Contract Processing - Non-Capital PDC 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 If COI is out of date, Requestor must work with Vendor or CS Finance to receive the updated insurance document before contract can be executed.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 a signed PAF, MRR or URR letter.

**Step 1a** Contract Over $5,000? Requestor must contact Work Management for a “Contract” phase in AiM. Include Supplier name, description of work, Requester name, and SmartKey/SpeedType. An email is sent to the Requester containing a link to the scope sheet. Keep scope sheet for contract execution.

**Step 1b** Estimate under $5,000? No contract required. Requestor must contact Work Management for a Pay-the-Bill phase (PTB). Include Supplier name, description of work, Requester name, and SmartKey/SpeedType. Once work is performed, Supplier submits invoice to cspaymentprocessing@emory.edu. Scope Sheet not required. Invoice must include work order number.

**Step 2** REQUESTOR forwards the following items to csfinance@emory.edu for contracts and contract change documents

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Service Change Authorization / Change Orders*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work Order number and Phase (or Contract number if known)</td>
<td>Work Order number and Phase (or Contract number if known)</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 information for Supplier</td>
</tr>
<tr>
<td>Contact information for Supplier</td>
<td></td>
</tr>
</tbody>
</table>

s:\contracts-admin\process-procedures\contracts\contract processing process- pdc non-capital.docx

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**Note1:** **Construction Change Orders for Planning, Design and Construction**

Original contracts over $25K require Notice of Change and Change Order Request forms as backup for additive and deductive changes. CORs should be signed based on Campus Services signature authority. 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 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**
CS Finance forwards documents to be signed to Requestor. Requestor is responsible for completing and providing Scope Sheet and proof of funding approval according to the matrix on [Page 3](#). 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.**

**Final processing**

**Step 7**
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 8**
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 – Non-Capital Projects
*(Total Project budget under $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.*

<table>
<thead>
<tr>
<th>Document Type</th>
<th>Document Dollar Value <em>(not project budget)</em></th>
<th>Provided by CS Finance (given to PDC)</th>
<th>Provided by PDC</th>
</tr>
</thead>
</table>
| **Pay the Bill (PTB)** | Under $5K | Process invoice in Emory Express | |  □ Request PTB phase from Work Management  
□ Supplier submits invoice to [cspaymentprocessing@emory.edu](mailto:cspaymentprocessing@emory.edu)  
□ Approve Invoice in Emory Express |
| | | **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 this project  
□ Proposal  
□ Scope (if separate from proposal)  

If previously supplied, print:  
□ Additional bids if $25K or above, or Sole Source Letter.  
□ Certificate of Insurance  

**If new Supplier:**  
□ Supplier Information Form (required)  
□ ACH Authorization Form (only if Supplier wants payment electronically) | | If contract is under $25K, REQUESTOR may print contract. Coordinate needs with CS Finance.  
□ Project Scope Sheet (contract phase in AiM)  
□ Project Authorization Form, MRR or URR approval signed by Todd K, or TPS approval signed by Lisa U.  

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. |
| **Change Order/SCA** | under $100K | □ Change Order form with work order number at top  
□ 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 Department Signatures |
| Purchase Order | Under $100K |  

- Submit purchase in Emory Express
- Include Supplier Quote
- Multiple bids or for **Purchases over $3,000:** [Purchasing’s Sole Source Exemption Form](#)
  - Include explanation if low bid not selected
- Approval routed through express to SP Account Approver |