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 ensure 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 signets 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 act 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

TCM Access can now be requested via the Access Request Form on PantherSoft Financials. For instructions on submitting an access request, click [here](#). To access PantherSoft Financials, click [here](#).

Once completed and submitted, the form will then be routed to the user's HR Supervisor for approval. For users within the College of Business, the form will route to their Expense Manager for approval after it has been approved by their HR Supervisor. Once approved, the request will be routed to the Financial Systems and Support Services (FSSS) team for final processing before the access is granted.

See the below screenshot that shows the TCM roles as they will appear on the Access Request form in PantherSoft Financials.

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. The window with the Dashboard that appears will be configured differently in that will give recent contract with more details. See screenshots below.
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.

![Search Contracts](image)

3. If you are not able to find the desired contract and it has been sent out for signatures, you may need to search as “All” in the Active for Shopping section.

![Search Contracts](image)

4. 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.

![Contract Search Results](image)
5. 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**.

![Image of Search Details]

- **Search Details**
  - **Saved Search:** Training Contracts

**Search Terms**
- **Contract**
  - Training

**Filtered by**
- By Start/End Date: All

![Image of View Saved Searches]

**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](image)

**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. When you have chosen the search criteria, click Search.

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 as shown below.
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 (305)348-7200 or at controller@fiu.edu.

For assistance with registering a new Supplier, users may contact vendors@fiu.edu or direct the Supplier to the Office of the Controller Supplier Relationship Page to complete a Supplier application.
Foreign Suppliers

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

Tax Compliance will be the last party to initial, so they can review a fully executed contract. They will also review the payment before it is processed.
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 on the right of the TCM homepage.

The same link can also 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. For procedures on the use of other Contract Types, refer to the Agreement Templates Procedures document linked under the Procurement Contracts Guides header on the [Office of the Controller Policies and Procedures page](#).

   **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.

   ![](create_contract.png)

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

   ![Create Contract](image)

   ![Contract Header](image)

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. See the [Adding a Parent Contract to a Child](#) section of this document for more information on adding a parent contract.

   ![Contract Header](image)
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, email contracts@fiu.edu.

a. To add a Contact to the First Party, select the small pencil icon to show the 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.

![Contact Information window]

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.

![Contact Information - This person will be the point of contact for FIU once the contract is executed.]

**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 Second Party dropdown button.

b. 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.

c. 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 Office of the Controller Supplier Relationship Page to complete a Supplier application.
d. 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.

![Select Primary Second Party](image)

**Select Primary Second Party**

**Contact Information (Optional)**

- Contract Party Name: TRAINING SOLUTIONS INC
- Choose a Contact:
  - * Required
  - First Name: Susie
  - Last Name: Supplier
  - Title:
  - Email: supplieremail@supplier.com
  - Phone: ext.
  - Mobile Phone Number: International phone numbers must begin with +

e. 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.
f. 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.

Note: If **Term** is selected for the end date, you can use the drop-down menu to set it to Days, Months, Years. The system will set the end date based on the date the contract is fully executed.

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. 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.

```
Supplier Contact Name: Andrew
Supplier Contact Email: Administrator
Supplier Contact Phone Number: (305)305-3050
```

9. 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.

```
Supplier Contact Name: Andrew
Supplier Contact Email: Administrator
Supplier Contact Phone Number: (305)305-3050
```

10. 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.

```
Method of Payment
- [ ] Pro-Card
- [ ] Requisition
- [ ] Un-encumbered Payment
- [ ] No Monetary Value
- [ ] Other

Source of Funds
- [ ] Activity & Service (A&S)
- [ ] Advanced
```
11. Specify the **Source of Funds**. This is identified by the **Fund Code** associated with the department’s budget.

<table>
<thead>
<tr>
<th>FIU Information</th>
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<tr>
<td>Method of Payment</td>
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<tr>
<td>☐ Pro-Card</td>
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<tr>
<td>☐ Regulation</td>
</tr>
<tr>
<td>☐ Uncumbered Payment</td>
</tr>
<tr>
<td>☐ No Monetary Value</td>
</tr>
<tr>
<td>☐ Other</td>
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<tr>
<td>Source of Funds</td>
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<tr>
<td>☐ Activity &amp; Service (A&amp;S)</td>
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<td>☐ Concession</td>
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<td>☐ Construction</td>
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<td>☐ Direct Support Organization (DSO)</td>
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<td>☐ Education &amp; General (E&amp;G)</td>
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<td>☐ Facilities &amp; Administration (F&amp;A)</td>
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<td>☐ Grant</td>
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<td>☐ Tech Fee</td>
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12. 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 Website**. 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.
13. Identify the **Contract Type**

![Contract Type dropdown](image)

14. 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.

![Department/Unit ID selection](image)

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

![Provost reporting status](image)

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

![Category/Classification selection](image)

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

![Competitive Solicitation fields](image)
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.

   ![Travel Review]

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

   ![Travel Review (expanded)]
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. Depending on the selection(s) made, additional information may be required.

NOTE: For further assistance with the IT Questionnaire contact Lucy Adames, Senior Director of Administrative Services of Information Technology at adamesl@fiu.edu.
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.

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:

If YES, please identify which material/tissue or item for use in research involving human subjects will be purchased.
1. Identify specifics about the material/tissue or item for use in research.

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

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.”

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.
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.

![Image](image1)

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

![Image](image2)

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.

![Image](image3)
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. Refer to the Attachment section of the document [here](#).

![Image 1](#)

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

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.

![Image 2](#)

**Please attach a detailed schematic of payment card data flow.**

---

**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.

![Image 3](#)

**External Relations**

*Is this a Contract that allows the Supplier to use FIU’s name and/or logo?*

- [ ] Yes
- [ ] No

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) 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 Senior University 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.

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.

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

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

<table>
<thead>
<tr>
<th>FERPA</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Will the Supplier have access to any personally identifiable information, student education records, or student financial information?</td>
<td>Yes ☑ No</td>
</tr>
</tbody>
</table>

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 specified 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

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.

Move to Internal Only Attachments
This selection will move the attachment to the Internal Only tab. See below.
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.

   ![Add Signer](image)

   **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.

### Signers

<table>
<thead>
<tr>
<th>Signing Order</th>
<th>Name</th>
<th>Email</th>
<th>Title</th>
<th>Contract Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Susie Supplier</td>
<td><a href="mailto:susie@Supplier.com">susie@Supplier.com</a></td>
<td>Fictional Supplier</td>
<td>TRAINING SOLUTIONS INC</td>
</tr>
<tr>
<td>2</td>
<td>Kenneth Jessell</td>
<td><a href="mailto:cherrera@fiu.edu">cherrera@fiu.edu</a></td>
<td>Senior Vice President &amp; CFO</td>
<td>The Florida International University Board of Trustees</td>
</tr>
<tr>
<td>3</td>
<td>Kelly Loll</td>
<td><a href="mailto:controller@fiu.edu">controller@fiu.edu</a></td>
<td>Director of Purchasing</td>
<td>The Florida International University Board of Trustees</td>
</tr>
</tbody>
</table>

### 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.

![Submit for Approval Button]

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.

![Approval Details Window]

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.

![Contract Submitted for Approval]

Next Steps
What would you like to do next? Here are links to common actions:
- View the Contract
- Create Another Contract
- Go to My Home Page
- Go to Contract Dashboard

View Approval Steps

Contract Summary
- Contract Number: PUR-00824
- Contract Name: Rooney's Training Services
- Contract Type: Purchase of Goods or Services
- Work Group: Procurement

![Contract Summary Table]

Start Date: 7/1/2021 12:00:00 AM
End Date: 6/30/2022 11:59:59 PM
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.
The **Communication Center** of a contract is used to monitor correspondence about a contract and share contract attachments from one central location.

Contract communications can either be:

1. **Internal Communication** can be sent to other TCM users (i.e., Contract Managers, Approvers, Viewers).
2. **External Communication** can be sent to non-TCM users (i.e., suppliers or other FIU employees).

### Send an Internal Communication

Internal communications can be sent to other TCM users (i.e., Contract Managers, Approvers, Viewers). Messages are initiated from within the TCM Communication Center and subsequent replies can come from the recipients’ inbox or through the Communication Center.

Communications may include attachments. If attachments are included with replies, they may be compared with original contract attachments in the TCM Communication Center. See the [Compare Conversation Attachments](#) section of this document.

To send an internal communication:

1. With the contract open, select the **Communication Center** from the left-hand navigations.
2. Within the Internal Tab of the Communication Center, click the Add Internal Message button to start internal communications.

3. Fill in the Subject and the Body, select a Recipient (other TCM user), and add an optional Attachment. When complete, click the Create button to send the communication.

4. The recipient will receive an email with attachments (if any). Any replies, including attachments, will be sent via email and added to the conversation in TCM.
5. To modify the recipients of internal communications, select the **Change Subscribers** button from within the message.

![Communication Center](image)

**Send an External Communication**

External communications can be sent to non-TCM users (i.e., suppliers or other FIU employees). Messages are initiated from within the TCM Communication Center and subsequent replies can come from the recipients’ inbox or through the Communication Center.

Communications may include attachments. If attachments are included with replies, they may be compared with original contract attachments in the TCM Communication Center. See the [Compare Conversation Attachments](#) section of this document.

To send an external communication:

1. With the contract open, select the **Communication Center** from the left-hand navigations.
2. Within the External Tab of the Communication Center, click the **Add External Message** button to start external communications.

3. Fill in **Subject**, **Body** sections as these are required fields. Fill in **Name**, and **Email of recipients** (i.e., Contract Party) and select **+Add Other Recipients** to add the recipient’s email information. When finished, click the **Create** button to send the communication.

**NOTE:** Additional TCM (aka internal) users may be added to the external communication using the **User Recipients** search functionality.
4. The recipient will receive an email with attachments (if any). Any replies, including attachments, will be sent via email and added to the conversation in TCM.

To modify the recipients of external communications, select the **Change Subscribers** button from within the message.

**Compare Conversation Attachments**

Conversation email attachments can be compared with contract attachments side-by-side in the browser or using the review functionalities in Microsoft Word.

1. Select **Compare with** from the **Actions** menu within the conversation. Both the documents need to be in Word format (.docx format)
2. Make sure to select **Yes** for the section “**Include Format Changes.**” Click **Compare**.

3. The email attachment (on the right) and the contract/original attachment (on the left) are compared side by side with differences between the documents highlighted.

4. To accept, reject, or make additional changes to the document, click **Open in Word**, and use the review functionalities within that program.
5. The modified document can be uploaded as an updated version to the contract. From the Attachments main page, click **Upload New Version** from the **Action** menu. A new window will appear titled **Upload New Version**. Attach the updated version and click **Save Changes**.

### Adding Contract Comments

A **Contract’s Comments** page gives TCM users the ability to add internal notes (aka Threads) regarding the contract. When entering comments or replies, you can send them to other TCM users who will receive notifications when a comment or reply has been posted.

1. With the contract open, select **Comments** from the left-hand navigations.

2. Click **Start New Thread**.
3. Enter a **Subject** and **Message**. Alert internal users of a contract comment by adding them to the **Send Notification To** field.

4. Click **Save**. The message is listed on the **Comments** page.

5. Individuals selected in the **Send Notification To** field will receive an email indicating that a new contract discussion thread has been posted.
Internal and External Review Rounds

Review rounds allow contract managers and administrators to send a contract to others for review before it is approved, while it is in Draft status. Single or multiple reviewers can be selected for each review round. If there are multiple reviewers, the review round is considered complete when the last reviewer is done.

Review rounds can either be:

1) **Internal Review Rounds**, which allow TCM contract managers and administrators to send the contract for review amongst themselves. Reviewers can check out and modify the contract.

2) **External Review Rounds**, which allow contract managers and administrators to send communications containing defined contract attributes to external parties such as suppliers or FIU employees without TCM access.

Initiating Internal Review Rounds

Internal Review Rounds allow TCM contract managers and administrators to send the contract for review amongst themselves. Reviewers can check out and modify the contract and check it back in to finalize changes made.

TCM contract manager and administrator reviewers can indicate they are done with their review following the guidelines in the **Conduct Internal Review** section of this document.

To initiate an internal review:

1. With the contract open, select **Review Rounds** from the left-hand navigations.

2. Click on the **Create Manual Internal Round** button.
3. Find other TCM contract managers and/or administrators using the search bar under Add Reviewer.

   ![Add Reviewer](image)

4. Select the recipient(s). Click Save Changes.

   ![Add Reviewer](image)

   NOTE: At this point, review notification(s) have not been sent yet. See below.

   ![PUR-00799 Review Rounds](image)

5. To send the internal review round, click on the Begin Round button.

   ![PUR-00799 Review Rounds](image)
6. Add a message for the reviewer(s) and click on **Begin Internal Review** button at the bottom.

Contract managers can change the message, skip a reviewer, or end the review round early.

---

**Conduct Internal Review as Reviewer (Contract Managers and Administrators)**

When a contract manager initiates an internal review, reviewers will receive a notification. Reviewers can check out and modify the contract and check it back in to finalize changes made.

To conduct an internal review round:

1. Click on the **View Contract** button within the internal review notification email and sign into TCM.

2. Review the contract in TCM. To make changes, use the **Check Out** button.
3. When done, select **Review Rounds** from the left-hand navigation.

4. Next to your name, select the **Done with My Review** option from the **Actions** dropdown.

5. Add a note for the Contract Manager then click the **Done with My Review** button.

A confirmation message will appear, and the contract manager will receive a notification email.
External Review Rounds

External Review Rounds allow TCM contract managers and administrators to send communications containing defined contract attributes to external parties such as suppliers or FIU employees without TCM access.

External reviewers do not have access to the full TCM contract and can reply to review notification emails with their comments. Only contract managers and administrators can check out and modify the contract, check it back in to finalize changes made, and mark review rounds as done in TCM.

TCM contract manager and administrator can indicate that an external party is done with their review by following the guidelines in the Indicate a Completed External Review section of this document.

To initiate an external review:

1. With the contract open, select **Review Rounds** from the left-hand navigations.

2. Next, click on the **Create External Round**.
3. Fill in required fields (starred) and click **Save**.

![Add Reviewer](image)

**NOTE:** At this point, review notification(s) have not been sent yet. See below.
(update screenshots to be consistent with what is in the internal review rounds section)

![Next Round (External)](image)

4. Use available options on the **Begin Round of External Review** window, then click **Send Email**.

![Begin Round of External Review](image)
Within the **Body**, contract managers can remove or edit existing **Placeholders** (highlighted in grey).

New placeholders can be added using the **Placeholder** button in the edit panel of the **Body**. Use available options to change the placeholders.

A confirmation message will appear, and the recipients will receive a notification email.

When an external party is done with their review follow the guidelines in the **Indicate a Completed External Review** section of this document.
Indicate a Completed External Review

TCM contract manager and administrator can indicate that an external party is done with their review by completing the following steps:

1. With the contract open, select **Review Rounds** from the left-hand navigations.

   ![Review Rounds](image)

   1. From the **Review Rounds** page, select **Done with Review** from the **Actions** dropdown.

   ![Done with Review](image)

   2. On the next windows, make a note and then click **Done with Review** button.
Tracking status for the reviewer will show as Done.

NOTE: If the external reviewer requests more changes be made to the Contract, then the Contract Manager can start a new review round for these latest changes.
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.

![Contract Approver Interface]

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

![Contract Approval Interface]

**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.

![Contract Approval Notification]

Dear [Contract Approver’s Name],

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

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

![E-signature Link]

FIU Procurement Services Contract Team

03/2021 Version 3.0
Contract Amendments

Contract amendments are created when you need to update an approved and active contract, and the changes will affect the terms and conditions of the contract.

When a contract is amended, all data from the original contract is copied into the amendment, including contract custom fields. The Contract Number and Contract Type are locked for editing and cannot be changed, but all other fields can be updated on the amendment.

Amendments in progress can be deleted and the contract will revert to the last saved version of the approved contract. Once changes to the contract are complete, the amendment can be submitted for approval.

To create a Contract Amendment:

1. Select Amend from the Contract Actions dropdown menu within the contract.

2. Identify whether to include the latest attachment versions from the original contract, then click the Yes button.
The **amendment** number is shown in the version history on the left. Edit the contract header fields as needed. Click **Next**.

3. Make changes to contract sections as needed. When done, click on **Submit for Approval** on the left navigations and then **Submit for Approval** button on the right.
Notifications are set up to “alert” or notify contract managers, stakeholders, or external contacts of notable events related to a contract, such as start and end dates, or when budget tiers are reached.

Advanced notifications can be set up for start dates, end dates and renewal dates, so that contract managers or administrators can act prior to an event occurring. For example, advance notification of an expiring contract could give a contract manager time to prepare a replacement contract.

**Contract Managers and Stakeholders (users with TMC Access)** must enable the corresponding notification preference on their user profile before the contract is executed via the Profile icon, then navigating to View My Profile > Notification Preferences > Contracts.

**External Contacts**, which are configured in the contract, will receive notifications to the email address specified. External contacts cannot opt out of the notifications.

### Set Up Contract Notifications

To set up contract notifications for Contract Managers, Stakeholders, or External Contacts:

1. With the contract open, ensure it is **Checked Out** to you. If not, click the **Check Out** button.

2. Select the **Notifications** button from the left-hand navigations.
3. Mark the **Contract** checkboxes under the **Contract Managers, Stakeholders, or External Contacts** columns for the preferred **Notification Type(s)**. Do not mark the **Work Group** checkboxes.

Notification Types include:

**Advanced Notices** – These send advance notifications to alert users of an upcoming contract event based on the schedule set in the **Advanced Notices Settings** on the **Notifications** page, depicted below.

**Passed Notices** – These sent notifications when a contract event has occurred.

For contracts created from a Sourcing Director Event, a **Sourcing Event Advance Notice** section is displayed and can be set up to notify the Sourcing Event Managers in the Office of the Controller of an upcoming contract renewal or end date.
Contract Obligations

Obligations are tasks or actions that need to be completed by a contract party (Internal or External). Tasks can include documentation that must be provided, reviews that must be completed, or compliance criteria that a contract must fulfill.

You can create, manage, track, and report on contract obligations throughout the lifecycle of a contract to stay in compliance within its terms and conditions. Contract stakeholders can be included in notifications, providing complete visibility to your obligations and total transparency of upcoming contract milestones and deadlines.

Adding obligations to a Contract

Obligations can occur before, during, or after a contract’s start and end dates. There are two (2) ways to add obligations to a contract:

A. Add an obligation to a contract from the Obligation Library, which contains a set of frequently used and/or standardized obligations that you can copy and modify as needed.

B. Add New Obligations that are specific to the contract. These are unique obligations that only apply to the contract they are added to. They are sometimes referred to as ad hoc obligations.

To add an obligation, follow these steps:

4. With the contract open, ensure it is Checked Out to you. If not, click the Check Out button.

5. Select Obligations from the left-hand navigations.
6. Click **Add Obligation** and choose one of the following options:
   a. Click **Add New Obligation** (aka ad hoc obligations) to add an obligation that is unique to the contract.
   b. Click **Add Obligation from Library** to add an obligation from the library.

If you are adding an obligation from the **Library**, search for and select an obligation using the available search field.
7. Complete or modify the properties of the obligation, then click **Next**.

![Add New Obligation](image)

A. **Name:** Name of the Obligation.
B. **Description:** Describe the obligation and its purpose.
C. **Frequency:** Select **One Time** or **Recurring** and enter due date as follows: Note: The frequency type cannot be changed once the obligation is saved.
   a. If you choose **One Time**, enter the due date of the obligation in the calendar field.
   b. If you choose **Recurring**, set the schedule of occurrences.
D. **When:** Date when obligation is due.
E. **Due:** Hour and minute the Obligation is due.
F. **Time Zone:** Click on check box if you want the contract to be your default time zone.

8. Add **Owner(s)** and **Stakeholder(s)** to the obligation by clicking the **Add New** button.

![Add New Obligation](image)

9. Select a **Role** and **Person**. Additional tasks/notes about the owner’s/stakeholder’s responsibilities may be included as well as which notifications they will receive.
Available Roles include:

**First Party Owner**: The person responsible for marking the obligation as complete. This can either be the contract manager or another TCM user. There can only be one owner per obligation.

**First Party Stakeholder**: The FIU person who will receive notifications regarding the obligation. This can either be the contract manager or another TCM user.

**Second Party Stakeholder**: This person must be listed as a second party contact on the contract header.

**Note**: Second Party Stakeholders will not receive Completed notifications.

10. When Advanced Notice is checked for the Owner/Stakeholder, use the **Advance Notice Settings** available options as needed. Notifications can be sent from 1-90 days prior to the obligation due date. Enter the number of days prior to the obligation due date that advance notifications will be sent to Owner/Stakeholder in the three **Advance Notice Settings** fields. Click **Save Changes**.

**Note**: You don’t need to complete all three fields.
The obligation will be added to the **Obligations Dashboard**. For recurring obligations, each occurrence with a series is displayed when the Show Recurring Obligations As filter is set to Occurrences.
Edit a Contract Obligation

Contract Managers have full control of obligations in their contract. They can view, edit, and mark them as complete. Changing information on an obligation that has already been added to a contract depends on several factors:

In general, obligations on contracts can be edited if the contract is in an editable status and checked out for editing. Obligations can be added, edited, or cancelled when a contract is any of the following status: **Draft**, **Internal Review**, **External Review**.

Once the contract reaches any **Executed** status: **In Effect, Executed (Future, Expired, or Superseded)**, you can add or cancel obligations. However, the ability to edit an obligation will depend on the obligation settings, what information you want to change, and the status of the obligation or contract. For example, if an obligation series is based on the contract start date and that date has occurred, you cannot change the start date of the series, but you can change the description of owners and stakeholders. **Cancelled or completed obligations cannot be changed**.

Obligations cannot be added, edited, or cancelled when a contract is any of the following statuses: **Terminated, Complete, Pending Approval, Out for Signature, Pending Signature**.

Changes to obligations in the **Obligation Library** will only show in new contracts created after the change. Contracts that already have an obligation will display the old version of obligation.

To edit a contract’s obligations:

1. With the contract open, ensure it is **Checked Out** to you. If not, click the **Check Out** button.

2. Select **Obligations** from the left-hand navigations.

![Image of contract obligations](image-url)
3. Select either Properties or Owners and Stakeholders from the Action dropdown of the obligation.

4. Make changes to the obligation Properties/Owners and Stakeholders per the Adding Obligations to a Contract section of this document.

**Mark Contract Obligation as Complete**

Obligations can be marked as completed on the Obligation page in the Contract by obligation owners.

The obligation owner is responsible for ensuring that the task or action required by the obligation is done and marking it as Complete. Contract Managers have full control of obligations on their contracts and can mark as complete if the owner is unable to do so.

**STEPS TO MARK OBLIGATION COMPLETE (INTERNAL USERS)**

1. Check out the contract if it is not checked out to you.

2. With the contract open, select Obligations from the left-hand navigations.
3. Ensure the option Occurrences option is selected in the Show Recurring Obligations As field. Select Mark as Complete from the Actions menu for the obligation.

![Image of Obligations screen showing Occurrences option]

**Note:** Only single obligation occurrences can be marked as complete, not an entire obligation series.

4. Under the Completed Date field, you will enter the date and time obligation was completed. The current date and time are displayed by default. Then click on Mark as Complete. Add attachments if required for obligation.

![Image of Mark as Complete dialog box]
TCM: Contract Families

The Contract Family screen can be accessed by selecting **Contract Family** from the lefthand navigation within the contract. The page displays a list of all related contracts, which are grouped into two sections:

- **Parent/Child Contracts** lists all contracts that are related as either a parent or child.
- **Contract Versions** list all amendments and renewals of the contract. Use the 📄 icon to review versions.

There are two ways to associate Child and Parent contracts:

A. Adding a Child to a Parent Contracts via its **Contract Family** page.
B. Adding a Parent to a Child Contract via the **Parent Contract** field in its header while it is in Draft status.

For instructions on contract amendments, refer to the [Contract Amendments](#) section of this document.

Contract renewal terms are entered in the contract header while it is in Draft status as indicated below.
Adding a Child to a Parent Contract

The **Contract Family** page allows you to create or link a Child to a Parent Contract.

To add a Child to a Parent Contract:

1. With the contract open, select **Contract Family** on the left-hand navigations.

2. Select one of the following options from the **Link a Child to this Contract** dropdown menu:
   
   - **A.** Select **Link a Child to this Contract** to identify the child from existing contracts in TCM. The open contract becomes the Parent to the one selected.
   - **B.** Select **Create Child Contract** to create a new contact.
Link an Existing Child Contract to a Parent

When establishing a parent/child relationship using the **Link a Child to this Contract** option, the established Parent Contract start and end dates affect the available Child options based on one of three criteria.

- **The Child contract dates must be within the Parent’s contract dates** option indicates that the start and end date of the Child should be within those of the Parent contract. For example, if the Parent contract starts on **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract must start after **8:00am on 2/18/2024** and end on or before **2/19/2025 at 1:59pm**.
- **The Child contract dates may be outside of the Parent’s contract dates** option indicates that the start and end date of the Child do not need to be within those of the Parent contract. For example, if the Parent contract starts on **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract may start before or after **8:00am on 2/18/2024** and end before or after **2/19/2025 at 2:00pm**.
- **The Child contract start date must be within the Parent’s contract dates** option indicates that the start date of the Child should be after the start date of the Parent, but the end date may be outside of the Parent contract’s. **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract must start after **8:00am on 2/18/2024** and may end before or after **2/19/2025 at 2:00pm**.

**Note:** Use the **Hide Contracts that cannot be selected** checkbox to only show relevant options.

1. Once identified, choose appropriate Child contract(s) using the **Select** button(s) from the list and click **Save Changes**.
The linked contract appears under Parent/Child Contract in the Contract Family screen.

**Note:** Parent/Child relationships cannot be undone.
Create a New Child Contract from a Parent

When establishing a parent/child relationship using the Create Child Contract option, the Contract Wizard opens allowing you to create a new contract.

From the Create Child Contract popup:

1. Enter a Contract Name for the Child, then click Create Contract. The Contract Type and Workgroup fields will populate based on the Parent contract’s.

2. A new Child contract is initiated. Enter all required contract attributes following the instructions in the Creating a Contract section of this document, starting with Step 3. The Child contract dates must be within the Parent’s dates.

Adding a Parent Contract to a Child Contract (When Contract is initially created)

When creating a new contract that needs to be the child of a parent contract, you will be utilizing the header section of the contract and its search functions.

1. With the contract open, select Header on the left-hand navigations.
2. If you know the **Parent Contract Number**, then type the number in Parent Contract field.

3. If you do not know the **Parent Contract Number**, then click on the magnifying glass icon. Click on the **Parent Contract** field on the right of the page to choose from the list.

4. A pop-up window for search criteria will appear.

5. Click on the pencil icon on top of the window. You can filter the search for start and end dates of parent contracts.
6. Select from the options in the drop-down menu the established Parent Contract start and end dates affect the available Child options based on one of three criteria.

- **The Child contract dates must be within the Parent’s contract dates** option indicates that the start and end date of the Child should be within those of the Parent contract. For example, if the Parent contract starts on **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract must start after **8:00am on 2/18/2024** and end on or before **2/19/2025 at 1:59pm**.

- **The Child contract dates may be outside of the Parent’s contract dates** option indicates that the start and end date of the Child do not need to be within those of the Parent contract. For example, if the Parent contract starts on **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract may start before or after **8:00am on 2/18/2024** and end before or after **2/19/2025 at 2:00pm**.

- **The Child contract start date must be within the Parent’s contract dates** option indicated that the start date of the Child should be after the start date of the Parent, but the end date may be outside of the Parent contract’s. **2/18/2024 at 8:00am** and ends on **2/19/2025 at 2:00pm**, then the Child contract must start after **8:00am on 2/18/2024** and may end before or after **2/19/2025 at 2:00pm**.

7. Once identified, choose an appropriate Parent contract using the Select button and click **Save Changes**.
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.).

![Diagram of Standard Fields](image)

**NOTE:** For Contracts over $1,000,000, needing President Kenneth A. Jessell’s signature, **Initial** fields for either FIU’s CFO, Dr. Aime Martinez for non-academic purchases, or FIU’s Provost, Dr. Elizabeth Bejar for academic purchases, will need to be included on the signature page. This is because either Dr. Martinez or Dr. Bejar 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.

![Diagram of dropdown menu](image)

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.

![DocuSign Review Document](image)

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

![Electronic Record Signature Disclosure](image)
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.

![Adopt Your Signature](image)

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

![DocuSign Finish](image)

**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 electronically signed the document(s).
The Presidential Approval Form

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

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**PRESIDENTIAL APPROVAL FORM**

**To be the cover sheet to any and all contracts, Unimail 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:**

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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:**

---

**OOP USE ONLY**

**APPROVAL:**

**Date:**

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This form should be duplicated for further use.

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