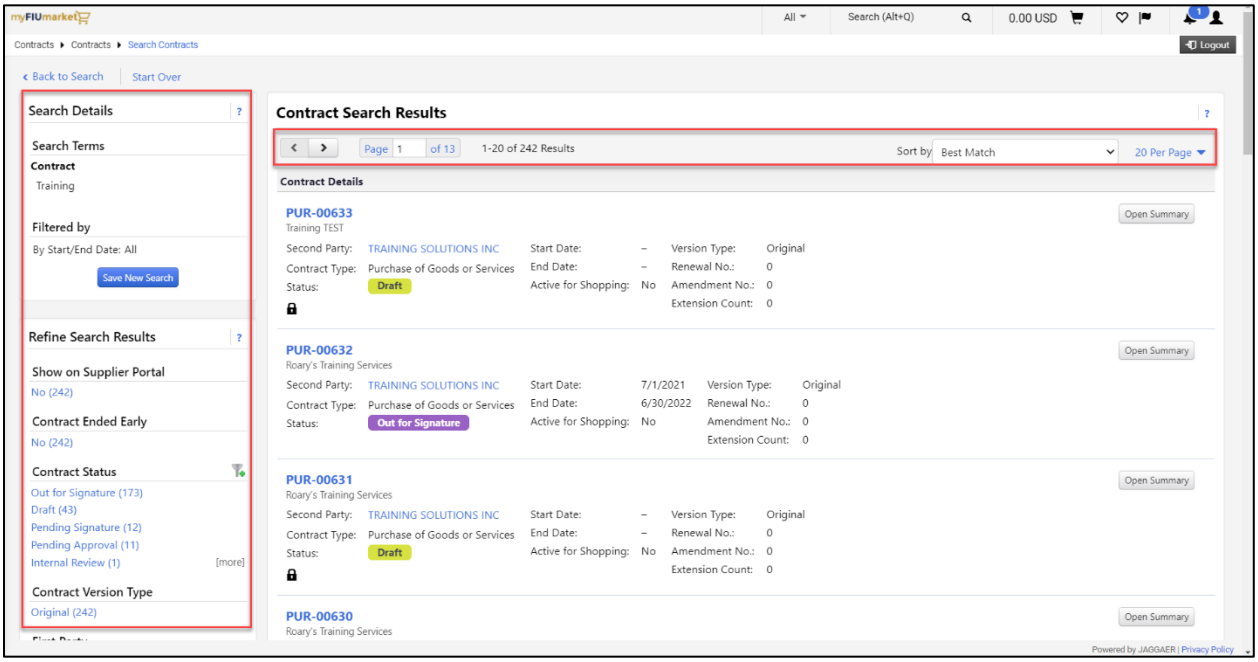
1. Select the **Search Contracts** link via the **Contracts** icon within the left-hand navigation bar.



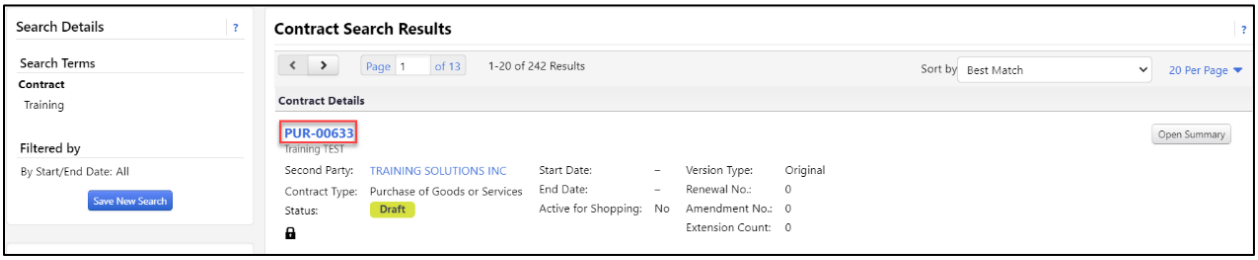
TCM defaults to **Simple Search** criteria, with access to the **Advanced Search** criteria via the link at the top-right corner of the screen.

2. Enter the desired criteria and click the **Search** button.

3. The **Contract Search Results** page will display all contracts that match the criteria entered. Results can be filtered, sorted, and refined utilizing the options to the top and right of this page.



4. Select the **Contract Number (PUR-#####)** to pull up the contract. The specific actions available at this point will depend on the user's permissions.

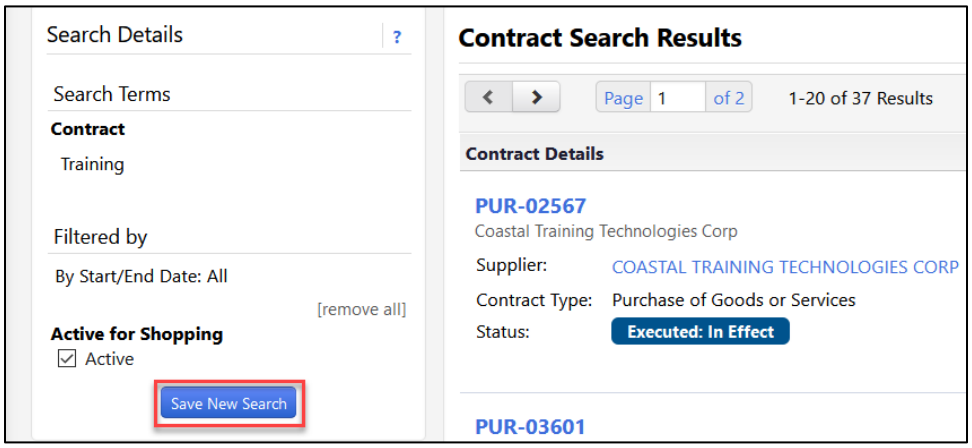


Saved Searches

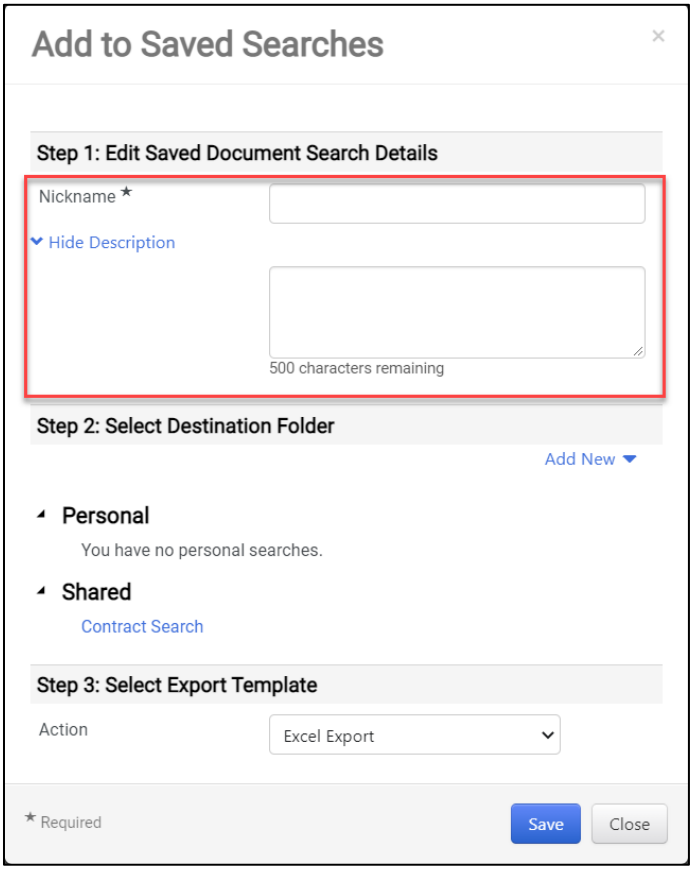
When users find themselves frequently utilizing the same search criteria, they may elect to save those search settings to use again. These are called **Saved Searches**.

Saved Searches can be created directly from the **Contract Search Results** screen.

1. Click the **Save New Search** button.

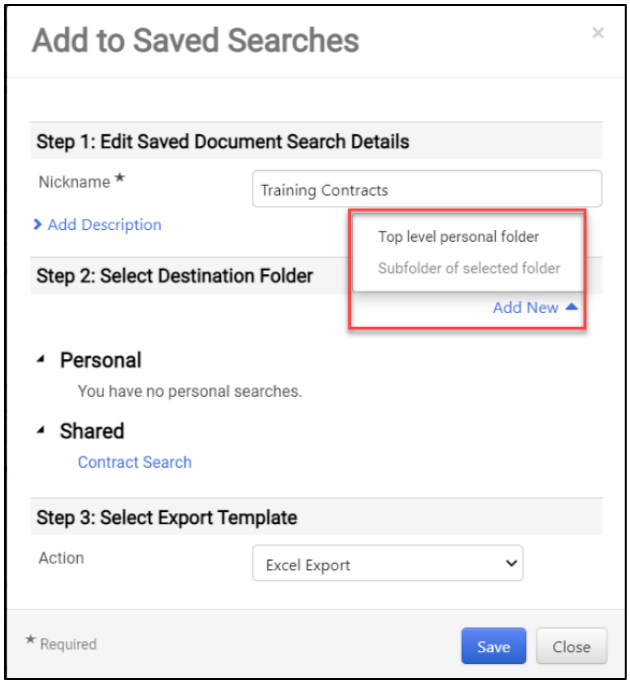


2. Enter a **Nickname** for the Saved Search. A **Description** is optional.

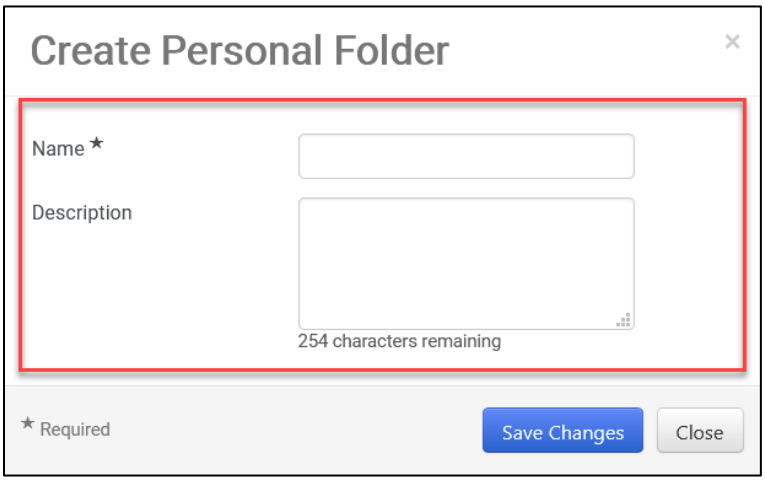


3. Every Saved Search must be saved in a folder. At FIU, Saved Searches should only be saved as **Personal**.

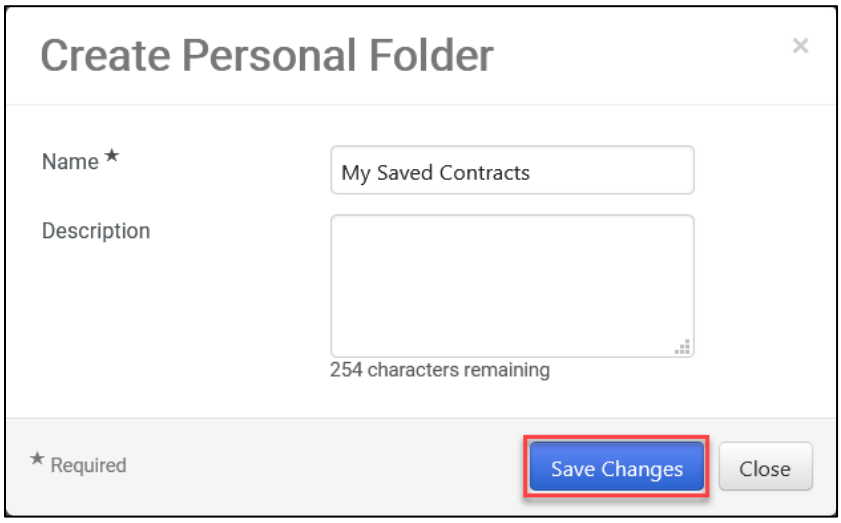
   Click the Add New link, then Top level personal folder to create a Personal folder.



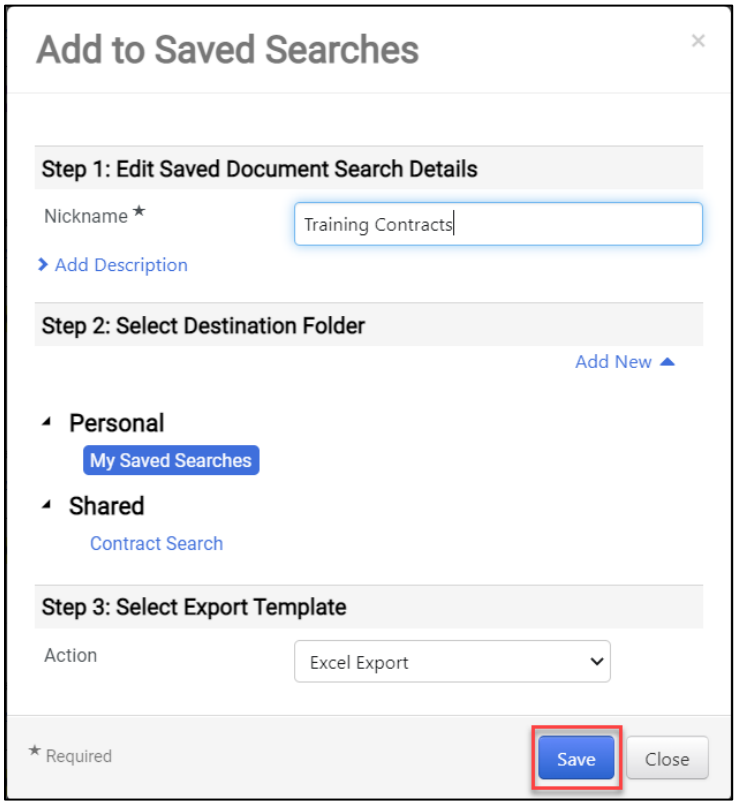
4. Enter a **Name** and optional **Description** for the Saved Search folder.



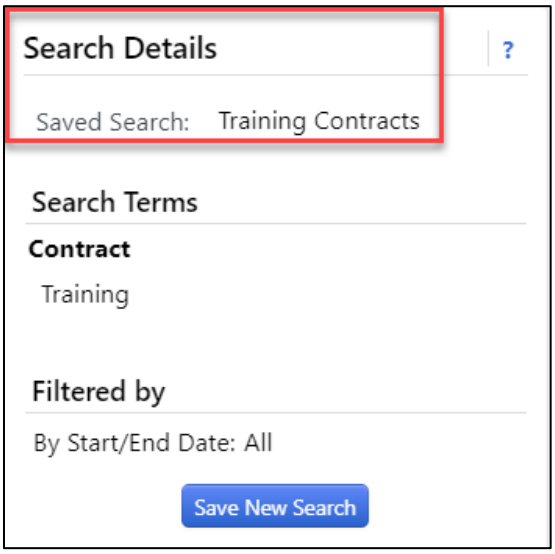
5. Click the **Save Changes** button.



6. Complete the Saved Search by clicking the **Save** button.



7. The **Saved Search** name will now appear to the left of the **Contract Search Results**.

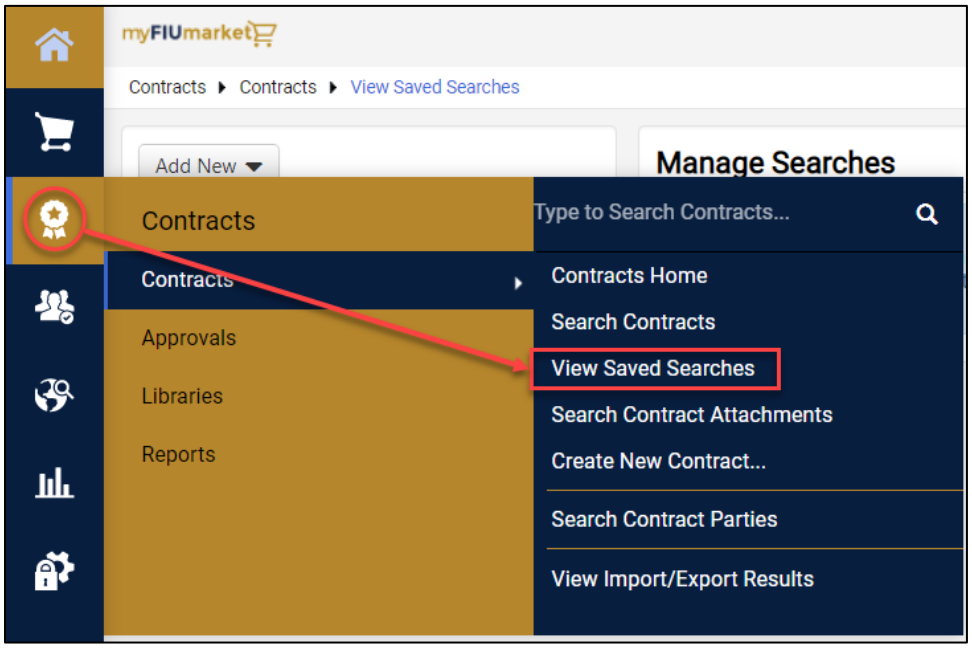


View and Manage Saved Searches

Saved Searches are viewed and managed in the **View Saved Searches** page. From there, users may:

- Run a Saved Search.
- Add Saved Search shortcuts to the Search Contracts page.
- Manage Saved Search folders.
- Add, edit, move, or delete Saved Searches.

1. Select the **View Saved Searches** link via the **Contracts** icon within the left-hand navigation bar.



2. Select the folder where the Saved Search is contained.

Users may elect to manage their Saved Search folders via the Folder Actions drop-down link.

The following actions are also available for the Saved Searches:

Add Shortcut or **Remove Shortcut** – Saved Search Shortcuts appear on the Search Contracts page.

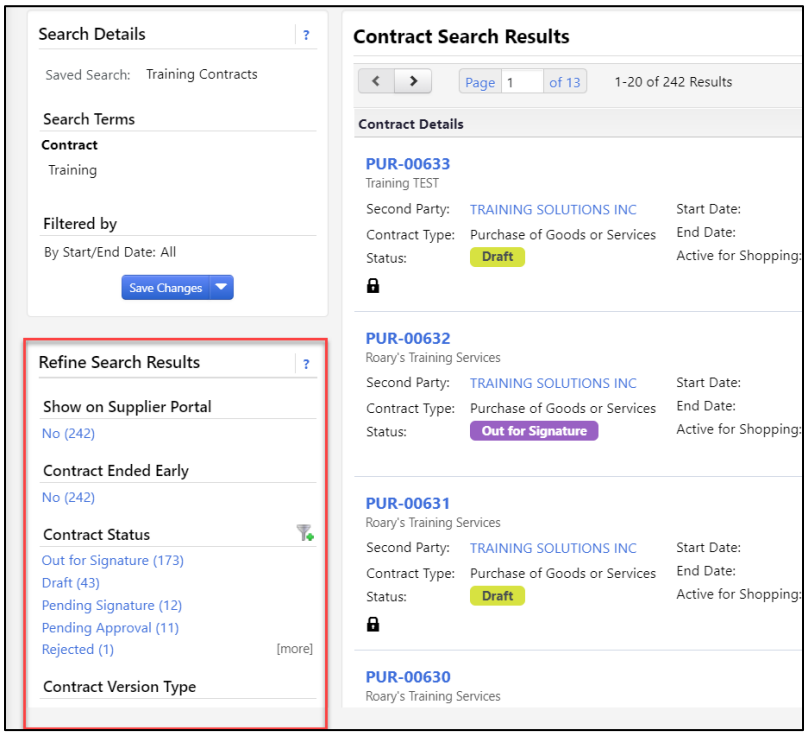
Go – Runs the Saved Search and shows results on the Contract Search Results page.

Edit | **Move** | **Copy** | **Delete** – These take the corresponding action on the Saved Search.

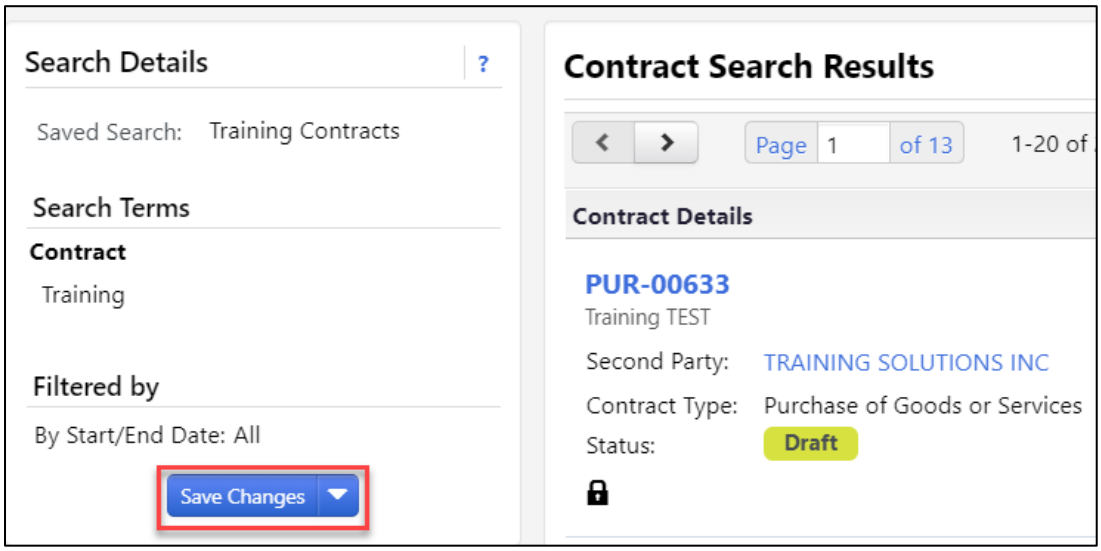
Update a Saved Search

Saved Searches are created and updated from the Search Contracts page

1. Access and run the Saved Search.
2. Modify the parameters of the search within the **Refine Search Results** pane to the left of the **Contract Search Results.**



3. When the desired results are obtained, click the **Save Search** button.



Contract Statuses

The Contract Status indicates where a contract is in its lifecycle. These statuses can provide Contract Managers and Contract Approvers with the current state of contracts, including the following:

Complete – The contract has reached its scheduled end date and all steps required to close the contract have been done.

Draft – The contract's attributes are being input and has not yet been submitted for approval.

Expired – When a contract has reached its scheduled end date, it is marked as expired.

Executed: Future – The contract is approved but will not go into effect until its scheduled start date.

Executed: In Effect – The contract is approved and active.

External Review – The contract draft is complete and is undergoing an external review by individuals who do not have access to the system.

Internal Review – The contract is undergoing an internal review by users within the system.

Out for Signature – The Contract Manager has setup the document to collect eSignatures via the DocuSign application and the contract is in workflow to obtain these eSignatures.

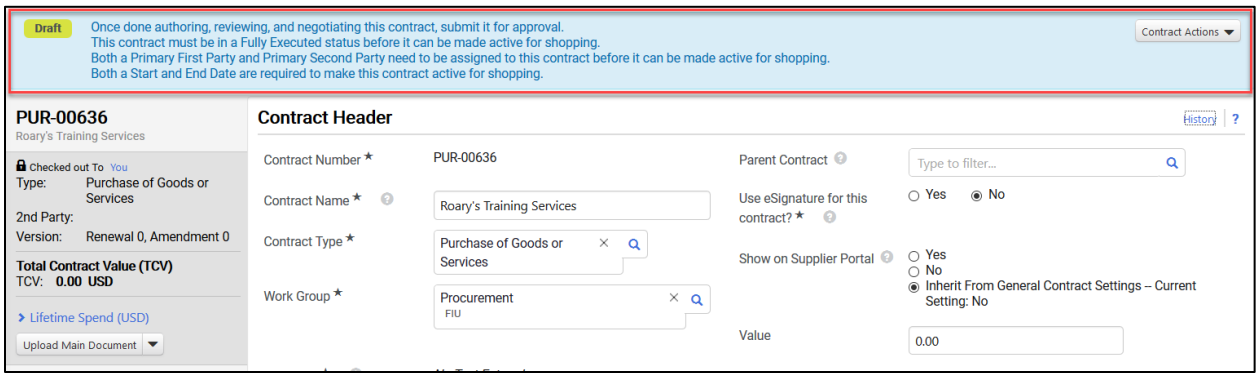
Pending Approval – The contract is moving through its approval workflow.

Pending Signature – This applied to contracts that have obtained the appropriate workflow approvals and is ready to be setup for eSignature via DocuSign.

Superseded – The contract is an older version and is no longer in effect. It has been replaced with a newer version of the contract, whose status is '**Executed: In Effect**'.

Terminated – The contract has been stopped (terminated) before its scheduled end date.

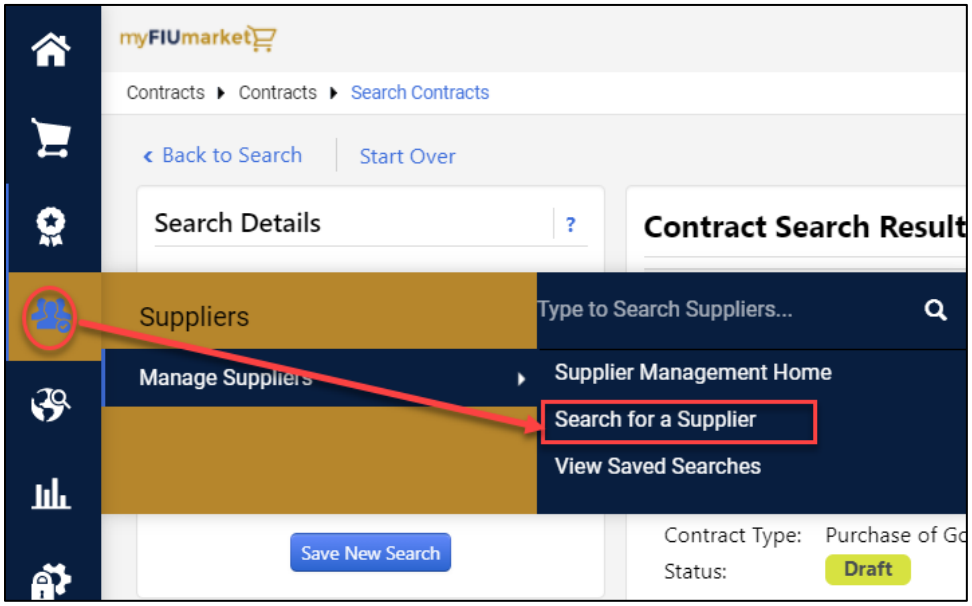
These statuses can be identified via the Status Bar along the top of the Contract Header, alongside Contract Search Results, as well as some panes within the Dashboard.



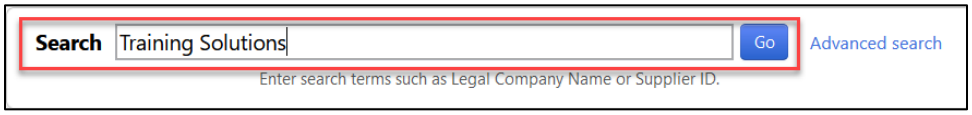
Searching for Suppliers

Prior to entering a Contract into TCM, you should make sure the Supplier is available for selection within the system.

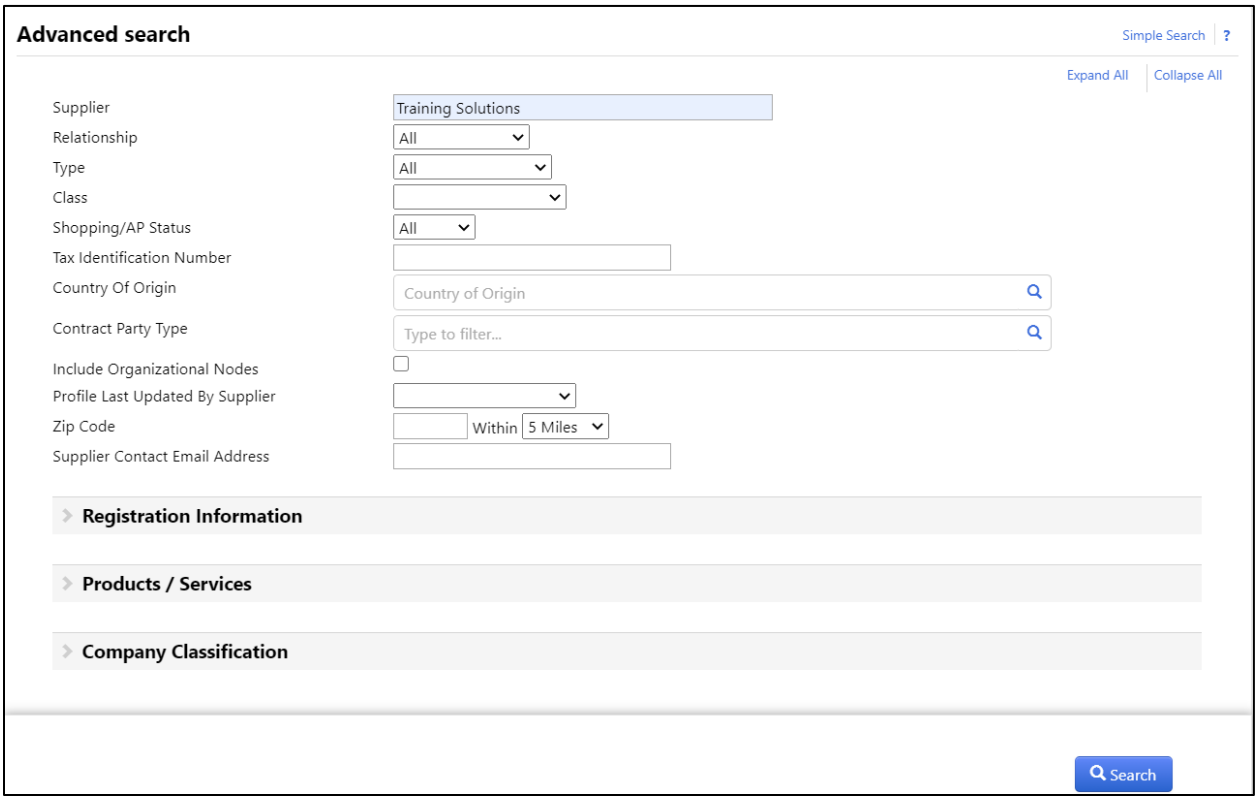
1. Select the **Search for a Supplier** link via the **Suppliers** icon within the left-hand navigation bar.



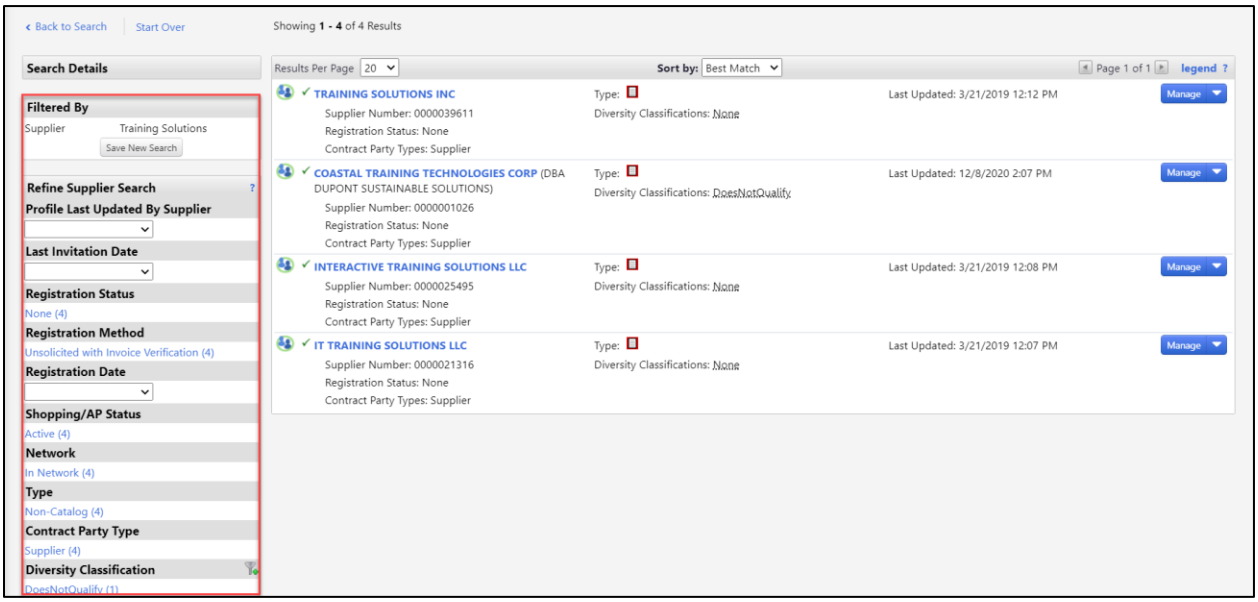
2. Enter the name of the **Supplier** or **Supplier ID** into the **Search** box, then click the **Go** button.



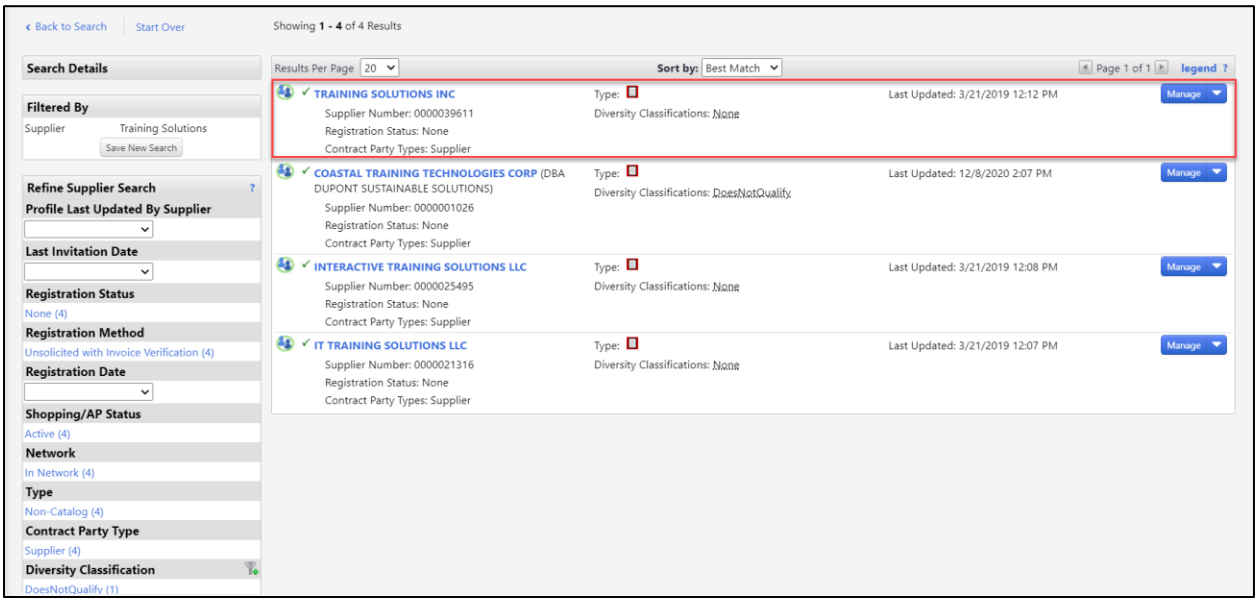
NOTE: The **Advanced Search** link provides additional fields to help users narrow down their search results.



3. For larger sets of results, users may find the **Filter** and **Refine Supplier Search** options useful. These are located on the left of the **Results** page.



4. Once the Supplier is confirmed within TCM, it is available for selection while entering the contract.



NOTE: If the Supplier cannot be found within TCM, users may check whether this is an approved Supplier within PantherSoft Financials via the following navigation:

Main Menu > Suppliers > Supplier Information > Add/Update > Review Suppliers

For assistance with PantherSoft Financials, contact Financial System and Support Services (FSSS) at 7-7200 or at controller@fiu.edu.

For assistance with registering a new Supplier, users may contact vendors@fiu.edu or direct the Supplier to the FIU Vendor Portal to complete the Supplier application.

Foreign Suppliers

Foreign suppliers will show as active within TCM but remain unapproved until they go through an approval process with Tax Compliance. Contract Managers, however, may still create contracts with them in the system. Once this contract is fully approved and executed, Tax Compliance will approve the foreign supplier within PantherSoft Financials.

Although most of the contract creation process remains the same for foreign supplier, the following guidelines provide specifics on how to handle these types of vendors.

1. Enter the contract into TCM, per the steps provided in this manual. See Create a New Contract.
2. Ensure all documents are attached to TCM for Tax Compliance to review and approve during the workflow.
3. Add Tax Compliance as an additional signer after the Authorized FIU Signatory. See Additional Signers.
4. While setting up signatures in DocuSign, insert an “Initials” field for Tax Compliance on the signature page(s). See DocuSign eSignature Setup.

Tac Compliance will be the last party to initial, so they can review a fully executed contract and will be able to approve the foreign supplier in the PantherSoft Financials system.

Once this process is complete, the foreign supplier will be available for use on a requisition.

Creating a New Contract

The following will assist Contract Managers with the necessary steps in creating a procurement contract for goods and/or services on behalf of FIU. Submission of a procurement contract through TCM will automatically initiate an approval workflow based on responses to the Conflict of Interest questionnaire. These questions and subsequent approval requirements will be discussed in further detail throughout this guide.

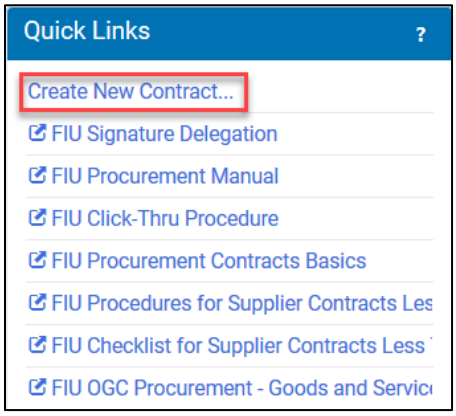
Prior to entering any contract into TCM, users must first verify whether the Supplier is loaded into TCM.

Initiating a Contract

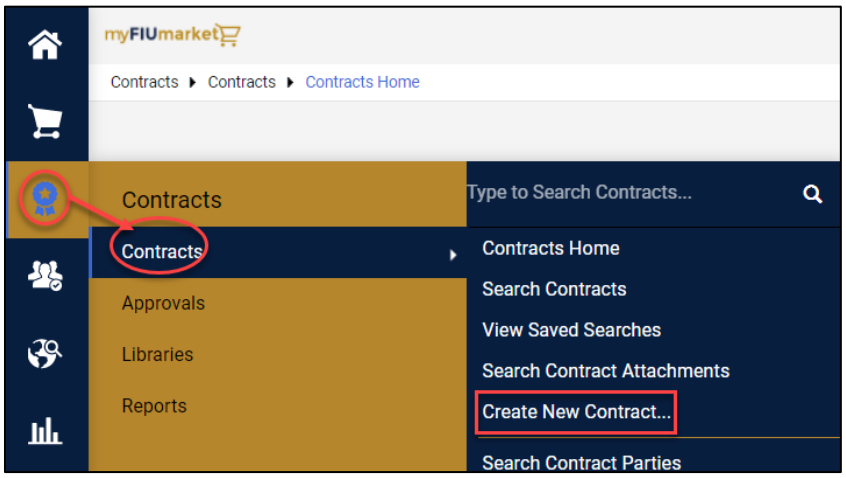
After confirming the Supplier is active and available for selection within TCM, the Contract Manager is ready to initiate a contract.

Return to the **TCM Dashboard** and locate the **Quick Links** widget.

1. The **Create New Contract** link can be located within the **Quick Links** widget.



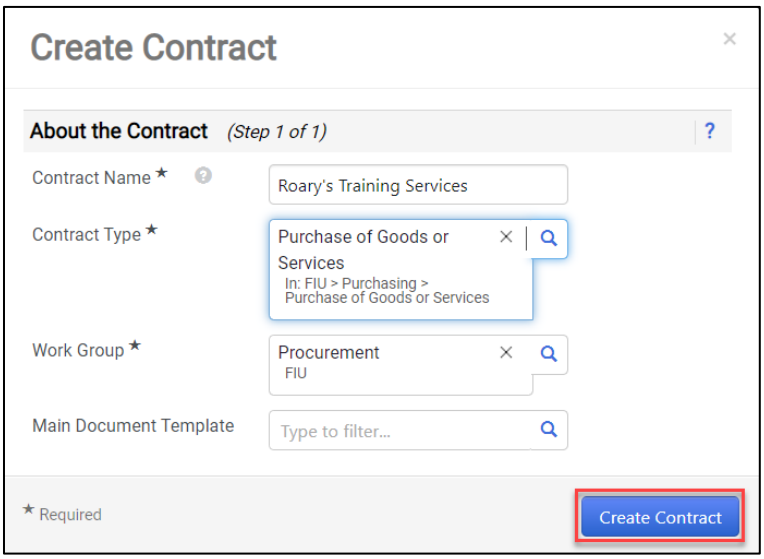
The same link can be found through the **Contracts** icon within the left-hand navigation bar.



2. On **Step 1** of the **About the Contract** screen, enter all required (★) fields:
   a. **Contract Name** – There is not a set naming convention for contracts, but the contract name should be clear and concise. It is also recommended it be easy to locate via the Contract Search functionalities.
   b. **Contract Type** – Drill down until 'Purchase of Goods or Services' is selected.

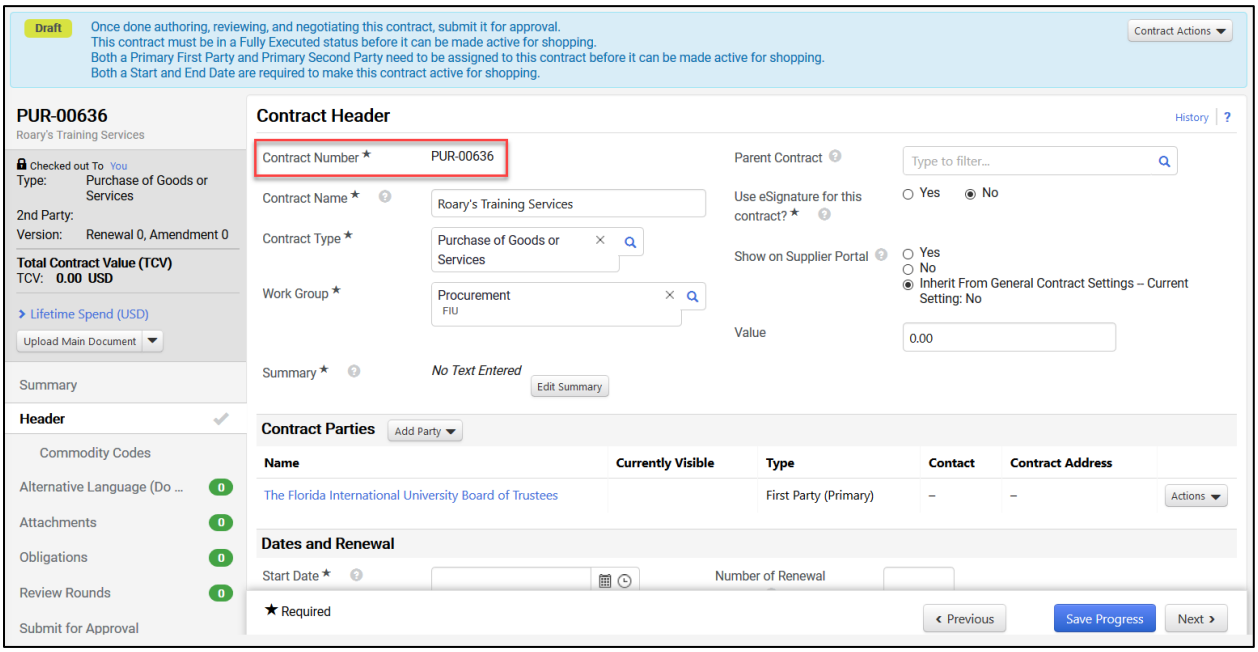
NOTE: Help notes are often available via the question mark symbol (?) and can provide guidance on business policies and processes.

3. With all required fields completed, select the **Create Contract** button.

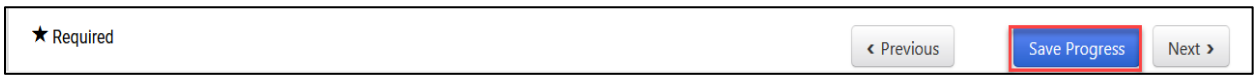


The Contract is now initiated and assigned a **Contract Number (PUR-#####)**. Do not edit this number, as these are systematically assigned. This Contract Number will need to be TYPED at the top, right-hand corner of the first page for all attachments.

The questions on this page will require entry of information pertaining to the contract.

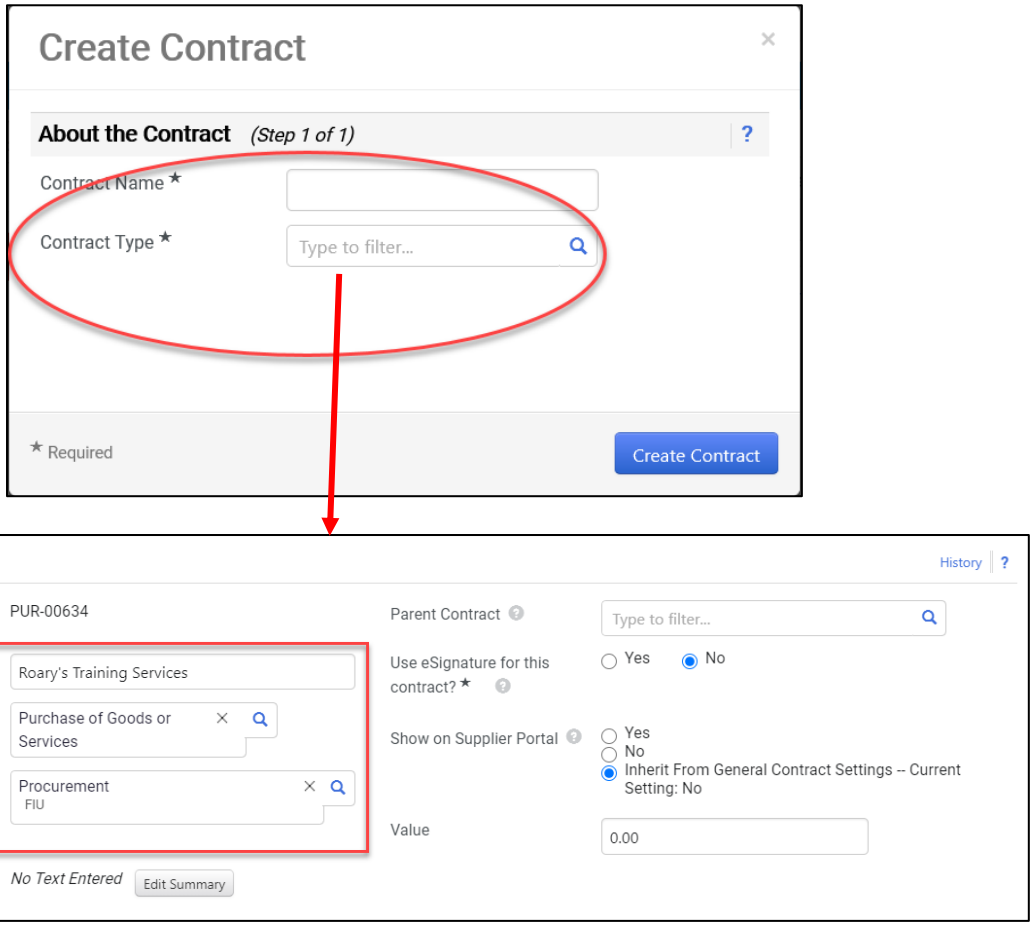


NOTE: Please save frequently via the **Save Progress** button located at the bottom of the page. The system automatically times out after **15 minutes**, regardless of activity.

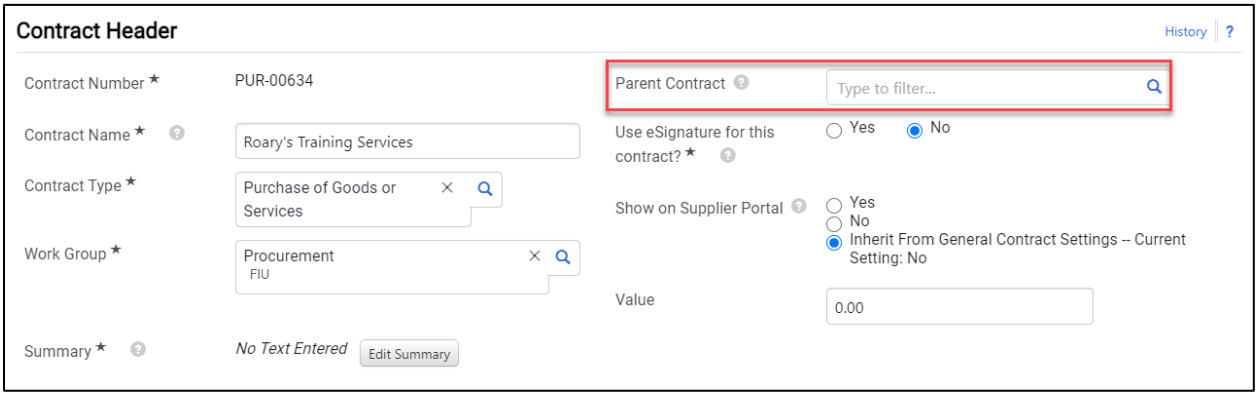


Contract Header

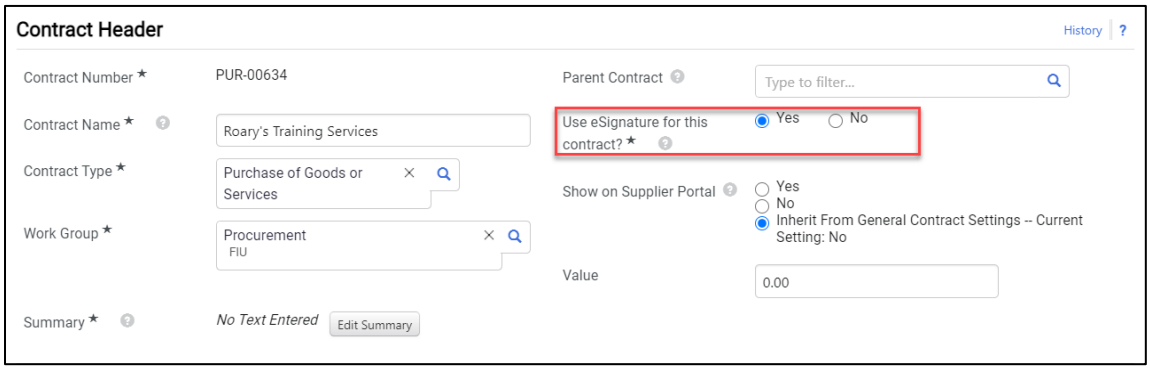
1. The **Contract Header** will contain information from the **About the Contract** entry screens, including the **Contract Name** and **Contract Type** fields.



2. If the user is entering documents such as addenda, order forms, scopes of work, etc., the user should link it to a Master Contract via the **Parent Contract** field. This is not intended to be used for renewals and/or amendments.

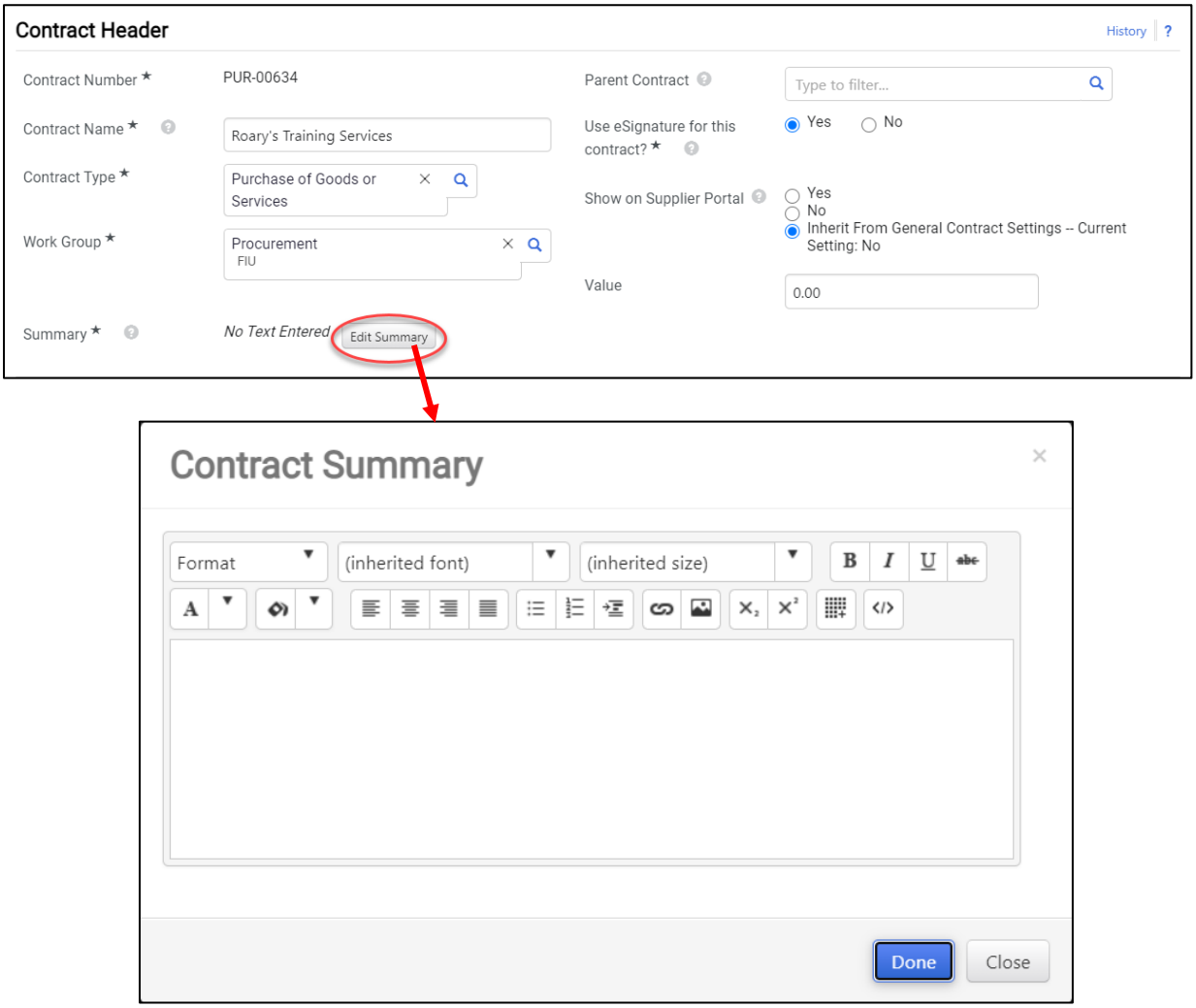


3. Select the **Yes** radial button for the **Use eSignature for this contract** question. This is required, as signatures will be collected via DocuSign.

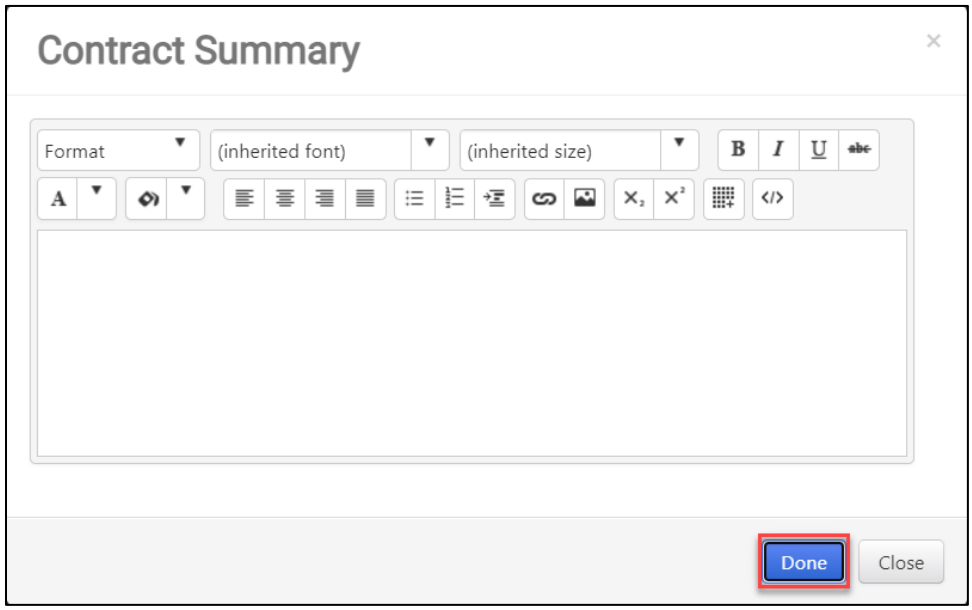


4. A **Summary** is required for all contracts. This should describe the types of the goods and/or services being purchased including the name(s) of any individual(s) who will be performing the services and any other pertinent information.

   a. Begin by selecting the **Edit Summary** button. This will open the **Contract Summary** window.



b. Once a description is entered in the **Contract Summary** window, select the **Done** button to return to the Contract.

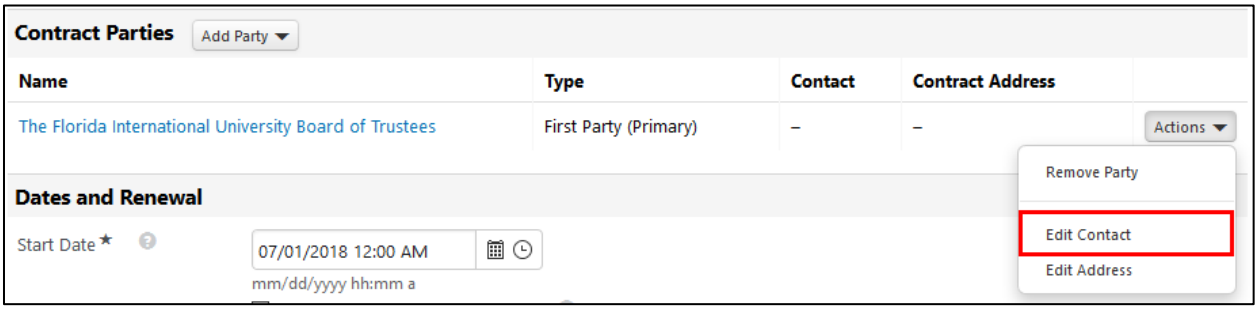


5. The **Contract Parties** are those entities or individuals who are responsible for performing as part of the contract.

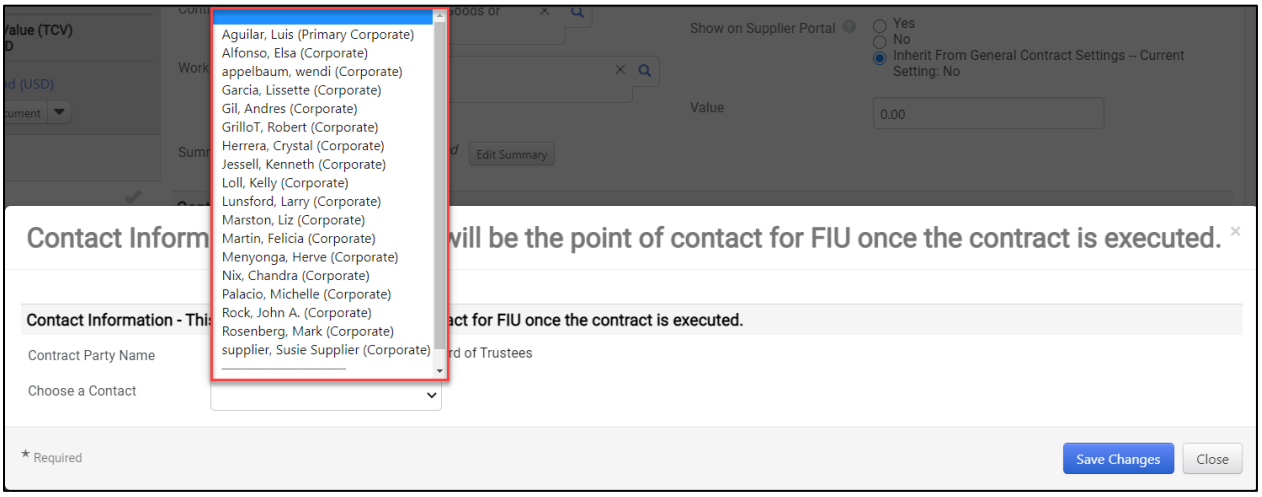
   First Party: By default, **The Florida International University Board of Trustees** will always be the 'First Party (Primary)' for every contract entered into TCM. A **Contact** will need to be entered. This individual will become the signatory for the contract. Users are responsible for knowing who the assigned signatory for their contract is. When in doubt select the Director of Procurement Services, Kelly Loll.

   a. To add a Contact to the First Party, select the **Action** dropdown menu.

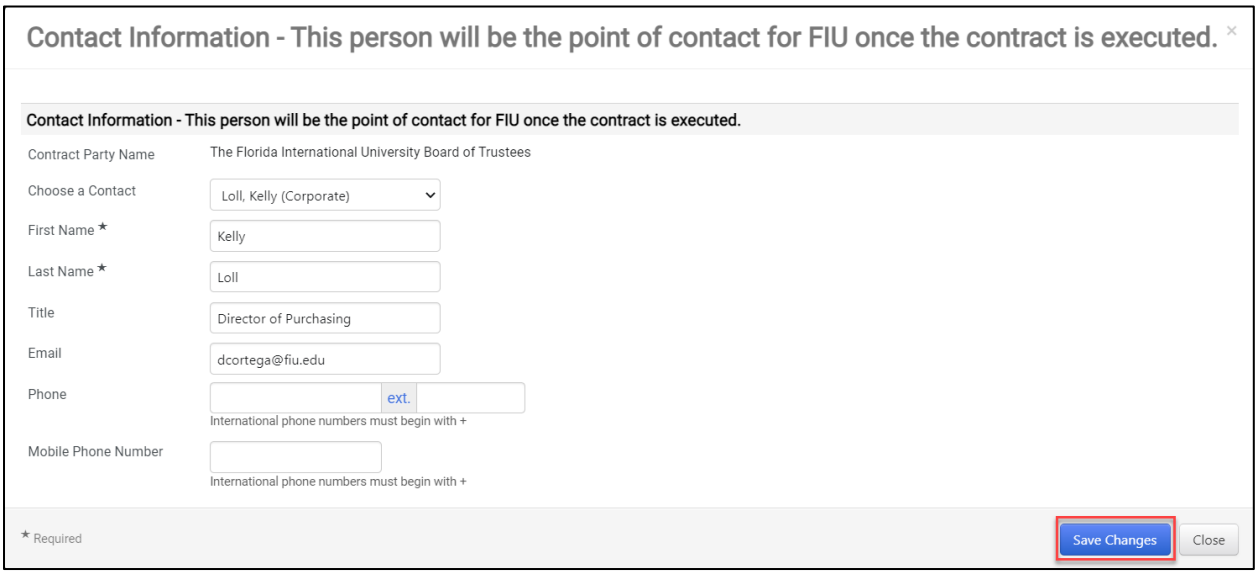
   b. Select **Edit Contact**.



c. The **Contact Information** window appears. Select a signatory (if available) from the **Choose a Contact** dropdown menu. If the desired contact is not available, select 'Add Contact' to enter their information in manually.



d. Confirm all information on the proceeding screen is correct. It is imperative that the signatory's email is correct. This will be used later in the workflow for eSignatures. Click the **Save Changes** button.



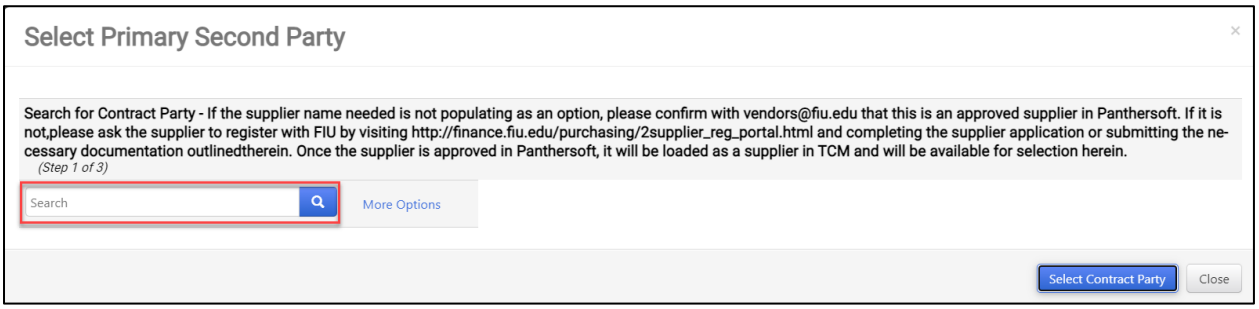
NOTE: For a list of authorized signatories, visit the [Office of the General Counsel's Signature Authority]() website.

Second Party: This is also referred to as the **Supplier**. Once selected, a **Contact** will also need to be added. Like with the First Party, this individual will become the signatory.

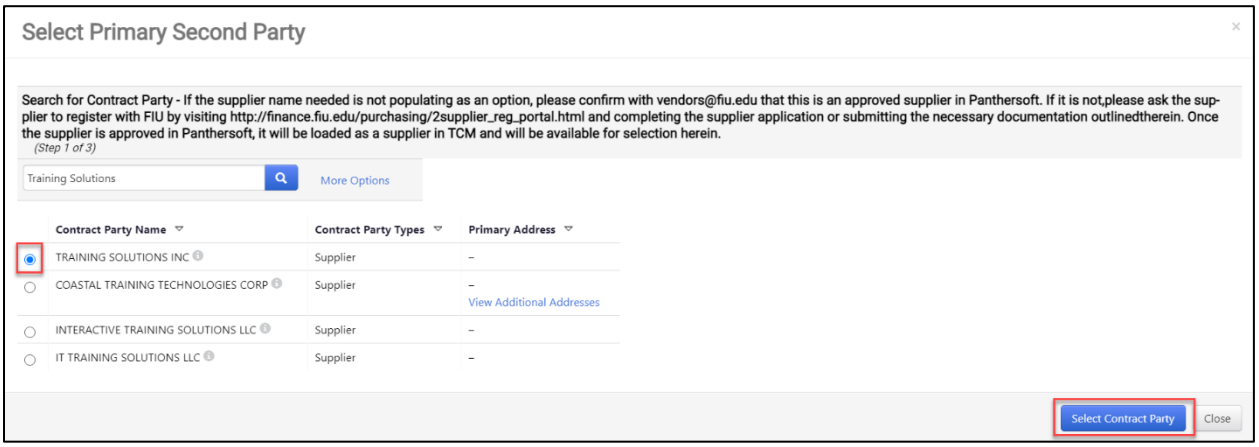
a. Begin by selecting the **Add Party** dropdown button.

b. Select **Supplier Name.**

c. The **Select Primary Second Party** window displays and provides guidance on searching for the Supplier and what to do if the Supplier has not yet registered with FIU. Utilize key words within the search field to locate the Supplier.



d. Select the radial button for the desired Supplier, then click the **Select Contract Party** button.



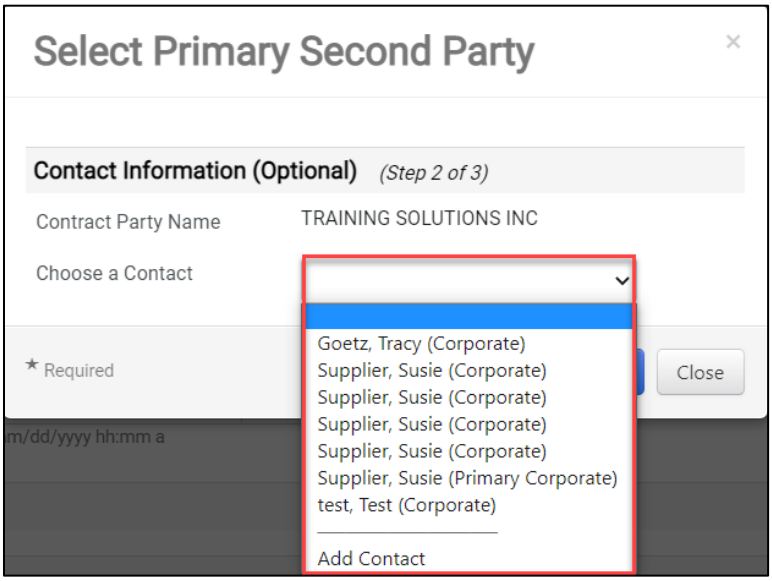
NOTE: If the Supplier cannot be found within TCM, users may check whether this is an approved Supplier within PantherSoft Financials via the following navigation:

Main Menu > Suppliers > Supplier Information > Add/Update > Review Suppliers

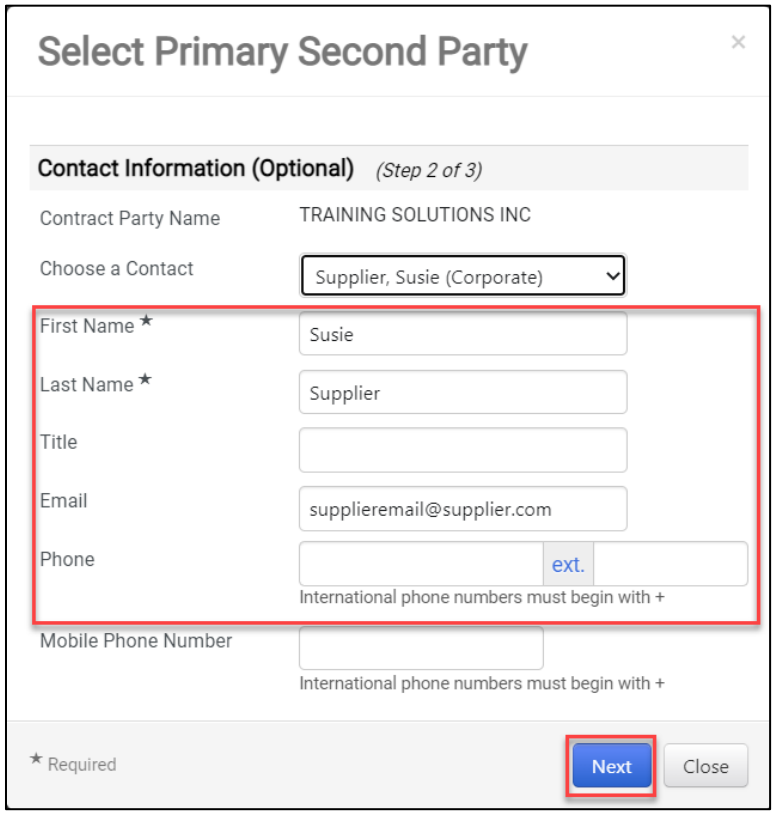
For assistance with PantherSoft Financials, contact Financial System and Support Services (FSSS) at 7-7200 or at controller@fiu.edu.

For assistance with registering a new Supplier, users may contact vendors@fiu.edu or direct the Supplier to the FIU Vendor Portal to complete the Supplier application.

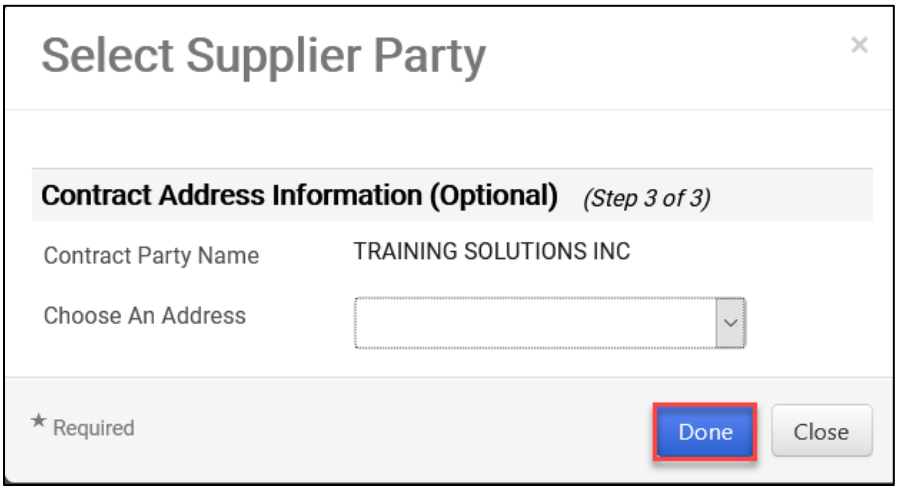
e. Select a contact from the **Choose a Contact** dropdown menu. If one is not available, choose 'Add Contact'. In this example, you will see how to add a contact. This individual does not need to be the Supplier's signatory for this contract but may become it.



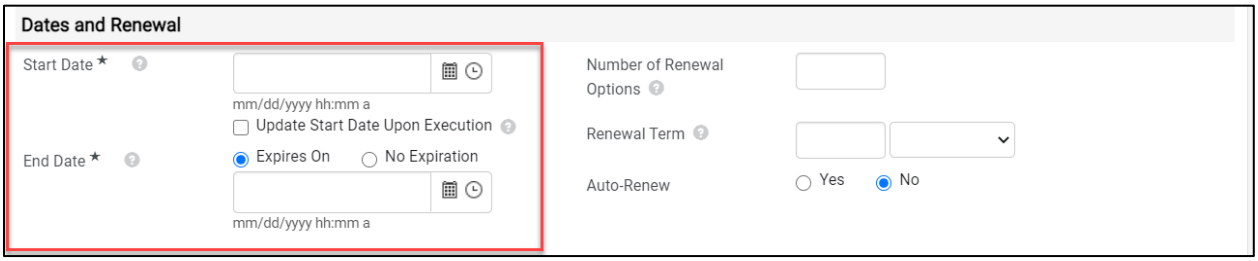
f. At minimum, enter the required fields (i.e., First Name and Last Name) for the Supplier's contact. It is recommended to also add an Email, since this contact can be set up for eSignatures after contract approval(s). When complete, click the **Next** button.



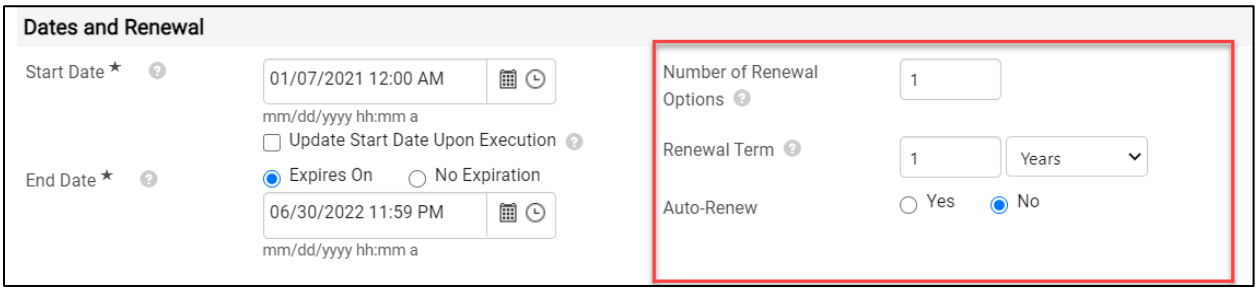
g. If available, users may elect to select an address for the Supplier from the **Choose An Address** dropdown menu. This field is optional. Click the **Done** button.



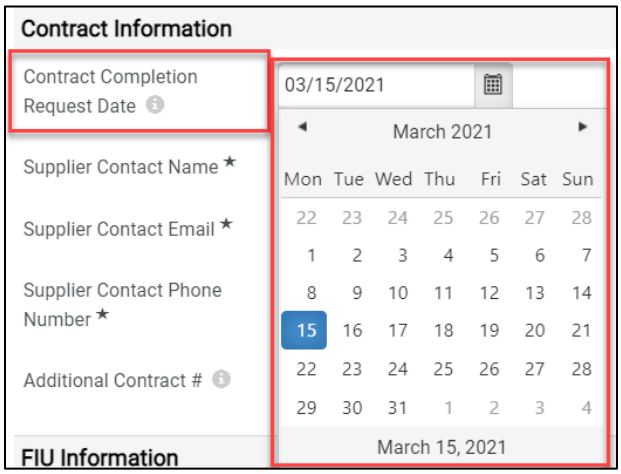
6. Below the Contract Parties section, you will find the **Dates and Renewals** section, which includes the **Start** & **End Date** fields. Enter the date fields by clicking on the Calendar icon and choosing the start and end dates.



7. If renewals are included within the terms of the Supplier's contract, users must include those details to process those renewals through TCM in the future. For example, if the contract includes one renewal term of one year, the user should enter '1' in the **Number of Renewal Options** field and '1 Year' in the **Renewal Term** fields as shown below.

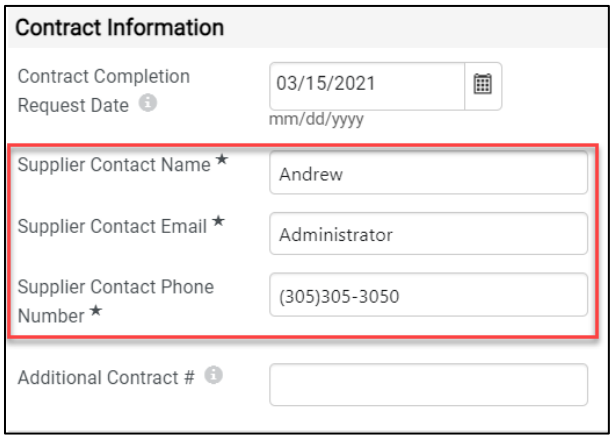


8. In the **Contract Information** section, select the **Contract Completion Request Date** by selecting the **Calendar** icon. This reflects the date the department would like for the contract to be fully executed by.

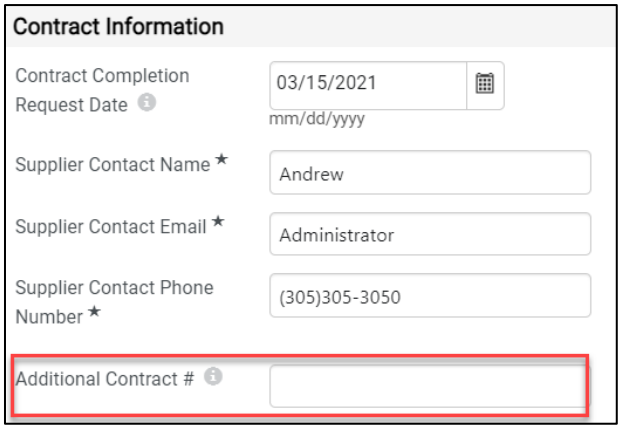


NOTE: Contract Managers should keep in mind that Contract Approvers have committed to approve contracts in their queue within two business days. If the contract requires review by the Office of the General Counsel, and additional 15 business days should be included in this date.

9. Enter the **Supplier Contact Name**, **Supplier Contact Email**, and **Supplier Contact Phone Number**. This contact does not need to be the same as the signatory for the Supplier.

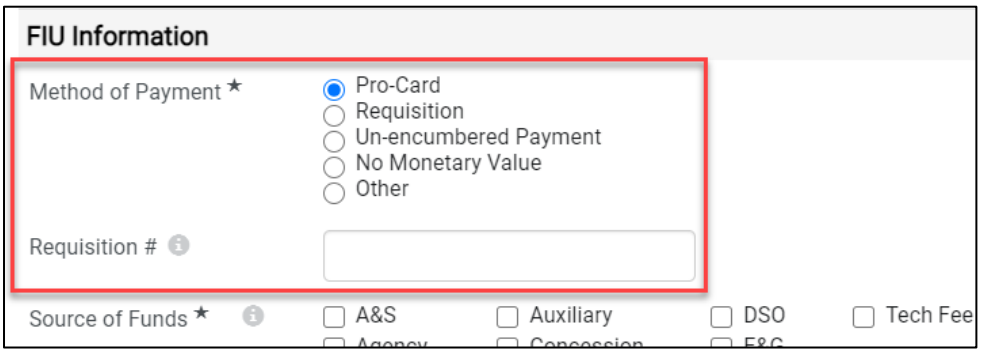


10. Users may elect to utilize the **Additional Contract #** field, where they may enter an internal contract number as a reference, such as one provided by the Supplier.

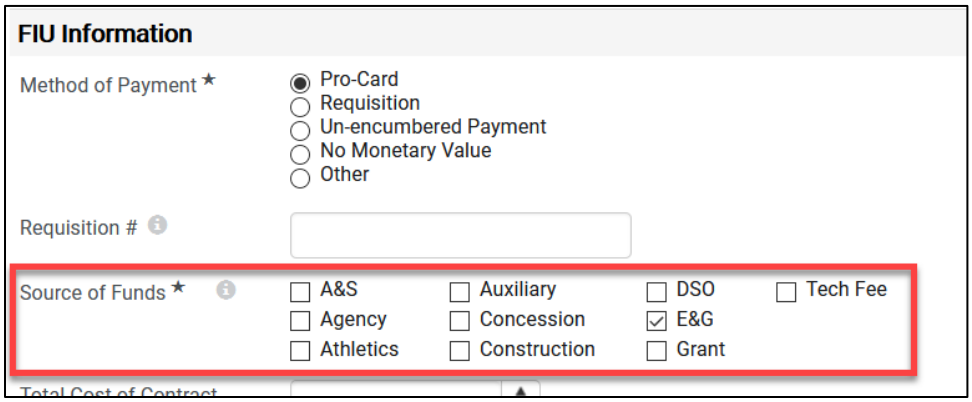


11. The **FIU Information** section focuses on the cost of the contract and how the user's department intends on fulfilling this financial obligation, including Chartfields that will later be used for accounting and reporting purposes.

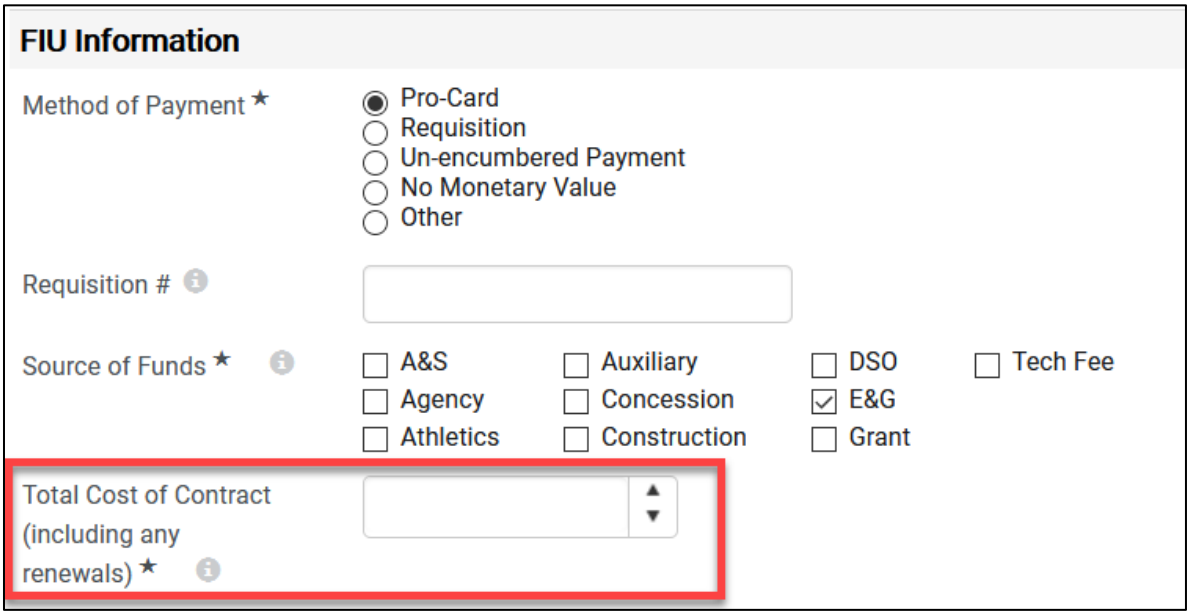
    Begin by specifying the **Method of Payment**. If a **Requisition** is used, it must be fully approved prior to entering the contract into TCM.



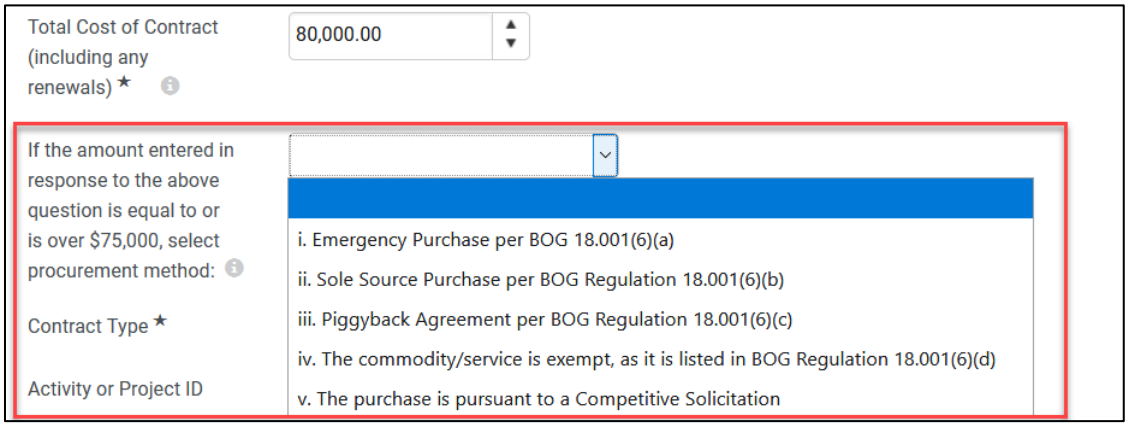
12. Specify the **Source of Funds**. This is identified by the **Fund Code** associated with the department's budget.



13. Enter the **Total Cost of Contract** (including renewals).



NOTE: If the amount entered is $75,000 or more, the method of procurement must be identified. For additional guidance on answering this question, refer to BOG Regulation 18.001 or FIU's Procurement Services Manual. Please attach required approvals, as applicable. Sole Source purchases should be allowed an additional 15 days for all appropriate approvals.

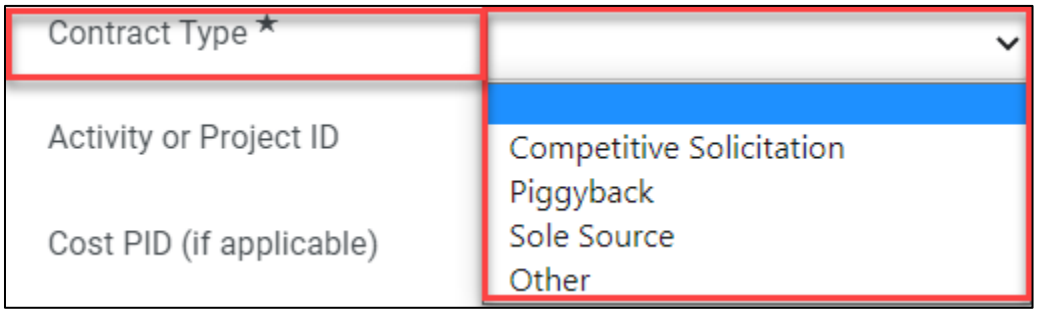


Any contract over $75,000 should be discussed with Procurement Services first. If a contract over this amount is submitted without prior approval, the contract will be sent back. Contract Managers should not decide whether the exemption applies to themselves. They should FIRST email contracts@fiu.edu.

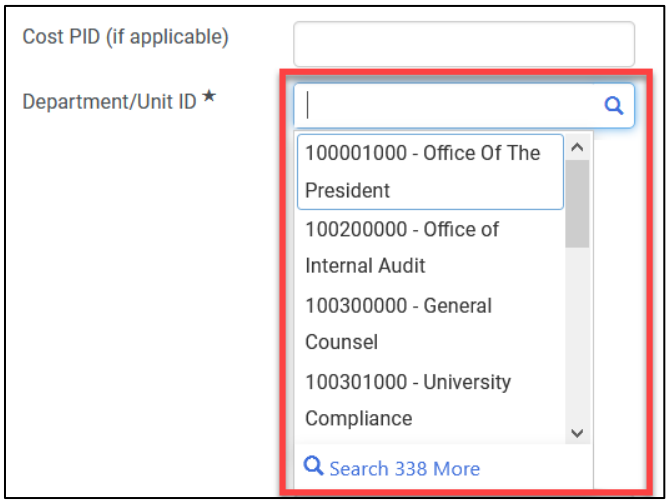
For all contracts over $100,000 a letter/memorandum describing the Who, What, Where, When, Why attributes of the contract should be included in the Attachments.

For all contracts over $1,000,000, the Presidential Approval Form found in the Appendices section of this manual must also be included in the Attachments.

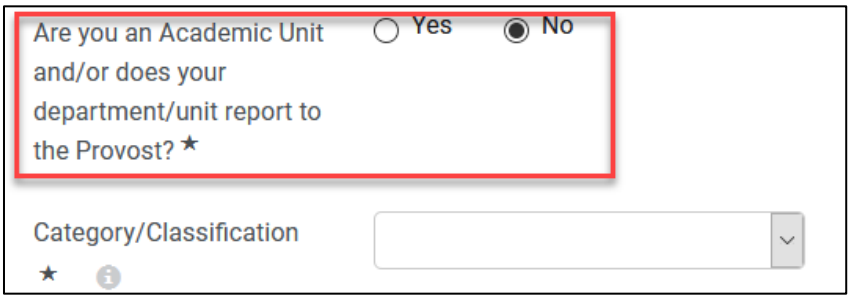
14. Identify the **Contract Type**



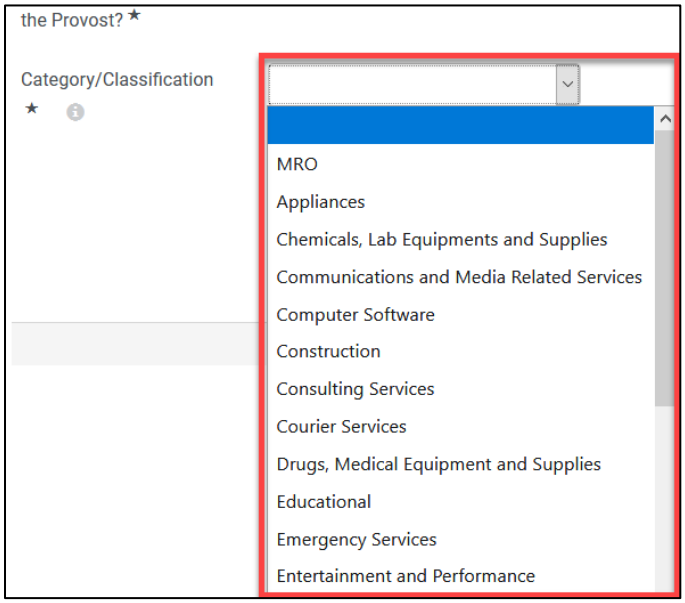
15. If applicable, enter the **Activity or Project ID** and **Cost PID** utilized for this contract. Users will be required to select their **Department/Unit ID** from the dropdown menu.



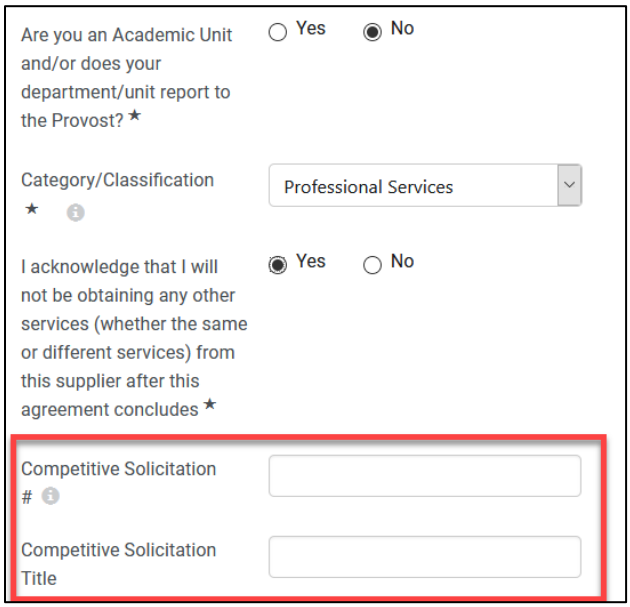
16. Identify whether the Academic Unit reports to the Provost.



17. Select the **Category/Classification** that best describes the line of goods/services being procured by this contract.



18. Enter the **Competitive Solicitation #** here, if any, and the associated **Competitive Solicitation Title**.

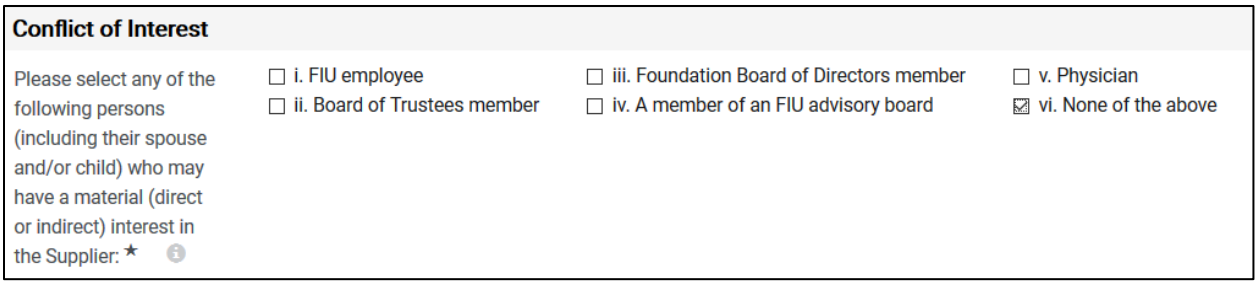


Contract Compliance Questions

All contracts entered into TCM will require the user's responses to a series of Compliance Questions. These will determine whether contract approvals should route to specific compliance groups (i.e., IT and OGC) based on the nature of the goods/services involved. No additional approvals will be required outside of the TCM system. When in doubt, Contract Managers should reach out to OGC for further guidance at 7-2103.

Conflict of Interest

Select all checkboxes that apply, identifying whether any of these types of individuals (including spouses and/or children) whom may have a material (direct or indirect) interest in the Supplier.

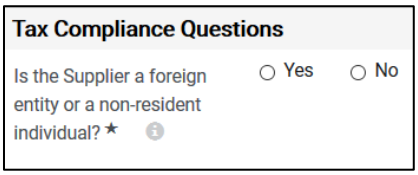


NOTE: Material interest means direct or indirect ownership of more than 5 percent of the total assets or capital stock of any business entity. Indirect ownership does not include ownership by a spouse or minor child; it only pertains to the employee's indirect ownership.

The Contract Manager will not be able to continue with the contract process if there is a potential conflict of interest until it has been approved by the appropriate approver. As public employees, we are required by law to avoid conflicts of interest.

Tax Compliance

Identify whether the Supplier is a foreign entity or a non-resident individual.

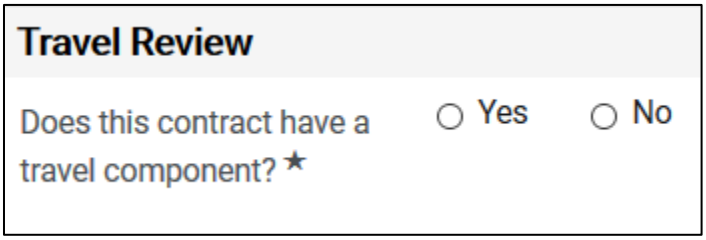


NOTE: Suppliers which are non-US Suppliers are considered “Foreign Suppliers”. If this applies to the Supplier, select ‘Yes’. This will route the contract to Tax Compliance for approval as part of the contract’s workflow. Tax Compliance will then work with the Contract Manager and the Foreign Supplier as needed to approve the contract.

After the contract has been executed and payment needs to be issued to the Foreign Supplier, the Contract Manager must contact Tax Compliance to have the Supplier approved within PantherSoft Financials. Approval of the contract IS NOT the same as approval of the Foreign Supplier in PantherSoft. The contract must be approved, processed, and executed before the Foreign Supplier can be approved as a Supplier in PantherSoft Financials. Should the Contract Manager require additional support, an email should be sent to **tax@fiu.edu**.

Travel Review

1.Identify whether there is a travel component or not.



2. If yes is selected an answer will be required for (a) to (c).

Travel Review

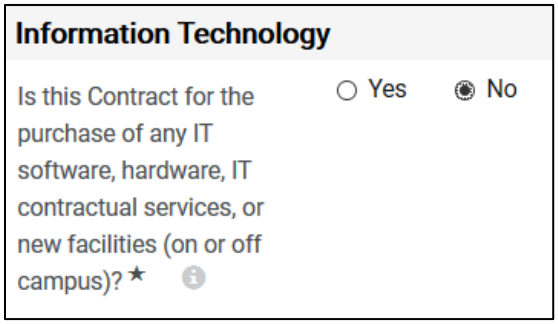
Does this contract have a travel component? ★	◉ Yes	○ No
a. Does this contract comply with the FIU Travel and Expense Policy (#1110.060) and the Florida Statute (F.S. 112.061)? Specific guidance and detailed information are found in the Help Text. ★	○ Yes	○ No
b. If using E&G funding, I am acknowledging that the maximum amount allowed ($150.00) per day is being charged/paid. Specific guidance for E&G is in the Help Text. ★	○ Yes	○ No
c. I acknowledge that this contract meets all of the FIU Travel requirements. ★	○ I Agree	

Information Technology Questionnaire

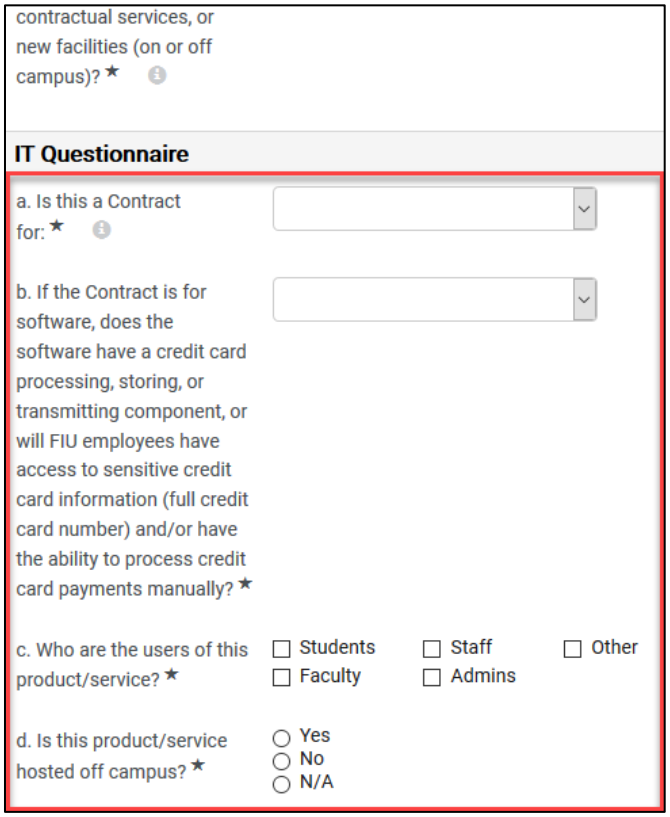
The IT Questions include a set of conditional questions that require specific feedback based on the Contract Manager's response(s). Answers to these questions will determine whether approval from The Department of IT is required as part of TCM's automated workflow.

1. Identify whether the contract is for the **purchase of any IT software, hardware, IT contractual services, or new facilities (on or off campus)**.

   a. If the response to this question is "No", the user may proceed to the **Office of Research**.

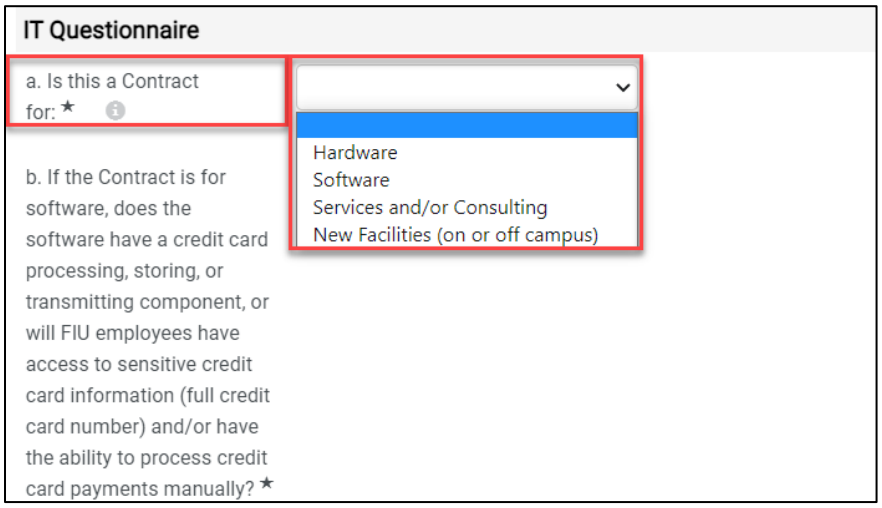


   b. If the response to this question is "Yes", the user MUST complete the **IT Questionnaire**.

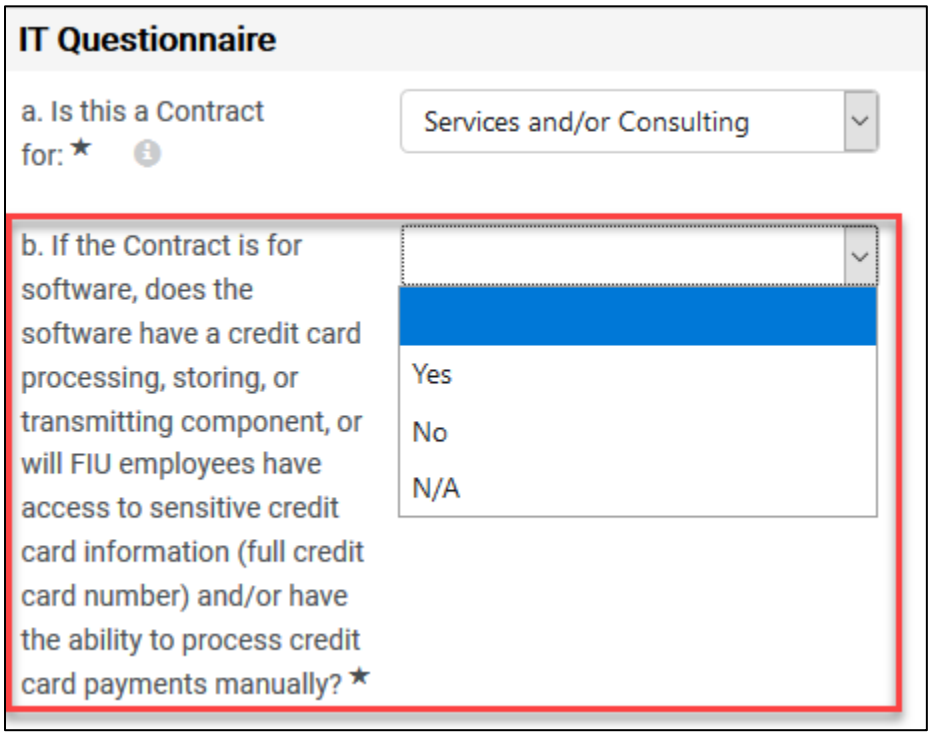


NOTE: For further assistance with the **IT Questionnaire** contact Jessica Elliott, Executive Assistant to the CIO/VP of Information Technology at **Jessica.Elliott1@fiu.edu**.

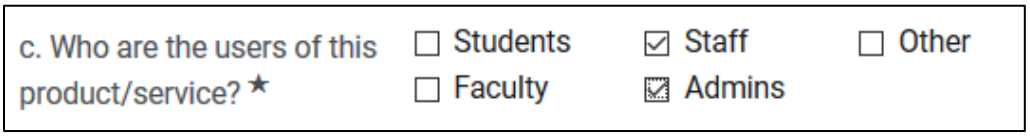
2. Identify whether this contract is for **Hardware, Software, or Services and/or Consulting**.



Based on the user's response to the question, a selection must be made to the proceeding question. IF this question does not apply, due to **Software** not selected, select "**N/A**".



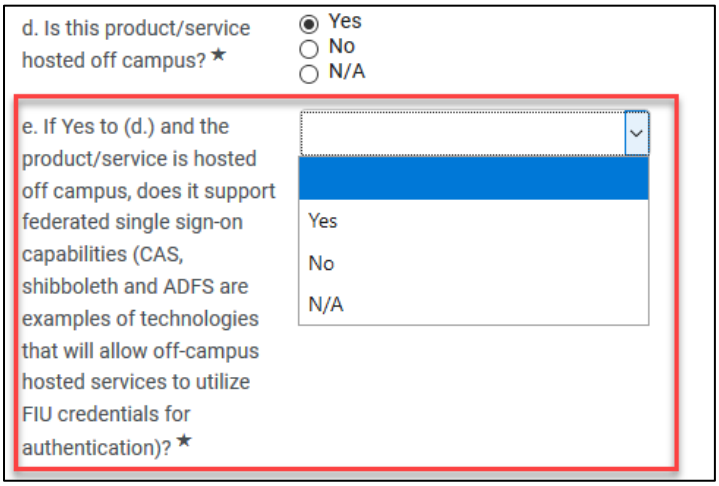
3. Identify the primary users of the IT product/service.



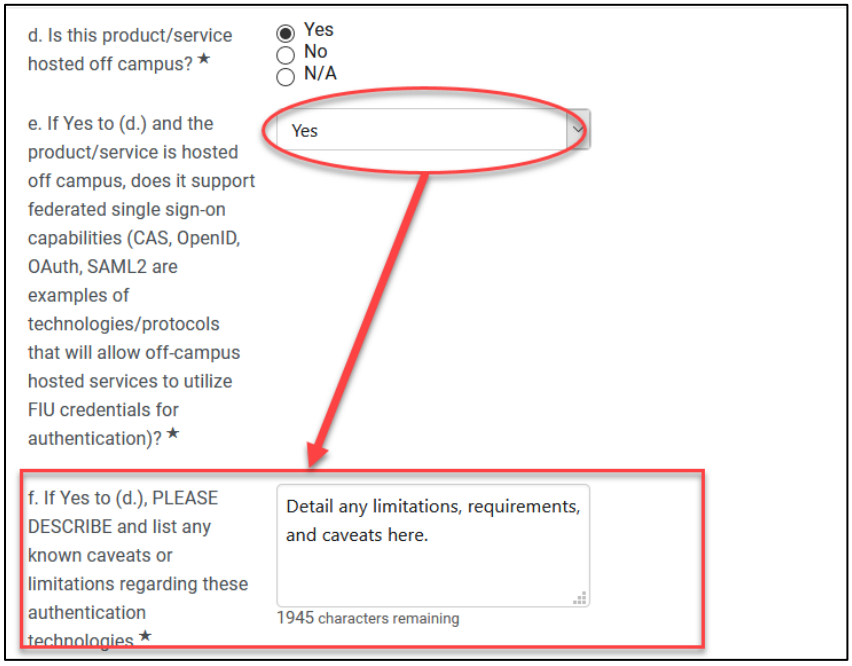
4. Specify whether the product/service will be hosted off campus with IT Questionnaire (d). Responses to (e), (f), (g), and (h) will depend on the user's response to this question.

d. Is this product/service hosted off campus? ★	○ Yes ○ No ○ N/A
e. If Yes to (d.) and the product/service is hosted off campus, does it support federated single sign-on capabilities (CAS, shibboleth and ADFS are examples of technologies that will allow off-campus hosted services to utilize FIU credentials for authentication)? ★	
f. If Yes to (d.), PLEASE DESCRIBE and list any known caveats or limitations regarding these authentication technologies	2000 characters remaining
g. If No to (d.) and the product/service is hosted on campus, where will it reside? ★	
h. If No to (d.) and the product will be hosted on Division of IT servers, have you obtained a quote for hosting services? ★	○ Yes ○ No ○ N/A

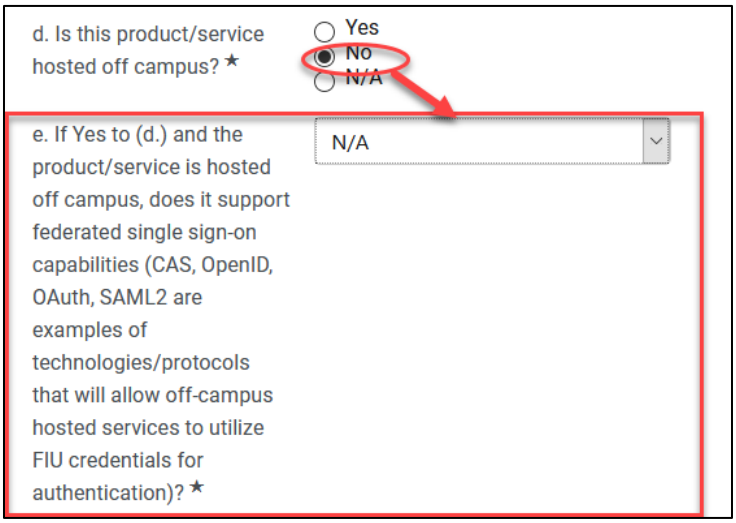
a. If the response is "**Yes**" to the product/service being hosted off campus, the user must proceed to respond with either "**Yes**" or "**No**" to question (e). This will identify whether the product/service can support **Federated Single Sign-on capabilities**.



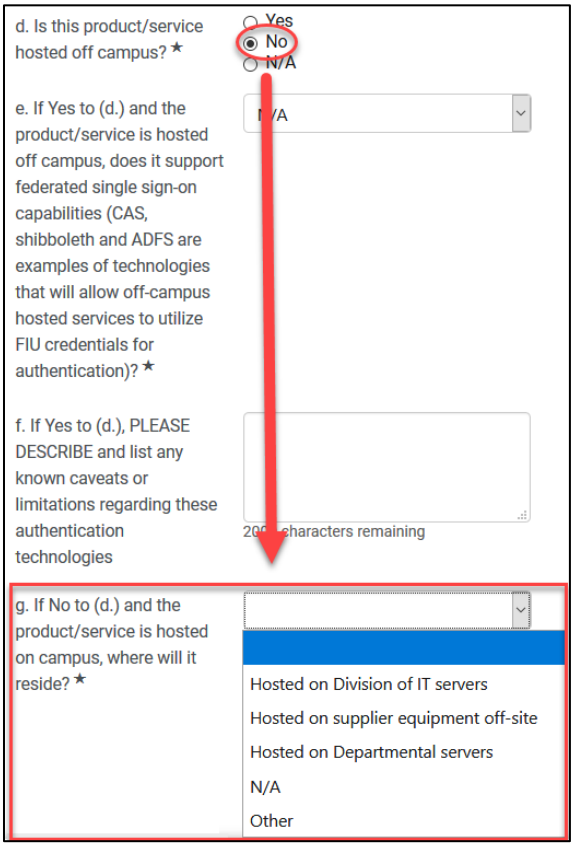
If "**Yes**" is selected for (e), a response will also be required for (f). Here the user must describe any limitations or requirements regarding **Federated Single Sign-on capabilities**.



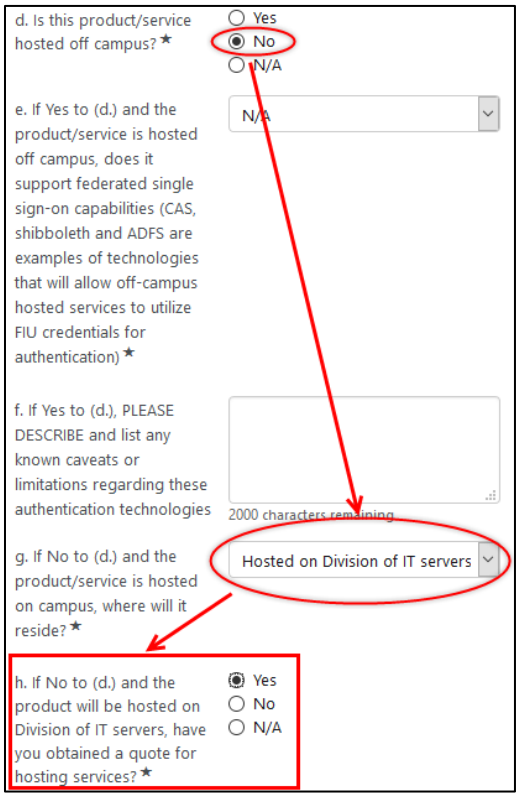
b. If the response to (d) is "**No**" to the product/service being hosted off campus, the user should select "**N/A**" to (e).



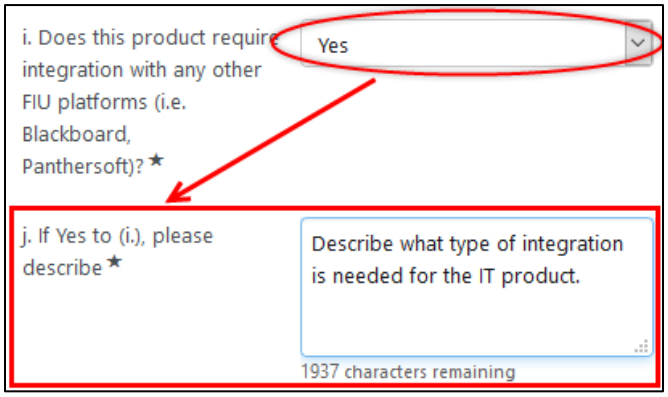
Then, the user may proceed to respond to question (g).



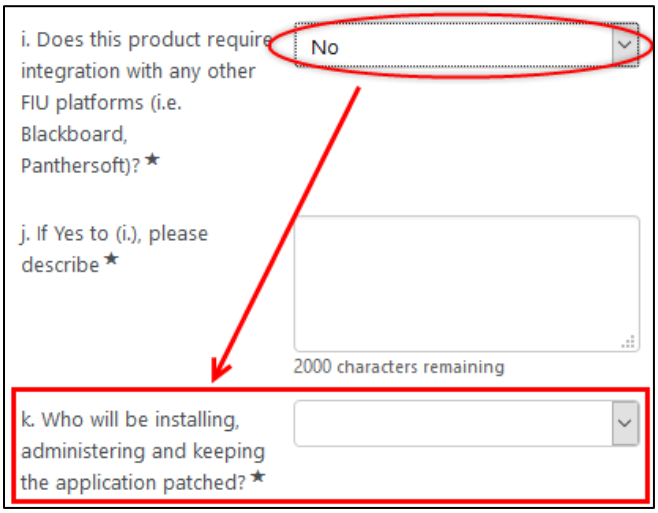
If "**Hosted on Division of IT servers**" was selected for (g), the user must respond either "**Yes**" or **"No**" to (h). This confirmed whether a quote was received from IT for hosting.



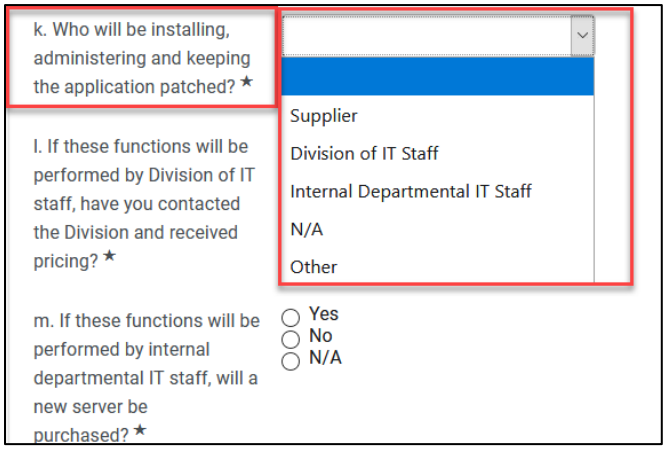
5. If the IT product requires integration with other FIU platforms, select "**Yes**" for question (i) and provide a description of this integration in the box provided under (j).



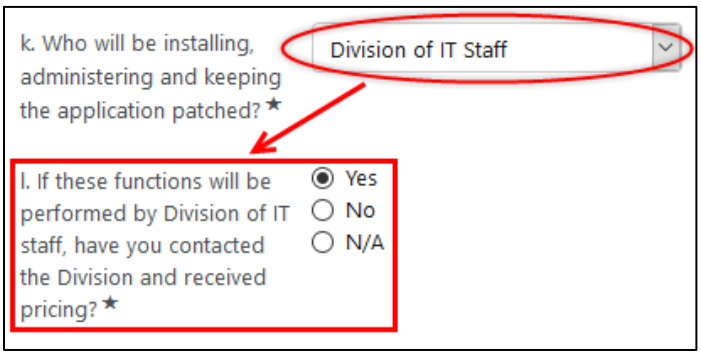
If the response to question (i) is "**No**" or "**N/A**" proceed to question (k).



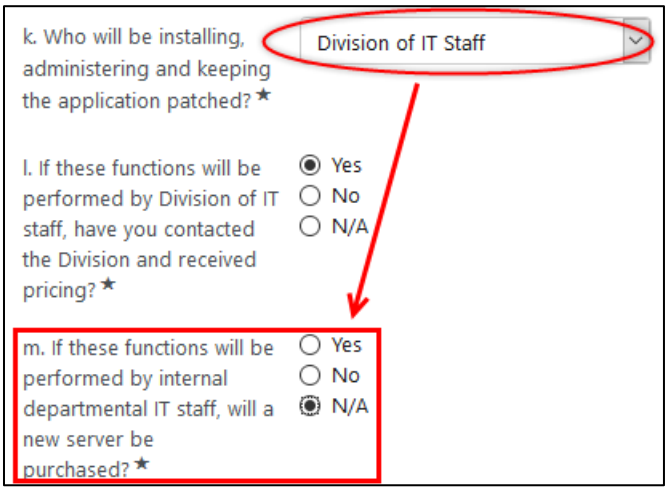
6. Identify the group responsible for **installing, administering, and keeping the application patched** via the dropdown menu for question (k). Subsequent responses to questions (l) and (m) will depend on the user's response to this.



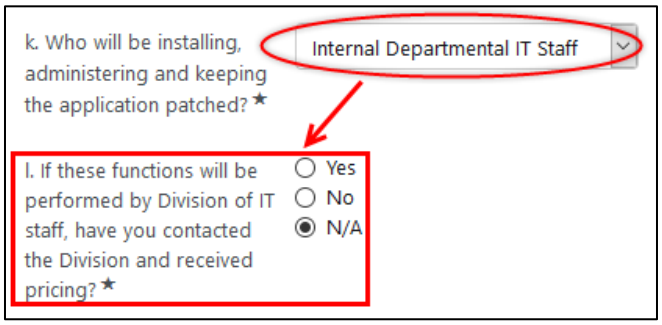
a. If the response to (k) is "**Division of IT Staff**", the user must respond to question (l) with either "**Yes**" or "**No**" to identify whether pricing for the administrative services was obtained from the Division of IT. The user may then proceed to question (n).



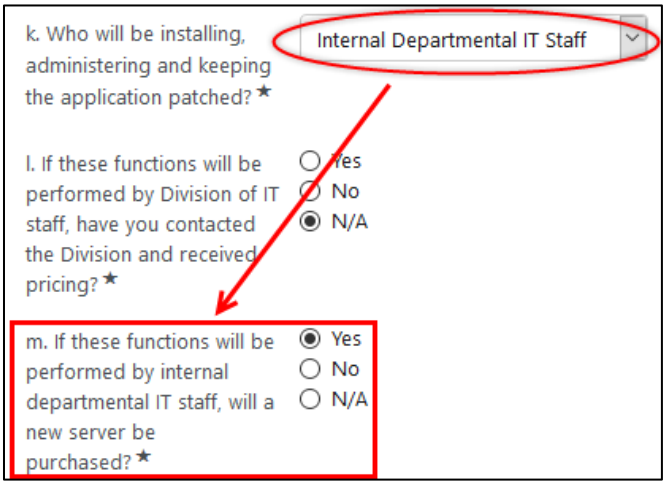
The user will then be expected to select "**N/A**" for question (m).



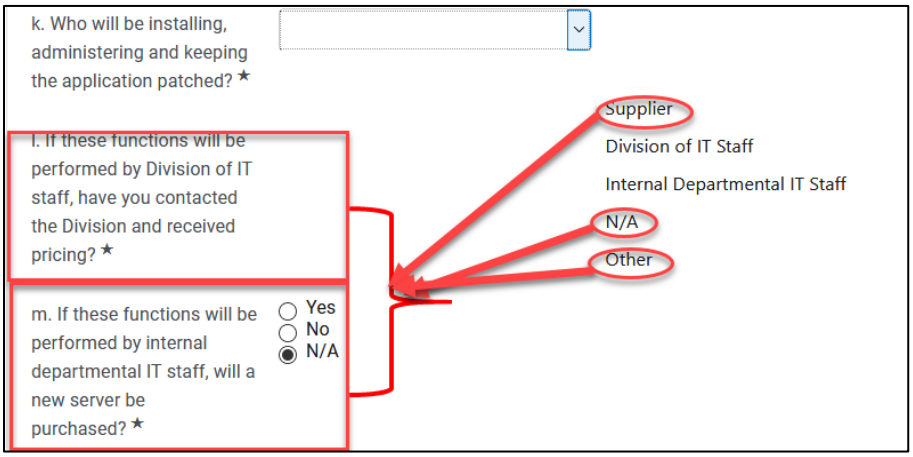
b. If the response to (k) is "**Internal Departmental IT Staff**", the user will be expected to select "**N/A**" in response to question (l).



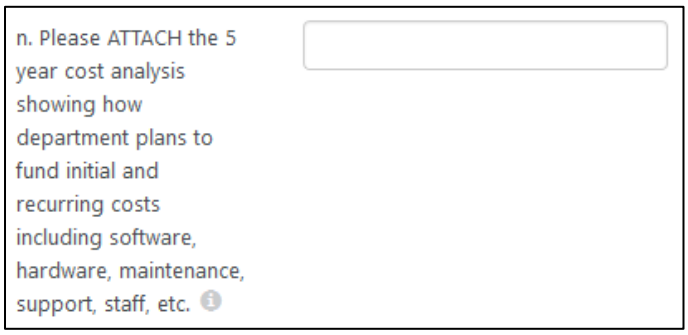
A response of either "**Yes**" or "**No**" will need to be selected for question (m), identifying whether a new server will need to be purchased for the Department.



c. If the response to (k) is either "**Vendor**", "**N/A**", or "**Other**", the user is expected to select "**N/A**" for both questions (l) and (m), then proceed to question (n).



7. A response is not required for IT Question (n) on this screen. However, Contract Managers are expected to attach the **5 Year Cost Analysis** within the attachments section of TCM with a copy of the Supplier's contract.

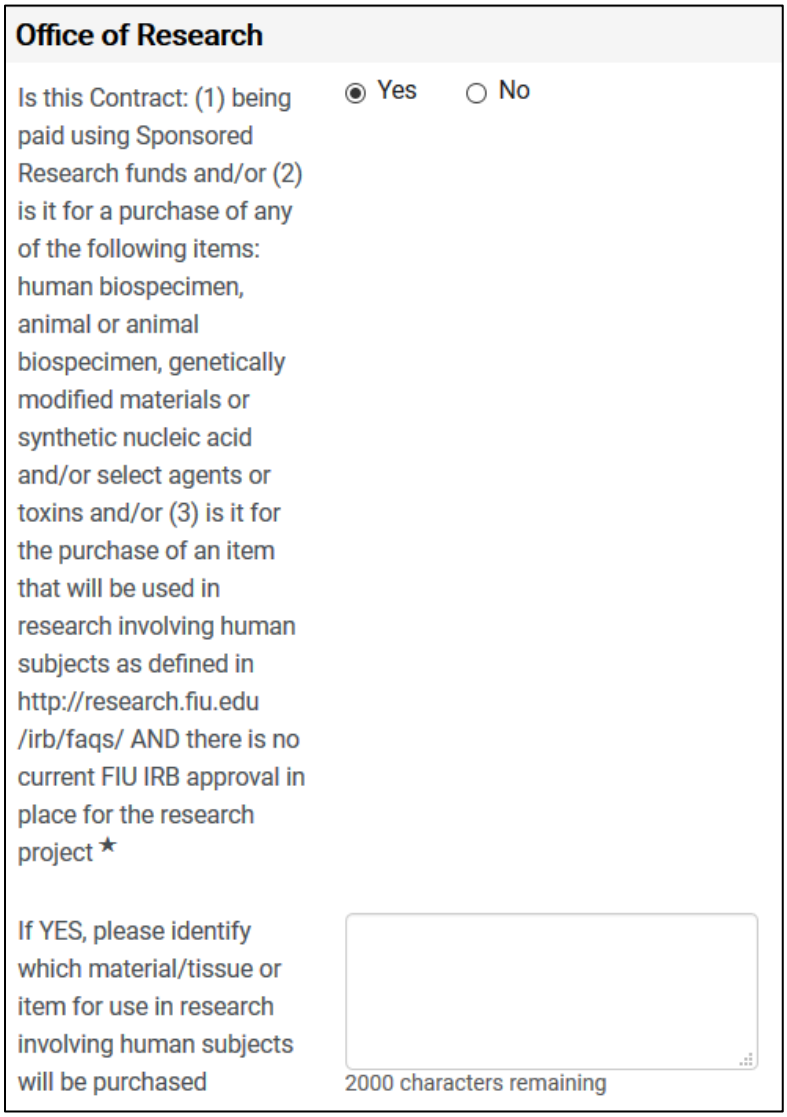


Office of Research

Contract Managers must identify whether their Supplier will be paid by **Sponsored Research funds**, the type of purchase being made, and whether the item(s) will be used for research involving human subjects. Responses to these questions will determine whether approval from The Office of Research and Economic Development is required as part of TCM's automated workflow.

If the response to this question is "**No**" then proceed to the **Environment Health & Safety Question**.

If the response to this question is "**Yes**", additional questions will need to be answered.



Office of Research

Is this Contract: (1) being paid using Sponsored Research funds and/or (2) is it for a purchase of any of the following items: human biospecimen, animal or animal biospecimen, genetically modified materials or synthetic nucleic acid and/or select agents or toxins and/or (3) is it for the purchase of an item that will be used in research involving human subjects as defined in http://research.fiu.edu /irb/faqs/ AND there is no current FIU IRB approval in place for the research project ★

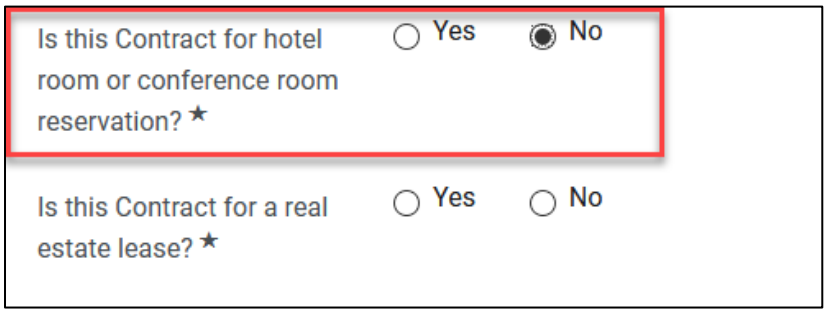
◉ Yes ○ No

If YES, please identify which material/tissue or item for use in research involving human subjects will be purchased

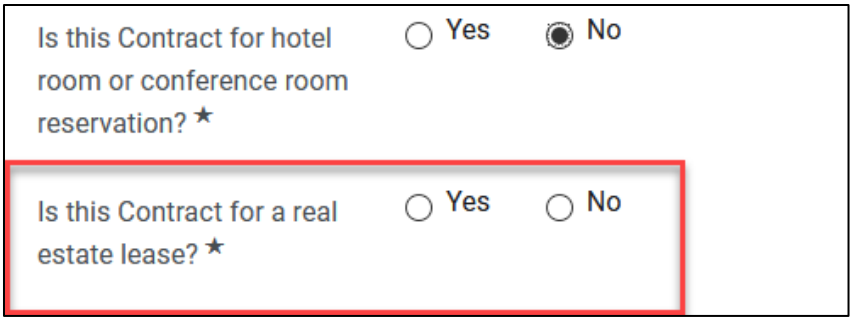
2000 characters remaining

1. Identify specifics about the material/tissue or item for use in research.

2. Identify whether this contract is for a **hotel room** or **conference room reservation**.



3. Identify whether this contract is for a **real estate lease**.



Environmental Health & Safety (EHS)

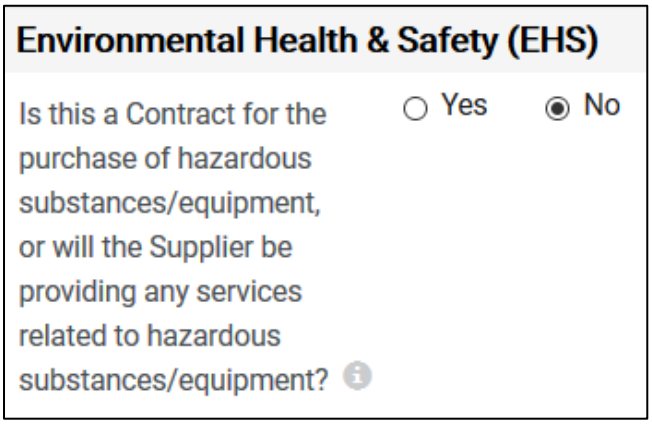
This question identifies whether the product/services purchased as part of this contract involves **hazardous substances/equipment**. If so, select "**Yes**". The response to this question will determine whether approval from The Office of Environmental Health & Safety is required as part of TCM's automated workflow.

This includes, but is not limited to, substances/equipment pertaining to the following:

- Lasers
- Chemicals
- Biologics
- Controlled Substances
- Nanomaterials
- X-Rays
- Radioactive Materials
- Select Agents

If assistance determining whether the purchase requires EH&S approval, please contact EH&S at ehs@fiu.edu, with the Subject: "**Purchase Pre-Approval Inquiry**" or reference the EH&S Website.

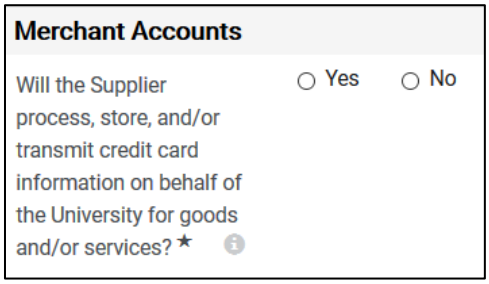
If it is determined that the does not apply to this contract, select "**No**" and proceed to the **Merchant Accounts Questions**.



Merchant Account

The question(s) within this section pertain to the transmittal and storage of sensitive payment (e.g., credit card) information and the security and compliance requirements that are required. The responses to these questions will determine whether approval from The Payment Card Industry Data Security Standard (PCI-DSS) Compliance Team is required as part of TCM's automated workflow.

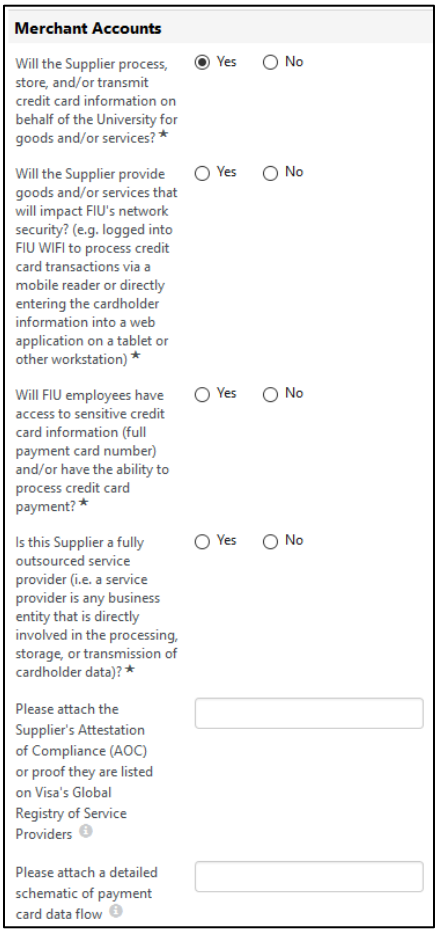
Contract Managers must first identify whether the Supplier will "**process, store, and/or transmit credit card information on behalf of the University for goods and/or services**".


Merchant Accounts

Will the Supplier process, store, and/or transmit credit card information on behalf of the University for goods and/or services? ★ ○ Yes ○ No

If the response to this question is "**No**", proceed to the **External Relations Question.**

If the response to this question is "**Yes**", additional questions will need to be answered.


Merchant Accounts

Will the Supplier process, store, and/or transmit credit card information on behalf of the University for goods and/or services? ★ ◉ Yes ○ No

Will the Supplier provide goods and/or services that will impact FIU's network security? (e.g. logged into FIU WIFI to process credit card transactions via a mobile reader or directly entering the cardholder information into a web application on a tablet or other workstation) ★ ○ Yes ○ No

Will FIU employees have access to sensitive credit card information (full payment card number) and/or have the ability to process credit card payment? ★ ○ Yes ○ No

Is this Supplier a fully outsourced service provider (i.e. a service provider is any business entity that is directly involved in the processing, storage, or transmission of cardholder data)? ★ ○ Yes ○ No

Please attach the Supplier's Attestation of Compliance (AOC) or proof they are listed on Visa's Global Registry of Service Providers

Please attach a detailed schematic of payment card data flow

1. Identify whether the Supplier's goods/services will impact **FIU's Network Security**. This includes whether they will need to be logged into FIU's Wi-Fi network to process credit card transactions via a mobile reader or directly entering the cardholder information into a web-based application.

Will the Supplier provide goods and/or services that will impact FIU's network security? (e.g. logged into FIU WIFI to process credit card transactions via a mobile reader or directly entering the cardholder information into a web application on a tablet or other workstation) ★	○ Yes	◉ No

2. Identify whether FIU employees will have access to credit card information. This includes the full payment card number and/or have the ability to process credit card payments.

Will FIU employees have access to sensitive credit card information (full payment card number) and/or have the ability to process credit card payment? ★	◉ Yes	○ No

3. Identify whether the Supplier is a fully outsourced service provider. This may be a business entity that is directly involved in the processing, storage, or transmission of cardholder data.

Is this Supplier a fully outsourced service provider (i.e. a service provider is any business entity that is directly involved in the processing, storage, or transmission of cardholder data)? ★	○ Yes	◉ No

4. No response is required for this question; however, the **Supplier's Attestation of Compliance (AOC)** or proof that they are listed on **Visa's Global Registry of Service Providers** must be attached along with the Supplier's agreement within the Attachment section of this Contract.

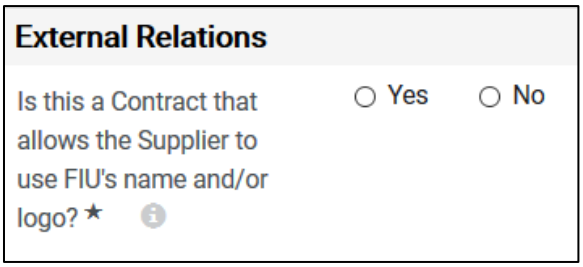
5. No response is required for this question; however, a **detailed schematic of payment card data flow** must be attached along with the Supplier's agreement.

External Relations

Identify whether the Supplier's contract allows them to utilize FIU's name and/or logo.

If the response to this question is "**No**", proceed to the **Financing** question.

If the response to this question is "**Yes**", the contract will be routed to External Relations for approval via the TCM automated workflow.



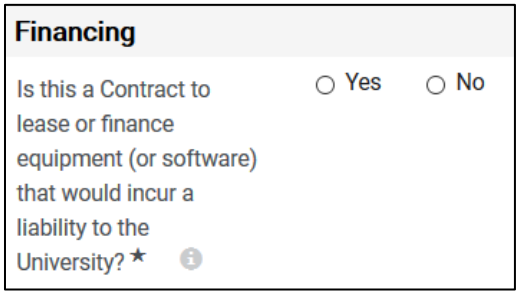
For additional assistance, visit [FIU's External Relations website](#).

Financing

Identify whether the contract is for the lease or finance of equipment, including software, which would incur a liability to the University.

If the response to this question is "**No**", proceed to the **Export Controls** question.

If the response to this question is "**Yes**", the contract will be routed to The Office of the Treasurer for approval via the TCM automated workflow.



NOTE: Consider whether this contract involves installment payments. These are a series of future payments that a purchaser agrees to make to compensate a seller.

For additional assistance contact Benjamin Powell Jarrell, Senior Treasury Analyst at jarrell@fiu.edu.

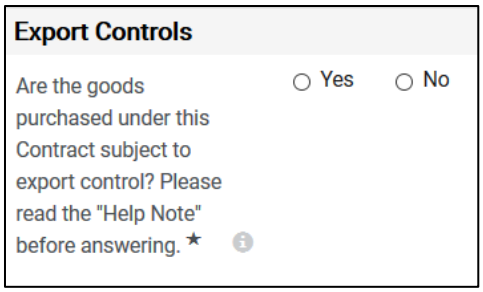
Export Controls

Identify whether the goods purchased are subject to export controls.

If the Supplier advises that the goods are export controlled or contains an Export Control Classification Number (ECCN) or an International Traffic in Arms Regulation (ITAR) Classification, or if the contract contains any terms or conditions that provide information on export control regulations, contact FIU's Office of University Compliance and Integrity at (305) 348-2216.

If the response to this question is "**No**", proceed to the **HIPPA** question.

If the response to this question is "**Yes**", the contract will be routed to The Office of University Compliance and Integrity for approval via the TCM automated workflow.



NOTE: For additional details and resources on the classifications of export controls, review the Help Note alongside the **Export Control** question in TCM.

HIPPA

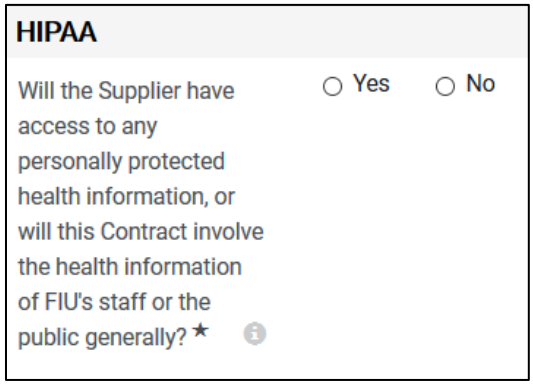
Identify whether the Supplier will have access to any personally protected health information involving FIU's staff or the public in general.

Personal Health Information (PHI) generally refers to demographic information, medical history, test and laboratory results, insurance information, and other data that healthcare professionals collect to identify an individual and determine appropriate care.

HIPPA rules require that FIU, as a Hybrid entity, must enter into a business associate agreement (separate from the contract) with any such Supplier of goods or services who will have access to PHI to ensure that the Supplier will appropriately safeguard such PHI.

If the response to this question is "**No**", proceed to the **Lease of Space** question.

If the response to this question is "**Yes**", the contract will be routed to The Office of University Compliance and Integrity for approval via the TCM automated workflow.



Contact Val Aubourg, FIU's Associate General Counsel, at vaubourg@fiu.edu, for additional assistance.

Lease of Space

Identify whether the contract is for the lease of space, whether it be commercial or residential.

Lease of Space (Does Not Include Hotel Agreements)

Is this Contract for a lease of space (commercial or residential)? ★ ○ Yes ○ No

If the response to this question is "**No**", proceed to the **FERPA** question.

If the response to this question is "**Yes**", specify whether the space is less than 5,000 square feet.

Lease of Space (Does Not Include Hotel Agreements)

Is this Contract for a lease of space (commercial or residential)? ★ ◉ Yes ○ No

Is the space less than 5,000 square feet? ★ ○ Yes ○ No

NOTE: If the lease is for space over 5,000 square feet, a competitive solicitation is required. The contract **cannot be processed** until this requirement is satisfied.

Contact Chandra Nix, Procurement Manager, at nixc@fiu.edu for additional assistance.

FERPA

Identify whether the Supplier will have access to Personally Identifiable Information (PII), student education records or student financial information.

FERPA

Will the Supplier have access to any personally identifiable information, student education records, or student financial information? ★ ○ Yes ○ No

If the response to this question is "**No**", proceed to the **Red Flag** question.

If the response to this question is "**Yes**", additional questions will need to be answered. Responses to these will determine routing of the contract to The Office of the General Council for approval via the TCM automated workflow.

FERPA

Will the Supplier have access to any personally identifiable information, student education records, or student financial information? ★ ◉ Yes ○ No

Please select the reason that FIU is going to provide Supplier with such records: ★

- ○ Directory Information: The record being provided to the Supplier are "Directory Information"
- ○ Supplier will function as a "school official" with a legitimate educational interest in the records
- ○ The records are going to specificied officials for audit or evaluation purposes
- ○ The records are going to the appropriate parties in connection with financial aid to a student
- ○ The records are going to organizations conducting certain studies for or on behalf of the school
- ○ The records are going to accrediting organizations
- ○ The student provided documented consent to release the records
- ○ Other
- ○ None of the above

If the record being provided are "Directory, has the student notified the school in writing that he or she does not want any or all what is considered to be Directory Information actually designated as a Directory Information? ★

Select the reason that FIU will need to provide the Supplier with such information.

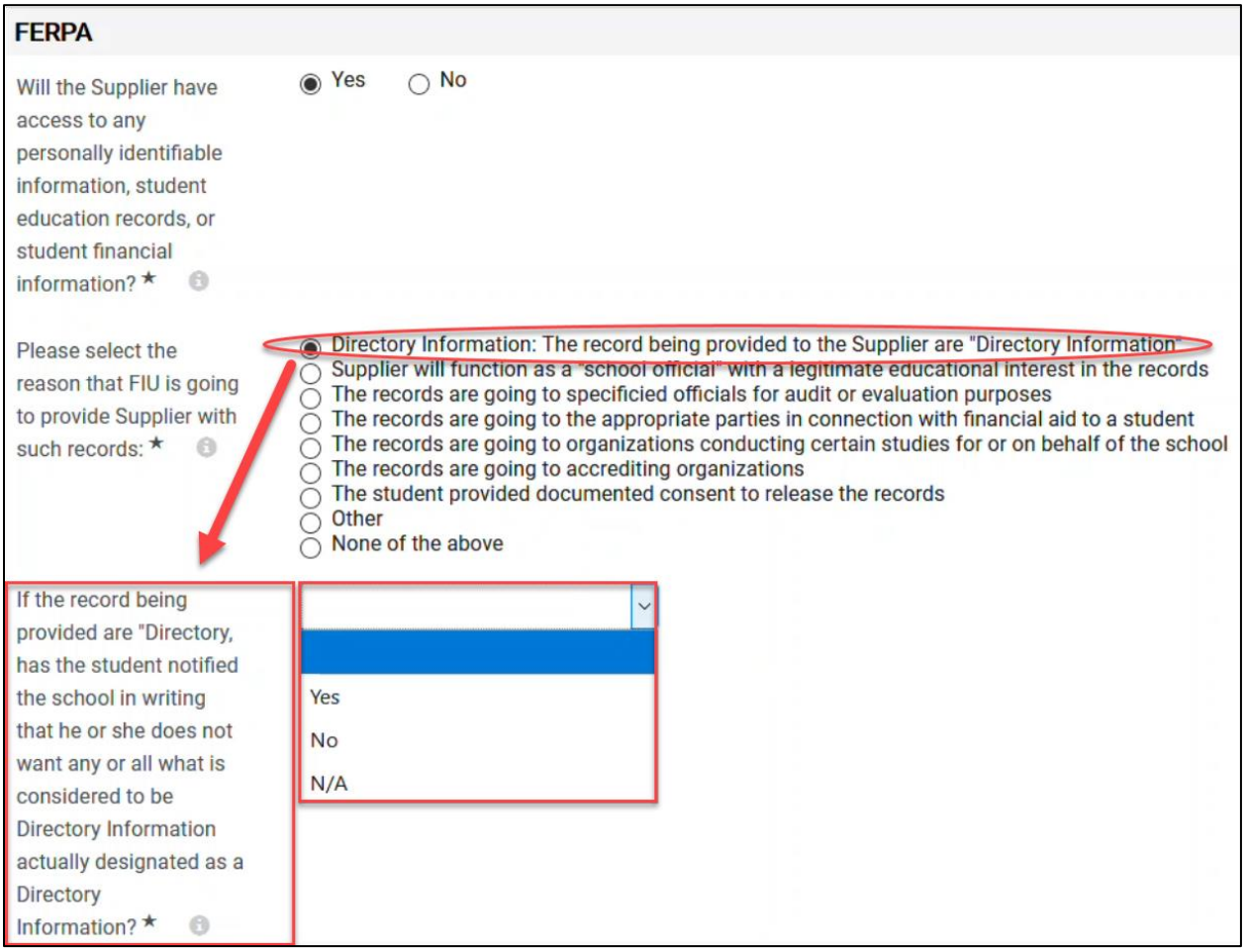
FERPA

Will the Supplier have access to any personally identifiable information, student education records, or student financial information? ★	◉ Yes ○ No
Please select the reason that FIU is going to provide Supplier with such records: ★	○ Directory Information: The record being provided to the Supplier are "Directory Information" ○ Supplier will function as a "school official" with a legitimate educational interest in the records ○ The records are going to specificied officials for audit or evaluation purposes ○ The records are going to the appropriate parties in connection with financial aid to a student ○ The records are going to organizations conducting certain studies for or on behalf of the school ○ The records are going to accrediting organizations ○ The student provided documented consent to release the records ○ Other ○ None of the above
If the record being provided are "Directory, has the student notified the school in writing that he or she does not want any or all what is considered to be Directory Information actually designated as a Directory Information? ★	

NOTE: Refer to FIU's Student Education Records information packet for more information.

a. Education records that have been designed as "**Directory Information**" by FIU may be disclosed without prior consent.

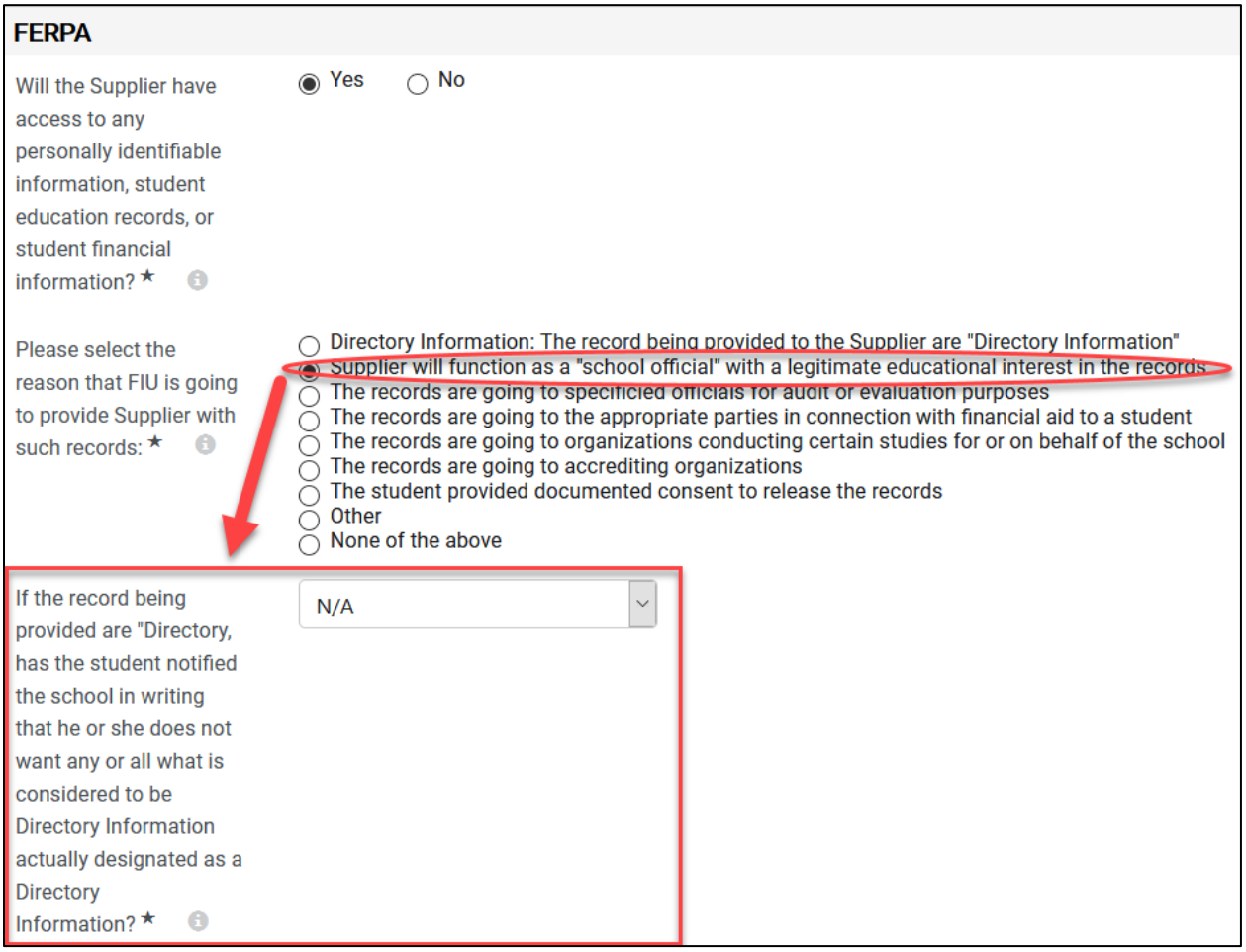
   If this selection is made, select either "**Yes**" or "**No**" from the dropdown menu in the proceeding question. This will identify whether the student(s) notified the school in writing that he or she does not want any or all the information considered to be "**Directory Information**" to be designated as such.



NOTE: FIU is required to honor the eligible student's request, even if the student is no longer in attendance. For more information, refer to the Help Note alongside these questions in TCM.

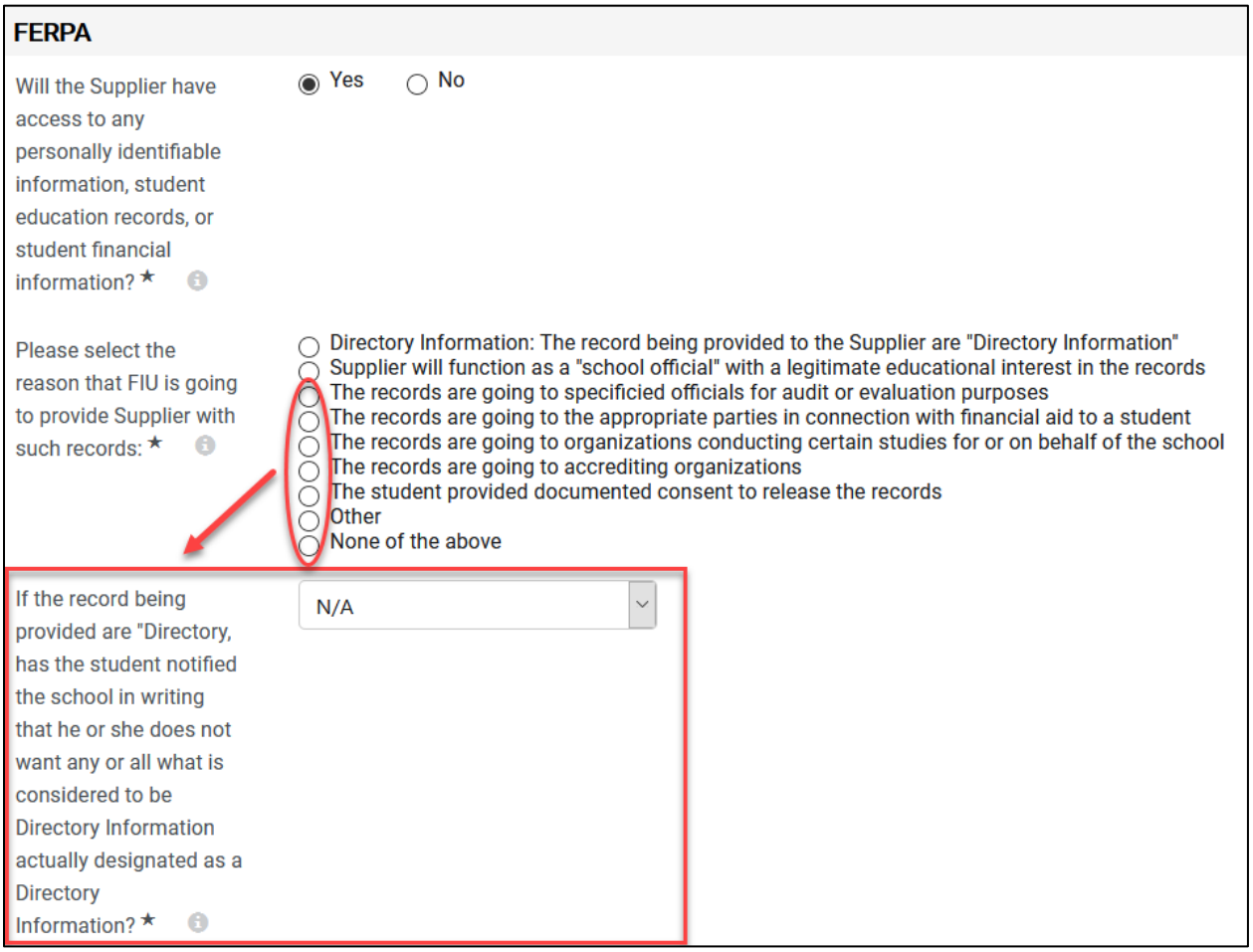
b. If FIU is outsourcing institutional services or functions to the Supplier, the Supplier may be considered a "**school official**". This is the case if the institutional service or function they are performing is one which FIU would otherwise use employees to perform, and the Supplier is under the direct control of FIU with respect to the use and maintenance of educational records.

If this selection is made, the user may select "**N/A**" from the dropdown menu for the proceeding question.



NOTE: Additional requirements for Suppliers acting as "**school officials**" can be found in the Help Notes alongside this question in TCM.

c. All other selections available for “the reason that FIU will need to provide the Supplier with such records” may require the user to select “**N/A**” from the dropdown menu for the proceeding question.

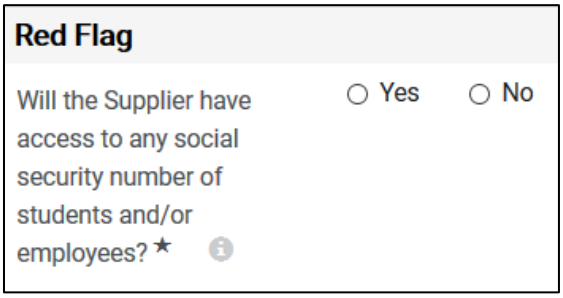


Red Flag

Identify whether the Supplier will have access to the social security numbers of employees and/or students.

If the response is "**No**", proceed to the next step in the contract creation process.

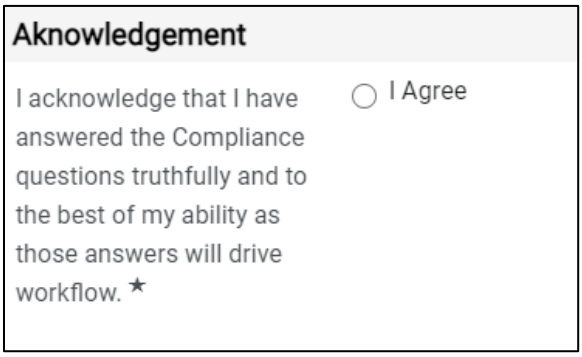
If the response is "**Yes**", the contract will be routed to The Office of University Compliance and Integrity for approval via the TCM automated workflow.



NOTE: The particular purpose for the use of Social Security Numbers must fall within one of the stated purposes found on the FIU Master List for Use & Collection of Social Security Number.

Acknowledgement

Acknowledge that all questions were answered truthfully by selecting the I agree radial button.

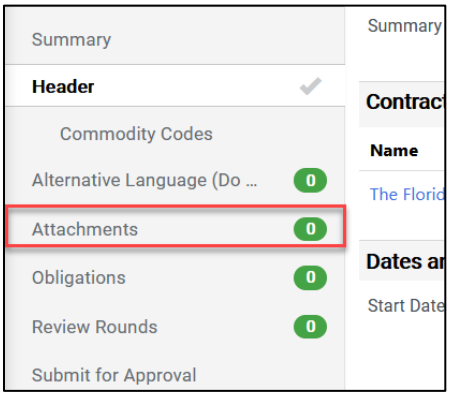


Contract Attachments

After completing all required fields for the **Contract Header**, **Contract Compliance Questions**, and the **Acknowledgement**, locate the **Attachments** section of the contract to upload the Supplier's agreement into TCM.

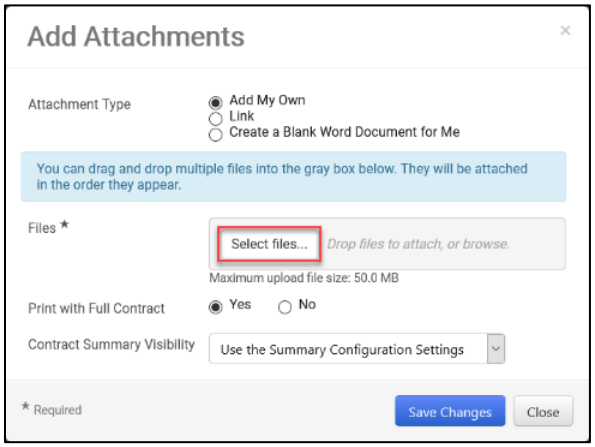
NOTE: The first page of all documents attached to the contract within TCM should have the PUR # typed within the top, right-hand corner. This number should not be hand-written.

1. Click the **Attachments** link on the left-hand side of the page. The number located alongside this link identifies the number of attachments currently associated to the contract.

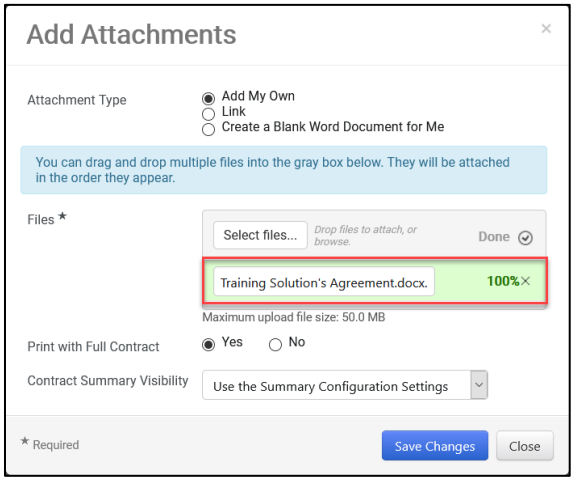


2. Click the **Add Attachments** button.

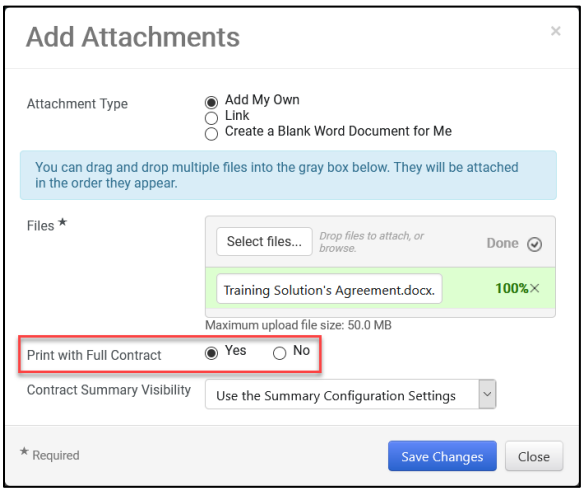
   a. Utilize the **Select Files** button to locate the Supplier's agreement.



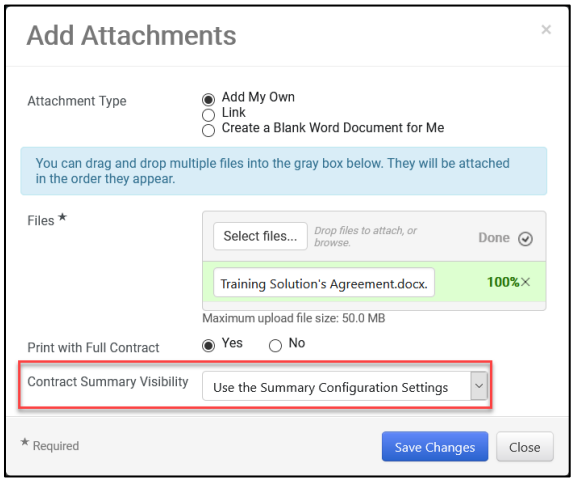
b. Once selected, the agreement will appear within the **Files** grey box.



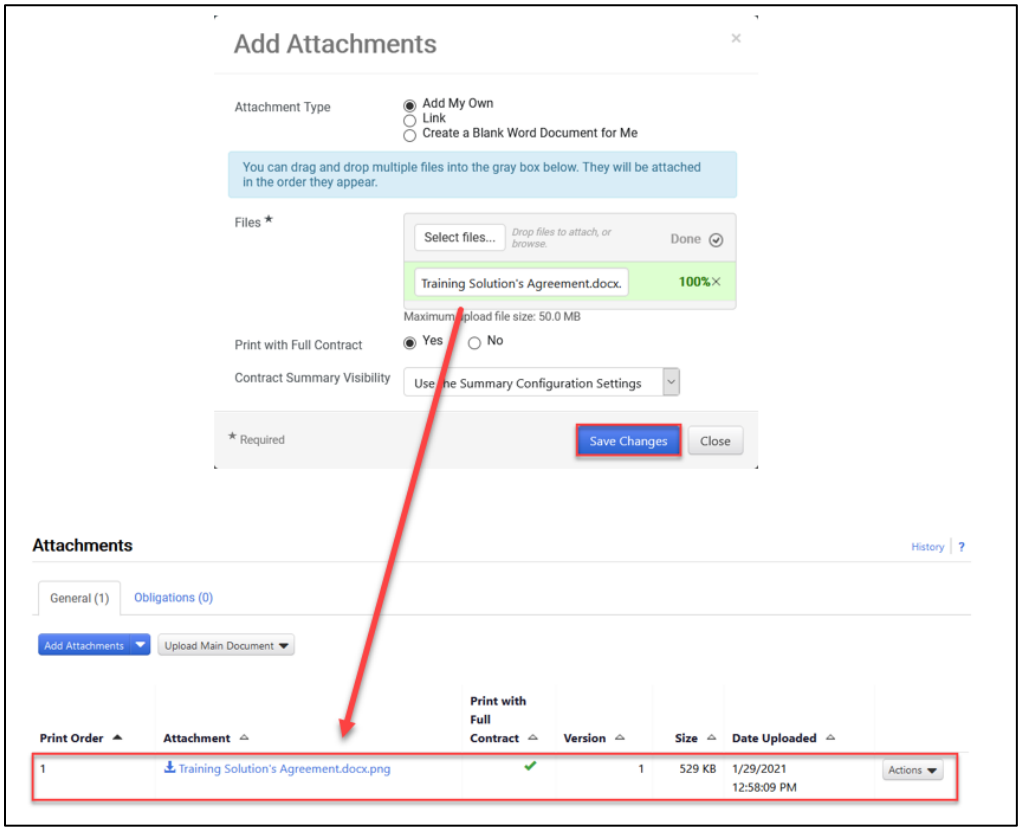
c. For the **Print with Full Contract** field, select the **Yes** radial button to have the attachment included with the contract when DocuSigned. Select the **No** radial button to omit the attachment when DocuSigned.



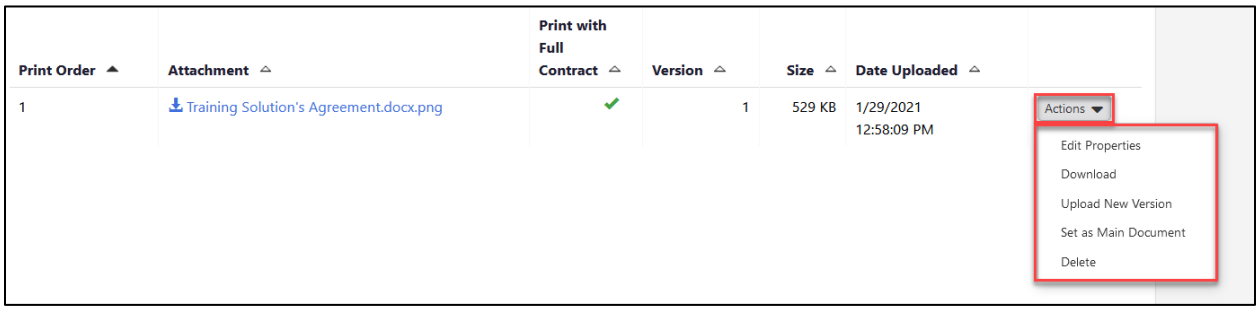
d. Leave the default selection for the **Contract Summary Visibility** field.



e. Select the **Save Changes** button. This will return the user back to the main **Attachments** page, where the attached agreement now shows.



Attachment Actions



Edit Properties

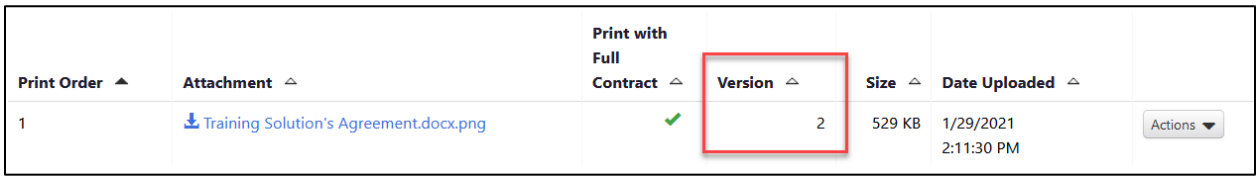
When selected, this action allows users to edit properties set at the time the attachment was uploaded into TCM. For more information on these settings, review the **Contract Attachments** section of this document.

Download

This action allows users to download the available copy of the attachment. If this document has been signed, signatures will be included in the downloaded copy.

Upload New Version

This replaces the existing version of the attachment and identifies the **Version** number on the attachment's line.



Set a Main Document

When working with multiple documents within the same contract, this action allows users to assign a **Main Document**. This may be most frequently used with addenda, amendments, extensions, or renewals.

Delete

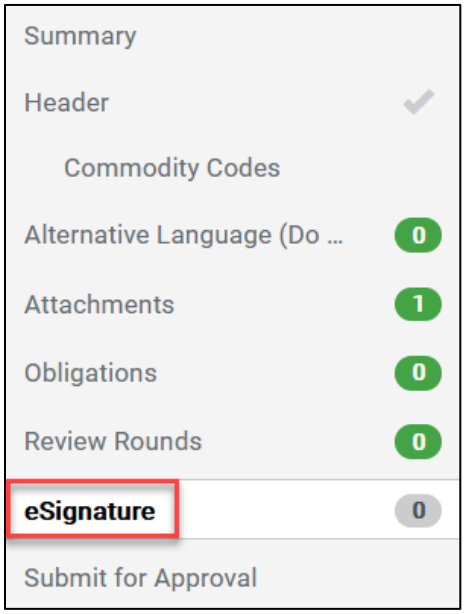
This selection will remove the attachment from the contract.

Assigning First and Second Party Signers for eSignatures

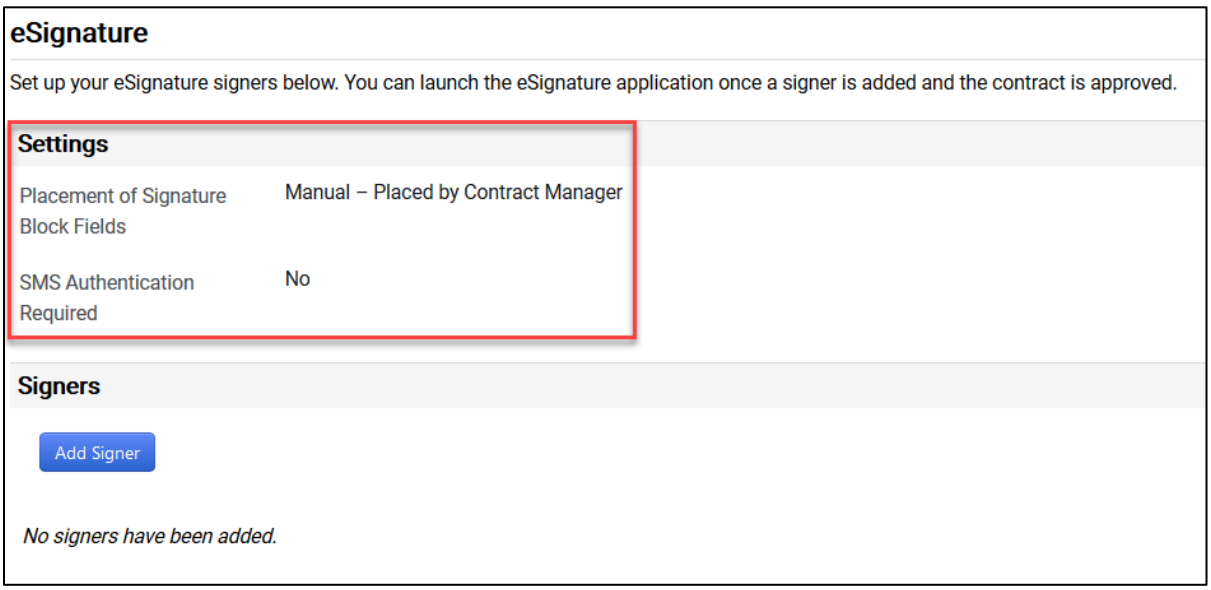
Prior to submission, **Signers** must be assigned through the **eSignature** section.

Once the contract is fully approved, Contract Managers may return to the contract in TCM and launch the eSignature application – DocuSign. This will allow them to obtain signatures from the assigned **Signers**. It will be the Contract Manager's responsibility to obtain the supplier's signature.

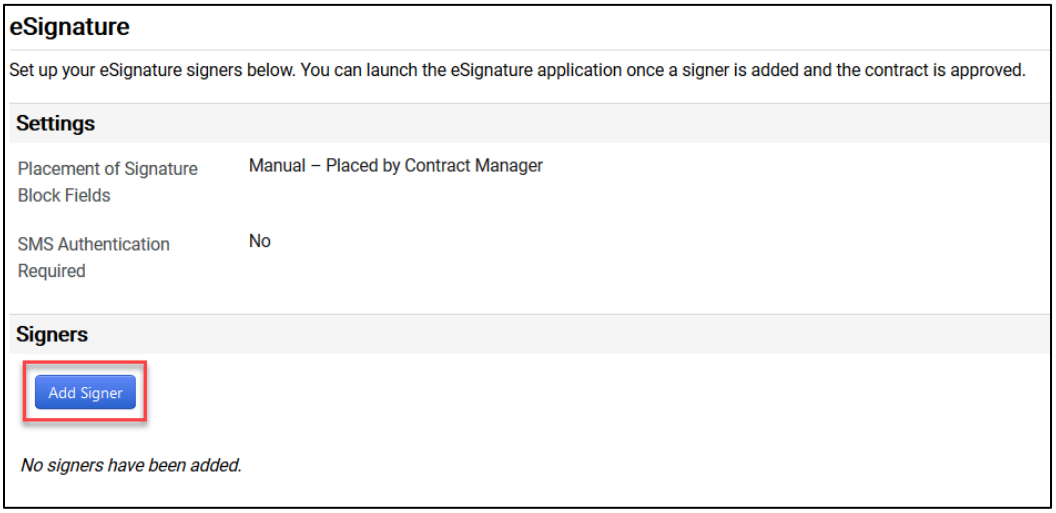
1. Click the **eSignature** link on the left-hand side of the page. The number located alongside this link identifies the number of **Signers** currently associated to the contract.



2. The default **Settings** for eSignatures should not be changed. Once the contract is approved, the Contract Manager will utilize the DocuSign interface to assign fields to the appropriate **Signers**.

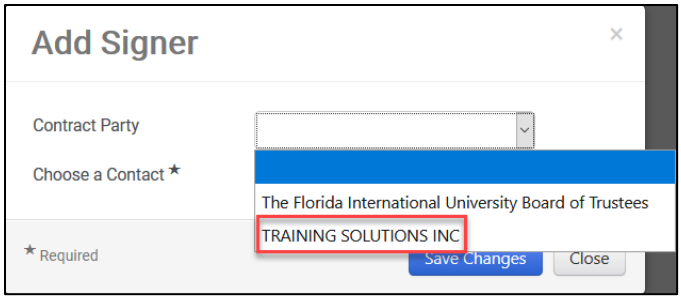


3. Click the **Add Signer** button.



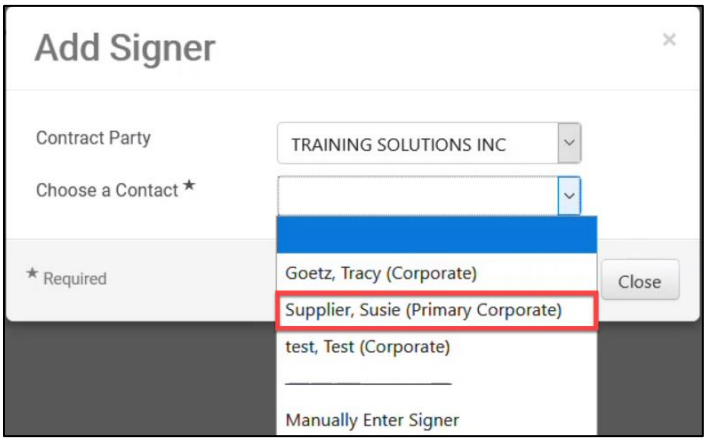
4. The options available for selection within the **Contract Party** and **Choose a Contact** dropdown menus are based on the parties and contacts entered in the contract **Header**.

   Open the **Contract Party** dropdown and select the Supplier.

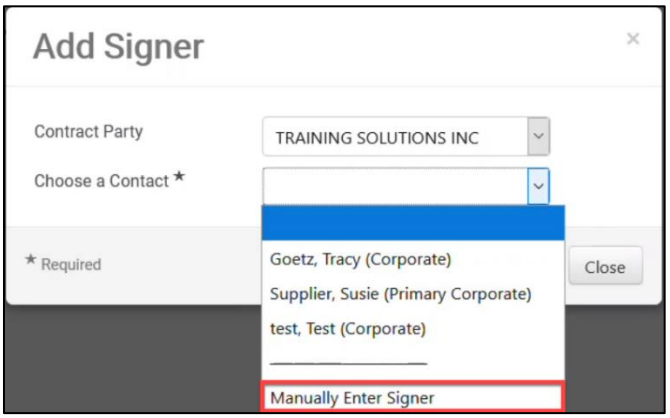


   NOTE: Although FIU is the "**First Party**", the Supplier should always be selected as the first **Signer**. At the time of execution, signatures will be obtained from the Supplier prior to the assigned signatory at FIU. Therefore, they are selected first here. The reason that we have the Supplier sign first is to make sure that the Supplier does not change any of the contract terms.

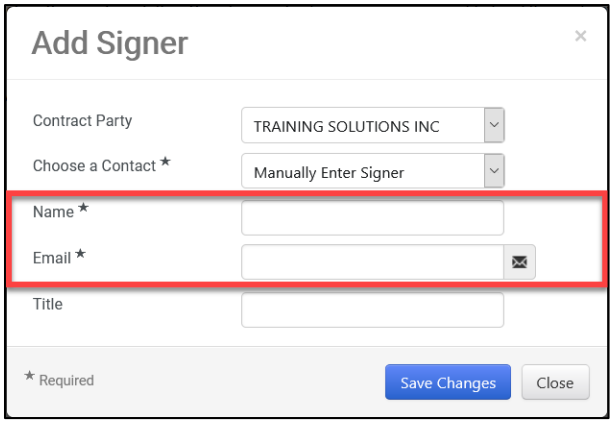
5. Open the **Choose a Contact** dropdown and select the signer from the list of available contacts.



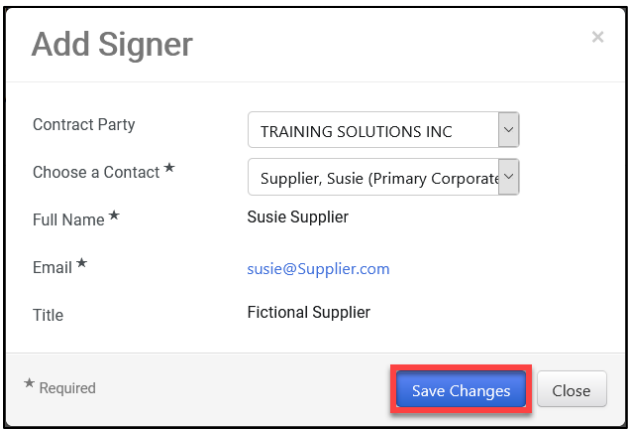
If the desired signer is not listed, the Contract Manager may select **Manually Enter Signer**.



Any new contacts added at this phase MUST have a unique email where the eSignature notification can be sent to. This will also allow DocuSign to create and/or recognize a profile for authentication and tracking purposes.



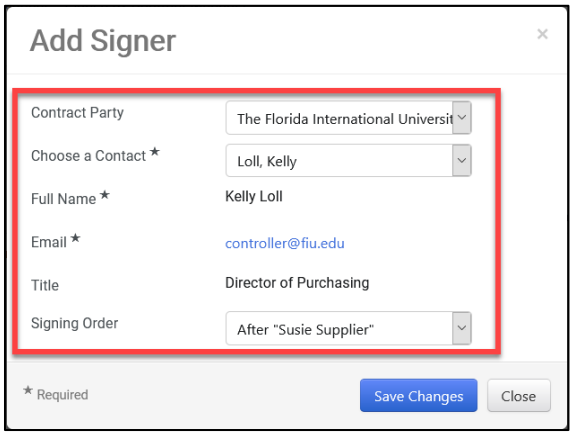
6. After affirming all Supplier contact fields are correct, select the **Save Changes** button.



7. The Supplier and corresponding signatory will now be visible as the first **Signer.**

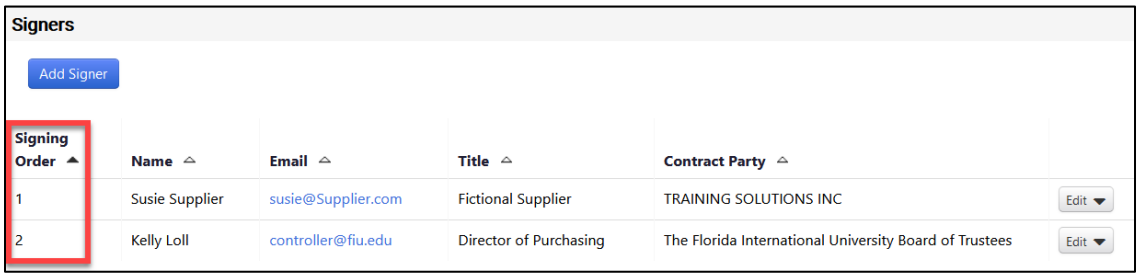
8. Steps 3 through 6 will need to be repeated for FIU's (**First Party**) signatory.

While selecting the **Contract Party** and **Contact** an additional dropdown menu is available, designating the **Signing Order**. This should only be used to guarantee the appropriate **Signer** order as discussed in the note found within step 4 of this section.



NOTE: For a list of authorized signatories, visit the [Office of the General Counsel's Signature Authority](#) website.

9. When complete, the **Signers** will appear in the order shown below, with the Supplier always signing the contract before FIU.



10. Select the **Next** button at the bottom of the page and proceed to submit the contract for approval.

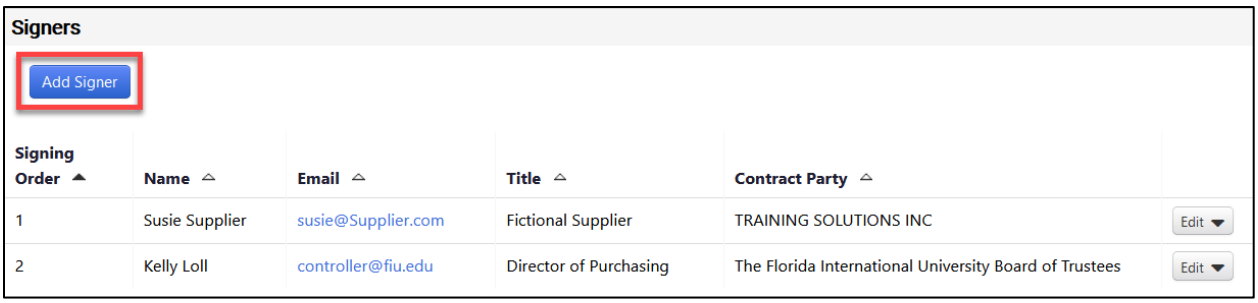
Additional Signers

For certain Contracts, additional initials and/or signatures may be required. Examples of these situations include:

- Contracts over $100,000
- Contracts over $1,000,000
- Contracts with foreign suppliers

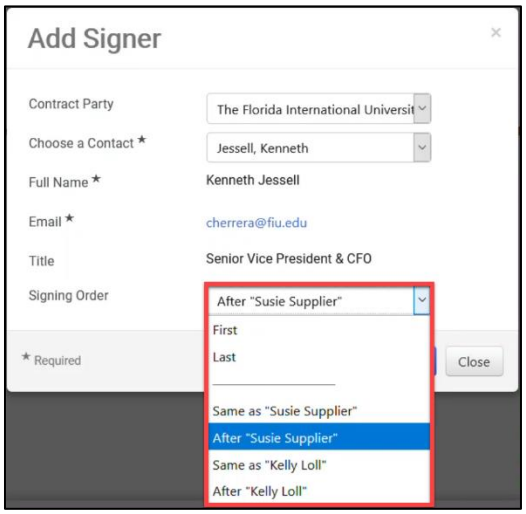
1. Complete all steps as noted in the Assigning First and Second Party Signers section of this manual.

2. Click the **Add Signer** button.

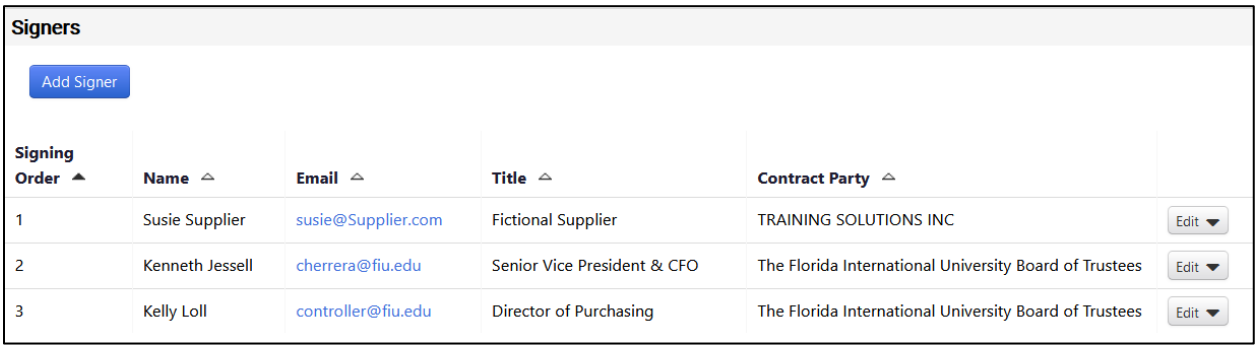


3. Select the appropriate **Contract Party** and **Contact**. An additional dropdown menu labelled **Signing Order** will be available.

   In this example, this contract must also be initialed by Dr. Kenneth Jessell. This is the case for non-academic contracts over $100,000, when he must initial the contract prior to the FIU Signatory.

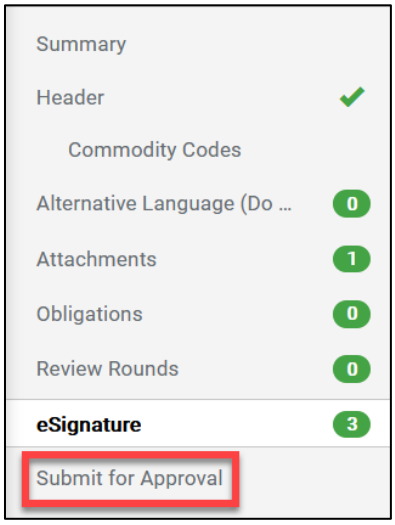


The signers now appear in the order designated, such as what is shown below.



Submitting for Approval & Approval Workflow

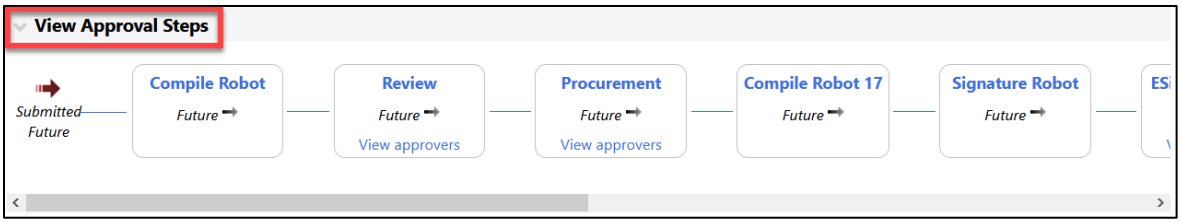
Once a contract in **Draft** status is complete, the user can submit it via the **Submit for Approval** screen. This can be accessed via the **Submit for Approval** link on the left-hand side of the page.



This page will validate whether all required fields in all sections of the contract are complete. If any information is missing from these fields, TCM will provide a message indicating incomplete sections exists. It will also mark the **Progress** column as "**Incomplete**" and provide a detailed alert alongside the section where the field is located.

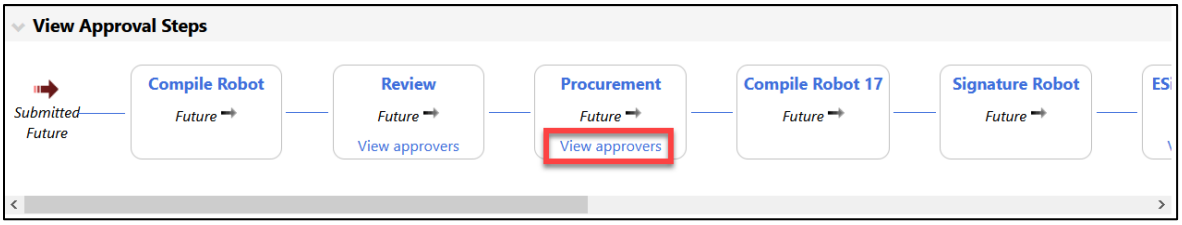
If all fields are complete, a message will indicate all sections are complete, including the **Progress** column showing section statuses of "**Required Fields Complete**".

To review the approvals required for the contract being submitted, the Contract Manager should expand the **View Approval Steps** section. The approval workflow diagram will appear and include all the potential approvals in the order the Contract will be routed.



NOTE: Approval workflow steps are dependent on the attributes of the Contract and the responses to the **Compliance Questions**.

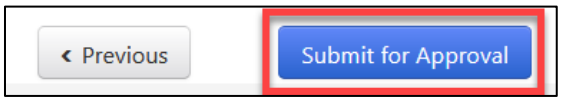
Individual Contract Approvers can be identified by selecting any of the view approvers links.



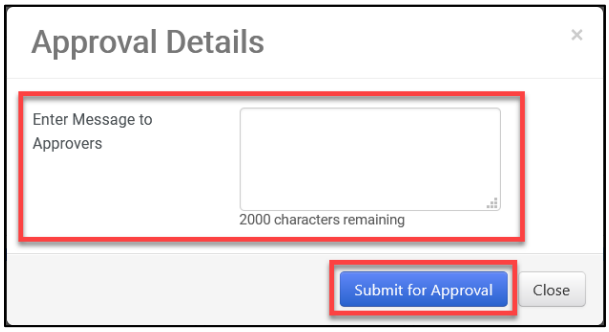
This will open the **Workflow Step Approvers** popup window, identifying the name(s), phone number(s) and email address(es) for the Contract Approver(s) responsible for approving at that step.

NOTE: Contract Approvers have committed to a two-business-day approval timeframe. If the approver determines that it will take more than the two business days, he/she has agreed to advise the Contract Manager to expect a delay and provide an estimated time when the decision to approve or deny will be made. Unless otherwise required, please refrain from contacting approvers for status updates until this timeframe has elapsed. Depending on review requirements, this timeframe may be adjusted as needed.

Once complete, the contract can be submitted for approval via the **Submit for Approval** button located at the bottom of the screen.

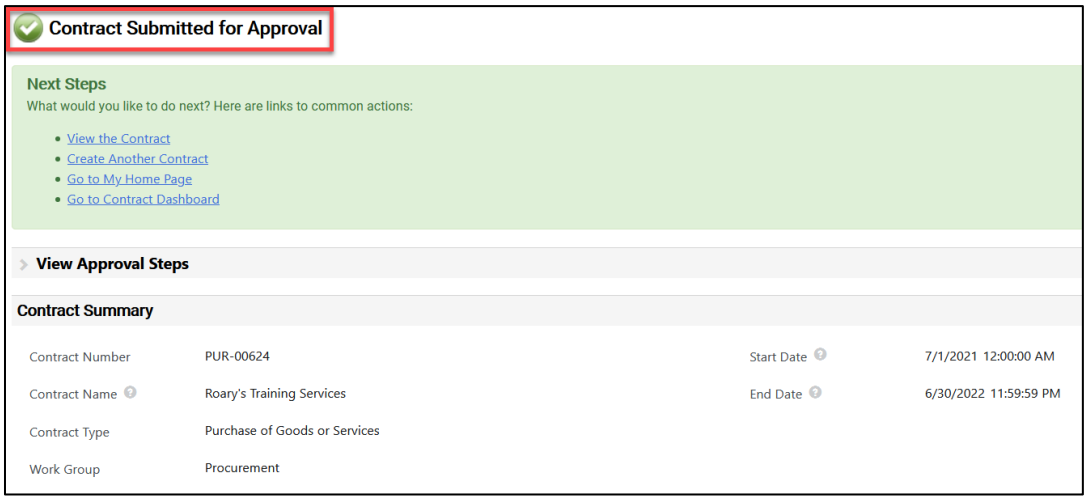


Contract Managers will then be presented with an **Approval Details** window, where they should enter a message for approvers to see. When done, select the **Submit for Approval** button.

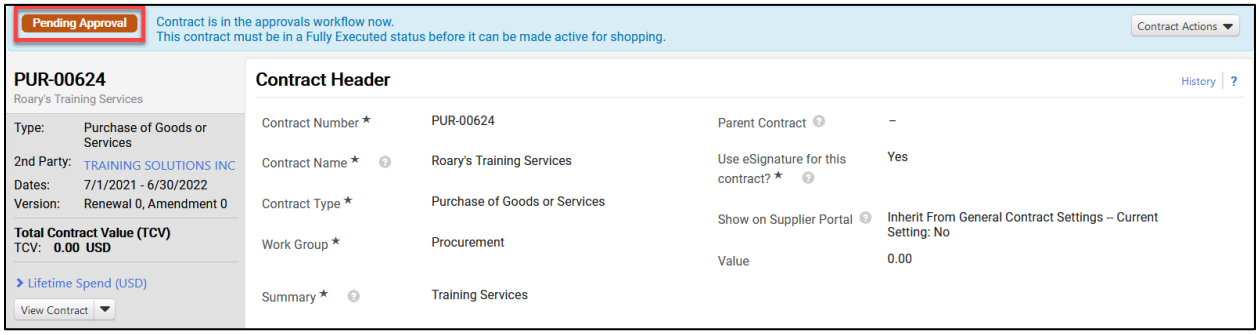


NOTE: If the Contract is over $100,000, include specific information on Who, What, Where, and When within this box.

The Contract Manager has now completed the Contract's submission and it is now routed according to the approval workflow.



The status of the Contract will reflect as **Pending Approval**.

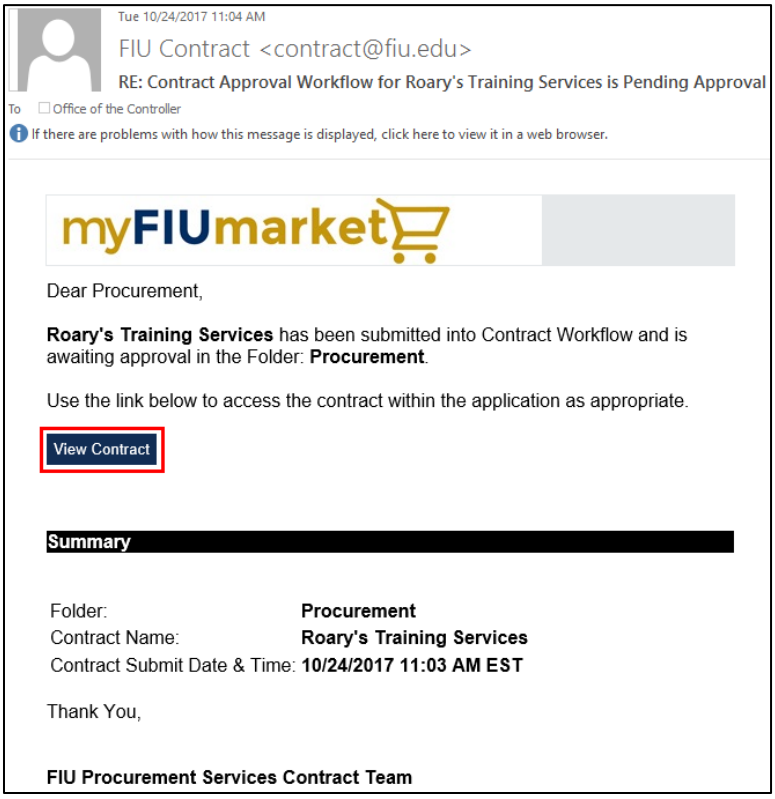


Notifications will be sent to the Contract Approver(s) as the Contract progresses through workflow.

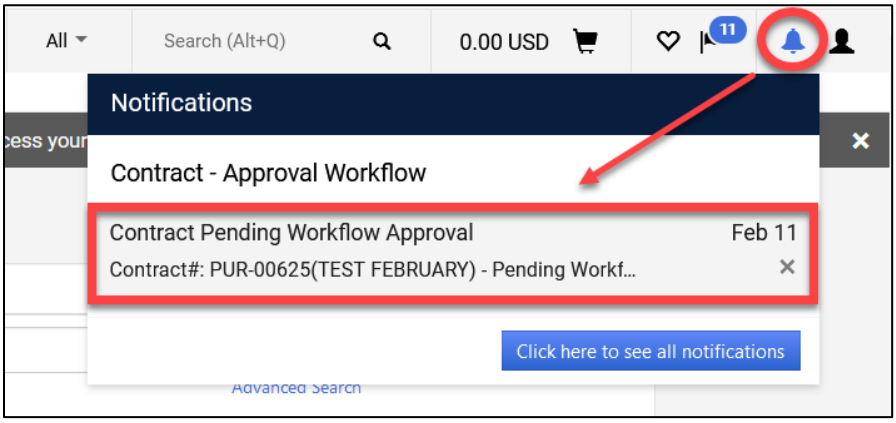
Contract Approvals

Once a Contract is submitted, TCM routes it through an approval workflow. The required approvals are based on the request's attributes and information entered into the system by the Contract Manager. As the Contract progresses through the workflow, TCM informs the Contract Approver via automated emails and system notifications that their approval is required.

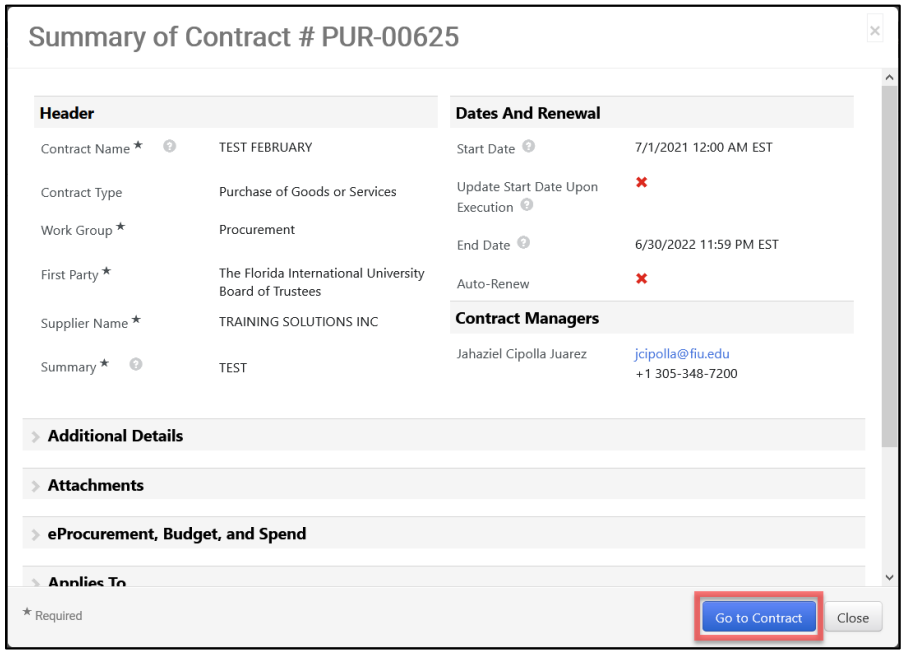
To review the Contract pending their approval, Contract Approvers may utilize the **View Contract** button within the notification email they received.



Contract Approvers may also log directly into TCM and find an alert under the **Notification** icon to the top-right of their **Dashboard**.

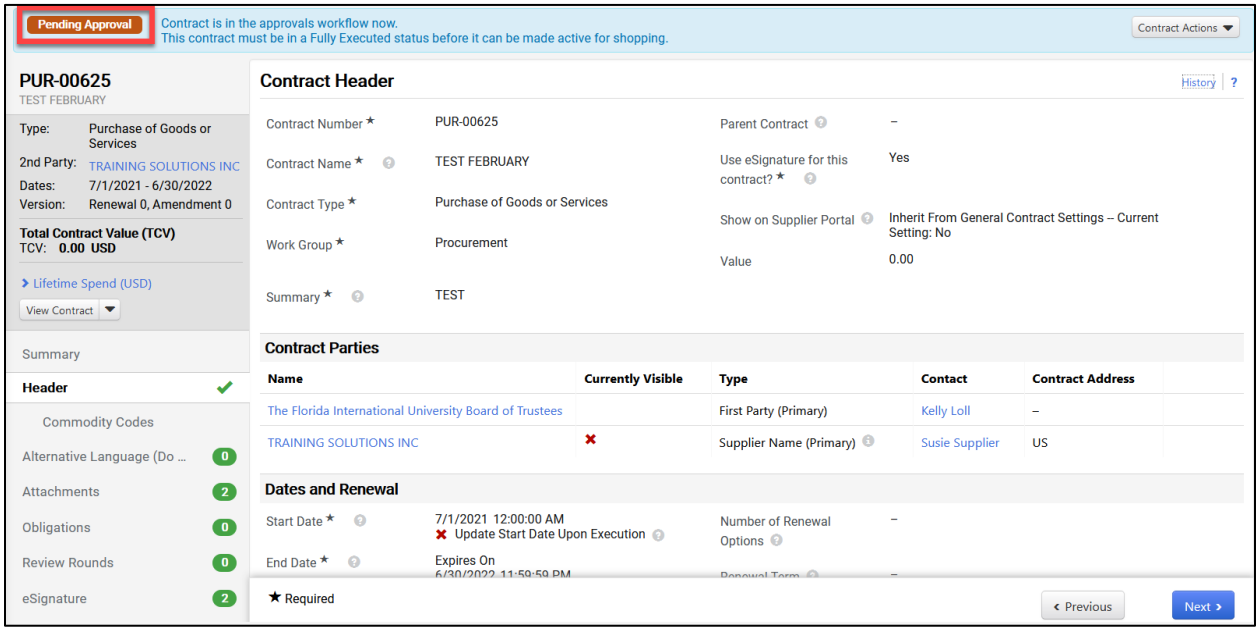


Both methods will take the Contract Approver to the Summary of Contract screen. Approvers will click the **Go to Contract** button to reach the contract that is pending their review and approval.

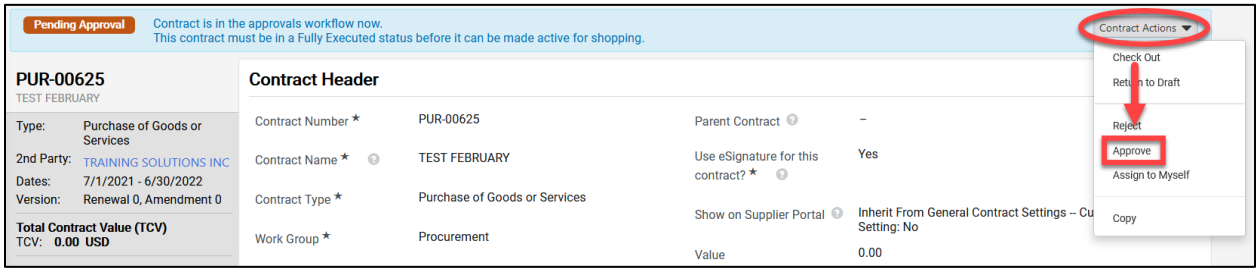


Approving Contracts

Once accessed, the Contract Approver will be able to review the Contract currently in **Pending Approval** status.

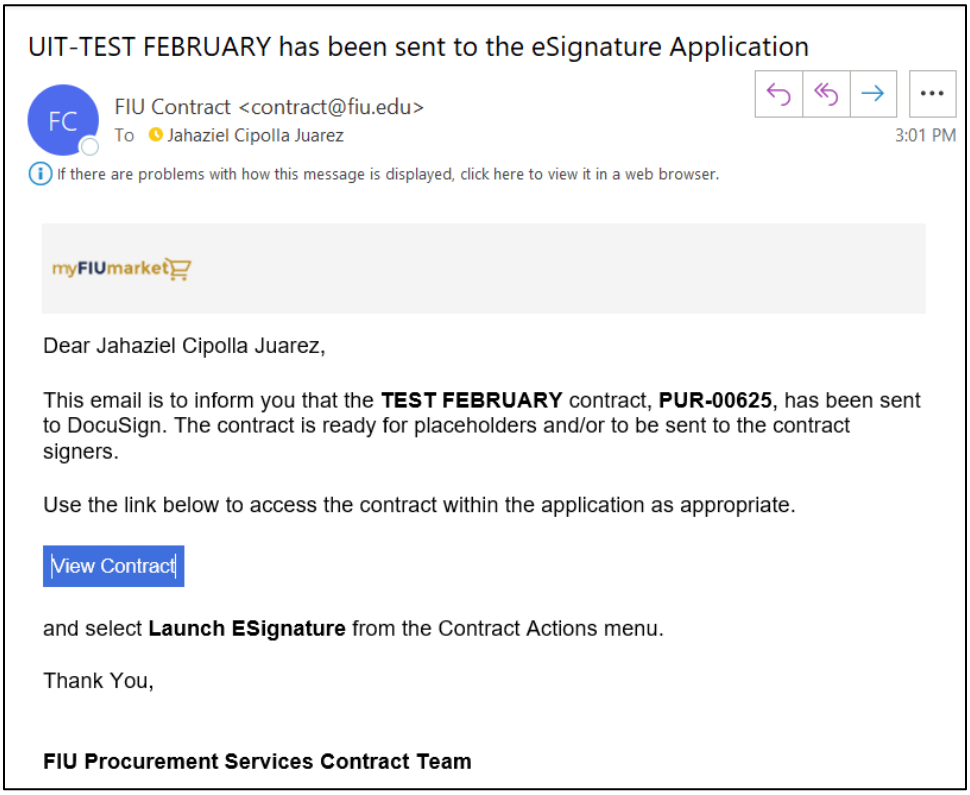


The Contract can be approved via the **Approve** link within the **Contract Actions** dropdown menu.



NOTE: The available options available within the **Contract Actions** menu will vary based on the user's role (i.e., Contract Manager vs Contract Approver) and the status of the Contract.

The Contract will move on to the next step within the approval workflow. When it is fully approved, the Contract Manager will receive notifications advising that the Contract is now ready for eSignatures via DocuSign.



UIT-TEST FEBRUARY has been sent to the eSignature Application

FC FIU Contract <contract@fiu.edu>
To Jahaziel Cipolla Juarez 3:01 PM

If there are problems with how this message is displayed, click here to view it in a web browser.

myFIUmarket

Dear Jahaziel Cipolla Juarez,

This email is to inform you that the **TEST FEBRUARY** contract, **PUR-00625**, has been sent to DocuSign. The contract is ready for placeholders and/or to be sent to the contract signers.

Use the link below to access the contract within the application as appropriate.

View Contract

and select **Launch ESignature** from the Contract Actions menu.

Thank You,

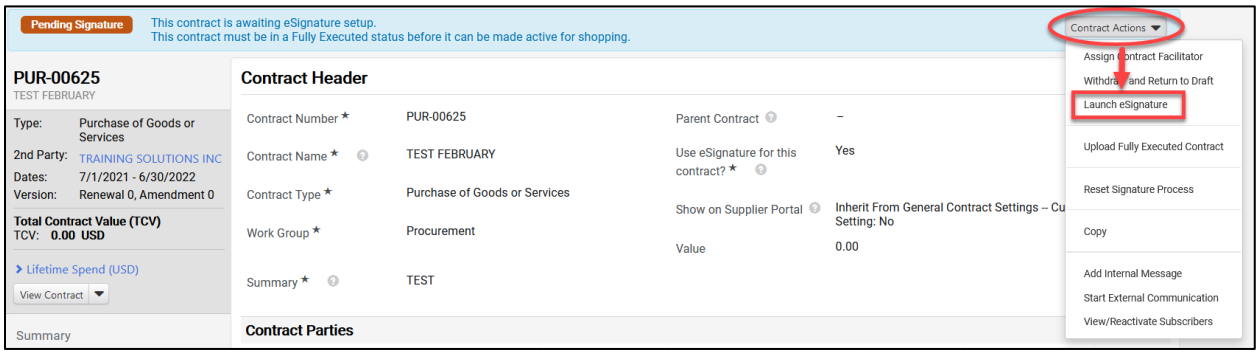
FIU Procurement Services Contract Team

Obtaining eSignatures via DocuSign

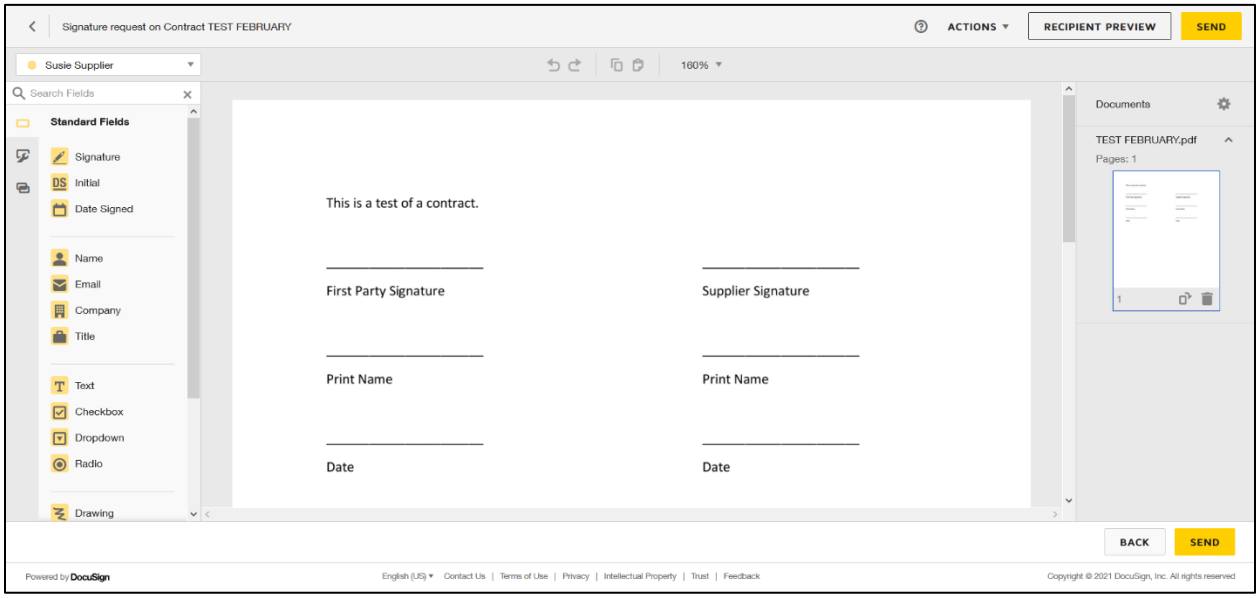
Once the contract has been completely approved, the Contract Manager may obtain all necessary eSignatures via the DocuSign application. Documents within DocuSign can be reviewed by all parties, independent of TCM.

DocuSign eSignature Setup

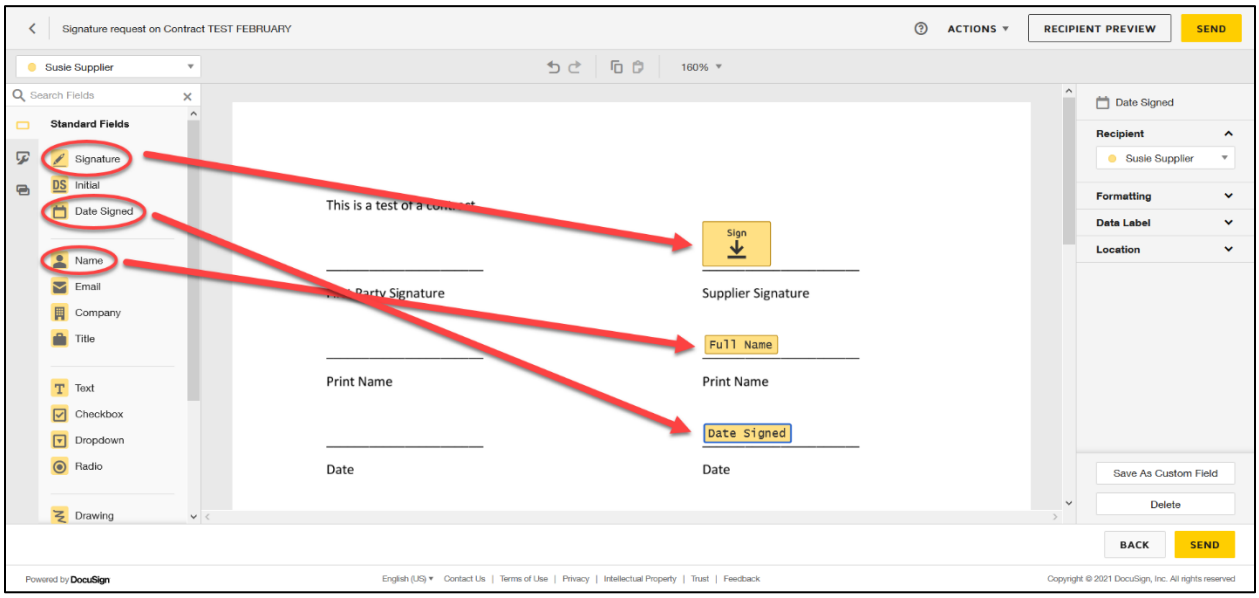
1. Access the DocuSign application via the **Launch eSignature** link within the **Contract Actions** dropdown menu.



This will launch DocuSign in a new tab or window.

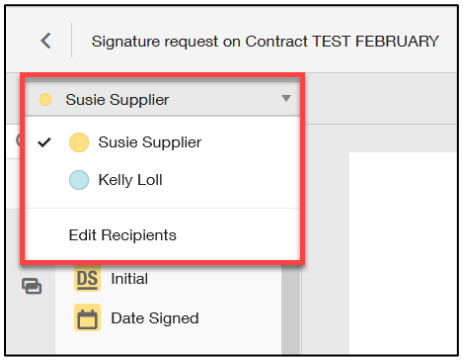


2. Utilize the available options under **Standard Fields** to click, drag, and drop the items you want the Signer to fill in (e.g., Signature, Date Signed, Name, etc.).



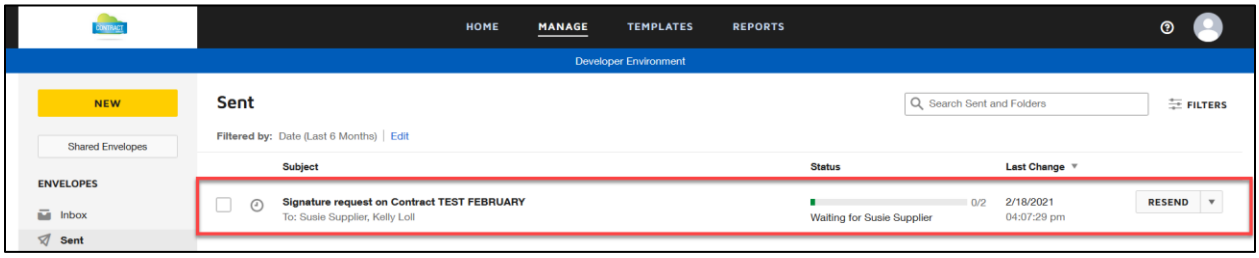
NOTE: For Contracts over $1,000,000, needing President Mark B. Rosenberg's signature, **Initial** fields for either FIU's CFO, Dr. Kenneth Jessell for non-academic purchases, or FIU's Provost, Dr. Kenneth Furton for academic purchases, will need to be included on the signature page. This is because either Dr. Jessell or Dr. Furton will have to be included in the signing process. Their initials on the Contract are a signal to the President that they have reviewed and approved the Contract.

3. To change the Signer for which the fields apply, utilize the dropdown menu next to the first signer's name and select the next signer. Repeat the actions in step 2 until all fields are applied for all Signers.

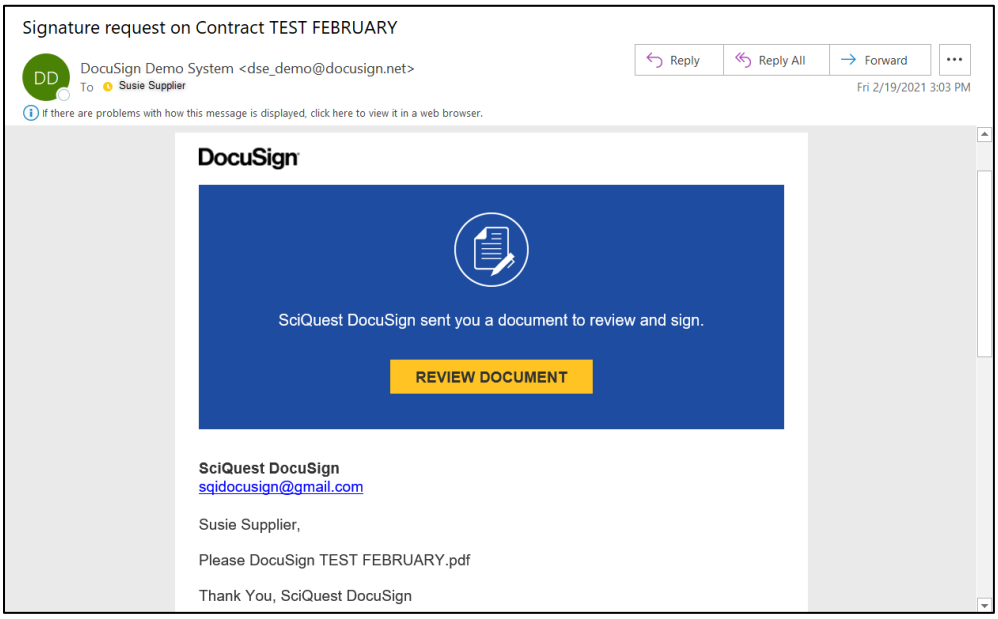


4. Once all necessary fields have been assigned to the document, click the **Send** button located at the top or bottom-right of the DocuSign screen.

5. Once sent, DocuSign will display **Waiting for Others** as the status of the document.

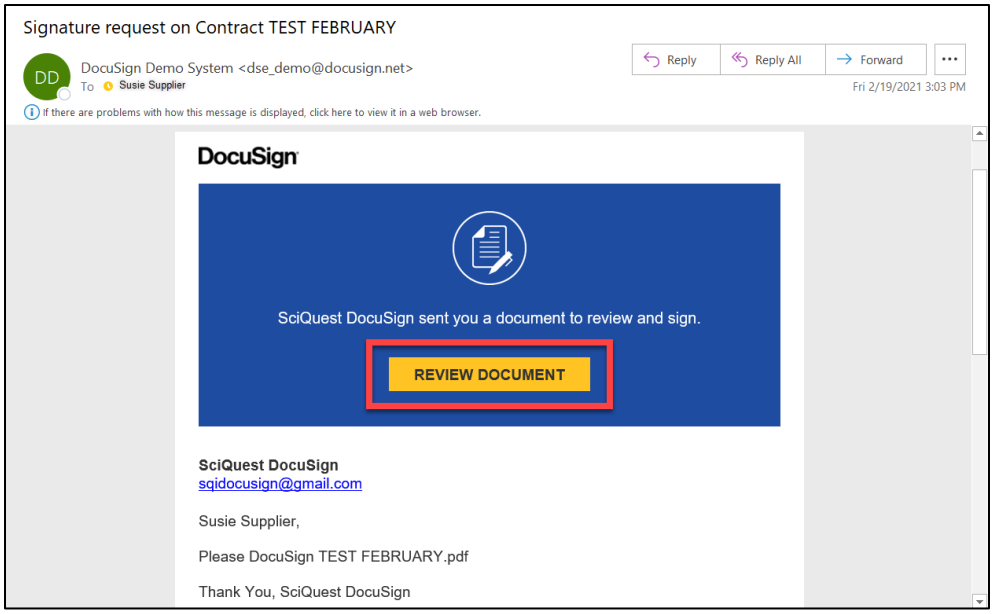


6. Email notifications will be sent to all Signers, in the order specified at the time of eSignature setup within TCM.

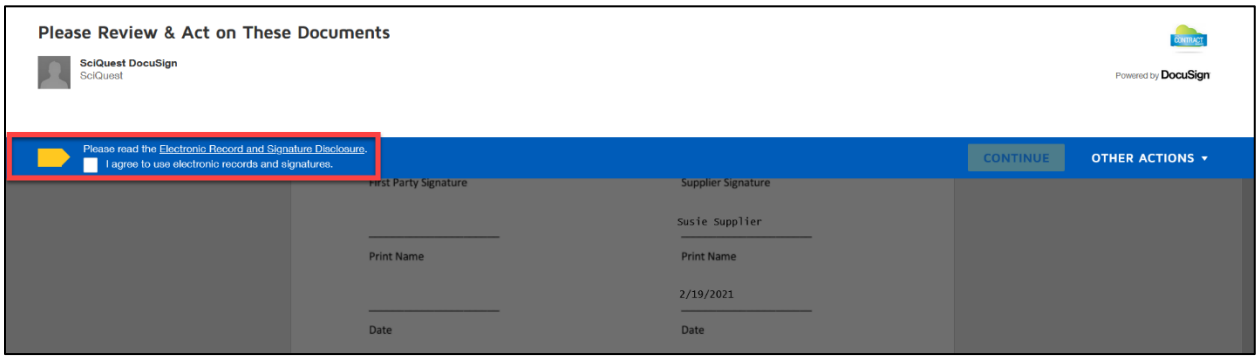


Signing Documents via DocuSign

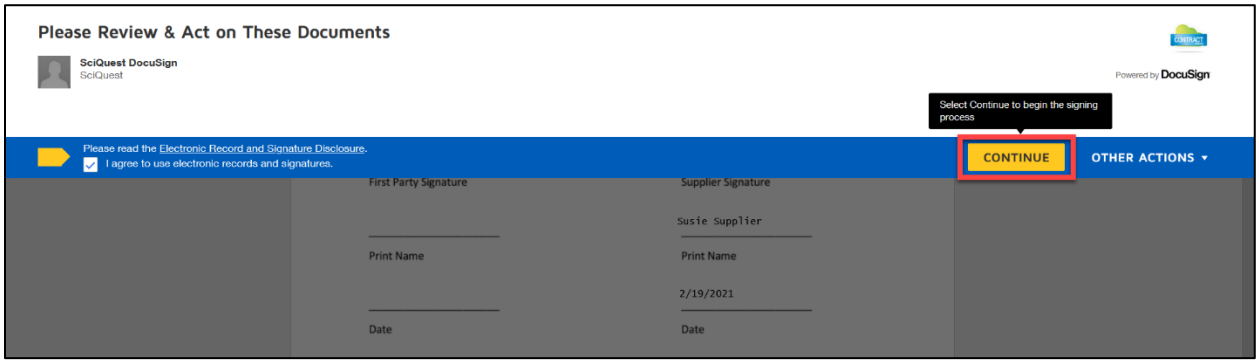
1. Signers can access the document requiring signature via the **Review Document** button within the DocuSign notification email.



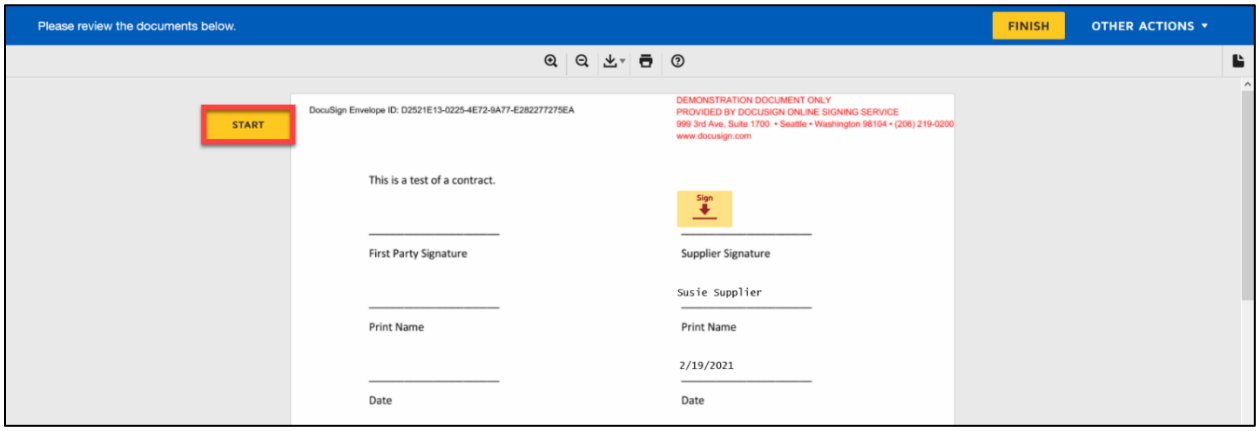
2. Review the **Electronic Record and Signature Disclosure** and select the '**I agree to use electronic records and signatures**' checkbox.



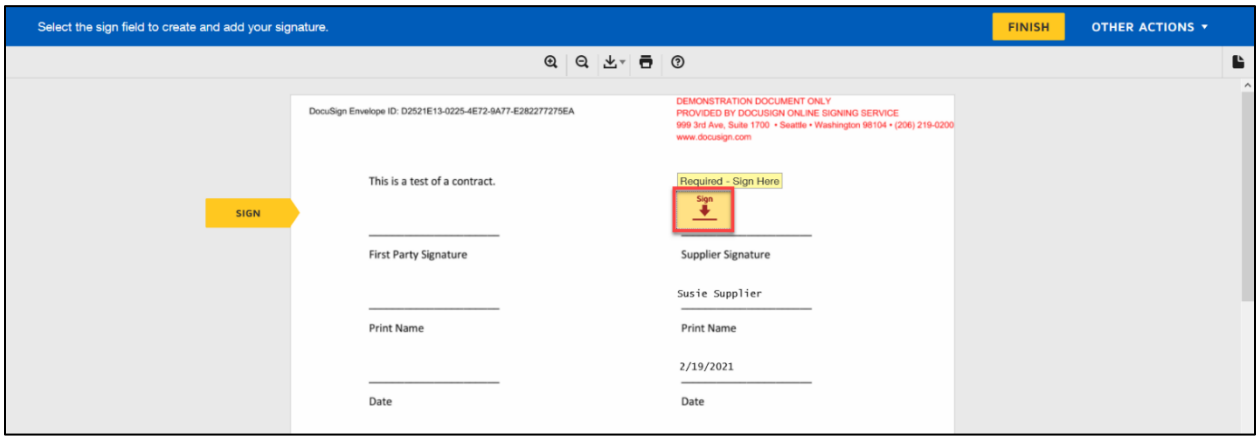
3. Click the **Continue** button.



4. Click the **Start** button to be directed to areas requiring initials, signatures, dates, or any other entry by the Signer.

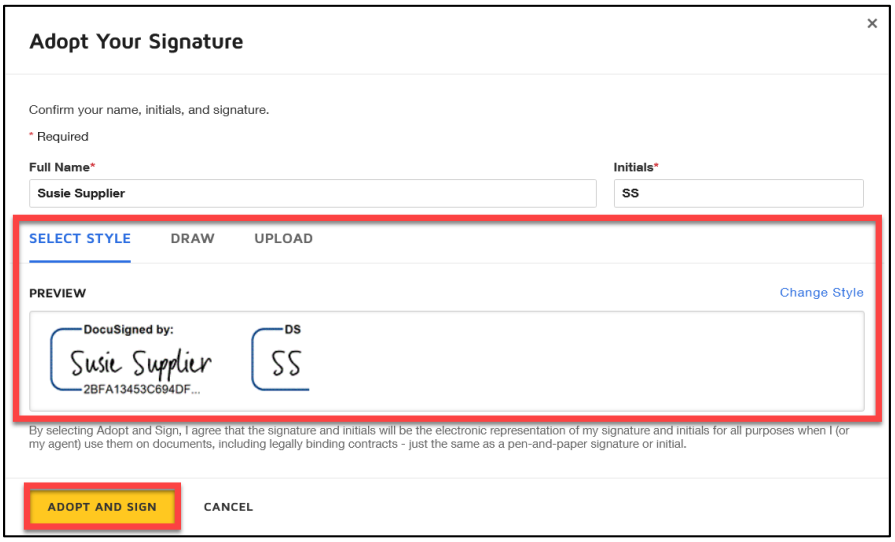


5. Click the **Sign** option.

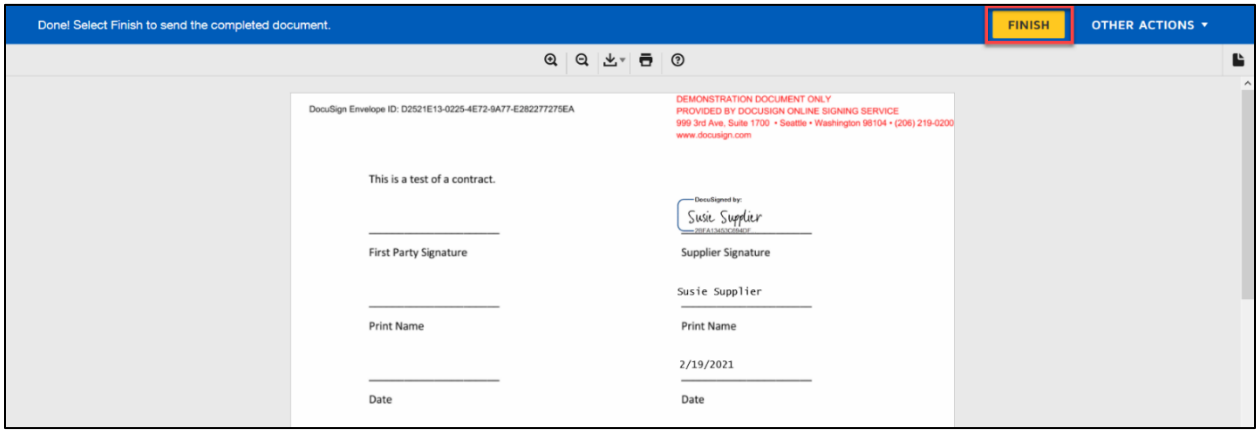


NOTE: Other fields may require manual selection or entry, depending on their nature.

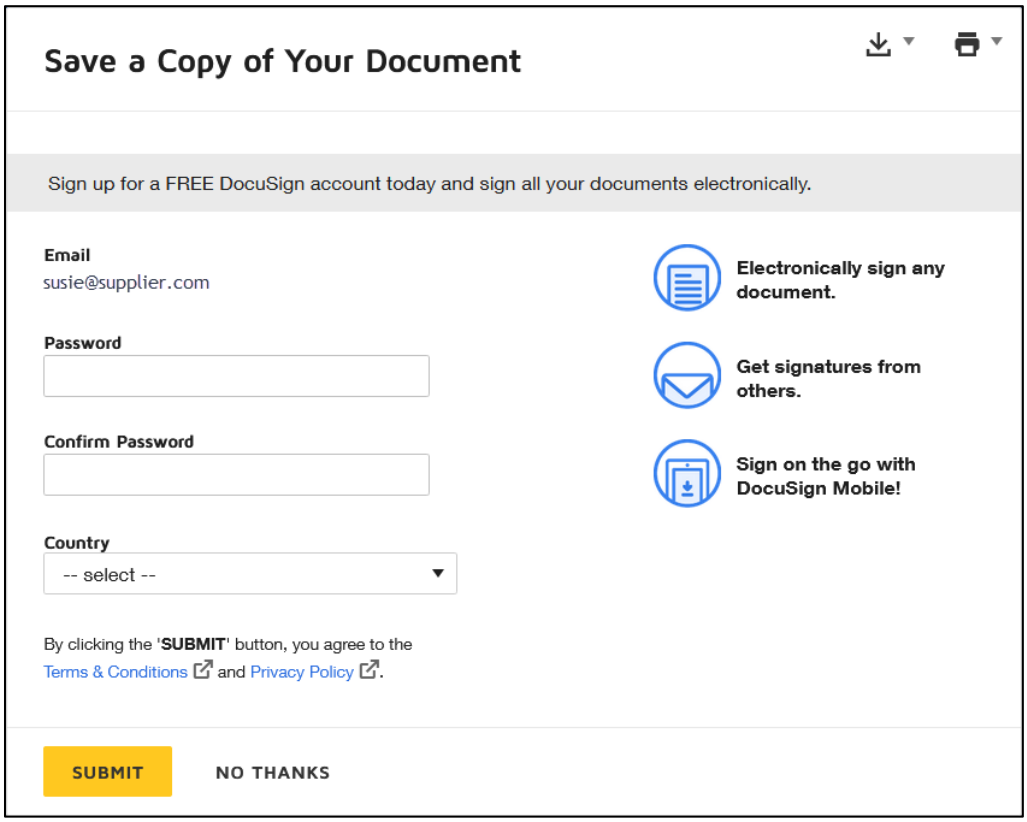
6. Choose a signature style or elect to draw a signature, then click the **Adopt and Sign** button.



7. When all fields are completed, click the **Finish** button.



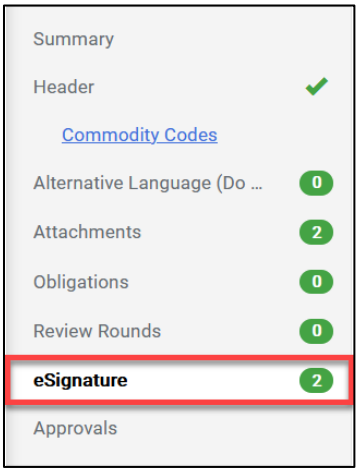
NOTE: The following screen may appear after the signer signs in DocuSign if they do not have an account in that platform. That step is not related to our process.



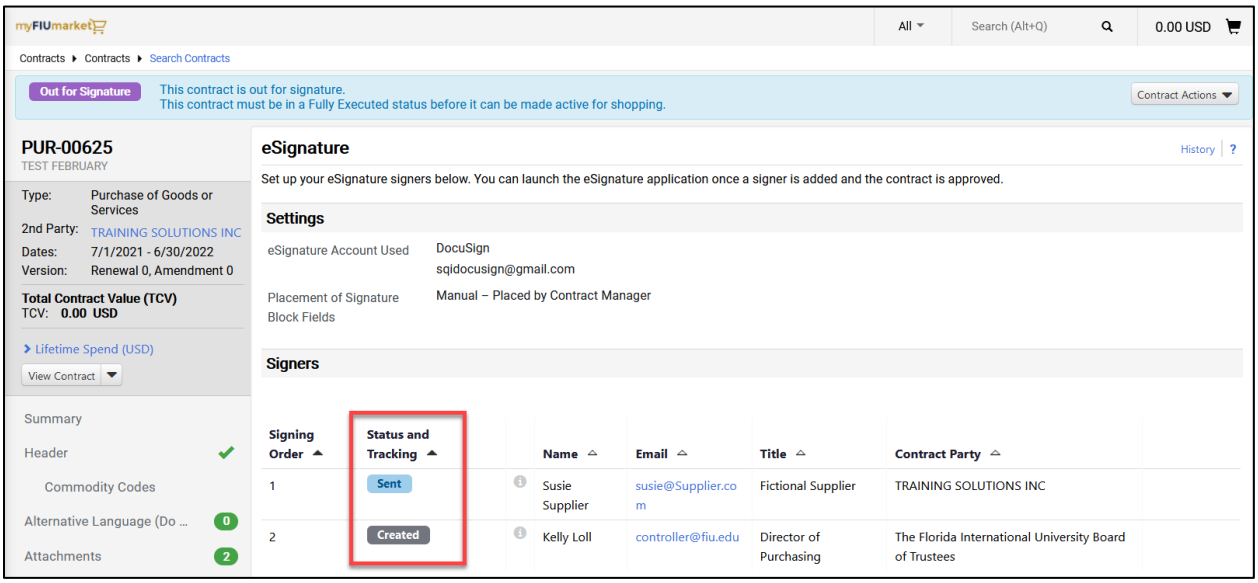
Checking the Status of eSignatures

Once contract documents are sent out for eSignature via DocuSign, the status of these can be tracked via TCM.

1. Access the contract and navigate to the **eSignature** link on the left-hand side of the page.



2. Users can check the status of eSignatures via the **Status and Tracking** column for each **Signer.**



eSignature Statuses include the following:

Created: eSignatures were setup within DocuSign and the document(s) has not yet been sent.

Sent: The document(s) has been sent to the Signer for eSignature.

Completed: The Signer has eSigned the document(s).

Appendices

The Presidential Approval Form

The below Presidential Approval Form must be completed for any Contracts over $1,000,000 and can be obtained from Procurement Services.

FIU | Office of the President
FLORIDA INTERNATIONAL UNIVERSITY

PRESIDENTIAL APPROVAL FORM

To be the cover sheet to any and all contracts, Univmail messages, letters and any document(s) requiring the President's signature and/or approval

DATE:

INITIATING DEPARTMENT:

CONTACT PERSON:

EXTENSION: FAX: EMAIL:

NUMBER OF ITEMS: DATE NEEDED:

DOCUMENT DESCRIPTION:

I have reviewed and approved the attached document(s) for the President's signature and/or approval. I accept full responsibility should there be any error in the content, syntax, or form of the document. I am responsible for the editing and/or reformatting of this document if any changes are needed.

I understand that the President and/or his designee will retain the right to review any document that he/she chooses, and to request changes where deemed appropriate.

INITIATOR SIGNATURE: _____ DATE: _____

APPROVED BY VICE PRESIDENT: _____ DATE: _____

APPROVED BY DEAN (WHEN APPLICABLE): _____ DATE: _____

Once this request has been approved, your office will be notified that the document(s) are ready for retrieval.

OOP USE ONLY

APPROVAL: _____ DATE: _____

This form should be duplicated for further use.

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