

Grambling State University Compliance

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COMPLIANCE TRAINING

Contract Administration



UNIVERSITY CONTRACTS



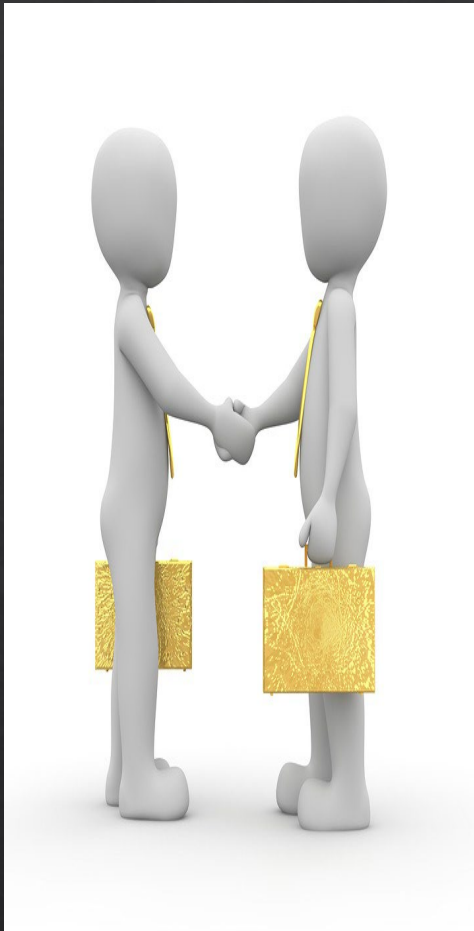
What are University Contracts?

Contracts include, but are not limited to, agreements, cooperative agreements, memoranda of understanding, interagency contracts, clinic agreements, and leases with other parties.

Other parties include, but are not limited to, federal, state, and local agencies, non-profit organizations, private businesses, partnerships, and individuals.



UNIVERSITY CONTRACTS



Do I need a Contract?

Written contracts must be executed whenever the University enters any binding written agreement (regardless of financial terms) with an outside entity.

This also includes:

- ❑ Any consulting, professional or personal services, or speaker engagements.



UNIVERSITY CONTRACTS

General Guidelines for Contract Administration

Pursuant to *LA R.S. 39:1595.1*, the name(s) listed below have delegated signature authority for contracts from the Grambling State University:

- Richard Gallot JD., President
- Dr. Connie Walton, Provost/Vice President of Academic Affairs
- Dr. Edwin Lifolff, Vice President for Finance
- Penya Moses, JD., Chief Operating Officer
- Dr. Trayvean Scott, Vice President for Intercollegiate Athletics (Athletic Contracts Only)

No person has the authority to enter into a contract on behalf of the University without the signed approval of a delegated authority.



OFFICE OF STATE PROCUREMENT

Professional Contracts is a section of the Office of State Procurement that is charged by law with adopting rules and regulations for the procurement, management, control and disposition of all professional, personal, consulting, and social services contracts required by state agencies.

Professional Contracts are received by the Office of State Procurement and are reviewed for appropriateness of contract terms and language, signature authorities, evidence of funding and compliance with applicable laws, regulations, executive orders and policies. Professional Contracts also reviews agencies' procurement processes against competitive solicitation requirements of law.

The review process also ensures that a central record of all such agreements is maintained and that comparative statistics in the number and kinds of services needed can be developed for planning and reporting purposes.

The official rules and regulations of the Office of State Procurement, Professional Contracts appear in Title 34, Part V of the Louisiana Administrative Code.



CONTRACT SERVICE TYPES

Personal (PER)

Work by individuals which require use of creative or artistic skills or highly technical or unique individual skills or talents

- *Examples: Graphic Artist, Sculptor, Musician, Photographer, Writer, Handwriting Analyst, Court Reporter, Foreign Representative, Chef, Expert Witness, Paramedical, Therapist, Private Investigator, Sign Language Interpreter*

Professional (PRO)

Work by an individual who has a professed knowledge, who has a prolonged and specific training as distinguished from mere skill.

The professions listed are the ONLY services classified as professional services by OSP Professional services may be awarded without competitive bidding or negotiation

- *Examples: Lawyers, Doctors, Dentist, Psychologist, Certified Advance Practice Nurses, Veterinarians, Architects, Engineers, Land Surveyors, Landscape Architects, Accountants, Actuaries, Claims Adjustors*



CONTRACT SERVICE TYPES

Consulting (CON)

Work by an individual or firm who possess specialized knowledge, experience or expertise to investigate assigned problems; to provide counsel, review, design, development, analysis, or advise in formulating and implementing programs or services or improvements to programs and service

Consulting services are competitive and are limited to **\$75,000 for a 12-month period** or the RFP process must be used

- Examples: Management, Finance(Banking Services), Revenue Enhancement(Claims Recovery), Appraising, Planning, Data Processing(IT), Advertising, Public Relations

Social Services (SOC)

Contracts for the furtherance of the general welfare of the citizens of LA

Services are competitive and are limited to **\$249,999 for a 12-month period** or an RFP must be processed

- Examples: Rehabilitation & Health Support



CONTRACT SERVICE TYPES

Cooperative Endeavor Agreements (CEA)

Must be sent to OSP for approval

Line Item Appropriation CEA's must follow the format and guidelines on the OSP website

Cooperative Agreements (COP)

Must be sent to OSP for approval

Line Item Appropriation CEA's must follow the format and guidelines on the OSP website

Interagency Agreements (AGY)

Are between executive branch state agencies

Must be sent to OSP for approval

Are exempt from RFP, but must follow all other contract requirements

Intergovernmental Agreements (GOV)

Are between a state agency and a political subdivision (local or federal)

Are exempt from OSP review and approval under RS39:1554 J.2 EXCEPT FOR PROCUREMENT OF SOCIAL SERVICES

These agreements can be with police juries and other parishes, as well as other states



APPROVAL PROCESS- GENERAL GUIDELINES

- Contracts **\$75,000 and more** must be submitted to the Division of Administration, Office of Contractual Review (OCR) for review and approval **(4-6 weeks)**
- Contract requests **less than \$75,000** should be initiated at least **60 days** prior to the start date of the contract
- All Contracts must be executed by the University's Delegated Authority.
- Using the approved contract templates reduces the review timeframe.
 - <https://www.doa.la.gov/media/sg2fznrp/genericcontractform.docx>
 - <https://www.doa.la.gov/media/memlp4mv/itcontract-7-29-2019.docx>



(CONTRACTS ZERO-\$74,999.99) REVISED APPROVAL PROCESS FORMS



1. Vendors' contract must be review by Purchasing and Compliance Office
2. Contract Execution by GSU Delegated Authority
3. Create requisition in Banner
4. Complete Contract Monitoring / Approval Form
5. GSU Basic Contract Form (if applicable)
6. IRS Form W-9
7. Resume' or any supporting documentation to assist with contract approval



(CONTRACTS - \$75,000 or MORE) REVISED APPROVAL PROCESS-FORMS

1. Vendors' contract must be review by Purchasing and Compliance
2. Contract Execution by GSU Delegated Authority
3. Create requisition in Banner
4. Complete Contract Monitoring / Approval Form
5. GSU Basic Contract Form
6. **Certification Letter Addressed to Pamela Bartfay**
7. **BA-22**
8. IRS Form W-9
9. Resume' or any supporting documentation to assist with contract approval



(SUBSCRIPTIONS-NO MORE THAN THREE YEARS) APPROVAL PROCESS- FORMS



- 1) Forward all vendor terms and conditions to University Compliance and Purchasing prior to completing DocuSign documents. **(Do not proceed to DocuSign documents until Compliance and/or purchasing has approved vendor/contractor terms and conditions.)**
- 2) Create requisition in Banner
- 3) Complete Contract Monitoring / Approval Form
 - a) Attach all supporting documents to contract monitoring /approval form)
- 4) **Note: Subscriptions more than three years must be approved by the Office of State Procurement.**



(MOU/EDUCATIONAL AFFILIATION AGREEMENTS) APPROVAL PROCESS- FORMS



1. Vendor's contract must be reviewed by Purchasing and Compliance
2. Contract Execution by GSU Delegated Authority
3. Complete Contract Monitoring / Approval Form
4. GSU Basic Contract Form (if needed)



APPROVAL /MONITORING - ROUTING PROCESS



- Contracts involving Title III and/or Sponsored Programs must be routed through those respective offices for signature.
- GSU Contract Approval Routing Form require signatures from:
 - Department Contract Administrator
 - Department (Appropriate)Vice President
 - Title III Office (if applicable)
 - Grants/Sponsored Programs (if applicable)
 - Business and Purchasing Services Office
 - University Compliance
 - Finance
- **Each department has 2 business days to review.**





CONTRACT MONITORING / APPROVAL FORM

Check Appropriate Fund Source:

General Fund Title III Grant

Auxiliary Other _____

Requisition No.: _____

For Office Use Only:

Contract No.: _____

This form must be used with all contracts, agreements, memos of understanding, commitment letters or other written instruments that may legally obligate the University to pay money, take action or refrain from taking action.

For the purposes of GSU's contract approval procedure, a contract is defined as any fully authorized written agreement between two or more parties (with one party being the GSU) where something of value is exchanged between or among the parties or an outside party.

By signing below, you are indicating that the contract meets with your approval and, to your knowledge, does not establish any unnecessary exposure for the university. Contracts should be submitted for approval prior to starting any services under the contract.

CONTRACT MONITOR (ADMINISTRATOR)

(Contract Monitor/Administrator is responsible for this plan and initiating amendments and/or renewals to contract)

Name _____ Title _____
 Department _____ Email _____ Phone _____

CONTRACT INFORMATION

Name of Contractor: _____

Address: _____ Phone No.: _____ Email: _____

Contract Terms: Begin Date _____ End Date _____

Brief Description of Goals, Objectives and Purpose:

Deliverables Reporting (Services to be Performed)		Date Performed
A.		
B.		
C.		

*Attach extra sheets if needed

Contract Amount GSU Will Pay: \$ _____ Contract Amount GSU Will Receive: \$ _____

Account Number to Which Funds Will Be Encumbered:

Fund	Org	Account	Program

Title III (if applicable) This contract is regarding page(s) _____ of 20 _____ - 20 _____ Continuation Application, Strengthening Historically Black Colleges and Universities, HBCU's Part _____ for Title III Programs.

Activity #/Title: _____

Objective: _____

APPROVAL SIGNATURES (PLEASE ALLOW 2 BUSINESS DAYS FOR EACH REVIEWER)

Contract Administrator Date _____ Purchasing Dept. / Business Services Date _____

Title III (if applicable) Date _____ University Compliance Date _____

Sponsored Programs (if applicable) Date _____ Finance & Administration Date _____

Department Vice-President Date _____

**Contract Monitoring / Approval Form
(Revised form)**



MONITORING/EVALUATION PROCESS

Contract Monitor/Contract Administrator



- This is the person responsible for ensuring GSU is receiving the goods and services in accordance with the contract.
- As the Contractor works on the deliverables, the contract monitor should be verifying progress regularly.
- This task can be streamlined by establishing meaningful performance indicators during negotiation of the contract.



MONITORING/EVALUATION PROCESS

Performance Expectations



With a meaningful list of expectations that tell both parties exactly what is required and when it's required, the chances of a misunderstanding or disagreement are significantly reduced. So, what makes performance indicators meaningful? Performance indicators should be SMART:

- **Specific** – avoid vagueness; don't rely on verbal's
- **Measurable** – quantify success / failure?
- **Attainable** – is 100.00% uptime realistic?
- **Relevant** – are we focused on key goals?
- **Time-Bound** – when is compliance needed



Reporting

- Depending on the complexity of the goods/services, reporting on these indicators may be required (contract administrator) monthly, quarterly, or annually.
- The more complex the project, the more frequently reporting is needed.



MONITORING/EVALUATION PROCESS



- The Purchasing Office will maintain copies of all contracts.
- In the event that the contract requires changes after approval and initiation the Contract Administrator must fill out a ***Contract Amendment Form.***
- The Contract Administrator will ensure that all terms and stipulations in the contract are being met by both GSU and the Contractor.
- Evaluation of All Contracted upon Services Rendered or End of Contract term
- The Contract Administrator will be responsible for forwarding all performance evaluations to the Purchasing Office.



CONTRACTOR PERFORMANCE EVALUATION
(On-site Facilities Work)



The Grambling State University Purchasing Department is requesting feedback to determine if contracts with approaching expiration dates should be renewed or new bids solicited. If you can provide input as to the performance of the vendor, quality of the merchandise, the effectiveness of the contract, or modifications needed, please complete this form and submit it to the purchasing. List suggestions and any additional comments on how we can improve the contract in the comments space provided below. Your feedback is very important to us and we appreciate your assistance in determining the future of the contract(s). This form is designed to collect information prior to bidding or renewing of services from existing contractors or vendors.

Dept. Name: _____ Name & Title of Evaluator: _____
 Email Address: _____ Evaluator's Telephone No.: _____
 Contract No.: _____ Contract Amount: _____ Vendor(s): _____
 Contract Amount: _____ Contract Begin Date: _____ Contract End Date: _____

INSTRUCTIONS: Please complete each section and provide as much detail as possible. Your feedback will assist in identifying deficiencies with current vendors and will also help to improve our vendor quality of service and experience. Should you need assistance with completing this document, please contact the University's Compliance or Purchasing department.

Contract Usage		Yes	No	N/A	
Usage	1. Contract Used by your department? If "no", not necessary to complete this form unless existing contract can be altered to meet your needs. If so, please provide comments.				
	2. If "yes", is contract used to fulfill all of your needs for this type of commodity?				
Contractor Performance Elements					
Customer Service	3. Adequate accessibility – phone orders, fax lines, e-mail, etc.				
	4. Customer service support staff availability				
	5. Vendor representative knowledgeable of contract items or service				
	6. Customer service is courteous and professional				
	7. Phone calls returned timely				
	8. Support on technical matters provided				
	9. Vendor acceptance of State procurement card (if agency applicable)				
	Delivery	10. Meets delivery time			
		11. Delivers specified items			
12. Delivers packaging units specified					
13. Frequent backorders					
14. Proper notification of backorders					
15. Timely delivery of backorders					
16. Delivers proper quantities					
17. Delivery discrepancies resolved in a timely manner					
18. Product delivered undamaged					
Product Quality	19. Product documentation included (instructions, tech. literature/manuals, MSDS)				
	20. Products are reliable and durable				
Billing	21. Accuracy of billing (cost and item)				
	22. Accuracy of packing slip				
	23. Prompt billings				
	24. Prompt credits				
	25. "Bill to" proper agency/customer with required reference numbers (CRO, etc.)				

Overall Contractor Performance Rating Very Satisfactory

Very Satisfactory Satisfactory Needs Improvement Poor

Would you hire this contractor again? Yes No

Contract Content Elements

Departmental Signature:

Evaluator's Signature _____ Date _____

Contractor Performance Evaluation (New)



VENDOR PERFORMANCE EVALUATION
(Subscriptions, Product Orders, Professional Services)



The Grambling State University Purchasing Department is requesting feedback to determine if contracts with approaching expiration dates should be renewed or new bids solicited. If you can provide input as to the performance of the vendor, quality of the merchandise, the effectiveness of the contract, or modifications needed, please complete this form and submit it to the purchasing. List suggestions and any additional comments on how we can improve the contract in the comments space provided below. Your feedback is very important to us and we appreciate your assistance in determining the future of the contract(s). This form is designed to collect information prior to bidding or renewing of services from existing contractors or vendors.

Dept. Name: _____ Name & Title of Evaluator: _____

Email Address _____ Evaluator's Telephone No.: _____

Contract No.: _____ Contract Amount: _____ Vendor(s) : _____

Contact Amount _____ Contract Begin Date: _____ Contract End Date: _____

INSTRUCTIONS: Please complete each section and provide as much detail as possible. Your feedback will assist in identifying deficiencies with current vendors and will also help to improve our vendor quality of service and experience. Should you need assistance with completing this document, please contact the University's Compliance or Purchasing department.

Purpose of Contract:

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Deliverables:

What were the deliverables?	
Were they delivered on time?	
Were they usable/effective? If so, how? If not, why not?	
What Problems did you encounter?	

Weak Points:

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Strong Points:

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Overall Contractor Performance Rating:

Very Satisfactory Satisfactory Needs Improvement Poor

Would you hire this contractor again? Yes No

Additional Comments:

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Departmental Signature:

_____	_____
Evaluator's Signature	Date



Vendor Performance Evaluation (New)

REMINDER!!!!!!

Services cannot begin until all required documents listed below are provided to the Purchasing Office:

1. Receipt of Vendor's Contract
2. Complete Contract Monitoring / Approval Form
3. GSU Basic Contract Form
4. Create requisition in Banner
5. IRS Form W-9
6. Resume' or any supporting documentation to assist with contract approval

Contractor evaluation form (at conclusion of service or project)



Contact Information

Merlene Aitken-Smith: AVP/Chief Compliance Officer

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Erin Walker: Interim Director of Procurement

walkere@gram.edu

318-274-3280





MASK UP TIGERS!

- hallways
- elevators
- stairwells
- bathrooms
- open work areas
- closely confined work spaces
- classrooms
- study areas
- walking across campus
- face-to-face meetings of any kind (large and small spaces)

Together we can

[#ProtecttheG](#)