

Contract Processing Procedure – Capital Project Contracts

Contract Processing – Capital Project Contracts

UPDATED: October, 2017

Note: This procedure pertains to PDC only.

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 If COI is out of date, Requestor must work with Vendor or CS Finance to receive the updated insurance document before contract can be executed.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:

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

Note 1: Construction Change Orders for Planning, Design and Construction (*continued on next page*)

Contract Processing Procedure – Capital Project Contracts

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	<div><input type="checkbox"/> Processes invoice in Emory Express</div> <div><u>If new Supplier:</u><div><input type="checkbox"/> Supplier Information Form (required)<input type="checkbox"/> ACH Authorization Form (only if Supplier wants payment electronically)</div></div>	<div><input type="checkbox"/> Supplier submits invoice to csfinance@emory.edu<input type="checkbox"/> Provide SpeedType or SmartKey<input type="checkbox"/> Approve Invoice in Emory Express</div> <div><u>If new Supplier:</u><div><input type="checkbox"/> Contact information for Supplier. CS Finance will obtain Supplier forms.</div></div>
Contract	Under \$100K	<div><input type="checkbox"/> Contract, unless Requestor prefers to compile documentation.<input type="checkbox"/> Exhibits specifically modified for the project<input type="checkbox"/> Proposal and scope (if separate from proposal)</div> <div>If previously supplied, print:<div><input type="checkbox"/> Additional bids if \$25K or above, or Sole Source Letter.</div></div> <div><u>If new Supplier, receive:</u><div><input type="checkbox"/> Supplier Information Form (required)<input type="checkbox"/> ACH Authorization Form (only if Supplier wants payment electronically)</div></div>	<div><input type="checkbox"/> <i>If contract is under \$25K, Requestor can print contract and applicable exhibits. Coordinate needs with CS Finance.</i><input type="checkbox"/> Contract Action Form<input type="checkbox"/> Project Authorization Form<input type="checkbox"/> Above Director’s signature authority? Budget Summary and PBAD.</div> <div>If not previously supplied, print:<div><input type="checkbox"/> Additional bids if \$25K or above, or Sole Source Letter. Bid Summary sheet is helpful. Include explanation if low bid not selected<input type="checkbox"/> Certificate of Insurance if expired</div></div> <div><input type="checkbox"/> Obtain Department Signatures</div> <div><u>If new Supplier:</u><div><input type="checkbox"/> Contact information for Supplier. CS Finance will obtain Supplier forms</div></div>

Contract	Over \$100K	<div><input type="checkbox"/> Contract</div> <div><input type="checkbox"/> Exhibits specifically modified for this project</div> <div><input type="checkbox"/> Proposal</div> <div><input type="checkbox"/> Scope (if separate from proposal)</div> <div>If previously supplied, print:<div><input type="checkbox"/> Additional bids if \$25K or above and bid summary, or Sole Source Letter.</div><div><input type="checkbox"/> Obtain CS VP and Exec VP for Business & Administration signature</div><div><u>If new Supplier, receive:</u><div><input type="checkbox"/> Supplier Information Form (required)</div><div><input type="checkbox"/> ACH Authorization Form (only if Supplier wants payment electronically)</div></div></div>	<div><input type="checkbox"/> VP Contract Information Form (VPCIF)* (see note1 at end)</div> <div><input type="checkbox"/> Contract Action Form</div> <div><input type="checkbox"/> Spreadsheet and PBAD</div> <div><input type="checkbox"/> 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.</div> <div><input type="checkbox"/> Obtain Department Signatures</div> <div>If not previously supplied, print:<div><input type="checkbox"/> Additional bids if \$25K or above and bid summary, or Sole Source Letter. <u>Include explanation if low bid not selected</u></div><div><input type="checkbox"/> Certificate of Insurance if expired</div></div>
Change Order/SCA	Under \$100K	<div><input type="checkbox"/> Change Order Form</div> <div><input type="checkbox"/> Original GC contract >\$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).</div> <div><input type="checkbox"/> Documentation detailing scope and/or amount change</div>	<div><input type="checkbox"/> Contract Action Form</div> <div><input type="checkbox"/> Original GC contract >\$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).</div> <div><input type="checkbox"/> Above Director’s signature authority? Budget Summary and PBAD.</div> <div><input type="checkbox"/> Additional funding approval documentation, if needed.</div> <div><input type="checkbox"/> Obtain Department Signatures</div>
Change Order/SCA	Over \$100K	<div><input type="checkbox"/> Change Order Form</div> <div><input type="checkbox"/> Original GC contract >\$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).</div> <div><input type="checkbox"/> Documentation detailing scope and/or amount change</div> <div><input type="checkbox"/> Obtain CS VP and Exec VP for Business & Administration signature</div>	<div><input type="checkbox"/> VP Contract Information Form (VPCIF)* (see note1 at end)</div> <div><input type="checkbox"/> Contract Action Form</div> <div><input type="checkbox"/> Spreadsheet and PBAD.</div> <div><input type="checkbox"/> Original GC contract >\$25K? Change Orders should Include Notice of Change (NOC) and Change Order Request (COR).</div> <div><input type="checkbox"/> Obtain Department Signatures</div>
GMP Amendments (Exhibit X)	Over \$100K	<div><input type="checkbox"/> GMP Amendment X</div> <div><input type="checkbox"/> GMP Backup</div> <div><input type="checkbox"/> Obtain CS VP and Exec VP for Business & Administration signature</div>	<div><input type="checkbox"/> VP Contract Information Form (VPCIF)* (see note1 at end)</div> <div><input type="checkbox"/> Contract Action Form</div> <div><input type="checkbox"/> Spreadsheet and PBAD.</div> <div><input type="checkbox"/> Not required, but helpful: GMP Tracking spreadsheet if multiple GMPs are expected.</div> <div><input type="checkbox"/> Obtain Department Signatures</div>

Purchase Order	Under \$100K	<p><u>If new Supplier:</u></p> <ul style="list-style-type: none"><input type="checkbox"/> Supplier Information Form (required)<input type="checkbox"/> ACH Authorization Form (only if Supplier wants payment electronically)	<ul style="list-style-type: none"><input type="checkbox"/> Submit purchase in Emory Express<input type="checkbox"/> Include Supplier Quote<input type="checkbox"/> Multiple bids or for Purchases over \$3,000: Purchasing's Sole Source Exemption Form Include explanation if low bid not selected<input type="checkbox"/> Approval routed through express to SP Account Approver <p><u>If new Supplier:</u></p> <ul style="list-style-type: none"><input type="checkbox"/> Contact information for Supplier. CS Finance will obtain Supplier forms.
Purchase Order	Over \$100K	<p><u>If new Supplier:</u></p> <ul style="list-style-type: none"><input type="checkbox"/> Supplier Information Form (required)<input type="checkbox"/> ACH Authorization Form (only if Supplier wants payment electronically)	<ul style="list-style-type: none"><input type="checkbox"/> VP Contract Information Form (VPCIF)* (see note at end)<input type="checkbox"/> Contract Action Form<input type="checkbox"/> Supplier Quote<input type="checkbox"/> Multiple bids or for Purchases over \$3,000: Purchasing's Sole Source Exemption Form<ul style="list-style-type: none">o Include explanation if low bid not selected
<p>*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."</p>			