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Condensed Purchasing Information**63-01.0****Effective Date 7-1-99****Revision Date 11-18-03**

\$1,000 and Under	Utilizing the Facility Focus program, fill in all applicable information as per policy identifying the purchase as "0-\$1,000" "Purchase under \$1,000" and procure from desired vendor, no second bid required.
Central Stores Correctional Industries Surplus Property Visually Handicapped	Order items from desired agency and route all document to Accounting. If procurement is over \$100, obtain Purchase Order Number
\$1,001-\$5,000	Utilizing the Facility Focus program fill in all applicable information as per policy identifying the purchase as \$1,001-\$5,000" "Purchase between \$1,001 and \$5,000." This dollar level procurement requires at least two, preferably three vendor bids.
Statewide Purchasing Contracts (PD Contracts)	Purchases may be made on statewide contracts up to \$10,000 by obtaining a purchase order number from Accounting. Vehicles, data processing and telecommunications equipment need State level approval.
Over \$5,001 (non-construction)	Complete form FM-1 get Program Director approval, forward form to Accounting who will initiate the State purchasing process.
Sole Source Procurement (Non-Construction)	Complete Form FM-1, get Program Director approval, forward form to Accounting that will secure Purchasing approval and issue a Purchase Order number.
Construction	
\$5,000 or less	Obtain PO and use direct award
\$5,000 - \$50,000	Two written proposals and a short form contract required
\$50,000 +	Advertisement, construction contract, and bonds required
Design Services	
\$5,000 or less	Direct award - no contract or proposal
\$500,000 or less	Direct award, agreement required, reviewed to comply with DFCM standard fee negotiation and fee schedule.
\$500,000 +	Agreement required, selection by committee
Other architectural/engineering services based on fees	
\$5,000 or less	Direct Award, can use PO
\$5,000 - \$50,000	Proposal and agreement required
\$50,000 +	Agreement required, selection by committee

Condensed Purchasing Information**63-01.0****Effective Date 7-1-99****Revision Date 11-18-03**

Construction \$1,000 to \$8,000	Obtain Department purchase order number. Complete form FM-1, get FM Program Director's approval to proceed, obtain three written vendor bids. Submit form FM-1, three written vendor bids and FM-2 or agency letter authorizing expenditures to Program Director, forward forms, bids and authorizations to the Construction Contract Coordinator.
Emergency \$5,000 or less	Explain why obtaining a competitive telephone quote is impossible or impractical to Accounting. Obtain a Department purchase order number and place order with vendor.
Emergency Procurement	If the procurement is under \$1000 utilize small purchase procedure. Contact Accounting personnel and provide a description of the need, the vendor who can perform the needed work, and estimate of cost. Accounting will contact State Purchasing and obtain and provide a State Purchase Order to the requesting party by phone and as soon as possible, if circumstances meet Purchasing established emergency purchase order criteria. Complete form FM-1 for emergency goods or services, within two days, and forward to Accounting.

Note:

1. Facilities personnel are encouraged to contact Division of Purchasing for assistance in identifying potential sources of supply in obtaining bids.
2. In some situations a vendor will not be able to offer a price quote until the equipment is disassembled and the faulty component is determined. In this scenario obtaining the vendor hourly labor rate quote will satisfy the purchasing requirements of obtaining a second vendor bid.
3. This is just a summary of the purchasing procedures. Employees are expected to understand and follow the detailed purchasing procedures.

General Purchasing Information**63-02.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define procurement policies and procedures for Facilities Management personnel as established by State Purchasing and the Division of Facilities Construction and Management (DFCM).

II. POLICY

All personnel must comply with procurement policies and procedures promulgated by the Division of Purchasing and DFCM. The Director of Purchasing and DFCM through Accounting must approve any departure from these policies and procedures in writing.

III. PROCEDURE**Background**

A. Policy - Policies are basic concepts that are not subject to routine and periodic review and which provide a statement of philosophy of the procurement operations of state government. A policy will consist of a policy statement, a state of purpose and, when necessary, background and procedural information.

B. Procedure — Procedures are statements that provide detailed instructions that outline the steps to be followed to accomplish a task or policy. A procedure will contain an outline of responsibilities and actions to be taken.

Definitions

A. Buyer — For the purpose of these policies and procedures the term “buyer” shall mean those members of Facilities Management that have been designated the responsibility and authority to facilitate the purchasing process, e.g., Facilities Coordinators and/or their designated representatives.

B. Contact Person — The member that originates a purchase requirement and has the expertise and knowledge to provide technical information, material specifications, and any other information that may be required to effect the procurement of needed materials or services.

C. Telephone Quotations – For purchases \$1,001 to \$5,000 two preferably three vendor quotation bids needs to be recorded within the “users defined” section of Facility Focus.

D. FM-11 Form — A Facilities Management internal form utilized for purchases over \$5,000 and for sole source procured items.

E. Accounting — Those individuals who perform all the accounting functions for the Facilities Management section of (DFCM). This section is comprised of and Internal Service Fund Accountant, Accountants, and Accounting Technicians.

F. Purchasing — The Division of Purchasing

G. Contracts —

H. PD's- Mandatory contracts also called statewide contracts

I. PA's — Optional use contracts (service contracts)

J. Construction — related to putting together parts in a building, including but not limited to drywall, framing, skeleton, steel frame, composite, earth moving, fireproofing.

K. P1 Payments — are made prior to the contract being recorded in FINET. P1 Payments will be allowed on the transition of services only during the bidding process. The payment will be complete and approved for payment when the invoice is accompanied by an e-mail noting from the Purchasing Agent from the Division of Purchasing.

Purchasing From Other State Agencies**63-03.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the procurement policy for items produced/distributed by certain agencies of the state.

II. POLICY

For items produced/distributed by the following state agencies the producing/ distributing agency will be the selected source of supply. When purchasing items from these agencies it is not necessary to obtain competitive quotes from outside sources.

Approved state producing/distributing agencies

1. Division of Surplus Property
2. Division of General Services
3. Division of Correctional Industries
4. Division of Services for the Visually Handicapped
5. Department of Public Services

III. PROCEDURE

	Responsibility	Action
Buyer		<ol style="list-style-type: none"> 1. Determine procurement requirement (i.e. quantity, size, color, etc.) 2. Order the required goods or services directly from the producing/ distributing agencies providing them with the correct accounting information (i.e. name of organization, low organization number, and activity number.) 3. Accept delivery of requested goods and/or services by signing the providing agency's receiving document insuring that the quantity and items are those that were ordered and the goods are in a usable condition. 4. Route all invoice and delivery documents to Accounting, insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor.
Accounting		<ol style="list-style-type: none"> 5. The supplying Agency will generate and submit to Accounting a state internal accounting documents for the goods and/or services supplied and the appropriate org/building that will be charged with the expense. 6. Accounting gives the document to appropriate Project Manager for approval.

Examples of items that will be procured from state agencies are:

- A. Utah Correctional Industries provides various office furniture, signs, and printing.
- B. General Services provides various office supplies
- C. Surplus property provides various used equipment

Small Purchases of \$1,000 or Less**63-04.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the policy and operational procedure allowing Facilities Management personnel to make small purchases of \$1,000 or less.

II. POLICY

The Division of Purchasing has delegated to Facilities Management the ability to make small purchases of \$1,000 or less. It is in violation of the Utah procurement Regulations to artificially divide purchases to avoid the proper source selection method. This delegation of purchasing authority may be withdrawn if the following procedures are not correctly followed.

III. PROCEDURE**Responsibility Action**

- | | |
|-------|--|
| Buyer | <ol style="list-style-type: none">1. Determine goods and/or service requirements (i.e. price, quantity, quality, delivery period required, etc.)2. After insuring that the purchase price is under \$1,000 for the goods and/or service required, select the vendor who can meet the procurement criteria (no competitive telephone quotes are needed.)3. Utilizing the Facility Focus program, fill in all applicable information as per Facility Focus policy and procedures identifying the purchase as "0-\$1,000" "Purchase under \$1,000" and procure from desired vender, no second bid required.4. Place the purchase requirement with the vendors requesting that they reference the DFCM purchase order number of their billing invoice.5. Accept delivery of the requested goods from the supplying vendor by signing the delivery slip insuring that the quantity and items and those that were ordered and the goods are in a usable condition.6. Route all invoice and delivery documents to Accounting, insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor. |
|-------|--|

Small Purchase From \$1,001 - \$5,000**63-05.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the policy and operational procedure allowing Facilities Management personnel to make small purchases from \$1,001-\$5,000.

II. POLICY

The Division of Purchasing has delegated to Facilities Management the ability to make small purchases from \$1,001-\$5,000. Facilities personnel shall obtain price competition and secure the item from the vendor offering the lowest quote. It is in violation of the Utah Procurement Regulations to artificially divide purchases to avoid the proper source selection method. This delegation of purchasing authority may be withdrawn if the following procedures are not correctly followed.

III. PROCEDURE**Responsibility****Action**

Buyer

1. Determine goods and/or service requirements (i.e. price, quantity, delivery period required, etc.)
2. Telephone Quotations – For purchases \$1,001 to \$5,000 must be provided. Two preferably three vendor quotation bids need to be recorded within the “Users Defined” section of Facility Focus. The following information needs to be identified and recorded within the User Defined fields:
 - a. Description of the good or services required
 - b. Quantity required
 - c. Vendor Name
 - d. Contact Individual
 - e. Phone Number for vendor contact individual
 - f. Amount of bid

Note: Facilities Management personnel are encouraged to contact the Division of Purchasing for assistance in identifying potential sources of supply.

3. Utilizing the Facility Focus program, fill in all applicable information as per Facility Focus policy and procedures identifying the purchase as \$1,001-\$5,000” “Purchase between \$1,001 and \$5,000.” Record the required telephone quotations within the Users Defined section.
4. Place the purchase requirement with the successful vendor requesting that they reference the DFCM purchase order number of their billing invoice.
5. Accept delivery of the requested goods from the supplying vendor by signing the delivery slip insuring that the quantity and items are those that were ordered and the goods are in a usable condition.

Small Purchase From \$1,001 - \$5,000**63-05.0****Effective Date 7-1 -99****Revision Date 11-18-03**

6. Route all invoice and delivery documents to Accounting, insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor.

Note: In some situations a vendor will not be able to offer a price quote until the equipment is disassembled and the faulty component is determined. In this scenario obtaining the vendor hourly labor rate quote and insuring that the total cost of the repair is under the \$5,000 limit will satisfy the purchasing requirement for obtaining a second vendor bid.

Statewide Purchasing Contracts**63-06.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the procurement policy for items that are not construction —related but are covered by statewide purchasing contracts. Contract purchasing is a tool commonly used in effective public and private sector purchasing. It involves establishing contracts for items repeatedly purchased by departments and agencies. These contracts save money because of lower prices obtained through volume purchasing and reduced administrative costs.

II. POLICY

Items which are covered by existing statewide purchasing contracts shall be ordered from the contract vendor.

III. PROCEDURE

Responsibility	Action
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|-------|--|
| Buyer | <ol style="list-style-type: none"> 1. Determine procurement requirement (i.e. quantity, size, and item specification) 2. Determine if the required items are included on a statewide purchasing contract 3. Contact an Accounting Technician who will reference the applicable contract and provide specific details of the items covered under the state contract. 4. Upon determining that the needed item is contained on a state contract, utilizing the Facility Focus program, fill in all applicable information as per Facility Focus policy and procedures identifying the purchase as “PD Contract” “Statewide Purchasing Contract.” 5. Place the purchase requirement with the vendor requesting that they reference the DFCM purchase order number on their billing invoice. 6. Accept delivery of the requesting goods from the supplying vendor by signing the delivery slip insuring that the quantity and items are those that were ordered and the goods are in a usable condition. 7. Route all invoice and delivery documents to Accounting, insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor. 8. Other state level approval is required prior to purchasing <ol style="list-style-type: none"> A. Vehicles B. Data processing equipment and services, and C. Telecommunications equipment |
|-------|--|

See Subject: State Level Approvals for the procedure to be followed to effect procurement of the above items. Please reference PD’s and PA’s.

Procurement Over \$5,000**63-07.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the policy and operation procedures for all procurement in excess of \$5,000

II. POLICY

The Division of Purchasing is charged with the responsibility of insuring that all purchases over \$5,000 are procured within the guidelines of the Utah Procurement Code (63-56 UCA) and the Utah Procurement Regulations. All Procurement requests over \$5,000 that are not contained on a state purchase contract must be submitted to the Division of Purchasing on a Purchase Requisition (Rx).

III. PROCEDURE**Responsibility****Action****Buyer**

1. Determine procurement requirement (i.e. quantity, price, size, and item specification)
2. Complete form FM-1, sample attached, providing the following information:
 - A. Name and phone number of the contact person. This person will be the individual who can provide any additional information or item specification that may be required by the Division of Purchasing to effect the procurement of the item(s) requested.
 - B. Date the requested item/services are required
 - C. Building or org that the expense of the item will be charged to
 - D. The address that the goods or services are to be shipped to
 - E. The estimated cost of the procurement
 - F. The quantity required
 - G. A suggested vendor source, which will include a vendor name, vendor address, and vendor telephone for the procurement request.
 - H. An accurate detailed description which will include all specifications that pertain to the procurement request
3. The completed form FM-1 is submitted to Facilities Management Program Director for approval.
4. The completed and approved FM-1 to be forwarded to Accounting and will be utilized to generate the RX.
5. Prior to purchasing action, state level approval is required for
 - A. Vehicles
 - B. Data processing services and equipment
 - C. Micrographic equipment
 - D. Printing plant equipment
 - E. Capital outlay equipment over \$10,000

Procurement Over \$5,000**63-07.0****Effective Date 7-1 -99****Revision Date 11-18-03**

- | | |
|------------|--|
| Purchasing | <p>6. Analyze purchase and determine appropriate purchase method. Review for restrictive specifications.</p> <p>7. Obtain competition through Invitation to Bid, Request for Proposal, or other source selection method consistent with procurement regulations.</p> <p>8. Coordinate evaluation of quotes, bids, or proposals.</p> <p>9. Award purchase order/contract in accordance with procurement regulations.</p> <p>10. Prepare a Purchase Order and distribute it as follows: vendor, Division of Purchasing</p> |
| Vendor | <p>11. Performs as indicated on Purchase Order. Send DFCM a copy of invoice.</p> |
| Buyer | <p>12. Receive ordered commodities with copies of invoice from Vendor. Sign the delivery documentation insuring that the quantity and items received are the same as ordered and that the goods are in a usable condition.</p> <p>13. Route all invoice and delivery documents to Accounting, insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor.</p> |
| Accounting | <p>14. Process payment in FINET</p> |

Immediate Purchase Order (Emergency)**63-08.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the policy and operational procedures that allow the Division of Purchasing to issue approvals via the telephone to Facilities Management to meet the needs of an immediate requirement, i.e. critical equipment breakdown.

II. POLICY

When the need for an immediate purchase order occurs, Facilities Management may telephone the Division of Purchasing with their request. The purchasing agency, after reviewing the facts, may issue verbal approval to the agency to authorize the vendor to perform. In a timely manner Facilities Management will submit a “confirming” Purchasing Requisition (RX) with the order type 1 “Emergency” designated to the Division of Purchasing. The Division of Purchasing will generate and appropriately distribute the “confirming” Purchase Order.

III. PROCEDURE**Responsibility****Action**

Buyer

1. Determine that an immediate requirement for a purchase order exists. Make the purchase through small purchase procedure if under \$5,000.

2. Contact Accounting and inform them of the need for an immediate Purchase Order providing them with a description of the need, the vendor who can perform or provide the desired work or service, an estimated cost, and if possible a second bid. Note: If a second bid can not be obtained because of a lack of time or the equipment needs to be dissembled to determine the faulty component, obtain the hourly labor rate the vendor charges instead.

Accounting

3. Contact the purchasing agent responsible for the needed item at the Division of Purchasing and relate the information obtained from the buyer.

Purchasing

4. Evaluate the request for an emergency purchase order. If the request is not appropriate, the agency will be asked to submit a purchase requisition through normal means. If the request is appropriate, the purchasing agency will work with Facilities Management to secure the needed items. The agent will then issue Facilities Management a verbal approval via telephone.

5. Communicate to the buyer the purchase order number authorizing the immediate requirement to be satisfied.

Buyer

6. Contact vendor authorizing the vendor to satisfy the immediate requirement.

7. Within two days, complete a FM-1 form and label the top of the form “Immediate Purchase Confirming Order” and forward to Accounting for processing.

Accounting

8. Utilizing the FM- 1 form, send to the Division of Purchasing a confirming RX with order type 1 referencing the verbal approval

Immediate Purchase Order (Emergency)

63-08.0

Effective Date 7-1 -99

Revision Date 11-18-03

- | | |
|------------|--|
| Purchasing | 9. Process and distribute Purchase Order |
| Accounting | 10. Follow instructions for Purchase Order receipt and payment |

ISF Sole Source Procurement**63-09.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the policy and operational procedure for sole source procurement over \$1,000.

II. POLICY

If a buyer believes that a requirement is only available from one source, a sole source request and justification must be submitted utilizing form FM-1 for the item. It is the responsibility of the Division of Purchasing to make the determination as to the appropriateness of the request and justification in accordance with the Utah Procurement Code and Procurement Regulations for ISF services.

III. PROCEDURE

Responsibility	Action
Buyer	1. Supply information and justification
Accounting	<p>2. Enter a FINET EPS requisition (RX). Instructions for how to complete an RX transaction are outlined in the Purchases Over \$5,000 policy in this section of the manual. The following must be completed:</p> <ul style="list-style-type: none"> A. In completing the RX transaction, use the recommended vendor as the RX vendor (complete with name and address), identify the commodities being purchased, and complete the unit cost using the approximate cost and mark the requisition (RX) type as sole source. B. Document in the Requisition Text Table (RTEX) how sole source status was determined, listing all vendors contacted and describing the criteria used to determine a sole source purchase was necessary and provide the name and title of the person requesting the sole-source purchase. C. Obtain necessary approvals; both agency-specific and state-level approvals need to be applied electronically to the RX transaction. D. The status of RX is available on the Requisition Status (RQST) Table, the Open Requisition Header (ORQH) Table, the Open Requisition Line (ORQL) Table, and the Open Requisition Commodity Line (ORQC) Table. (See the INQUIRIES section of this manual for further instructions on these tables.)
Purchasing	<p>3. Review sole source requisition (RX) and determine if sole source request is justified.</p> <p>4. If sole source is not justified, deny the request and inform the requesting department.</p> <p>5. If sole source is justified, determine if an agency-specific price agreement is appropriate in order to allow the requesting department to make repetitive purchases (see the Purchasing-Price Agreements policy in this section of the manual for details.)</p> <p>6. If sole source is justified and an agency-specific price agreement is not appropriate, complete a centralized purchase order transaction (PC) (see DAS- Division of Purchasing's internal policy and procedure manual) and place order with vendor on behalf of the requesting department.</p>

Small Construction (Short Form Contract)**63-10.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To define the procurement policy for small construction projects between \$5,001 and \$50,000.

II. POLICY

One of the main functions of DFCM is the building, refurbishing, renovating, replacing, modifying, improving, or demolishing a facility or a portion thereof. If the dollar amount of the above mentioned criteria is between \$5,001 and \$50,000, a short form contract will be processed by the Contract section of Facilities Management. Short form contracts will be issued for construction items only.

III. PROCEDURE

Responsibility	Action
Buyer	<ol style="list-style-type: none"> 1. Determine the required specification for the construction project to be performed. Buyer in this case is typically a Facilities Coordinator or Project Manager. 2. Include the following information on form FM-1; building name, check short form contract, contact person, phone number, estimated cost, description and specifications. NOTE: Because the short form contract is a Facilities Construction procurement, a Facilities Management purchase number will not be utilized. 3. The source of funding for the contract must be indicated on the form FM-1. If the funding is coming from any source other than the maintenance budget, the agency providing the funding must be included with the form FM-1. A completed and signed FM-2, or a letter from the applicable agency authorizing the amount of the contract, will satisfy this requirement. 4. Obtain written authorization on FM-1 from the Managing Coordinator to proceed with the procurement process. 5a. If the project is \$5,000 or less, utilizing the Facility Focus program, fill in all applicable information as per Facility Focus policy and procedures identifying the purchase as "\$0-\$5,000 CNST" "Construction Purchase between \$0 and \$5,000." This purchase is a direct award – no bids or contract required. Provide vendor with the Facility Focus purchase order number with instructions to reference this number on their invoice. Note: Total construction must be under \$5,000 for this particular work, not just the first billing of many. 5b. If the project is between \$5,001 and \$50,000, obtain two or more written proposals from vendors for the specified work to be performed and submit proposals to the Managing Coordinator, along with the completed FM-1, FM-2, or letter authorizing expenditure of funds for written approval. Note: No bonds required.
Managing Coordinator	<ol style="list-style-type: none"> 6. Reviews vendors proposals and approves acceptable low bidder, where applicable; signs approval line of form FM-1 and forwards proposal(s), FM-1 and FM-2 (or agency letter authorizing expenditures of funds) to Facilities Management Accounting

Small Construction (Short Form Contract)**63-10.0****Effective Date 7-1 -99****Revision Date 11-18-03**

- Accounting
7. The Accountant IV signs the FM-1 authorizing funding and provides Facilities Management account coding on the FM-1, then makes a copy of all forms in the package to file in the Short Form Contracts binder.
 8. The original FM-2 is given to the Accounting Technician for processing.
 9. The Accountant returns the package to the Contract Coordinator.
- Contract Coordinator
10. Gives the package to Accounting for funding approval
 11. Creates the contract
 12. Forward the contract to the approved successful bidder, FM Program Director, FM Accounting Officer, and the Division of Finance for necessary signatures.
 13. Notice to Proceed issued after approval. NOTE: Work should not begin until Notice to Proceed has been issued by the Contract Coordinator.
 14. Once approved by the Division of Finance, notify contact individual of the successful bidding vendor and authorize the construction process to begin. Forward contract to contractor
- Buyer
15. Forward all invoices and receiving documents to Contract Coordinator insuring that the invoice and/or receiving document has been stamped and approved by both the Facility Coordinator and Maintenance Supervisor.
- Contract Coordinator
16. Contact Facilities Coordinator or Project Manager to verify satisfactory completion. Once approval is obtained the contract is forwarded to Accounting and construction can begin.
- Accounting
17. Pay the invoices in FINET

State Level Approvals

63-11.0

Effective Date 7-1 -99

Revision Date

I. PURPOSE

This policy defines the policy and operational procedures for state-level approvals required prior to purchasing actions.

II. POLICY

Prior to purchasing action, appropriate state-level approval must be obtained for the following types of purchases.

Type of Purchase	State Approval Agency
Vehicles, standard	Fleet Services
Vehicles, special accessories	Division of Fleet Services
Micrographic equipment	Division of Archives over \$1000
Mailing, copying or printing	Division of General Services
Telecommunications equipment	Division of Information Technology Services over \$1,000
Information Technology Services & Equipment	Original Information Technology Plan State Information Technology Review Committee and State Information Technology Coordinator Addendum to the Plan \$1000 - \$2500 – State Information Technology Coordinator Over \$25,000 State Information Technology Coordinator and State Information Technology Review Committee
Lease Purchases or Installment Purchases (with periodic payments lasting more than 12 months)	Division of Finance

III. POLICY

Responsibility	Action
Buyer	<ol style="list-style-type: none"> 1. Determine procurement requirement (i.e. quantity, price, size, and item specification). 2. Complete form FM-1, sample attached, providing the following information: <ol style="list-style-type: none"> a. Name and phone number of the contact person. This person will be the individual who can provide any additional information or item specification that may be required by the Division of Purchasing to effect the procurement of the items requested. b. Date the requested item/services are required. c. Building or org that the expense of the items will be charged to. d. The address that the goods or services are to be shipped to. e. The estimated cost of the procurement. f. The quantity required. g. A suggested vendor source, which will include a vendor name, vendor address, and vendor telephone, for the procurement request.

State Level Approvals**63-11.0****Effective Date 7-1 -99****Revision Date**

- h. An accurate detailed description which will include all specifications that pertain to the procurement request.
3. The completed form FM-1 shall be submitted to the Facilities Management Program Director for approval.
4. The completed and approved FM-1 is forwarded to Accounting and is used to generate an RX
5. Obtain required state-level approvals. These approvals need to be applied electronically. Look up status of RXs to monitor DAS — Purchasing progress through the bidding and order process, using the following tables: Requisition Status (RQST); Open Requisition Header (ORQH); Open Requisition Commodity Line (ORQC); and the Open Requisition Accounting Line (ORQL).
- Purchasing 6. Determine the Purchasing Policies and Procedures have been complied with for FX and necessary approvals obtained.
7. Process the RX lines (by commodity buyer) and secure bids
8. Complete a Centralized Purchase Order Transaction (PC)
- Vendor 9. Performs as indicated on Purchase Order. Send Division two copies of invoice.
- Buyer 10. Receive ordered commodities with invoice from Vendor. Sign the delivery documentation insuring that the quantity and items received are the same as ordered and the goods are in a usable condition.
11. Route all invoices and delivery documents to Accounting
- Accounting 12. Process the payment in FINET
- Finance 13. Process and send payment to vendor

State Treasurer Deposits**63-12.0****Effective Date 7-1 -99****Revision Date 2-12-02**

- I. **PURPOSE:** The establishment of procedures for the process of receipting and depositing funds with the State Treasurer's Office.
- II. **SCOPE:** This procedure applies to all funds received that should be deposited for DFCM's Internal Service Fund and funds received for the Capitol Preservation Board (CPB).
- III. **PROCEDURE:**

CHECKS RECEIVED BY ISFRESPONSIBILITYACTION

Accounting Tech #A

Insure all incoming checks and cash received in office by mail or other means are stamped "for deposit only" upon receipt.

Insure all checks and/or cash documentation received in office by mail or other means are stamped with current date upon receipt.

Checks and cash received are logged into MicroSoft Excel spreadsheet. (See attached example.)

Convey checks and cash to Accounting Tech #B.

Accounting Tech #B

Issue receipt for each check or cash item received.

Generate deposit slip and convey funds to State Treasurer's Office at a minimum of each Tuesday and Thursday per State Finance Accounting Policy and Procedures, FIACCT 07-01.00.

Generate cash receipt (CR) document in FINET.

Accountant IV

Review and approve FINET CR document.

Accounting Tech #C

Scan CR documentation into Projectwise files.

Accountant II

Perform monthly reconciliation of the FINET AR reports with the CR's and the cash/check receipt log in Excel.

End of Process.

State Treasurer Deposits**63-12.0****Effective Date 7-1 -99****Revision Date 2-12-02****CHECKS RECEIVED BY CPB**

RESPONSIBILITY

ACTION

CPB Staff

Insure all incoming checks and cash received by CPB are stamped "for deposit only" upon receipt.

Insure all checks and/or cash documentation received in office by mail or other means are stamped with current date upon receipt.

Checks and cash received are logged into MicroSoft Excel spreadsheet. (See attached example.)

Convey checks and cash to ISF accounting.

Update status on Excel spreadsheet to "Conveyed to ISF Accounting."

Accounting Tech #B

Issue receipt for each check or cash item received.

Generate deposit slip and convey funds to State Treasurer's Office at a minimum of each Tuesday and Thursday per State Finance Accounting Policy and Procedures, FIACCT 07-01.00.

Generate cash receipt (CR) document in FINET.

Accountant IV

Review and approve FINET CR document.

Accounting Tech #C

Scan CR documentation into Projectwise files.

Accountant II

Perform monthly reconciliation of the FINET AR reports with the CR's and the cash/check receipt log in Excel.

End of Process.

Generation of Purchasing Requisitions (RX)**63-13.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for the generation and processing of state purchase requisitions (RX).

II. POLICY

All purchase requests over \$5,000 that are not contained on a state purchase contract must be entered into FINET using an RX transaction. Additionally, an RX must accompany all sole source requests. This policy establishes the procedure for the completion and processing of the RX.

III. PROCEDURE

Responsibility	Action
Requesting	1. Complete Facilities Management internal form FM-1 and Individual forward to Accounting.
Accounting Technician	2. Using information provided on the FM-1, enter the RX into FINET insuring the purchase request conforms to Purchasing policy and procedures. 3. Copy all supporting documentation and file the RX print out and supporting documentation in a pending file. 4. Upon receipt of the yellow bid documentation, copy documentation and file with the Rx in the pending file. 5. Upon receipt of the billing invoice, match the invoice with the bid documentation from the pending file. 6. Receive and pay for purchases per Facilities Management policy and procedure.

RX for Service Contracts**63-14.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

In many situations agencies request services that Facilities Management provides through private sector vendors. Common examples of such services include janitorial, elevator maintenance and repairs, grounds care, HVAC maintenance, snow removal, and refuse removal. When agencies request such activities, a service agreement must be executed to obtain the necessary services for the agency.

II. POLICY

Service agreements shall be created to obtain necessary services for agencies through private sector vendors. Service agreements shall include a bidding process, specifications, contract, appropriate signatures and all other requirements set forth by DFCM and the Utah Procurement Code.

III. PROCEDURE

Responsibility	Action
Facility Coordinator	<ol style="list-style-type: none"> 1. Using an FME work order, request a service, indicating the type of service needed and the scope of service. 2. Determine if RX is needed based on dollar amount. 3. If needed, complete an RX and send to Accounting
Accounting	<ol style="list-style-type: none"> 4. Approves the RX
Contract Coordinator	<ol style="list-style-type: none"> 5. Send RX electronically to Purchasing 6. Write an RFP or Invitation to Quote or Invitation to Bid based on the type of services required. 7. Send to Facility Coordinator for approval. 8. Send to Purchasing for advertising. Once bids have returned, Contract Coordinator receives the bids for evaluation. DFCM conducts interviews if necessary and sends recommendations to Purchasing.
Purchasing	<ol style="list-style-type: none"> 9. Send DFCM a contract with standard terms and conditions.
Contract Coordinator	<ol style="list-style-type: none"> 10. Add scope of work to the contract and send it out for signatures. 11. When the contract is returned, it is sent to Accounting, Managing Coordinator, Purchasing, and Finance for approval.

Issue Manual Division Purchase Order Number**63-15.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establishment of procedures for the issue of Division purchase order numbers. Through the issue of Division purchase order numbers, each purchase request is analyzed to insure that it conforms to state purchasing rules and the expenses associated with the procurement are charged to the responsible organization.

II. POLICY

All procurements up to \$5,000 and purchase contract procurements (PD Contracts) up to \$10,000 require a Division purchase order (PO) number.

III. PROCEDURE**Responsibility****Action**

1. Issue Division purchase order numbers. Insure that purchasing policies and procedures are followed.
2. Record PO information, vendor name, activities, individual making request, date in the PO log book.
3. Data enter information contained in the manual PO log book into the Facilities Focus program.
4. E-mail the PO requester the Facilities Focus PO number.
5. Delete.

Issue and Payments of Parking Permits**63-16.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the issue, payment, and refund of the expenses associated with employee parking at the Heber Wells location and provide the coordination required for multi-agency locations that need vehicle parking for their employees.

II. PROCEDURE

Responsibility

Action

Accounting
Technician

1. Generate a refund of expense inter-departmental transfer for the dollar value of the permits that each agency received.
2. On a monthly basis, reconcile the cost of parking permits received with the amount of refund of expense received.
3. Act as a liaison between the agencies and the parking vendor to resolve any concerns that may arise.

Accessing State PD Contracts**63-17.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

Identify the process of accessing State Purchasing Contracts and know how to access purchasing contracts on the Division of Purchasing Internet site.

II. PROCEDURE

Responsibility

Action

Accounting
Technician

On as as-needed basis, access the Statewide Contracts Searchable Database located on the Internet at URL www.purchasing.state.ut.us. Determine the most efficient method of searching the database for contract information. The available methods of searching the database are:

Keywords
Contract number
Contract Expiration Date
Vendor
Purchasing Agency

The results of the search can be sorted by:

Contract Number
Contract Expiration Date
Vendor

Purchasing Card Procedures**63-18-0.****Effective Date 07-01-05****Revision Date****PURPOSE**

To issue purchasing cards and process purchasing card transactions when it is necessary to charge merchandise and services for the operation and maintenance of DFCM facilities.

POLICY

Purchasing card transactions must adhere to all Division of Purchasing and DFCM policies and procedures in procuring goods and services.

PROCEDURE

Responsibility	Action
Facility Coordinator	Requests application for card for subordinate.
Accounting Technician	Codes the application with overhead low org and forwards to the facility coordinator. All other information is pre-printed.
Applicant	Completes the application with name, social security number and phone numbers. The applicant signs and dates the application along with the facility coordinator. It is then returned to the accounting technician.
Accounting Technician	Signs the application as the site coordinator and forwards to the Division of Purchasing to be processed through US Bank (current Purchasing contact is Mark Parry.) Processing time before receiving the purchasing card is approximately two weeks. The card is delivered to the accounting technician who then forwards it to the facility coordinator along with the following forms. <ol style="list-style-type: none"> 1) Agreement to accept the purchasing card – US Bank 2) Purchasing card transaction log 3) Summary of rules and regulations for the card
Applicant	It is the responsibility of the applicant to follow all policies and procedures for the card. Receipts, invoices and receivers must be submitted to the accounting technician on a monthly basis along with a transaction log indicating what facility should be charged for the goods and services. The transaction log will also be approved by the applicants' supervisor.
Accounting Technician	The accounting technician receives the transaction log and backup from the applicant. A comparison of charges on the US Bank statement to the log insures that all charges have been listed.
Accounting Technician	A review is performed verifying that no sales tax has been paid and that dollar limits have been adhered to for each receipt. Any suspicious amounts will be brought to the attention of the supervisor. The PV transaction in Finet is coded for expense object code and org number. The accounting technician applies the first approval, the supervisor applies the second. Copies are made of the PV transactions and scanned along with the statements and receipts for the document.

Mail Receipt and Disbursement**63-19.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for the timely and accurate date stamping and distribution of incoming mail.

II. PROCEDURE

Responsibility

Action

Accounting
Technician

1. Twice daily, pickup mail at the front reception area
2. Insure all mail has been date-stamped as to when it was received at 4130 State Office Building
3. Record invoice and receiver dates in the Facility Focus system.
4. Identify the recipient of each piece of correspondence and distribute accordingly.
5. Date-stamp all other correspondence that has not been routed through the reception area prior to distributing.

Monthly FINET Report Handling and Filing**63-20.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the distribution and filing of the monthly FINET report.

II. PROCEDURE

Responsibility

Action

Accountant IV

1. Pickup monthly FINET reports from Finance's distribution office on the first floor of the State Office Building when they become available.
2. Provide the AM02 report to the appropriate Accounting Technician for data entry into the budget update spreadsheet.

Accounting
Technician

3. Data enter monthly AM02 information into the budget update spreadsheets.

4. Return reports to Accountant IV

Accountant IV

5. Provide the appropriate copies of the AM01 report to the assigned Accounting Technician to be copied for distribution to the Facility Coordinators.

Accounting
Technician

6. Make one copy of the AM01 report

7. Return reports and copies to Accountant IV

Accountant IV

8. Upon completion of the above tasks, give the re-collated monthly FINET report to the assigned Accounting Technician for filing.

Accounting
Technician

9. File the monthly FINET reports in the appropriate binder by org.

Requests for State Vendor Numbers**63-21.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for creating state vendor numbers for vendors not previously listed within the FINET vendor table. Vendor numbers are required for vendors doing business within the state on a repetitive basis or vendors who have changed their remit to address.

II. PROCEDURE

See attached procedure

Responsibility

Action

Accounting
Technician
Or Contract
Coordinator

1. Form F125 in Informs is used to request a State Vendor Number. After accessing the F125, fill in the required information fields.
2. The following information is required on the F125 form:
 - A. Department and Division name
 - B. Person originating request and phone number
 - C. Request for, new vendor number, change vendor number, or deletion of vendor numbers
 - D. Vendor name, address, city, state, zip, and federal ID number
 - E. Type of vendor, corporation, medical provider, proprietorship, partnership, government
3. Upon completion of the F125 deliver the form to the vendor date-entry clerk in the Division of Finance. This can be done by:
 - A. Pressing the 'send to Finance and Close' button in Informs, or
 - B. Hand carrying the form to the vendor date-entry clerk in Finance.
4. Finance will reply via e-mail with the status of the request.

NOTE: If the vendor does not have a Federal ID number, the social security number, plus the name and home address will be utilized.

Preparation of Billing Invoices for Non-State Entities**63-22.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for creating billing invoice letters for non-state entities. Facilities Management has non-state tenants who are required to reimburse the Division for maintenance and rent expense associated with the space they occupy. This policy identifies the procedure for collecting these funds.

II. PROCEDURE

Responsibility

Action

Accounting II.

1. Provide invoice billing amount to the Accounting Technician assigned to prepare the billing invoice letter.

Accounting
Technician

2. Utilizing the information provided by the Accounting Officer, generate the billing invoice letter.

3. Submit completed billing invoice letter for authorizing signature

Accountant II.

4. Provide authorizing signature and return to Accounting Technician.

Accounting
Technician

5. Copy billing invoice letter and file in appropriate binder.

6. Mail billing invoice letter.

7. Upon receipt of invoice payment, document the date payment was received on the copy of the billing invoice letter.

8. Reconcile completed billing invoice letters with FINET report AM11 on a monthly basis, noting on the copy of the letter that it has been recorded within the FINET information.

Processing of Inter-Agency Transfers**63-23.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for the generation and processing of Inter-Agency Transfers (IAT). This policy provides the general procedures for the generation and record keeping process for Inter-Agency Transfers

II. PROCEDURE**Responsibility****Action**

Accountant
Technician

1. Using the Seller IAT Detail screen in FINET, allow for automatic numbering of the document. Record the following information in the document header screen: Seller Agency, seller org, Document number prefix, Accounting Period, Budget FY, Year End Reversal (YIN), Transaction Date.
2. In the Seller section of the document, record as applicable the Line Number, Fund, Org, Appropriation, Object, Revenue code, Balance Sheet Account, Activity, Job/Project, Amount, Description, Quantity, Contact Name, Contact Phone, Invoice Number, Explanation.
3. In the Buyer section of the document, record as applicable the Fund, Agency, Org, Appropriation, Object, Revenue, Balance Sheet Account, Activity, Function, Reporting Cat, Job/Project, Description, Amount, Buyer, Quantity, Buyer Name, Buyer Phone, Inc/Dec/Ref
4. Print the document from FINET, collate and copy applicable IAT supporting documentation.
5. Notify the buyer of the creation of the IAT and its document number by mailing a copy so they can access the document and apply the buyer-side approval.
6. Convey a copy of the IAT and supporting documentation to the individual responsible for scanning.
7. File a copy of the IAT and supporting documentation in the Accounting Technician's binder

Generation of Monthly Budget Analysis**63-24.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the generation of the monthly budget analysis. The analysis will be prepared for each program at the org level comparing the historical spending trends of each activity with the current year expenses experienced for that activity.

II. PROCEDURE**Responsibility****Action**

Accounting
Technician

1. Using the monthly FINET report AMO2, data-enter the monthly expense figures by object code into the computerized budget spreadsheets at the org level.
2. Reconcile the year-to-date FINET AMO2 figures with the totals in the budget spreadsheets to ensure that expenses equate between the spreadsheet and the FINET AMO2.

NOTE: FINET information should be data-entered within five working days after the receipt of the monthly FINET reports.

ISF Accountant
& Accountant IV

3. Adjust the computerized budget spreadsheet formulas to summarize the data being entered for the current month.
4. Analyze each object code within each org to insure that the payment numbers of the budget section of the spreadsheet equate to the actual year-to-date payment numbers, e.g., three electrical budget payments and three actual electrical payments through the month of September.
5. Print the budget analysis and collate with the associated FINET AMO 1 report and sort by the applicable Facility Coordinator.
6. Update the Roll-up spreadsheet with the current budget-expended-to-date and expense-to-date information. The retained earnings balance should be as of the previous fiscal year end.
7. Compose a narrative identifying budget areas of concern.
8. Copy and distribute as follows:
 - A. Program Director Facilities Management
 - B. Managing Facilities Coordinator
 - C. Budget Analysis Binder
 - D. Activity Distribution by Facility Coordinator

Generation of Annual Hearing Information - Under Development

63-25.0

Effective Date 7-1 -99

Revision Date

Payment Request Processing, General and Utility Invoices**63-26.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the processing of warrant requests in a timely and accurate manner. This procedure applies to Facilities Management general and utility invoices. The objective is the processing of utility and discount invoices within three working days and the processing of general invoices within five working days with minimal errors.

II. PROCEDURE**Responsibility****Action**ISF Accountant
Technician

1. Sort and prioritize discount, interest, and utility invoices for payment.
2. Match invoices and receiving documentation where applicable.
3. Pre-audit invoices identifying correct org, activity, amount, account, purchase order number, and invoice number.
4. Group invoices into batches containing no more than 20 warrant requests.
5. Review vouchers payable library to assure payment has not been previously issued.
6. Data-enter batch into FINET
7. Print batch and attach batch control sheet.
8. Submit for post-auditing and authorized signature.

Accountant IV

9. Verify correct org, activity and account charged.
10. Insure all available discounts have been taken or coded to account for lost discounts.

Accounting
Technician

11. Receive the vendor invoice and receiving documents and verify that goods or services were received. Assure any required 2nd bids have been acquired. Contract numbers, sole source justifications, or purchasing authority shall be referenced in the FINET document.
12. Create the payment transaction in FINET. Review for accuracy and apply "Pend 1" status. Log the transaction on a coversheet, attach the supporting documentation, and give to the Accountant for post audit in batches of twenty documents.

Payment Request Processing, General and Utility Invoices**63-26.0****Effective Date 7-1 -99****Revision Date**

Responsibility

Action

ISF Accountant or
Accountant IV

13. Perform a post-audit of the payments by accessing the transaction in FINET. Verify vendor name and address in FINET match that on the invoice. Verify FINET amount matches invoice amount. Verify that account coding is correct; contract numbers, sole source justification, or purchasing authority has been referenced; where applicable, verify correct customer account has been referenced. Have the Accounting Technician make corrections as needed.

Accounting
Technician

14. After the post-audit, give the batch to an Accounting Technician to apply 'Pend 2' status.

15. Apply 'Pend 2' status for the documents in the batch. Return the batch to the Accountant for final scheduling.

ISF Accountant or
Accountant IV

16. Apply 'Scheduled' status so the transactions will process during the nightly FINET cycle.

17. Approve the batch by signing and dating the batch coversheet. Return the batch to the Accounting Tech.

Operating and Maintenance Agreements Billings**63-27.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the billing of operating and maintenance agreements based upon the terms of each agreement. This procedure applies to all operating and maintenance agreements entered into by Facilities Management. The objective is to generate accurate and timely billings for all operating and maintenance agreements based upon the specific terms of each agreements.

II. PROCEDURE

Responsibility

Action

Accountant II

1. Review operating and maintenance agreements with agencies to identify billing amounts and it billings are on a monthly or quarterly basis.

2. Provide Accounting Technician with billing amount and account coding.

Accounting
Technician
provided.

3. Prepare inter-agency transfer (IAT) in FINET based upon information

4. Give IAT's to Accountant for review.

Accountant IV

5. Review IAT's for accuracy prior to routing to agency for processing. Insure correct amount and coding are indicated

Accountant
Technician

6. Use the quarterly O&M spreadsheet maintained by the Accountant II as the basis for preparing the Inter-Agency Transfer (IAT). This spreadsheet contains the name of each agency's contact person, their phone number, the buyer-side account coding, and the quarterly billing amount.

7. Prepare the IAT in accordance with DFCM policy and procedure. Record the FINET document number on the O&M spreadsheet for future reference.

8. Send an email to the agency contact person notifying them of the IAT number so they can apply the buyer-side approval in FINET.

9. Make, copies of the IAT for the file and the Accounting Techs' IAT binder.

Reconciling Statement from Vendors**63-28.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for reconciling vendor statements. This procedure applies to statements received from vendors for Facilities Management accounts. The objective is to identify outstanding vendor invoices and resolve payment problems in a timely manner to maintain a good relationship with vendors.

II. PROCEDURE**Responsibility****Action**Accounting
Technician

1. Reconcile vendor statements with vouchers payable library to identify invoices paid although not credited to DFCM's account or invoices where no payment has been issued.
2. Notify vendor's accounts receivable departments for payments issued although not credited to account or request copies of outstanding invoices not received by Facilities Accounting by fax.
3. Verify that no payment has been issued by thoroughly researching the payment database and FINET prior to generating payments for older invoices that are outstanding according to vendor.
4. Notify vendor of invoices charged to Facilities Management that belong to different state agencies.
5. Write all correspondence information on vendor statement and file within statement books in case future reference is required.

Pre-audit Contract Payments**63-29.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for pre-auditing of invoices for Facilities Management contract obligations. This procedure applies to all invoices received b Facilities Management for contract obligations. The objective is the accurate processing of contract invoices within five working days.

II. PROCEDURE

Responsibility

Action

Facilities

Coordinator

1. Identify all invoices for contract obligations. Research the payment history if necessary and reconcile the payment period and amount to the contract. This will ensure that invoice approvals are not duplicated.

NOTE: Approvals on vendor statements can result in payment duplications. Payments should not be made from vendor statements. If an invoice is not available, contact the vendor and request a copy of the invoice.

2. Convey the approved invoices to Accounting within seven days of receipt.

Accounting

Technician

3. Verify that invoice has not been previously paid. Pay the invoices in accordance with DFCM policy and procedures.

4. Make any required adjustments identified during post audit

5. Sort, copies and collate all payment and supporting documentation.

6. Transmit batch to finance via FINET

7. Route a copy of payments, invoices, and receiving documentation to the scanning technician for processing.

Allocation of Overhead Expenses**63-30.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for the allocation of overhead expenses. This procedure applies to orgs 1901 to 1999 in Facilities Management Accounting records. The objective is the monthly allocation of Facilities Management overhead to the appropriate facilities.

II. PROCEDURE

Responsibility

Action

Accountant II

1. Use the monthly AMO2 FINET report to calculate the amount to be allocated.

2. The personal service expenses in account 5000 under the column year-to-date on the AMO2 reports for the overhead orgs should be allocated through account 5147 to the appropriate activities. For the allocation of other expenses use the amount computed from net org amount less total personal service account 5000. Other overhead expenses are allocated to the orgs through account 6497.

3. Upon determining the amount of personnel and expenses to be allocated, use the overhead allocation spreadsheet to allocate the overhead to each appropriate org~ The spreadsheets are located in the F:\USERS\COMMON\EXCEL\ISF\OVERHEAD directory. There is a separate file for each overhead org.

4. Print journal entry information from spreadsheet and enter into FINET as an IAT.

Accountant II

5. Refer to the State of Utah Accounting Policies and Procedures FIACCT 02-05 for instructions on input of IATs.

6. File copies of the overhead IATs in the IAT book and the overhead activity book.

Pre-Audit Utility Invoices From University of Utah**63-31.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To establish procedures for the pre-auditing of University of Utah utility invoices. This procedure applies to utility invoices received from the University of Utah for the facilities located at 44 Medical Drive. The objective is the accurate account and activity coding for utility expense at 44 Medical Drive.

II. PROCEDURE

Responsibility

Action

Accounting
Technician

1. Pre-audit utility invoices from the University of Utah. Indicate account and activity to be used for each invoice. Use object 6192 for electricity, 6193 for water, and 6195 for high temperature water and steam.
2. Input utility expense by appropriate month and year in the utility spreadsheet for 44 Medical Drive facilities. The spreadsheet is located in the F:\USERS\COMMON\EXCEL\ISF\UTILITY directory. Indicate in the spreadsheet if the utility costs on the invoice were estimated.
3. Process for payment under utility payment procedure.

Accounts Receivable**63-32.0****Effective Date 7-1 -99****Revision Date 11-18-03****I. PURPOSE**

To establish procedures for the monthly reconciliation of accounts receivable to the AMO2 FINET report for each activity. This procedure applies to Facilities Management accounts receivables for each org.

II. PROCEDURE**Responsibility****Action**

Accountant II

1. On a monthly basis reconcile the FINET AMO2 report for each org with the revenue program located in LOTUS 123 on directory K:\users\common\1 23\isfacct\revenue.
2. Update the spreadsheet for revenue collected by Facilities Management for operating and maintenance agreements, funds transferred, leases, and rental fees.
3. Print out from spreadsheet a monthly report showing the revenue collected and outstanding to date the 1SF Accountant.

Special Program Contracts

63-33.0

Effective Date 7-1 -99

Revision Date

I. PURPOSE

After the correct type of contract has been selected, the contract must be written. This process begins with the initial request for a contract from the Project Manager of FM Coordinator and results in a fully executable contract. The accuracy and timeliness of the contract administration process is vital in obtaining high quality services.

The following procedures for Special Program Contracts are applicable to contracts for roofing, paving planning, remodels and improvements. This Contract Administration Process is not to be used for design services, operation and maintenance agreements, or service agreements.

II. POLICY

Contracts shall be written in compliance with requirements et forth in the Utah Procurement Code.

III. PROCEDURE

Responsibility

Action

Program Manager or
FM Coordinator

1. Request contract
2. Based on the anticipated contract amount, appropriate quotes for services are obtained. If requesting the contract, the Project Manager completes the Contract Request Form fmcr.OOI. If the request comes from a Facility Coordinator, the Coordinator must complete the FM-1 form. An FM-2 form must also be completed if the funds are from agencies or retained earnings.
3. Forward the contract packet to the Contract Service Manager. The Contract Packet includes:

The Contract Request Form or FM-1 and FM-2 form with approvals
Attached quote or proposal
Any correspondence or information related to the bid, such as a bid tabulation.

Contract Coordinator

4. Write the appropriate contract and attaches the Finance Form and any other necessary documents to it and forwards for approval.
5. After approval by the Lead Project Manger, Lead Facility Coordinator, and Budget Officer, and the Contract Coordinator mails three original contracts and accompanying documents with a cover letter to the contractor for signature.
6. Once the contracts have been returned, the contract is reviewed and routed for final execution
7. The contract is assigned a contract number.

Special Program Contracts**63-33.0****Effective Date 7-1 -99****Revision Date**

Responsibility

Action

8. Mail a Notice Proceed letter to the contractor along with a fully executable copy of the contract.

9. Distribute copies of the contract to the Project Manager or Facility Coordinator, Accounting, and the project file.

10. The executable contract is placed in the central file with the original backup and a copy of same in the project file.

Operation and Maintenance Agreements**63-34.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

When an agency requests the Facilities Management manage its buildings, the request is formalized through an Operation and Maintenance Agreement signed by both the agency and DFCM. The Operation and Maintenance agreement is customized to fit the individual needs of the agency and the facility. The agreement specifies the services that will be provided by DFCM, the responsibilities retained by the agency, and other details associated with the management of the building.

II. POLICY

Operation and Maintenance Agreements shall be written in accordance with requirements set forth by the Utah Procurement Code.

III. PROCEDURE

Responsibility	Action
Agency	1. Request that Facilities Management manage their facility
Facility Coordinator	2. Using the Facility Transition Procedure the Facility Coordinator meets with an agency representative to gather information necessary to create the Operation and Maintenance Contracts.
Contract Coordinator	3. The Contract Coordinator reviews gathered information and writes the agreement in accordance with the Facility Coordinator's needs, the facility's requirements, and the agency's request, including a specific assignment of responsibilities.
	4. The agreement is distributed for review to the Facility Coordinator and ISF Accounting.
	5. Upon receipt of the approved, initialed agreement, the Contract Coordinator sends four copies to the Agency Director for signature.
	6. When copies are returned, the contracts are routed for signatures from ISF Accounting, Facilities Management Program Director, and the Division of Finance, which retains its copy.
Finance	7. Assign contract number
Contract Coordinator	8. Upon return of the fully executed agreement to DFCM from Finance, a distribution by transmittal is made to the agency with copies of the agreement sent to Accounting, Facility Coordinator, and file.

Preparation of Service Agreements**63-35.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

In many situations agencies request that Facilities Management provides through private sector vendors. Common examples of such services include janitorial, elevator maintenance and repairs, grounds car, HVAC maintenance, snow removal, and refuse removal. When agencies request such activities, a service agreement must be executed to obtain the necessary services for the agency.

II. POLICY

Services agreements shall be created to obtain necessary services for agencies through private sector vendors. Service agreements shall include a bidding process, specifications, contract, appropriate signatures and all other requirements set forth by DFCM and the Utah Procurement Code.

III. PROCEDURE**Responsibility****Action**

Facility Coordinator

1. A Request for Quote is requested by the Facility Coordinator via e-mail. The e-mail should include the following information:

Agency requesting the service agreement

Location of the facility in which the services will be performed

Type of service needed

Approximate cost

Org number

Date Service is required

Agency content or representative and his/her location

Any suggested sources (vendors or contractors)

Information on whether a walk-through is necessary (if it is, the e-mail should also include a date, meeting place, and the person's name conducting the walk-through)

Contract Coordinator

2. Locate a generic specification and pricing submittal form used on a similar service agreement and e-mail these documents to the Facility Coordinator for review. Changes to the generic forms are noted and made by the Contract Coordinator. This task ensures an improved content.

3. Upon final review by the Facility Coordinator, an approval via e-mail is sent to the Contract Coordinator verifying that the information contained in the specification and pricing submittal form are correct and ready for the bidding process.

4. The RX number is obtained from FINET by the Contract Coordinator. When obtaining the RX, the comments line (0000) indicates the Purchasing Agent to whom the bid packet will be e-mailed.

Preparation of Service Agreements**63-35.0****Effective Date 7-1 -99****Revision Date**

5. A bid packet containing the following information is assembled by the Contract Coordinator, including:

E-mail or memorandum from the Facility Coordinator approving specification and pricing form
 RX form
 Invitation to bid
 Specification
 Pricing Submittal form
 Sample contract form
 List of suggested sources (include current vendor/contractor)

Contract
 Service Manager

6. The Contract Services Manager approves a hard copy of the packet for content and accuracy, prior to forwarding the packet to Purchasing. In the absence of the Contract Services Manger, the Managing Facility Coordinator may approve the bid packet. The reviewed copy is initialed to indicate approval, and placed in the file folder as a reference

Contract
 Coordinator

7. An e-mail containing the bid information is forwarded to the Purchasing Agency from a representative of the Contract Group. The following is included in the e-mail.

Invitation to Bid
 Specification
 Pricing Submittal
 Sample Contract
 List of Suggested Sources (include current vendor/contractor)
 Standard terms and conditions

Purchasing

8. Sends the information out to bid

Contracts

9. Addendum to Bids — Upon notification of a need to create an addendum to a bid for material, scope, bonds, extended bid date, etc., a representative from the Contract Group must immediately notify the purchasing agency and prepare the addendum. Twenty-four hour turn-around is required for processing information to send out to the contractors.

Service Agreement Award Process

63-36.0

Effective Date 7-1 -99

Revision Date

I. PURPOSE

Service agreements are awarded based on the results of a competitive bid. Bids that are received from contractors are evaluated and compiled in a Bid Tabulation by Purchasing. The Contract Coordinator issues a Notice to Proceed letter based on the Bid Tabulation and proceeds with the creation of an executable contract.

No information from a Bid Tabulation should ever be given to a contractor prior to the completion of a fully executable contract. After a contract is completed, the information from the Bid Tabulation becomes public information and can be provided to contractors if requested.

II. POLICY

Service agreement shall be awarded in accordance with the requirements set forth in the Utah Procurement Code.

III. PROCEDURE

Responsibility

Action

Purchasing

1. Purchasing sends a DFCM Contract Coordinator a copy of the bid that was sent out for review.

Contract
Coordinator

2. Within 48 hours of the closing date and time, DFCM Contract Coordinator receives the Bid Tabulation and a cover letter from Purchasing. No information from a Bid Tabulation should ever be given to a contractor prior to the creation of a fully executable contract.

3. The Contract Coordinator reviews the Bid Tabulation within 36 hours and returns the letter with a recommended retains a copy of the recommendation letter and a copy of the potential bidder's quote/bid for the file.

4. DFCM receives a contract from Purchasing and DFCM forwards four copies with a Notice to Proceed Letter to than forty-eight hours after it is received from Purchasing. Example: If a contract is received from Purchasing on Friday, the contract should be issued no later than Tuesday of the following work week. If a contract is received on Thursday, it should be issued on Friday.

5. The originals are placed in the file awaiting the return of the signed contract. The file is flagged and placed in the file cabinet awaiting return of the signed contract.

Service Agreement Award Process

63-36.0

Effective Date 7-1 -99

Revision Date

6. When the contract comes back from the vendor it is reviewed for proper signatures, witness information, entered into ProStat (FME) for tracking, and then forwarded by transmittal for signature to:

- DFCM Accounting Budget Officer
- Managing Facility Coordinator
- Purchasing
- Finance

7. Upon return of the signed contracts, distribution is made accordingly:

Original	
Contract/Vendor	Notice to Proceed Letter and copy of fully executed contract
Contract File	Copy of Notice to Proceed and fully executed contract
Purchasing	Fully executed contract (Purchasing keeps one during signature process)
Finance	Fully executed contract (Finance keeps one during signature process)

- | | |
|----------------------|--|
| Budget Acct Officer | 8. Copy of Notice to Proceed Letter and fully of executed contract |
| Contract Coordinator | 9. ProStat (FME) is updated and payment process begins. |

Contract Payments**63-37.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

Payment approvals are the mechanism by which the contractor's invoices are approved for payment. Payment approval allows for legitimate requests for payments to be processed and identified inaccurate or incomplete ones.

II. POLICY

The Contract Coordinator of the Contract Services Manager shall approve each invoice prior to its payment in accordance with requirements set forth by the Utah Procurement Code. Facility Coordinators may be contacted for review of payment approvals.

III. PROCEDURE**Responsibility****Action****ISF Accounting**

1. All service contracts must be stamped by ISF Accounting and forwarded to the Contract Services Group.

**Contract
Coordinator**

2. A member of the Contract Services Group reviews each invoice and approves or disapproves it by auditing the contract file against the invoice. The assigned person:

- Verifies services were received
- Verifies that the invoice amount and description matches the contract amount and description
- Ensures amount is accurate for the service period being invoiced
- Circles the amount to be paid or adjusts the amount to be paid, initials, and dates. If the amount is adjusted, the Contract Coordinator will call the vendor to alert them to the mistake and will write an explanation on the invoice.
- Enters approved payment into ProStat under payments (place summary in file)
- Copies invoice for file, placing copy behind payment history sheet
- Forwards original to Accounting
- Returns file to the Contract File

3. If approved, write Approval for Payment, the date, and their initials, and forwards the invoice for payment by ISF Accounting.

4. If unapproved, the Contract Coordinator discusses the concern with the Facility Coordinator and contractor.

5. After discussion, the Contract Coordinator may approve the invoice and forward to ISF Accounting or place the payment on hold and notify the contractor of the need to provide additional information.

6. If the invoice is placed on hold, it is re-evaluated by the Contract Coordinator

ProStat Updates**63-38.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

ProStat is DFCM's information tracking system for projects. Following the creation, distribution, or receipt of information associated with contracts, the Contract Coordinators must update ProStat. By continually entering the latest contract information, a documentation of the contract process is created and the current status of the contracts is available for all interested parties.

II. POLICY

ProStat shall be updated after a request for contract, receipt of initialed contract, the signature process, and notice to proceed. Updates shall be completed in a timely manner.

III. PROCEDURE

Contract Coordinator	Updates ProStat at each of the following stages: Request for Contract Receipt of Initialed Contract Signature Process Notice to Proceed
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Quality Assurance Audits**63-39.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

Quality assurance audits are evaluations conducted to compare performance with a contractual standard. These audits are performed on services provided by suppliers, vendors, contractors, and sub-contractors. Audits conducted in the spirit of customer/contractor/vendor satisfaction can be beneficial since they identify expectations and opportunities for improvements. They are not intended to be punitive, rather they are conducted in a cooperative manner.

In cases in which the audit indicates that contractor is in non-conformance with the contract, the Contract Coordinator will give the contractor an opportunity to improve the performance. After such opportunities have failed, the contract will be terminated following the contract cancellation process.

II. POLICY

Contractors holding services contracts with DFCM shall be audited at least annually by the Contract Service Group. Other DFCM representatives may perform additional audits more frequently.

III. PROCEDURE

Responsibility

Action

Contract
Coordinator or
Contracts Service
Manager

1. Prior to an audit of a supplier, vendor, contractor, or subcontractor, the auditor from the Contract group will review the criteria set through the bidding and contract process and identify by the contractual responsibility agreed to by the contractor.
2. Audit plans are prepared, reviewed and approved prior to execution. Audit plans include:
 - Identification of organization and work areas that will be audited
 - Identification of location, time, and dates of duration of the audit
 - Identification of documents that specify criteria against which the work will be measured
 - Identification of employees participating in the audit
 Form QACOO I (Schedule of Audit) is used. This will vary with the type of use, such as Preventive Maintenance, Service Contract, etc.
3. Based on these plans, a representative from the Contract Group will develop a checklist of items to audit. Use form QACOO2 (Checklist of Audit Services). This will vary with contract and type. The checklist must be specifically developed to fit the audit type, the client, and the auditee.

Quality Assurance Audits

63-39.0

Effective Date 7-1 -99

Revision Date

Contract Coordinator,
 Facility Coordinator, or
 Other DFCM Rep.

4. Perform the audit. Scheduled audits must be conducted with both parties present. However, unscheduled audits may occur at times in which the contractor is not present.

5. Following an audit, the Auditor completes a Report of Findings which is placed in the Contractor/Vendor File. If the audit shows deficiencies in performance, the Auditor proceeds to the next step.

If a non-conformance with the contracted responsibilities is apparent and documented in the audit, the DFCM establish a time period in which the non-conformance must be remedied. The DFCM representative will give the contractor a copy of the Observation/Audit Findings form which identifies the level of non-conformance, a corrective action response, and the time frame allowed for the correction of the problem using form QACOO3 (Corrective Action Report).

The following is a classification guide to be used to clarify the levels of seriousness as applies to audits.

Class	Nature
Critical	Critical to personal safety or essential to proper function of a worksite. Describes defects which can endanger life or make the machine inoperative. Example:
Major	Affects the general function of a machine or worksite. Describes defects which might affect the function of essential parts of appearance. Example: Elevator bell does not ring on every floor.
Minor	Affects the function of parts or appearance not essential to user. Example: Minor paint runs, misaligned decals, loose door panel, trash can was not emptied.

Contractor

6. Given time to remedy non-compliance.

Facility Coordinator
 Or Contract
 Coordinator

7. Responses to corrective action are reviewed and approved by the Facility Coordinator or DFCM representative. A justification of the rejection of corrective action responses is documented by the Facility Coordinator or DFCM representative. Verification of the approved corrective action is performed by the Facility Coordinator or DFCM representative.

8. The DFCM representative performs a follow-up audit to verify that the contractor is in compliance and then files a Report of Findings with the Corrective Action Report form in the contractor/vendor file.

Quality Assurance Audits

63-39.0

Effective Date 7-1 -99

Revision Date

9. Audit records shall be maintained as part of DFCM's audit program. Records are available to vendor representatives for review as requested.
10. The following audit documentation is retained for seven years
 - Report of Findings
 - Non-conformance Reports
 - Corrective Action Reports

Roofing/Paving Contracts Under \$2000**63-40.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To define the procurement policy for roofing and paving small construction expenditures less than \$2,000.

II. POLICY

Roofing/paving expenditures under require a Purchase Order. Split POs for the same project/work is in violation of code and will not be accepted.

III. PROCEDURE

Responsibility	Action
Project Manager	<ol style="list-style-type: none">1. Determines that the request is contract-related and > \$2,0002. Obtains Purchase Order number through P0 System program3. Gives P0 number of contractor
Contractor	Invoices Project Manager
Project Manager	<ol style="list-style-type: none">4. Matches invoice with P0 number5. Verifies that work is satisfactorily complete6. Approves invoice for payment7. Forwards approved invoice to Project Assistant
Project Assistant	<ol style="list-style-type: none">8. Makes copy of approved invoices for files9. Forwards original invoice to Project Accounting

Roofing/Paving Contracts \$2000 - \$4999.99**63-41.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To provide guidelines to secure roofing and paving contracts \$2,000.00 - \$4,999.99.

II. POLICY

Roofing and paving contracts \$2,000.00 - \$4,999.99 shall be secured using the following procedure in accordance with Utah State Code.

III. PROCEDURE

Responsibility	Action
Project Manager	1. Requests contractor from Contract Coordinator base one: Project location Services required (includes roof type and specifications) Date required Estimates
Contract Coordinator	2. Reviews contractor rotation list with Project Manager to select contractor
Project Manager	3. Obtains written proposal from contractor 4. Prepares contract request memo for Program Director's approval
Program Director	5. Forwards approved contract request memo to Project Assistant
Project Assistant	6. Makes cop of approved contract request memo 7. Starts project file 8. Forwards contract request memo to Contract Coordinator
Contract Coordinator	9. Issues short form construction contract 10. When signed contracts are returned from contractor, routes for DFCM and Finance approval. 11. Issues notice to proceed to contractor
Contractor	12. Invoices Contract Coordinator
Contract Coordinator	13. Attaches FINET Price Agreement Summary and forwards to Project Manager for approval
Project Manager	14. Verifies work is complete 15. Approves and dates invoice 16. Forwards to Project Assistant

Roofing/Paving Contracts \$2000 - \$4999.99

63-41.0

Effective Date 7-1 -99

Revision Date

Project Assistant

- 17. Copies invoice for project file.
- 18. Forwards invoice to Projects Accounting.

Project Accounting

- 19. Issues payment

Roofing/Paving Contracts \$5000 - \$14999.99**63-42.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To provide guidelines to secure roofing and paving contracts \$5,000.00 - \$14,999.99.

II. POLICY

Roofing and paving contracts \$5,000.00 - \$14,999.99 shall be secured using the following procedure in accordance with Utah State Code.

III. PROCEDURE

Responsibility	Action
Project Manager	<ol style="list-style-type: none"> 1. Requests a minimum of two contractors from Contract Coordinator based on: <ol style="list-style-type: none"> Project location Services required (includes roof type and specifications) Date required Estimates
Contract Coordinator	<ol style="list-style-type: none"> 5. Reviews contractor rotation list with Project Manager to select contractors.
Project Manager	<ol style="list-style-type: none"> 6. Develops scope of work and distributes to contractors. 7. Obtains written proposals from contractors. 8. Reviews proposals for procedural compliance. 9. Prepares contract request memo for Program Director's approval.
Program Director	<ol style="list-style-type: none"> 10. Forwards approved contract request memo to Project Assistant.
Project Assistant	<ol style="list-style-type: none"> 11. Makes copy of approved contract request memo. 12. Starts project file. 13. Forwards contract request memo to Contract Coordinator.
Contract Coordinator	<ol style="list-style-type: none"> 14. Issues short form construction contract. 15. When signed contracts are returned from contractors, routes for DFCM and Finance approval. 16. Issues notice to proceed to contractor.
Contractor	<ol style="list-style-type: none"> 17. Invoices Contract Coordinator

Roofing/Paving Contracts \$5000 - \$14999.99**63-42.0****Effective Date 7-1 -99****Revision Date**

Contract Coordinator	18. Attaches FINET Price Agreement Summary and forwards to Project Manager for approval.
Project Manager	19. Verifies work is complete 20. Approves and dates invoice. 21. Forwards to Project Assistant.
Project Assistant	22. Copies invoice for project file. 23. Forwards invoice to Projects Accounting.
Projects Accounting	24. Issues payment

Roofing/Paving Contracts \$15000 - \$49999.99**63-43.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

Provide guidelines to secure roofing and paving contracts between \$15,000 and \$49,000.

II. POLICY

Roofing and paving contracts between \$15,000 - \$49,000 shall be secured using the following procedure in accordance with Utah State Code.

Responsibility	Action
Project Manager	1. Provide Contract Coordinator with location, scope and services required, date required, estimate of work, and specs if required.
Contract Coordinator	2. Prepare an Invitation to Bid and 4130 Bid Form to mail to all state roofing pre-qualified contractors.
	3. Hold mandatory walk through. The sign-in sheet and all field notes are given to the Contract Coordinator for the contract file.
	4. Within three business days finalize the detailed scope of work is faxed to attendees in an addenda.
Contractor	5. Submit bid
Contract Coordinators	6. Receive bids. Late bids are not considered. Mailed bids are date stamped and recorded. No faxed bids are accepted.
	7. Prepare a sign-in sheet and bid tabulation based on walk-thru attendees.
	8. Fax Bid Tabulation to participant.
Project Manager! Contract Coordinator	9. Bids are reviewed
	10. Proposal are recorded and validated
	11. Bid Tab, Technical Review and Procedural compliance is reviewed. Contract is awarded to lowest bidder that has met all requirements.
Contract Coordinator	12. Prepare contract request memo and forwards with copy of bid tab to Project Manager for approval.
Project Assistant	13. Obtain approval from Project Manager and Program Director.

Roofing/Paving Contracts \$15000 - \$49999.99**63-43.0****Effective Date 7-1 -99****Revision Date**

14. Make a project file copy
15. Forward original to Contract Coordinator
- Contract Coordinator 16. Issue contract
- Contract 17. Sign contract
- Contract Coordinator 18. Signed contract is received from Contractor and routed for DFCM and Finance approvals.
19. Issues Notice to Proceed
20. Receives invoice from contractor and forwards to Project Manager
- Project Manager 21. Verifies project completion, forwards approved invoice to Project Assistant
- Project Assistant 22. Makes copy for project file and forwards to Accounting for payment.

Contract Change Order Process**63-44.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

As contract needs change, change orders may be necessary to modify the original contract terms.

II. POLICY

Change orders shall be executed in accordance with the following procedures and Utah State Code.

Responsibility	Action
Contractor/agency/ DFCM	1. Request a change in contract
Project Manager	2. Call Contract Coordinator and request a change order, giving the following information: description, funding, start and ending date.
Contract Coordinator	3. Prepare electronic change order and faxes it to the contractor
Contractor	4. Approve the change order 5. Return a signed change order and contractor's proposal by fax
Project Manager	6. When applicable, the Project Manger prepares a written Change Order request using FM-2 for the agency's approval identifying the funding source. 7. Contractor's estimate is attached and forwarded to Contract Coordinator
Contract Coordinator	8. Prepare the Change Order, attaches estimate and forwards for Contractor. 9. Receive contractor signed change order 10. Obtain signatures 11. Forwards to Accounting for issuing
ISF Accounting	12. Accounting records and issues executed change order 13. Issues copy to Project Manager that becomes the project file copy
Contract Coordinator	14. Receives invoices and forwards to Project Manager for approval
Project Manager	15. Verifies that Change Order work ahs been completed 16. Approves invoices and forwards to Project Assistant
Project Assistant	17. Makes copy of Project File and forwards original to Accounting for payment.

Roof Leak Repairs**63-45.0****Effective Date 7-1 -99****Revision Date****I. PURPOSE**

To coordinate and expedite repair of roof leaks to minimize water damage to state-owned buildings.

II. POLICY

Roof leak repairs are to be coordinated through Project Assistant.

Responsibility	Action
Project Assistant	<ol style="list-style-type: none"> 1. Receives request for leak repair 2. Contacts roofing contractor to request repair services and supplies the following information. <ol style="list-style-type: none"> a. Building address b. Location of leak c. Type of roofing system d. Site contact person and telephone number e. Work order number 3. Initiates FME Work Request 4. Contracts DFCM construction specialist
Construction Specialist	<ol style="list-style-type: none"> 5. Contacts site contact person and/or visits site to assess damage 6. Estimates cost of repair and proceeds as follows <ol style="list-style-type: none"> a. Less than \$500 – proceed based on telephone notification and work order number b. \$500 - \$1999.99 – Project Manger approval required c. \$2,000 - \$4,999.99 – Small construction contract with one written proposal required d. \$5000 - \$14,999 – Small construction contract with at least two competitive bids required.
Contractor	<ol style="list-style-type: none"> 7. Invoices Project Assistant
Project Assistant	<ol style="list-style-type: none"> 8. Matches invoice with Work Order Number 9. Approves invoice for payment 10. Makes copy for file 11. Forwards approved invoice to Projects Accounting 12. Completes FME Work Request

Post Auditing of Scanned Financial Documents
Effective Date 10-15-02

63-46.0

Revision Date

I. POLICY

It is a Divisional requirement that all documentation be safeguarded to insure that document loss is not experienced.

II. PROCEDURE

Responsibility	Action
Scanning Tech.	Upon the completion of the scanning process all documents are returned to the originator of the documents for the post audit process
Acct. Tech.	Each Accounting individual is responsible for the post audit process for those documents entered into the accounting records by themselves. This post audit process is as follows: <ol style="list-style-type: none"> 1. The Voucher Number is recorded within Projectwise correctly 2. The Vendor name is recorded within Projectwise correctly 3. All scanned pages are complete 4. All scanned pages are in the correct sequence 5. All scanned pages are clear and can be read 6. All scans are placed within the correct folder 7. All signatures are visible and readable 8. All duplex documents have, where necessary, both sides scanned 9. The dollar amounts are visible and have clarity
Acct. Tech.	If during the post audit process a discrepancy is identified within a Projectwise folder, a scan audit form will be filled out identifying the discrepancy. The audit form will be affixed to the applicable Finet document and its documentation and returned to the scanning individual for correction of the discrepancy.
Scanning Tech.	The scanning individual will correct the identified discrepancy noted on the scan audit form, note the discrepancy has been corrected and return the audit form, Finet document, and all related documents to the applicable Accounting Technician for the re-audit process.
Acct. Tech.	The applicable Accounting Technician will re-audit the discrepancy document, sign the Scan Post Audit form and forward the form to his/her supervisor.
Acct. Tech.	Accounting Technician will maintain all scanned and post audited documents for one week to insure all Projectwise file scans have been backed up and there is <u>NO</u> chance of file loss.
Acct. Tech.	Destroy all scanned, post audited, and backed up Finet and backup documents.