Contract Processing – Capital Project Contracts

- This procedure is only for contract documents where the total project budget is over $100,000.
- Procedure is for procuring services. Material only procurement: Enter PO in Emory Express according to material procurement procedures.
- The term Requestor = Project Manager / Program Manager / Planner / Designer
- For Hyperlinks: hold Ctrl + Click link

Prerequisite information before procuring services:

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.

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). You may elect to download and forward the form to the supplier, or contact csfinance@emory.edu. Provide supplier name and email address. If supplier completes the form, send it to csfinance@emory.edu for supplier setup.

Insurance
All vendors must comply with Emory’s insurance requirements, contained within each contract type. CS Finance maintains COIs in the Contractor module of AiM. CS Finance will confirm a current certificate is on file, and the requestor can review this information in AiM prior to contacting supplier. If COI is out of date, Requestor must work with Vendor or CS Finance to receive a updated insurance documents before work can begin.

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

Competitive Bids: Services over $25,000 must be competitively bid. Sole Source selection applies if only one known source exists for supplies or services as determined by documented research; no other reasonable alternative source exists that meets the requirements; only one source meets the business needs of the agency (e.g., compatibility, unique feature to meet business need, etc.)

<continued>
Step 1  **Service and Materials under $5,000?**  No contract required and no work order phase required. Once work is performed, supplier submits invoice to cspaymentprocessing@emory.edu. **Invoice must include capital Speedtype.** Provide SpeedType to supplier prior to completing work.

Step 2  **Service and Materials over $5,000? REQUEST A CONTRACT DOCUMENT.** Requestor forwards the following information to csfinance@emory.edu for contracts and contract modifications.

<table>
<thead>
<tr>
<th>Contracts</th>
<th>Service Change Authorization / Change Orders</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Capital SK/ST, or&lt;br&gt; - Work order number being used prior to Capital SK</td>
<td>- Capital SK/ST, or&lt;br&gt; - Work order number being used prior to Capital SK, or&lt;br&gt; - Contract number <em>(from AiM Service Contract module)</em></td>
</tr>
<tr>
<td>Project Start and Completion date</td>
<td>Proposal</td>
</tr>
<tr>
<td>Proposal, drawings, etc.</td>
<td>Scope (if not included in proposal)</td>
</tr>
<tr>
<td>Scope (if not included in proposal)</td>
<td>SCA / CO <em>(note 1)</em> 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></td>
</tr>
<tr>
<td>**Over $500K? Contracts and GMP requires additional information. Contact</td>
<td>GMP Exhibit X- additional information will be required.</td>
</tr>
<tr>
<td><a href="mailto:csfinance@emory.edu">csfinance@emory.edu</a></td>
<td></td>
</tr>
</tbody>
</table>

**Note 1:** **Construction Change Orders**  
GC and CM 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 COI forms to csfinance@emory.edu if not previously provided.
Obtaining Emory Signatures:

Step 6  CS Finance forwards documents to be signed to Requestor. 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 last pages of this procedure.

Step 7  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 7.1  For documents $100K-$999,999, PDC forwards the contract packet to the Vice President and Chief Planning Officer’s office. They will notify PDC when signed, or if greater than $1M, obtain signature from Legal Counsel prior to signature by the Office of the Executive Vice President for Business and Administration.

Final processing

Step 8  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. Hardcopy, if available, is returned to Requestor.

Step 9  CS Finance emails copy of final contract to Requester and Supplier, noting contract # for inclusion on future invoices.

Yerkes Contracts

Yerkes Project Manager completes all steps for Yerkes Capital contracts. CS Contracts Administration receives contract for PDC review and Step 7 and 71., if needed. Signed contracts are returned to Yerkes for Final Processing.
<table>
<thead>
<tr>
<th>Document Type</th>
<th>Contract Dollar Value</th>
<th>Documents Required</th>
</tr>
</thead>
</table>
| Pay the Bill (PTB) | Under $5K | ☐ Provide SpeedType on invoice  
☐ Submit invoice to cspaymentprocessing@emory.edu |
| Contract | Under $100K | ☐ Contract Action Form  
☐ Above your Director’s signature authority? Budget Summary and PBAD.  
☐ MRR, URR, TPS Funding Approval, as applicable  
☐ Contract  
☐ Exhibits specifically modified for this project  
☐ Proposal  
☐ Scope (if not already provided in proposal)  
☐ Additional bids if $25K or above or Sole Source Letter  
☐ Include explanation if low bid not selected |
| Contract | Over $100K | ☐ VP Contract Information Form (VPCIF)* (see note 2 at end)  
☐ Contract Action Form  
☐ Above your Director’s signature authority? Budget Summary and PBAD.  
☐ MRR, URR, TPS Funding Approval, as applicable  
☐ Contract  
☐ Exhibits specifically modified for this project  
☐ Proposal  
☐ Scope (if not already provided in proposal)  
☐ Additional bids if $25K or above or Sole Source Letter  
☐ Include explanation if low bid not selected |
| Change Order/SCA | Over $100K | ☐ Change Order Form  
☐ Original GC contract >$25K? For Change Orders: Include Notice of Change (NOC) and Change Order Request (COR).  
☐ Documentation detailing scope and/or amount change |
| Change Order/SCA | Under $100K | ☐ Change Order Form  
☐ Original GC contract >$25K? For Change Orders: Include Notice of Change (NOC) and Change Order Request (COR).  
☐ Documentation detailing scope and/or amount change |
| GMP Amendments (Exhibit X) | Over $100K | ☐ VP Contract Information Form (VPCIF)  
☐ Spreadsheet and PBAD  
☐ Contract Action Form  
☐ Change Order Form  
☐ Original GC/CM contract >$25K? For Change Orders: Include Notice of Change (NOC) and Change Order Request (COR).  
☐ Documentation detailing scope and/or amount change |
| Purchase Order | Over $100K | ☐ VP Contract Information Form (VPCIF)* (see note at end)  
☐ Contract Action Form  
☐ Vendor Quote  
☐ Multiple bids or for Purchases over $5,000: Purchasing’s Sole Source Exemption Form  
☐ Include explanation if low bid not selected  
☐ Obtain approval and enter PO into Emory Express |

*NOTE 2: “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.”