Contract Processing - *Non-Capital 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 If COI is out of date, Requestor must work with supplier or CS Finance to receive a updated insurance documents before work can begin.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 a signed PAF, 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.)

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Step 1 **DETERMINE CONTRACT NEED**

A. **Under $5,000:** For service and materials under $5,000:

a. Is the work with an existing Primary Task Order Contractor (TOC)?

i. 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 a TOC form is desired, contact Work Management for a **Contract Phase** in AiM.

iii. Refer to both the Work Management and the Contract Request Process below.

b. If supplier is not a TOC General Contractor, the work does not pose a significant liability and no previous contract or agreement is in place, Requestor must contact Work Management for a **Pay-the-Bill phase (Work Code: PTB**). Once work is performed, supplier submits invoice to cspaymentprocessing@emory.edu. Invoice must include work order number.

B. **Over $5,000:** For Service and Materials over $5,000:

a. Request or must contact Work Management for a **Contract Phase** (Work Code: **Contract**).

b. If the work is awarded to a **General Contractor with an existing Primary Task Order Contracting Agreement**, requestor forwards Task Order Contract information listed in Contract Request Process to csfinance@emory.edu.

c. For all other work, requestor forwards the Non-TOC contract information to csfinance@emory.edu for contracts and contract modifications.

Step 2 **CONTACT WORK MANAGEMENT**

1. Contact Work Management using one of the ways listed on their website (phone, form, or email). Provide Work Management:
   a. Instruction whether you need a PTB or Contract phase.*
   b. Supplier name,
   c. Short description of work,
   d. Your name,
   e. SmartKey/SpeedType.

   ** if your project is has received Capital Project funding approval, you no longer need a PTB phase on the work order. Follow Capital Project Contract instructions for PTB.*

2. ***You will receive an email with a "Scope Sheet" link. Confirm "charge account" matches the speedtype provided by the customer***.
   a. For Contracts, complete the bidding information, click accept and keep scope sheet for contract execution. *You do not need to complete the scope sheet on PTB invoices.*

Step 3 **REQUEST A CONTRACT DOCUMENT.** Requestor forwards the information on the following page to csfinance@emory.edu for contracts and contract modifications.

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Non-TOC Contracts	**Service Change Authorization / Change Orders**
- Work order number	- Work order number, **or** Contract number *(from AiM Service Contract module)*
Project Start and Completion date	Proposal
Proposal, drawings, etc.	Scope (if not included in proposal)
Scope (if not included in proposal)	SCA / CO *(note 1 below)* 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	**TOC Change Orders**
Task Order Contracts 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** *(note 1 below)*

Note1: Construction Change Orders
Original GC and CM 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 4 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 5 CS Finance forwards the contract package to Supplier for signature. Electronic signatures are permissible.

Step 6 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 7 CS Finance forwards documents to be signed to Requestor. Requestor is responsible for completing and providing Scope Sheet *(Scope Sheet is for contract only)* and proof of funding approval, and backup documentation according to the matrix on last page of this procedure. 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 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.

Step 9 Finance emails copy of final contract to Requester and Supplier, noting contract # for inclusion on future invoices. **Project Managers should make note of the contract number and contract end date to ensure contracts are extended before they expire, and future change order requests reference the correct contract number.**

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Contract Processing Matrix
Facilities 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.

Document Type	**Document Dollar Value (*not project budget*)**	**Documents Required**
Pay the Bill (PTB)	Under $5K	☐ PTB phase in AiM ☐ Forward invoice to cspaymentprocessing@emory.edu with work order number
Contract	under $100K	☐ Project Scope Sheet (contract phase in AiM) ☐ MRR, URR, TPS Funding Approval, as applicable ☐ Project Authorization Form ☐ Executed 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	under $100K	☐ Executed Change Order form with work order number ☐ Project Authorization Form ☐ TOC or Original GC contract >$25K? Include Notice of Change (NOC) and Change Order Request (COR). ☐ Documentation detailing scope and/or amount change.
Purchase Orders		☐ Supplier Quote ☐ Multiple bids or for Purchases over $10,000. o Include explanation if low bid not selected ☐ **Obtain approval on a cover sheet (any internal memo), according to material signature authority limits, prior to PDC entering PO into Emory Express**