Contract Processing – Capital Project Contracts

UPDATED: October, 2017

The term Requestor = Project Manager / Program Manager / Planner / Designer

For Hyperlinks: hold Ctrl + Click link

Emory University Procurement Policies must be fulfilled. This document is supplemental instructions to fulfilling those requirements. Read GUIDELINES FOR PURCHASE OF OUTSIDE SERVICES for more information.

Important information to know:

New consultants / contractors:
New vendors must complete a Supplier Information Form and EU ACH Authorization form, downloadable from the Emory Finance Procure & Pay Forms location (LGT location). Download and save the form. The Supplier information form must include the Requestor’s information before forwarding to the vendor. Send completed form to csfinance@emory.edu.

Insurance
All vendors must comply with Emory’s insurance requirements CS Finance maintains a log of all current insurance certificates. CS Finance will confirm a current certificate is on file: S:\Contracts-Admin\Certificates Of Insurance.xls. If COI is out of date, Requestor must work with Vendor or CS Finance to receive the updated insurance document before contract can be executed. Forward the COI to csfinance@emory.edu.

Funding Approved:
Prior to contract execution, Requestor must have project funding approval via WAM, MRR or URR letter.

Step 1 Service and Materials under $5,000? No contract required. Requestor forwards invoice to csfinance@emory.edu, attention Cedric Franklin. Include SmartKey/SpeedType. Or, supplier may forward invoice to cspaymentprocessing@emory.edu. Invoice must include capital SpeedType/SmartKey for processing.

Step 2 Service and Materials over $5,000? REQUESTOR forwards the following items to csfinance@emory.edu:

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Service Change Authorization / Change Orders</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Capital SK/ST, or</td>
<td>- Capital SK/ST, or</td>
</tr>
<tr>
<td>- Work order number being used prior to Capital SK</td>
<td>- Work order number being used prior to Capital SK, or</td>
</tr>
<tr>
<td>Project Start and Completion date</td>
<td>Proposal</td>
</tr>
<tr>
<td>Proposal</td>
<td>Scope (if not included in proposal)</td>
</tr>
<tr>
<td>Scope (if not included in proposal)</td>
<td>SCA / CO (note 1) change amount</td>
</tr>
<tr>
<td>Contract Amount (specify NTE or Lump Sum)</td>
<td>Contract Extension Date?</td>
</tr>
<tr>
<td>Reimbursable Expenses for Professional Services</td>
<td>Contact email address for Supplier</td>
</tr>
<tr>
<td>Contact email address for Supplier</td>
<td>GMP Exhibit X- additional information will be required.</td>
</tr>
<tr>
<td>Contracts and GMP documents over $500K, additional information will be required.</td>
<td></td>
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</tbody>
</table>

Note 1: Construction Change Orders for Planning, Design and Construction (continued on next page)
Contracts over $25K require Notice of Change and a Change Order Request forms included as backup for additive and deductive changes. NOCs and CORs will not be required for Change Orders closing out remaining funds on a contract. Review the Change Order procedure for more information.

Contract Creation:

Step 3  CS Finance prepares contract with proposal and all applicable exhibits (per the contract exhibit matrix (LGT location)). CS Finance communicates with the Requester throughout the creation process to obtain additional information and clarification. Completed contract is reviewed and approved by Requester.

Obtaining Supplier Signatures:

Step 4  CS Finance forwards the contract package to Supplier(s) for signature. Electronic signatures are permissible.

Step 5  Supplier signs the contract and emails it back to csfinance@emory.edu. New Suppliers must also provide the Supplier Information and ACH Authorization forms to csfinance@emory.edu.

Obtaining Emory Signatures:

Step 6  Contracts Administration prints contract and applicable contract exhibits, according to the matrix on Page 3, and delivers to Requestor.

Step 7  Requestor is responsible for completing and providing all cover sheets, budget spreadsheets, proof of funding approval, and bids/sole source according to the matrix on Page 3.

Step 8  Requester will work with departmental support staff to route internally for department signatures, and then return contract packet to CS Finance for processing, or to obtain additional signatures. Documents are signed based on the latest signature authority. Documents under $100K are signed in PDC and proceed to Step 9.

Step 8.1  For documents $100K-$999,999, CS Finance forwards the contract packet to Matthew Early’s office for signature. Matthew Early’s office will notify CS Finance when signed, or if greater than $1M, that it is ready for Legal Counsel prior to signature by the Office of the Executive Vice President for Business and Administration.

Final processing

Step 9  CS Finance reviews contract packet for complete signatures. When complete, cover sheets, contract documents and attachments are scanned and uploaded to AiM. Contract number is assigned.

Step 10  If not done by PDC, CS Finance emails copy of final contract to Requester and Supplier, noting contract # for inclusion on future invoices.
## Contract Processing Matrix - Capital Projects

*(Total Project budget over $100K)*

### Required Documents for Processing Contract after obtaining Supplier Signature

Only print exhibits modified for project scope and value. (e.g. – do not print Document Delivery Standards).

All contract exhibits are provided to Supplier at original contract signature request.

### Document Type | Document Dollar Value (not project budget) | Provided by CS Finance (given to PDC) | Provided by PDC
---|---|---|---
**Pay the Bill (PTB)** | Under $5K | ☐ Processes invoice in Emory Express | ☐ Supplier submits invoice to csfinance@emory.edu
**If new Supplier:**  
☐ Supplier Information Form (required)  
☐ ACH Authorization Form (only if Supplier wants payment electronically)  
**If new Supplier:**  
☐ Contact information for Supplier. CS Finance will obtain Supplier forms.

**Contract** | Under $100K | ☐ Contract, unless Requestor prefers to compile documentation.  
☐ Exhibits specifically modified for the project  
☐ Proposal and scope (if separate from proposal)  
**If previously supplied, print:**  
☐ Additional bids if $25K or above, or Sole Source Letter.  
**If new Supplier, receive:**  
☐ Supplier Information Form (required)  
☐ ACH Authorization Form (only if Supplier wants payment electronically)  
**If not previously supplied, print:**  
☐ Additional bids if $25K or above, or Sole Source Letter. Bid Summary sheet is helpful. Include explanation if low bid not selected  
☐ Certificate of Insurance if expired  
☐ Obtain Department Signatures  
**If new Supplier:**  
☐ Contact information for Supplier. CS Finance will obtain Supplier forms
<table>
<thead>
<tr>
<th>Contract</th>
<th>Over $100K</th>
<th></th>
<th>Change Order/SCA</th>
<th>Under $100K</th>
<th></th>
<th>Change Order/SCA</th>
<th>Over $100K</th>
<th></th>
<th>GMP Amendments (Exhibit X)</th>
<th>Over $100K</th>
<th></th>
</tr>
</thead>
</table>
| □ Contract  
 □ Exhibits specifically modified for this project  
 □ Proposal  
 □ Scope (if separate from proposal)  
 If previously supplied, print:  
 □ Additional bids if $25K or above and bid summary, or Sole Source Letter.  
 □ **Obtain CS VP and Exec VP for Business & Administration signature**  
 If new Supplier, receive:  
 □ Supplier Information Form (required)  
 □ ACH Authorization Form (only if Supplier wants payment electronically) | □ VP Contract Information Form (VPCIF)* (see note1 at end)  
 □ Contract Action Form  
 □ Spreadsheet and PBAD  
 □ **No SpeedType?** WAM approval, MRR approval letter signed by Matt E, (MRR projects only), TPS approval signed by Lisa U, or URR approval signed by Todd K.  
 □ **Obtain Department Signatures**  
 If not previously supplied, print:  
 □ Additional bids if $25K or above and bid summary, or Sole Source Letter.  
 □ Include explanation if low bid not selected  
 □ Certificate of Insurance if expired | □ Change Order Form  
 □ Original GC contract >$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).  
 □ Documentation detailing scope and/or amount change | □ Contract Action Form  
 □ Original GC contract >$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).  
 □ Above Director’s signature authority? Budget Summary and PBAD.  
 □ Additional funding approval documentation, if needed.  
 □ **Obtain Department Signatures** | □ Change Order Form  
 □ Original GC contract >$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).  
 □ Documentation detailing scope and/or amount change  
 □ **Obtain CS VP and Exec VP for Business & Administration signature** | □ VP Contract Information Form (VPCIF)* (see note1 at end)  
 □ Contract Action Form  
 □ Spreadsheet and PBAD  
 □ Original GC contract >$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).  
 □ **Obtain Department Signatures** | □ GMP Amendment X  
 □ GMP Backup  
 □ **Obtain CS VP and Exec VP for Business & Administration signature** | □ VP Contract Information Form (VPCIF)* (see note1 at end)  
 □ Contract Action Form  
 □ Spreadsheet and PBAD  
 □ Not required, but helpful: GMP Tracking spreadsheet if multiple GMPs are expected.  
 □ **Obtain Department Signatures** |
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<th>Under $100K</th>
<th>If new Supplier:</th>
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<td></td>
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<tr>
<td></td>
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<td>Submit purchase in Emory Express</td>
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<td>Include Supplier Quote</td>
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<td>Multiple bids or for Purchases over $3,000: Purchasing's Sole Source Exemption Form Include explanation if low bid not selected</td>
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<tr>
<td></td>
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<td>Approval routed through express to SP Account Approver</td>
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- Contact information for Supplier. CS Finance will obtain Supplier forms.

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*NOTE1:* “If contract is over $1M, provide a short description of the scope and exact purpose of the specific expenditures for any contract, change order or amendment that will require his signature and something about the source of funds, to the extent that we know what that is.”