

Contract Processing – Capital Project Contracts

- Applicable only for consultant and construction services where the total project budget is under \$100,000, or for non-capital equipment renewal projects that may have been assigned a capital speedtype for reporting purposes only.
- **Materials only:** Enter PO in Emory Express according to material procurement procedures in **Guidelines for Purchase of Outside Services** link below.
- 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 suppliers (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 suppliers 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 If COI is out of date, Requestor must work with Supplier or CS Finance to receive a updated insurance documents before work can begin.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 Determine Contract Need

- A. **Under \$5,000:** For service and materials under \$5,000, if the work does not pose a significant liability, no contract is required, **and no work order phase required** when charged to a capital SpeedType.
- **Is the work with an existing Primary Task Order Contractor (TOC)?**
 - i. If the work is with a General Contractor who has an existing Primary Task Order Contracting Agreement, a Task Order Form can be completed, and invoices processed as a contract. **This provides better protection to the University but is not required.**
 - ii. If no contract or agreement is in place, Requestor should provide the supplier with the capital speedtype before work is performed, and the supplier submits the invoice to cspaymentprocessing@emory.edu. **Invoice must include capital Speedtype.**
- B. **Over \$5,000: Contracts are required for service and materials over \$5,000:**
- If the work is awarded to a **General Contractor with an existing Primary Task Order Contracting Agreement**, Requestor forwards Task Order Contract information to csfinance@emory.edu.
 - For all other work, requestor forwards the following information to csfinance@emory.edu for contracts and contract modifications.

CONTRACT	Service Change Authorization / Change Orders
Non-TOC Contract over \$500K?	
Contracts and GMP requires additional information. Contact csfinance@emory.edu for more information	GMP Exhibit X- additional information will be required. Contact csfinance@emory.edu for more information
Contract Under \$500K? Provide:	Change Order to Contract Under \$500K? Provide:
- Capital SK/ST, or - Work order number if contract was executed prior to Capital SK	- Capital SK/ST, or - Work order number if contract was executed prior to Capital SK, or - Contract number (<i>from AiM Service Contract module</i>)
Project Start and Completion date	Proposal
Proposal, drawings, etc.	Scope (if not included in proposal)
Scope (if not included in proposal)	SCA / CO (<i>note 1 below</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	
Bids or sole source if over \$25K and not TOC.	
TOC Contracts up to \$1MM	TOC Change Orders
Task Order Contracts NTE \$1MM require the above information in addition to Lump Sum or GMP pricing, drawings, clarifications, etc. Contact csfinance@emory.edu for more information. Link goes to CONFIDENTIAL F-TOC Form	Provide above information and (<i>note 1 below</i>)

Note 1: Construction Change Orders

GC and CM Contracts over \$25K and TOC Forms, 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 2** 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 3** CS Finance forwards the contract package to Supplier(s) for signature. Electronic signatures are permissible.
- Step 4** 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 5** 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 6** 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 6.1** 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 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. Hardcopy, if available, is returned to Requestor.

- Step 8** 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 6 and 6.1., if needed. Signed contracts are returned to Yerkes for Final Processing.

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	Contract Dollar Value	<u>Documents Required</u>
Pay the Bill (PTB)	Under \$5K	<input type="checkbox"/> Provide SpeedType on invoice <input type="checkbox"/> Submit invoice to cspaymentprocessing@emory.edu
Contract	Under \$100K	<input type="checkbox"/> Contract Action Form <input type="checkbox"/> Above your Director's signature authority? Budget Summary and PBAD. <input type="checkbox"/> MRR, URR, TPS Funding Approval, as applicable <input type="checkbox"/> Contract <input type="checkbox"/> Exhibits specifically modified for this project including Proposal and Scope. <input type="checkbox"/> Additional bids if \$25K or above or Sole Source Letter. TOC forms do not need additional bids. Include explanation if low bid not selected.
Contract	Over \$100K	<input type="checkbox"/> Contract Action Form <input type="checkbox"/> Above your Director's signature authority? Budget Summary and PBAD. <input type="checkbox"/> MRR, URR, TPS Funding Approval, as applicable <input type="checkbox"/> Contract <input type="checkbox"/> Exhibits specifically modified for this project including Proposal and Scope. <input type="checkbox"/> Additional bids if \$25K or above or Sole Source Letter. TOC forms do not need additional bids. Include explanation if low bid not selected.
Change Order/SCA <i>Unforeseen / unavoidable costs will be approved. Owner directed changes should be reviewed carefully, particularly on Debt Financed projects.</i>	Under \$100K	<input type="checkbox"/> Contract Action Form <input type="checkbox"/> Above your Director's signature authority? Budget Summary and PBAD. <input type="checkbox"/> Change Order Form <input type="checkbox"/> TOC or Original GC contract >\$25K? Include Notice of Change (NOC) and Change Order Request (COR). <input type="checkbox"/> Documentation detailing scope and/or amount change
Change Order/SCA <i>Unforeseen / unavoidable costs will be approved. Owner directed changes should be reviewed carefully, particularly on Debt Financed projects.</i>	Over \$100K	<input type="checkbox"/> Spreadsheet and PBAD <input type="checkbox"/> Contract Action Form <input type="checkbox"/> Change Order Form <input type="checkbox"/> TOC or Original GC/CM contract >\$25K? Include Notice of Change (NOC) and Change Order Request (COR). <input type="checkbox"/> Documentation detailing scope and/or amount change
GMP Amendments (Exhibit X)	Over \$100K	<input type="checkbox"/> Contract Action Form <input type="checkbox"/> GMP Amendment X <input type="checkbox"/> GMP Backup and fee breakout <input type="checkbox"/> Not required, but helpful: GMP Tracking spreadsheet if multiple GMPs are expected.
<i>Purchase Orders</i>		<input type="checkbox"/> Contract Action Form (<i>PBAD and Budget Spreadsheet >\$100K</i>) <input type="checkbox"/> Supplier Quote <input type="checkbox"/> Multiple bids or for Purchases over \$10,000. ○ Include explanation if low bid not selected <input type="checkbox"/> Obtain approval on CAF, according to material signature authority limits, prior to PDC entering PO into Emory Express