# ACES Training

Office of General Counsel
Version 1.1

Effective date: January 2, 2018

# Table of Contents

## Appendix

Automatic Contract Entry System

# ACES TRAINING

# What is ACES?

- Acronym for Automated Contract Entry System
- Place where instruments are built, reviewed, and processed
- Centralized location for different bureaus to access instruments
- Permanent storage for instruments

# What has changed?

- Uniform process across Bureaus
- Marketing packet for vendors
- Single mail out to vendor
- Administration will review instrument before it goes to the SHO for signature (will contact bureau within 2 days if needs to go off track).
- Required documents will be attached later in the process

# ACES Roles & Requirements

<table>
<tr><th>ROLE</th><th>DESCRIPTION</th><th>REQUIREMENTS</th></tr>
<tr><td>Reader</td><td>Able to view instruments, but unable to enter or modify</td><td rowspan="4">1. Bureau Director emails OGC to request employee access.<br><br>2. OGC – email Employee Receipt and Acknowledgment for completion.<br><br>3. Employee completes Receipt and Acknowledgment form and returns original to OGC.</td></tr>
<tr><td>Data Entry</td><td>Able to enter instrument into ACES, but unable to check-in or send for approval</td></tr>
<tr><td>Contact Person</td><td>Able to enter instruments, review, and submit instruments to Bureau Director for approval</td></tr>
<tr><td>Bureau Director/Approver</td><td>Reviews, approves and checks-in instruments</td></tr>
</table>

# Preparing to Build

- Reference Contract Manager Checklist (A1).
- Program person provides/needs:
  - Application/proposal or  sole source letters
  - Vendor
  - Purpose
  - Effective dates
  - Responsibility parameters
  - Funding information

- Determine if you need to build a contract, grant, MOU, MOA or IMOU.
- Determine if you need a BAA.
- Select the correct template from the ACES library. (Instrument should be drafted in the default font, Arial 12).

# Instruments Defined

- Contract: used when services are being rendered in exchange for monies.
- Grant: used when monies are provided (given) for the good cause of something else (i.e. community, organization).
- MOA: used when the Department will be receiving payment/monies.
- IMOU: used intra Departmentally (which may contain monies that are moved around within the Department/counties).

- MOU: used when there is **NO** money.
- BAA: used when Protected Health Information (PHI) is being exposed (may be a stand alone or an attachment to instrument). It may be used when another party accesses, receives, maintains, or creates PHI on behalf of, or as part of a service provided to, the Department.
- Amendment: used to make any revisions/corrections to an original instrument (must be within the terms).

# Choosing the Correct Template

1. Use the most current template by selecting it from the ACES library.
   - Do this each and every time.
   - Do not use a template you have saved on your computer.
   - When templates are updated, emails are sent to all ACES users. However, if you are following the proper procedure and pulling the template from the ACES library, you will never be using an outdated template, even if you miss the email.

*Notices are sent to whomever is designated in ACES. If you are not receiving emails, you did not assign yourself a role under the Contact & Comments tab in ACES.*

2. Make sure you have selected the template that contains the clauses (HIPAA, etc.) you need.

# Prepare and Build

- Draft instrument in Ariel (font) 12 (size) and apply "DRAFT" watermark
- Contact vendor
  - Determine who the contact person is
  - How to send the draft instrument and marketing packet (A3)
- Send  instrument draft and marketing packet to the vendor

What is the marketing packet?

- Information packet for the sub-recipients of Grants and Contracts

What does it do?

- Provides contact information to the sub-recipient about you

- Provides information to the sub-recipient about ADPH's requirements

# Information Packet for Sub-Recipients of Grants and Contracts

This packet is intended to assist those entities entering into a grant or contract with the Alabama Department of Public Health (ADPH). This packet will assist your ADPH contact with setting up the grant or contract and getting it approved through the internal review process at ADPH. Your contact person's information is listed below.

ALABAMA PUBLIC HEALTH

## Your ADPH Contact Person:

Name:
Phone:
Email:

## Vendor Checklist:

To begin the contract process, ADPH will require the following from the vendor:

1. Organization's Name (this name must be the same name as the E-Verify from Homeland Security).
2. Address (must be exactly like the E-Verify {if street is spelled out on E-Verify, spell out here; if St. is used as the abbreviation, use the abbreviation}).
3. City, State, Zip (please include the plus-four codes).
4. DUNS number (make sure this DUNS number matches the E-Verify name).

This information is required when you are returning the Draft version of the contract.

Draft Version of the contract:

1. Please read over the contract (DO NOT SIGN AT THIS TIME).
2. If you have any changes you would like to make to the contract, please list those on a cover page when you return the DRAFT version back to ADPH.
3. If there are not any changes with the DRAFT, please use the cover sheet to state – NO CHANGES.

Email the DRAFT version (with cover sheet) and all the other required information back to the representative at ADPH.

In order to expedite your contract and get everything through our system, we ask you to return this information as quickly as possible. This procedure can be done via email with your ADPH contact.

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After this is submitted, please verify the following systems have correct and current information:

1. Vendor Self Service System (VSS) portal - https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService
2. E-Verify - https://www.uscis.gov/e-verify

All required documents will be requested at the same time as the final signed contract. Please identify the required documents and begin gathering information to expedite the final signature process. Your ADPH contact person can provide any documents that are drafted by ADPH.

# DRAFT Contract/Grant Response Cover Sheet

Entity Contact Person:

Entity Contact Person Email and Phone:

Entity Name:

Entity Address:

Entity Address (2):

Entity City, State, Zip:

Entity DUNS Number:

Requested Changes to Drafted Contract:

## Required Elements for ADPH Grants and Contracts

**Business Association Agreement (BAA)** – A BAA is needed when the contracting party or entity creates, receives, maintains, or transmits protected health information (PHI) for ADPH, unless it meets an exception. Required if:

1. PHI is being disclosed, and
2. The entity is not part of ADPH's workforce (workforce members include employees, volunteers and trainees), and
3. The PHI does not meet any of these exceptions:
   a. PHI is de-identified.
   b. Relationship is for transport services (e.g., postal service or courier).
   c. Claim being sent to health plan, payment to a provider, or a fund transfer to financial institution.
   d. PHI being disclosed to Health Oversight Agency as part of a federal or state program.
   e. Information provided as a response to law enforcement or subpoena.
   f. Office of General Counsel has informed you that you are legally required to report the information.
4. The information is not being disclosed for official investigation or proceeding approved by ADPH's Privacy Officer, and
5. The PHI is not being disclosed to an insurance plan for payment purposes, and
6. The PHI is not being disclosed for research purposes.

*PHI includes: name, address, date of birth, diagnosis, social security number, or other demographic information that would identify the individual.

**Budget Template** – A budget is required for all grants to show how the funds will be expended along with justifications for each spending category.

**Certificate of Compliance (or Beason-Hammon)** – A certificate of compliance is required for grants/contracts that must be competitively bid or that require submission to the Contract Review Permanent Legislative Oversight Committee.

1. **DUNS** – Required with $.01 or more federal funding. The preferred place to obtain a DUNS number is Dun & Bradstreet. https://grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html

**E-Verify** - Used only if the vendor has at least one employee within the state of Alabama and the grant or contract is for more than $1,500.

**FFATA** – This is required if:

1. Agreement type is a grant, and
2. Grant total is $25,000 or greater, and
3. Funds originate from the federal government (CDC, HRSA, USDA, etc).

**Immigration Status Form** – Only used for individuals or sole proprietorships.

**Indirect Cost Rate Agreement** – The federally negotiated rate must be provided if the vendor is requesting more than a 10 percent indirect rate. If a lower rate is used, a letter acknowledging the lower rate must be submitted. If the 10 percent rate is used in lieu of a federally negotiated rate, a letter stating no such rate has been established must be submitted.

**Vendor Disclosure Statement** – Required with all proposals, bids, contracts, or grants greater than $5,000.

**Vendor Self Service System (VSS)** – VSS is part of the state financial system (STAARS) and is how ADPH Finance Division and the State Comptroller make payments to vendors. All vendors must be registered in STAARS and should verify that the information in STAARS matches the information on invoices prior to submitting them for payment. Failure to do so will result in delayed payments. Link: https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService

**W-9** – Required for any individual or entity (Form W-9 requester) that is required to file an information return with the IRS.

- Receive and review instrument draft and marketing packet from vendor
- Remove watermark “draft” from instrument and save
- Verify DUNS and save as a PDF **https://www.dandb.com/advanced-search**
- Identify state agency #
- Obtain bureau log #
- Build/enter into ACES*

* Do not rename your instrument after it goes through Legal Review and E-Sign, and do not scan and attach an updated version of the instrument in ACES.

# Escalation Process

- TWO GOALS
  - Receive approval of the draft instrument from the vendor within 8 days of initiation
  - Receive draft instrument and all required attachments within 20 days of initiation
- Provides steps you are to use when a vendor is slow to respond or fails to respond
  - Refer to the Escalation Process handout (A7)

## *Overview of Escalation Process – Two Parts*

### Contract Initiation (8 days)

1. Within 3 days, contract manager or program person should contact the vendor to provide assistance if needed with completing forms or answering questions.

2. Two days later, if the vendor has not accepted the draft, the Program Manager or Division Director should contact the vendor.

## *Overview of Escalation Process – Two Parts*

## Receipt of Final Packet (20 days)

1. Allow 12 days to receive original signed instrument & forms via mail. After 12 days have elapsed, the Contract Manager or Program Person should contact the vendor to verify it was received.

2. Allow 5 more days. If the final instrument and forms have not been received, the Program Manager or Division Director should contact the vendor.

3. To be used at the discretion of the Division Director:

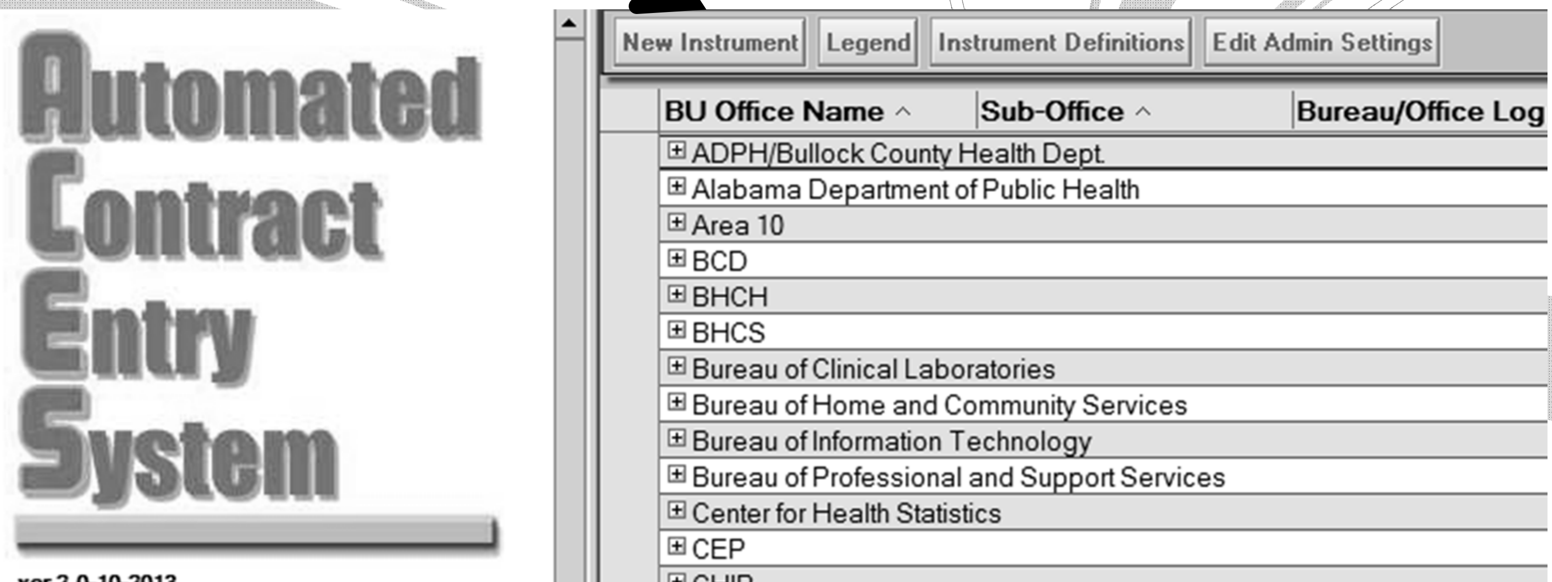
   a. Bureau Director should contact contractor/sub-recipient if there is any difficulty in receiving forms from the contractor/sub-recipient, or they are non-responsive to first two steps.

   b. Program Person could request meeting/call with Grant Accountant, Contract Manager, and Division Director for financial direction to assist the contractor/sub-recipient.

c. Program Person could request meeting/call with Legal, Contract Manager, Bureau Director, and Division Director for direction to assist the contractor/sub-recipient with the instrument or any of the forms (instruction, clarification, necessity).

# Building

1. Reference the Contract Manager Checklist (A1).
2. Choose New Instrument.



3. Follow the associated prompts. Refer to ACES Build Questions FAQs to ensure you are responding to the prompts appropriately.

# ACES Build FAQ

## Question: Select an Instrument you wish to create.

Policy #2016-011 from Legal defines a contract, grant, IMOU, MOA, MOU, Blanket Approval, BAA

## Question Series: Business Associate Agreement Determination

A BAA is required if:

- PHI is being disclosed
- The entity is not part of ADPH's workforce (workforce includes employees, volunteers and trainees)
- PHI does not meet the exceptions listed in ACES

*A BAA is NOT required if disclosures are being made to a health care provider for treatment of an individual.*

## Question: Is the entity that is receiving PHI considered part of the workforce?

Another way to ask this: Is PHI being disclosed to an ADPH employee, volunteer, or trainee?

(Example: Some agreements exist between ADPH bureaus. In these situations, the answer is “yes.”)

## Question: Is the sub-recipient or contractor the federal government?

Another way to ask this: Are we awarding the funds to the federal government for activities? (Example: Environmental provides funding through a grant or contract to the US Department of Agriculture. This is an award distributed to the federal government).

## Question: Does business entity or employer employ one or more persons in the State of Alabama?

Answering yes means that the system requires Certificate of Compliance and E-Verify.

## Question: Tangible goods?

Contracts are only utilized to obtain professional services, not tangible goods. Training is considered a professional service.

## Question: Insurance?

All insurance obtained for the Department must be approved by the Department of Finance Division of Risk Management prior to issuance and payment.

## Question: Is this a Disaster Agreement?

A disaster agreement is any instrument in which the purpose and/or deliverables are primarily used to support emergency response. This could be a contract or grant that would secure services, such as ambulance services, needed to respond to a disaster.

## Question: Select the Amount

Your answer to this question tells ACES whether to include several different sections such as FFATA and Certificate of Compliance.

## Question: Computer/IT Related

If yes, there is a required IT review.

Example: Purchasing development of databases, services for implementation of software, software support. Note: Tangible software is purchased through a PO.

## Exemption to Act 2001-956 (Competitive Bidding Statute):

Another way to ask this question: Is this contract subject to competitive bidding? (No bidding is required when the entity is providing hands-on direct health care services or sole source.)

Yes – bidding is not required

No – bidding is required

## Do you want to save this ______?

Answering yes finalizes the build and it cannot be changed. Answering no will return to the beginning of the build.

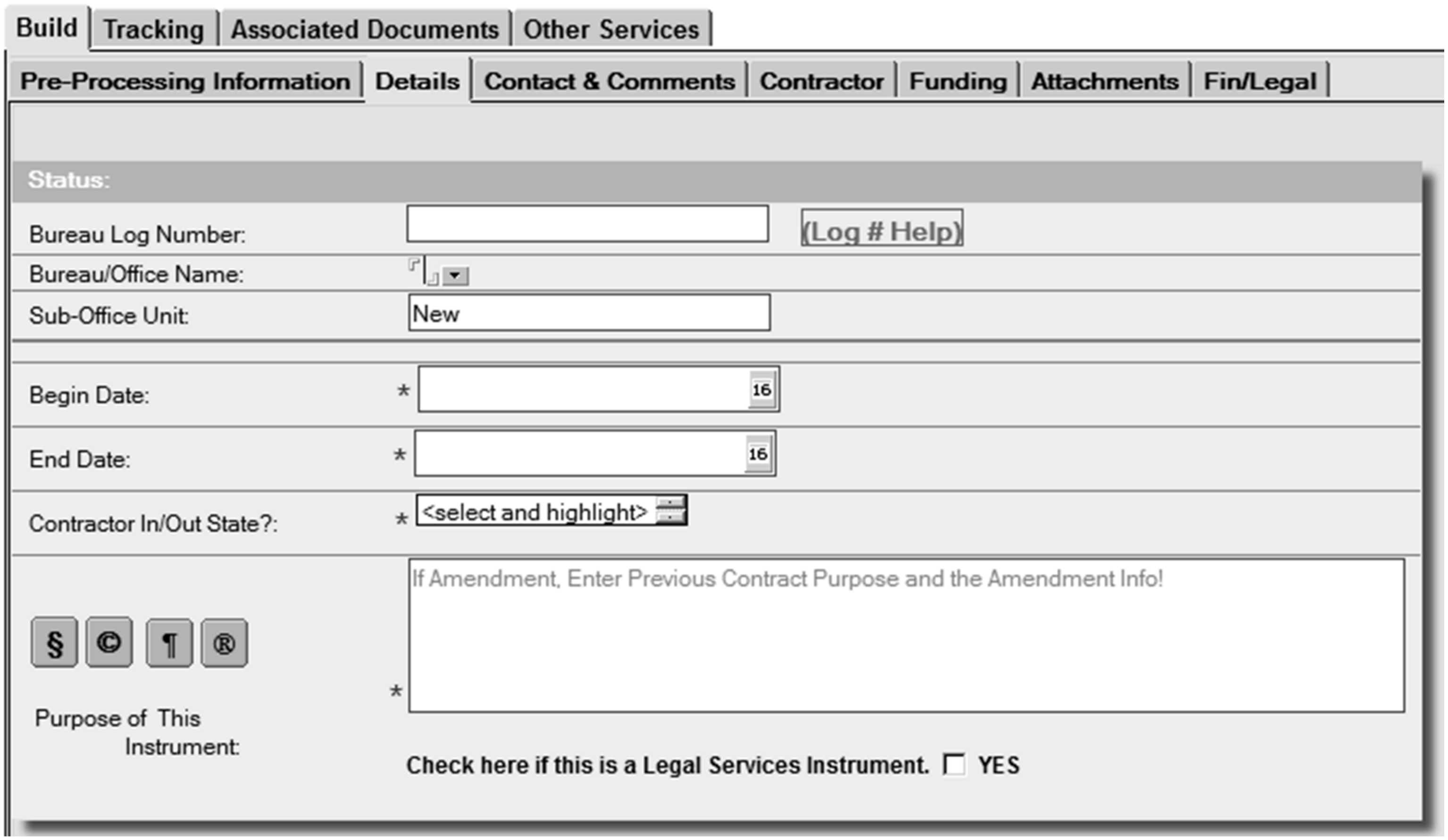
5. Fill in the appropriate information relating to your instrument using the tabs pertaining to the instrument you just created.

6. Verify the information in the Pre-Processing Information tab is correct for the instrument you intended to build.


***Reminder:***

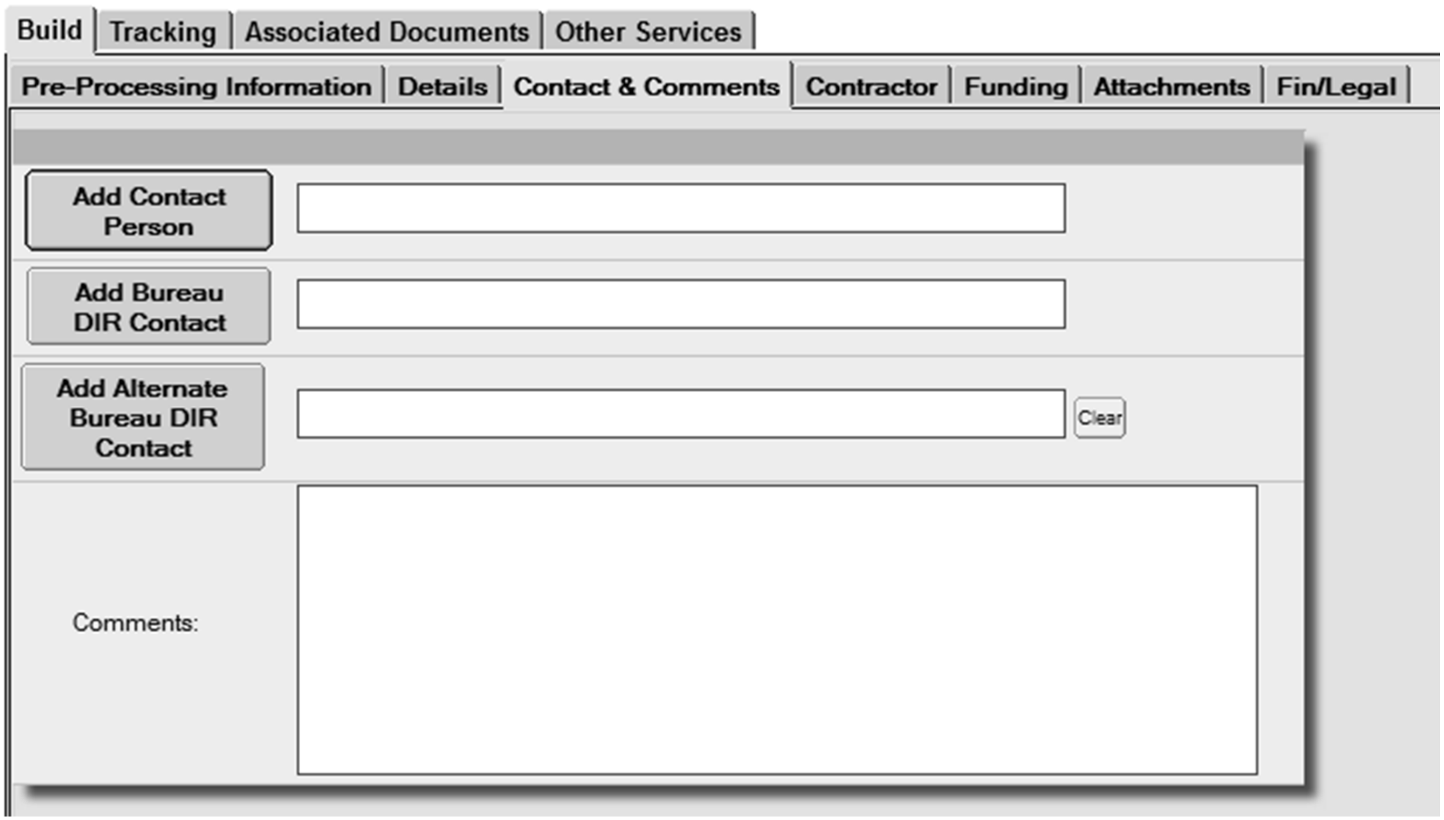
*Information must match the information provided in the E-Verify exactly. If something is abbreviated on E-Verify, abbreviate it in ACES and on all instruments and attachments/forms.*

7. Enter the appropriate information into the Details tab.

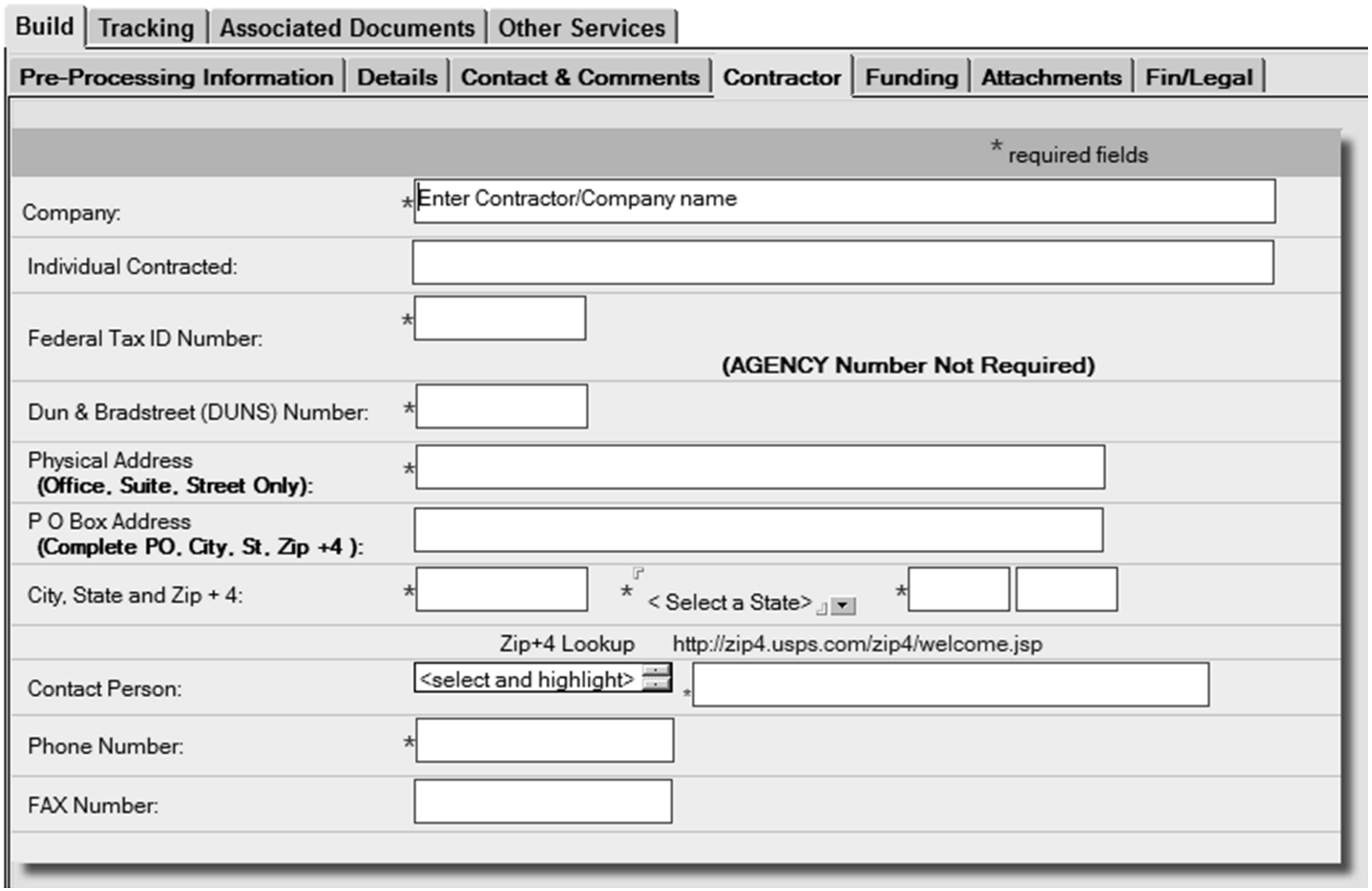



***On the details tab, remove your name from the Bureau/Office name field, and replace it with the correct name.***

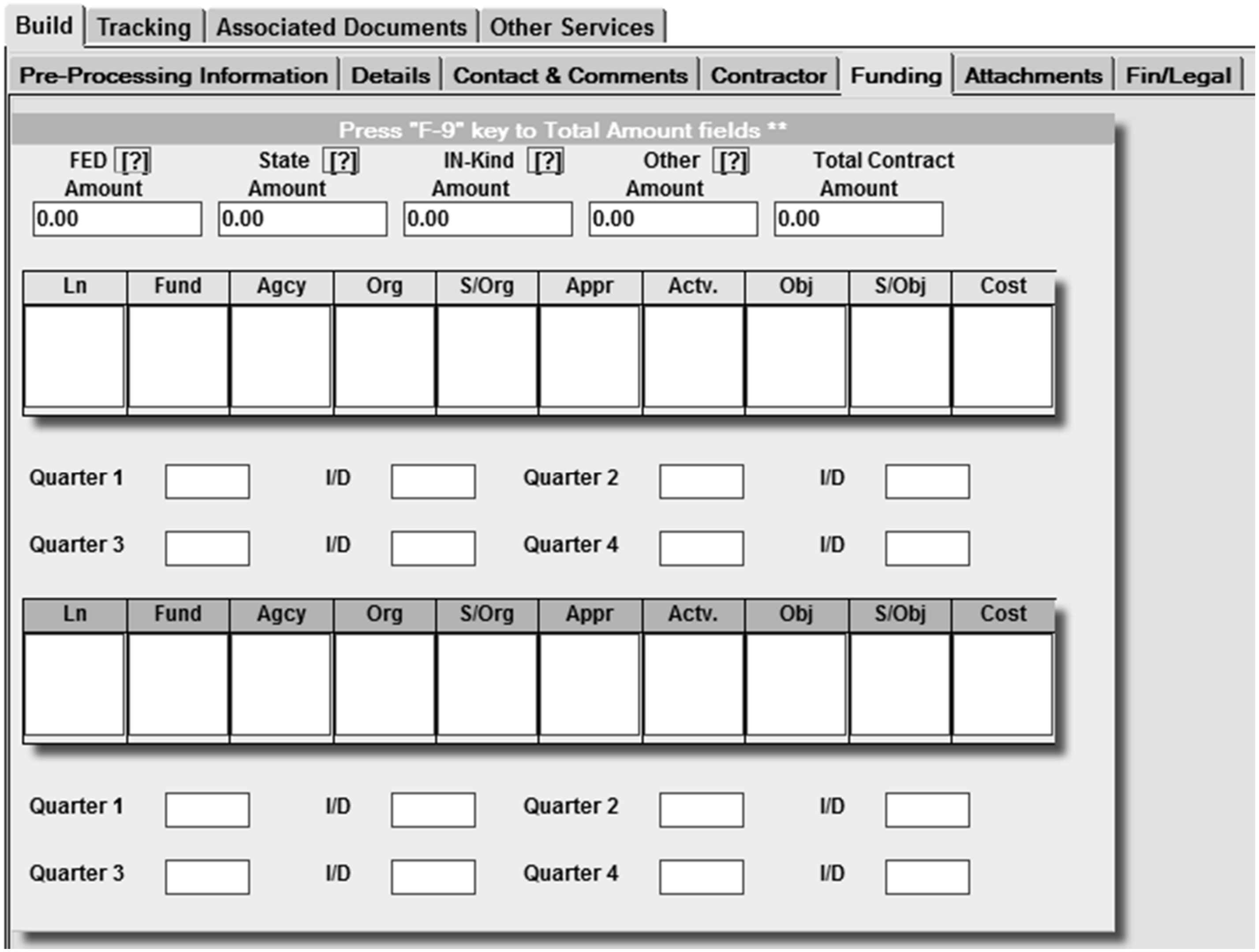
8. Enter the appropriate information into the Contact & Comments tab.



9. Enter the appropriate information into the Contractor tab.



10. Enter the appropriate information into the Funding tab.



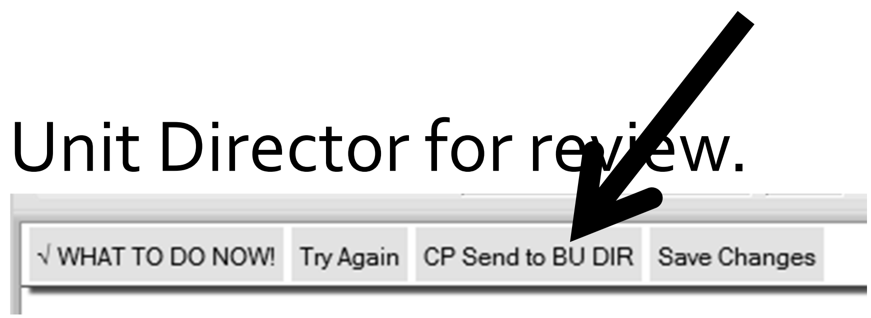
# Examples of Consistency

| E-VERIFY | CORRECT | INCORRECT |
| --- | --- | --- |
| ST | ST | Street |
| ABC Corporation | ABC Corporation | ABC Corp. |
| Limited | Limited | Ltd. |
| ABC Hair | ABC Hair | ABC Hair Inc. |

11. Attach the instrument and all required documents in ACES. (Examples: Certificate of Compliance, Disclosure Statement, E-Verify, Budget, Indirect Cost Agreement , DUNS). You may attach a placeholder file (blank.pdf ) in ACES.

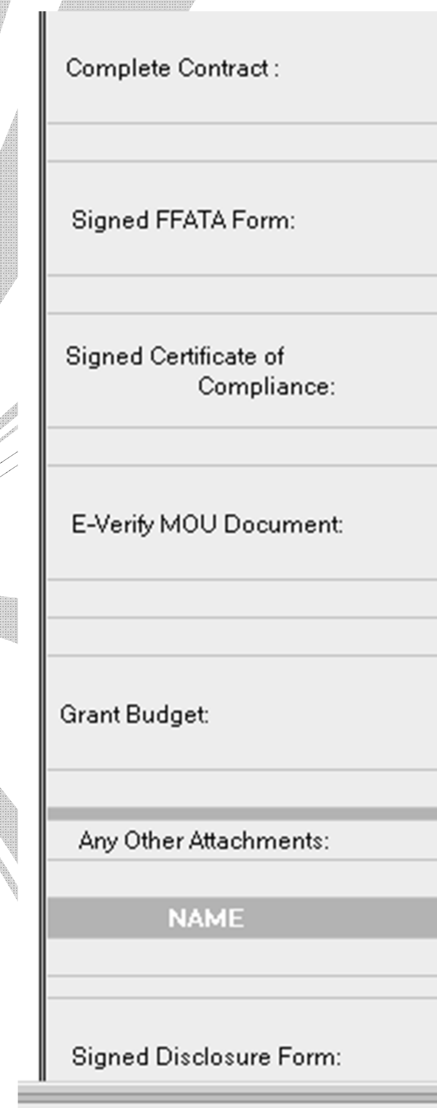
12. If applicable, attach sole source letters and related checklist. Two sole source letters are required. One should be from the vendor and one should be from ADPH.

13. Send to the Budget Unit Director for review.



# Bureau Director Review

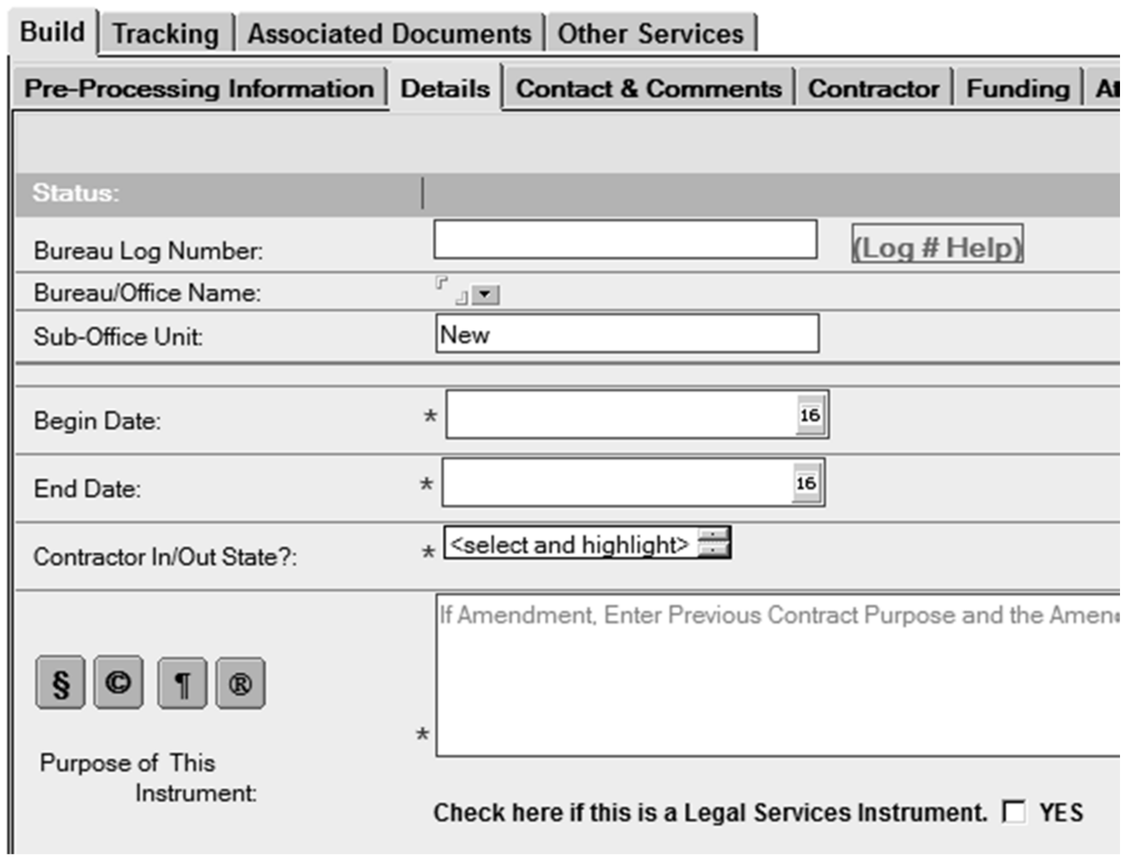
1. Reference the Bureau Director Checklist (A11).
2. Attachments tab – Open instrument
3. Verify that it is the correct instrument (MOU/MOA/Grant/Private Entity) and that it is on the most current template.
4. Verify that the build is correct (e.g. was a FFATA, COC, BAA needed).



5. Review instrument:
    a. Deliverables (department shall/vendor shall)
    b. CFDA# and NOA#
    c. Clauses
    d. Progress report dates
    e. Billing (monthly, quarterly, etc.)
    f. Closeout clause (30, 60, 90 days)
    g. Check signature page (FEIN and address)

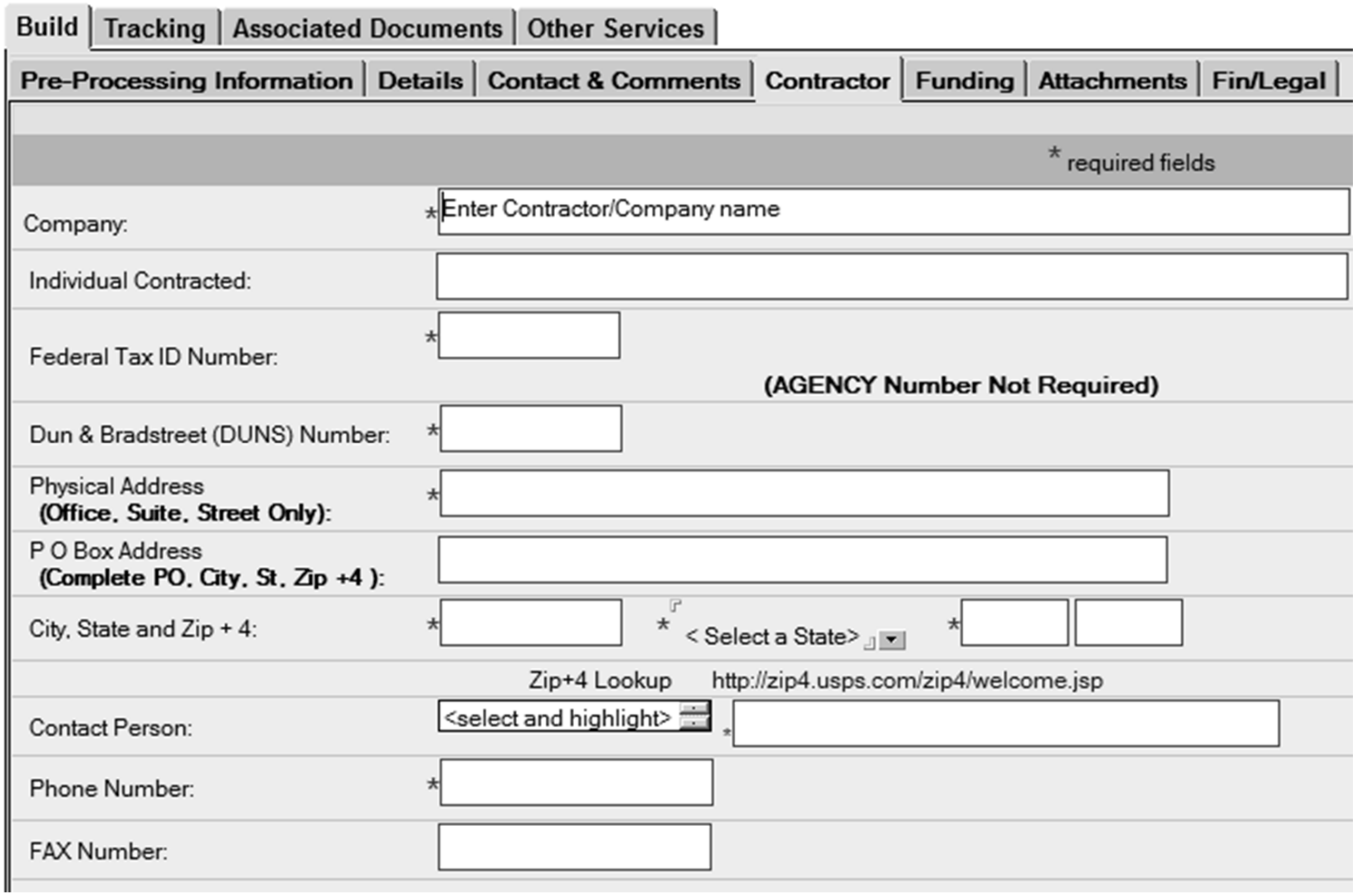
*Please note that everything should be grammatically correct and match E-Verify exactly.*

6. Review Details tab for accuracy and completeness.




*Please note that everything should be grammatically correct and match E-Verify exactly.*

7. Review  Contractor tab for accuracy and completeness.



Build | Tracking | Associated Documents | Other Services

Pre-Processing Information | Details | Contact & Comments | Contractor | Funding | Attachments | Fin/Legal

* required fields

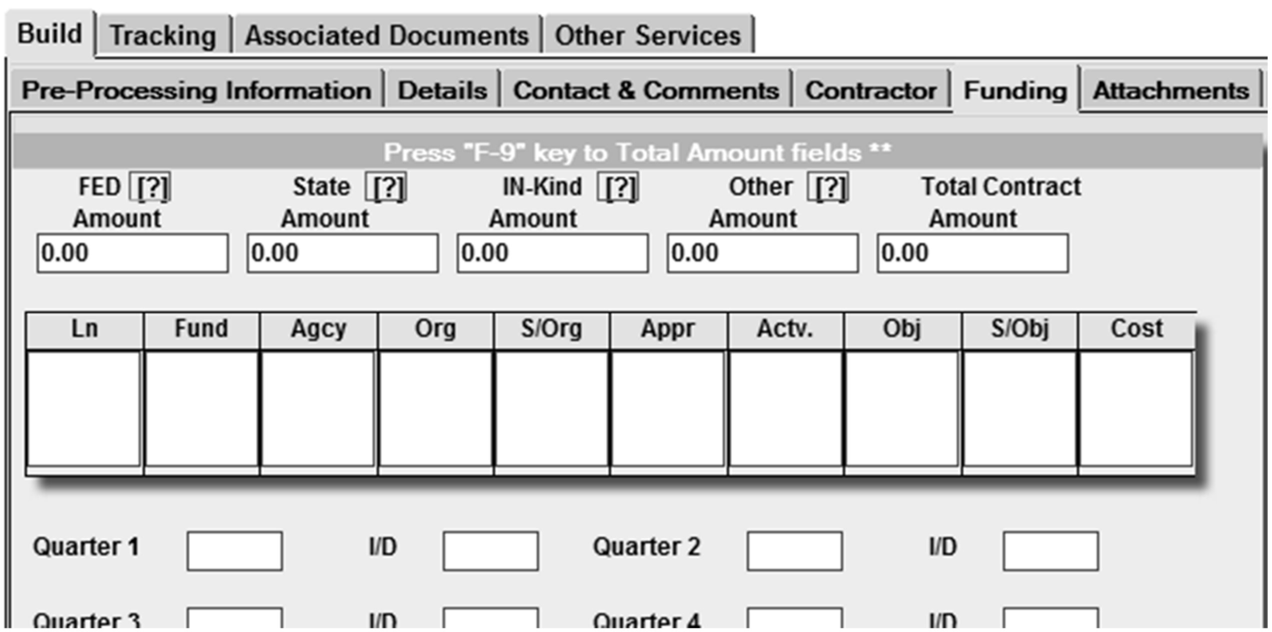
| | |
|---|---|
| Company: | * Enter Contractor/Company name |
| Individual Contracted: | |
| Federal Tax ID Number: | * |
| | **(AGENCY Number Not Required)** |
| Dun & Bradstreet (DUNS) Number: | * |
| Physical Address **(Office, Suite, Street Only):** | * |
| P O Box Address **(Complete PO, City, St, Zip +4 ):** | |
| City, State and Zip + 4: | * * < Select a State> * |
| | Zip+4 Lookup http://zip4.usps.com/zip4/welcome.jsp |
| Contact Person: | <select and highlight> * |
| Phone Number: | * |
| FAX Number: | |

*Please note that everything should be grammatically correct and match E-Verify exactly.*

8. Review Funding tab for accuracy and completeness.

   a. Ensure fund and object codes are correct.
      0800 contract/1100 grant.

   b. Federally funded grants greater than or equal to $25,000 must have a FFATA.



9. Review the Cover Sheet tab under the Associated Documents tab for accuracy and completeness. Make sure the yellow highlighted fields are correct.

9. If everything is correct, click "BU Director Check In."

10. Sign and date the Bureau Director Checklist (A11). This must be submitted in hard copy form to Legal with the instrument and all attachments.

# ACES Build

**Determine Instrument to Build**

- ❑ Instrument Type (i.e.: Contract; Grant)
- ❑ Disposition of Instrument (i.e.: Original; Amendment)
- ❑ Business Type (i.e.: State Agency; Private Entity)
- ❑ Type Funding (i.e.: Federal; State)
- ❑ Amount of Transaction

# Six Types of Instruments

1) CONTRACT (Funded)
2) GRANT (Funded)
3) MOA (May/May Not Contain Funding)
4) IMOU (May Contain Monies)
5) MOU (No Funding)
6) BAA (No Funding)

**Note, AMENDMENT TO ANY INSTRUMENT**

# To Build a Grant

New Grant with State Agency & Federally Funded

Step 1: Instrument type is **Grant**

Step 2: No **Protected Health Information** (PHI) (No BAA)

Step 3: Sub-recipient is not Federal Gov.

Step 4: Employer **employs 1 or more persons** in the State of Alabama

Step 5: Not for purchase of **tangible goods**

Step 6: **Federal Funding**

Step 7: No **Cash Management, Advancement**

Step 8: No **Insurance**

Step 9: No **Disaster Agreement** (purpose and/or deliverables are not for use to support emergency response)

Step 10: **New** Grant (Instrument **Disposition**)

Step 11: **Amount** is $1,500 and up

Step 12: **Contractor Type** is **State Agency/ University or Fed Gov**

Step 13: **Yes** this is **State Agency, Board or Commission**

Step 14: **Not Computer/IT Related**

Step 15: **Federal Grant Amount $134,162.00**

Step 16: **FFATA Information Required**

Step 17: **THIS IS THE STEP WHERE YOU EITHER SAVE OR DISCARD THE BUILD!**

# Note:

- **FFATA** is R**equired** for this Federal Grant (Fed Funding greater than or equal to $25,000; be sure to enter FFATA information on fields in Associated Documents Tab).

- Information should be entered into FFATA Information Fields on the Associated Documents tab and is **Required** to be Checked In to ACES.

## THE GRANT BUILD IS NOW COMPLETE!

# There are a few additional steps to complete in order to get the file ready to have the Contact Person Send to the Budget Unit Director (CP Send to the BU DIR)

**Complete all Required Information in all TABS of the ACES file beginning with:**

1) **Pre-Processing (Review of);**

2) **Details (Enter information);**

3) **Contact & Comments (Enter information);**

4) **Contractor (Enter information);**

4) **Funding (Enter information);**

5) **Associated Documents (Enter information);**

Note: Complete the Required Information anywhere you find a red asterisk.

Note: On the Associated Documents Tab you will complete the Required Documents pertaining to the build and enter any required information in the yellow highlighted boxes.

# PRE-PROCESSING INFORMATION TAB: Review this Tab which should read as the Instrument was Built

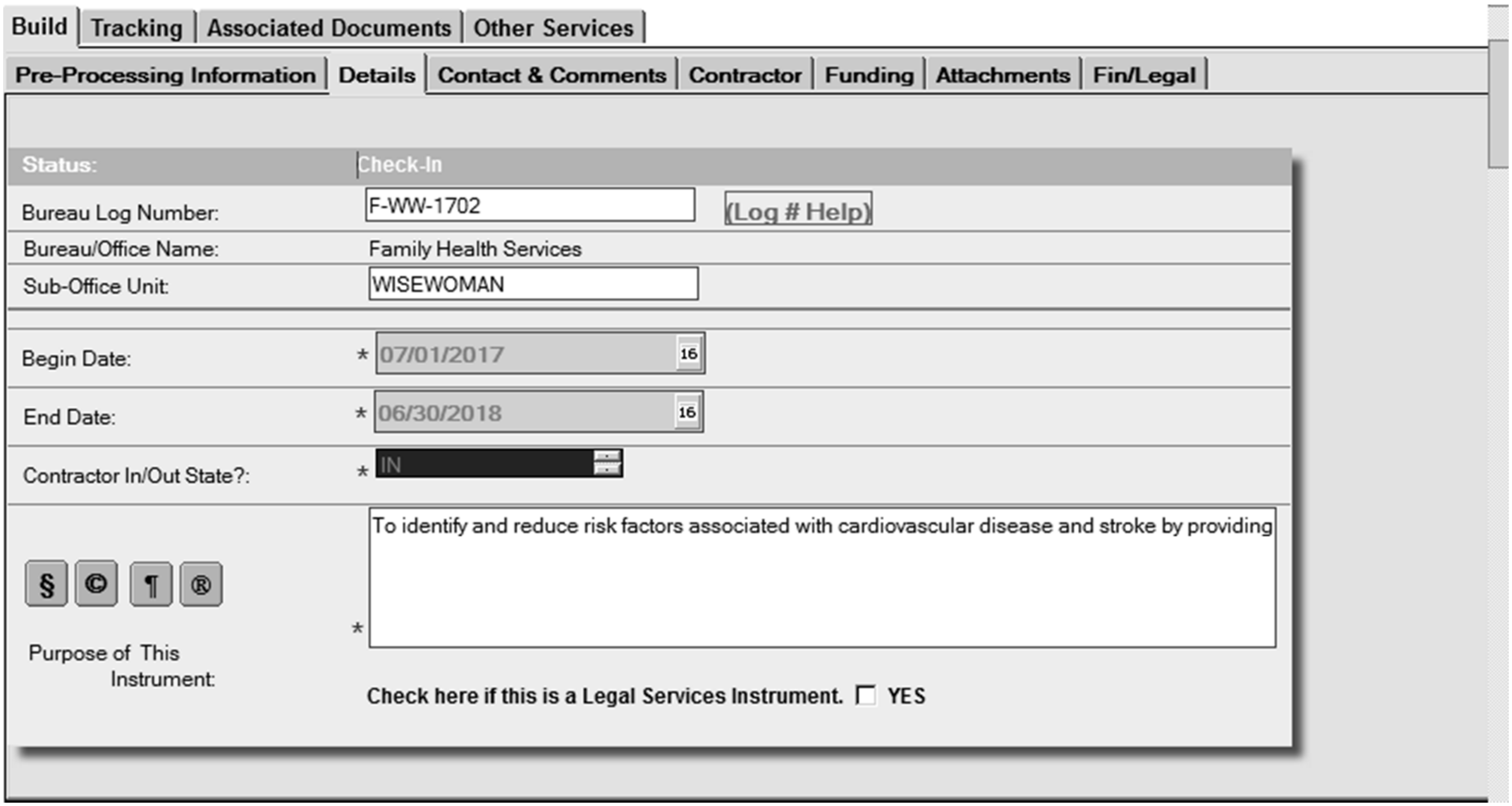
Build | Tracking | Associated Documents | Other Services

Pre-Processing Information | Details | Contact & Comments | Contractor | Funding | Attachments | Fin/Legal

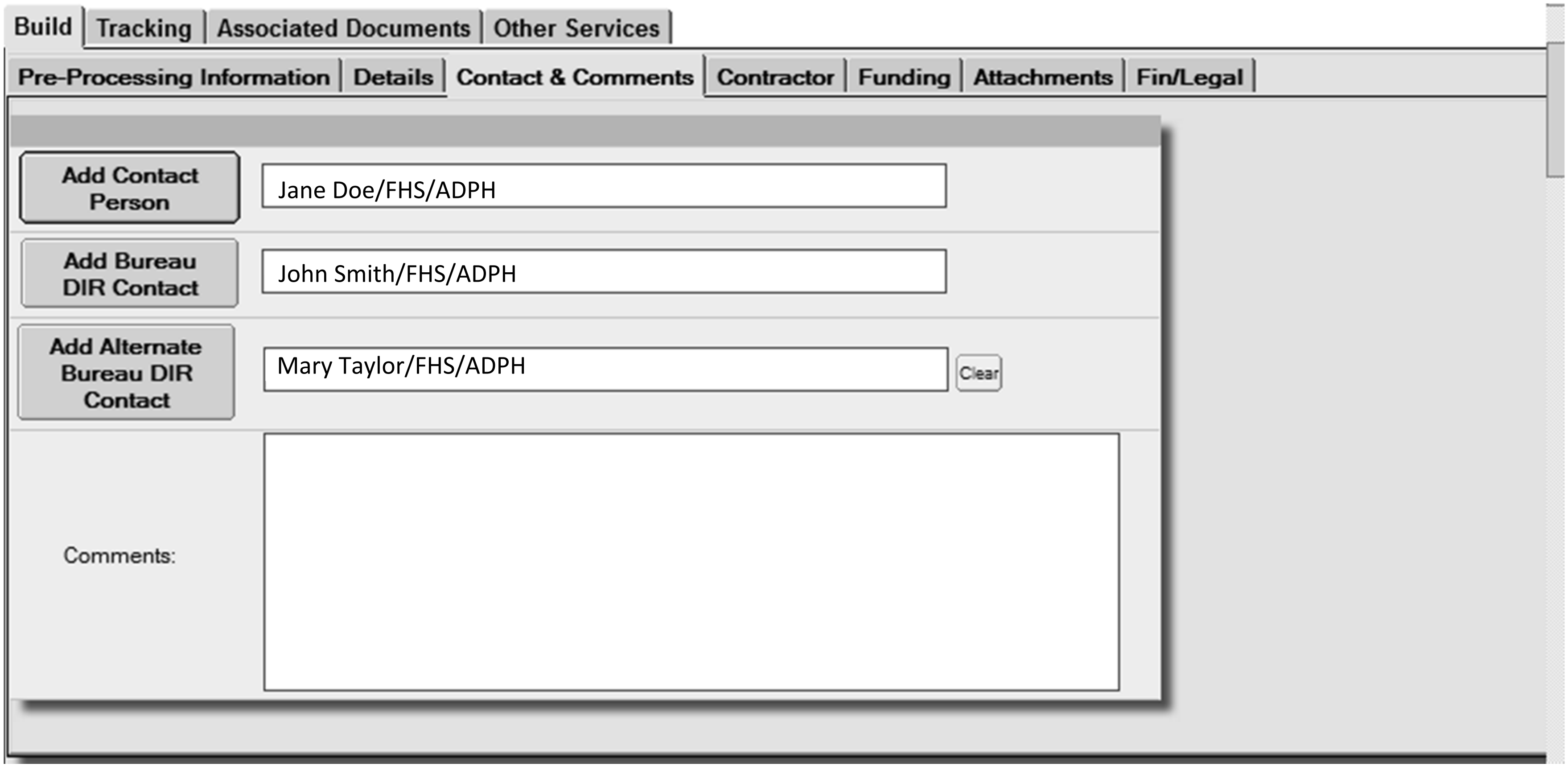
| | | | |
|---|---|---|---|
| Instrument Type: | Grant | Governor's Signature: NO | LOC Committee: NO |
| Amount of Transaction(s): | $1,500.00 and up | | |
| Legal Bind with What Type of Business: | State Agency/ University or Federal Gov | | |
| State Agency/ Board/Commission: | YES | | |
| Is this a "Request For Proposal"?: | NO | | |
| Competitive Selection Process(CSP): | NO | | |
| Is This an "IT" Related Transaction?: | NO | | |
| Business Associate Agreement: | | | |

**Federal Dollars Grant Over $25,000**
**FFATA Form Required**

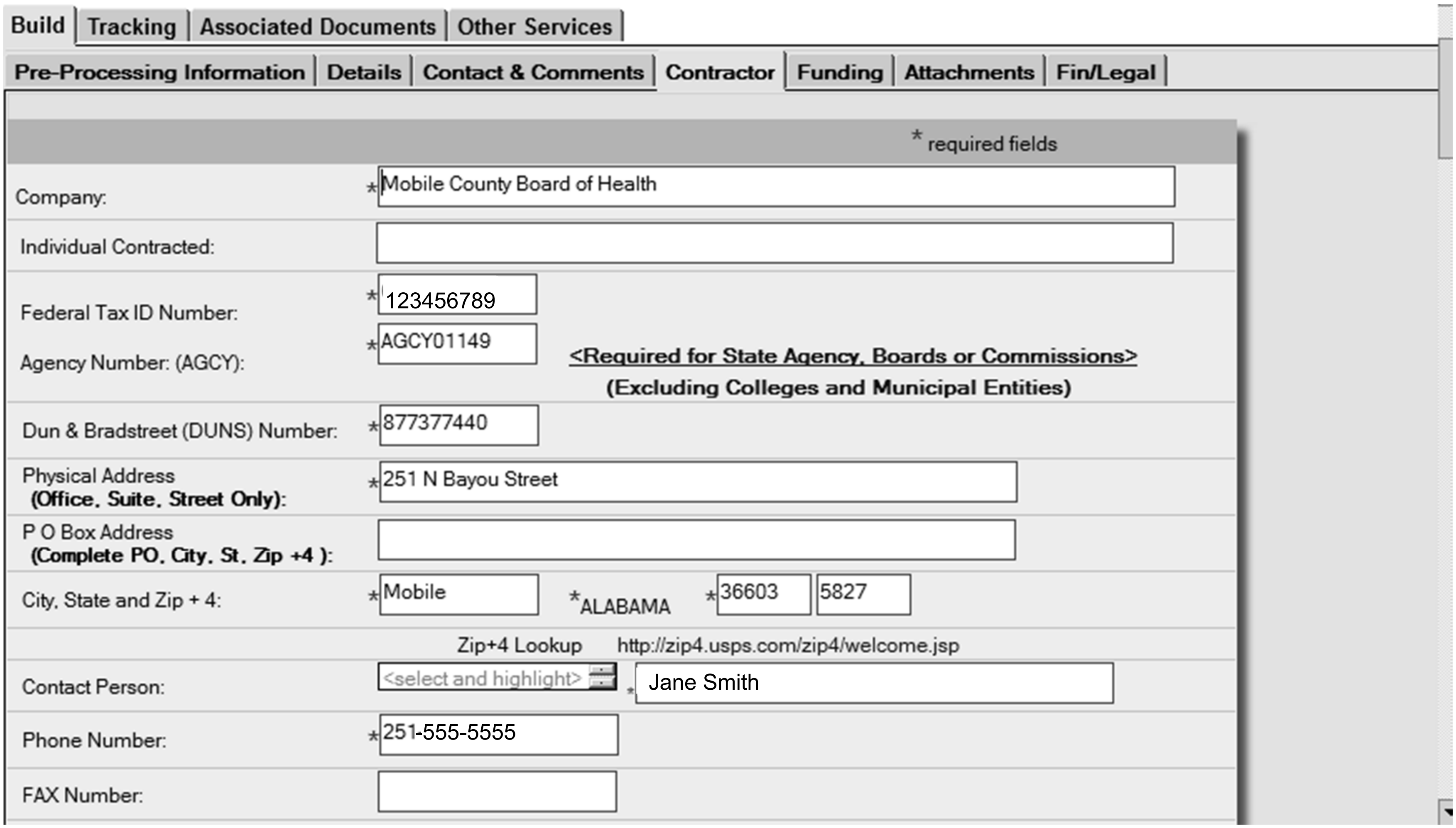
# DETAILS TAB: Enter information into the boxes as used in the Build (note, red asterisks)



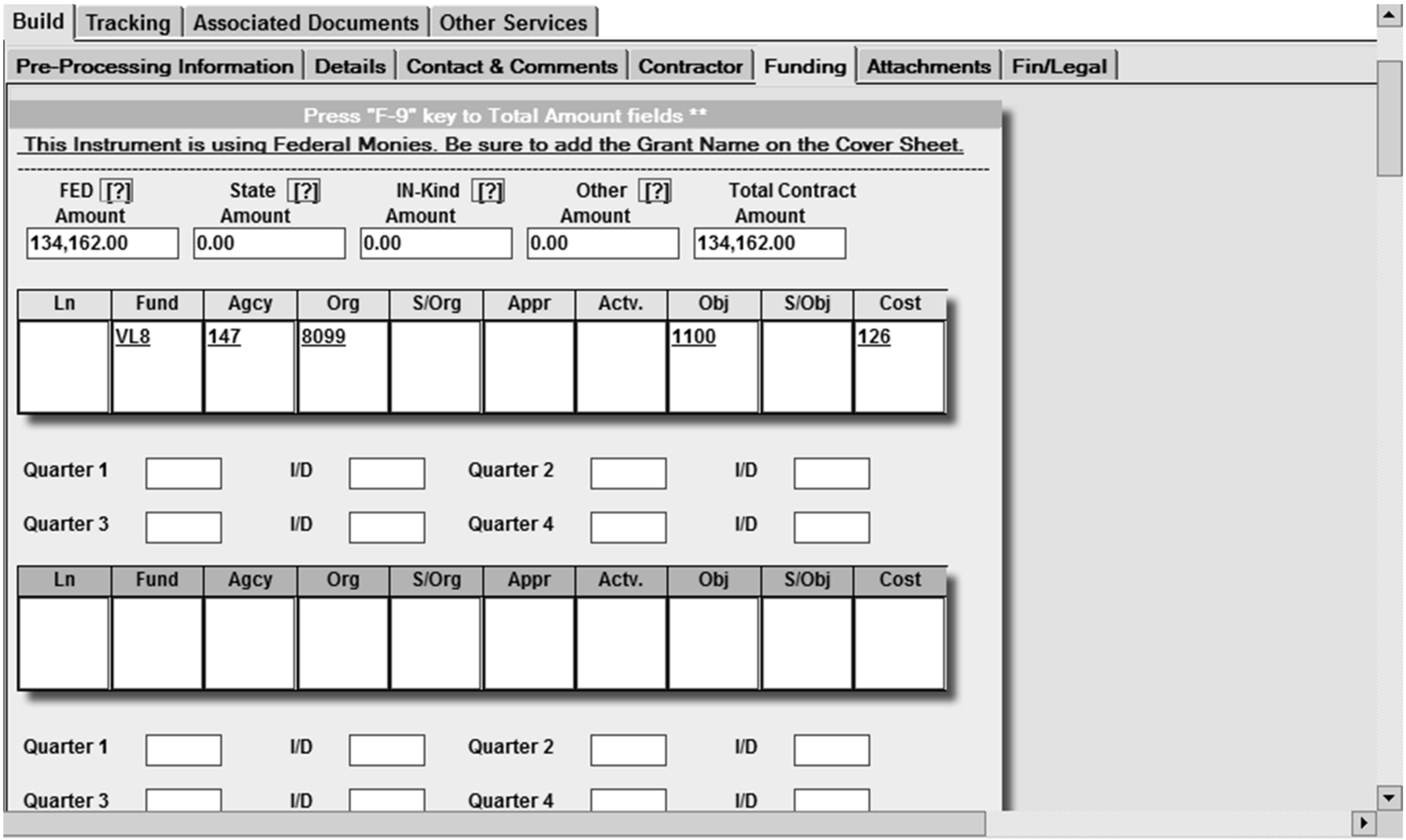
# CONTACT & COMMENTS TAB: Enter Contact Person, Bureau DIR, and Alternate Bureau DIR



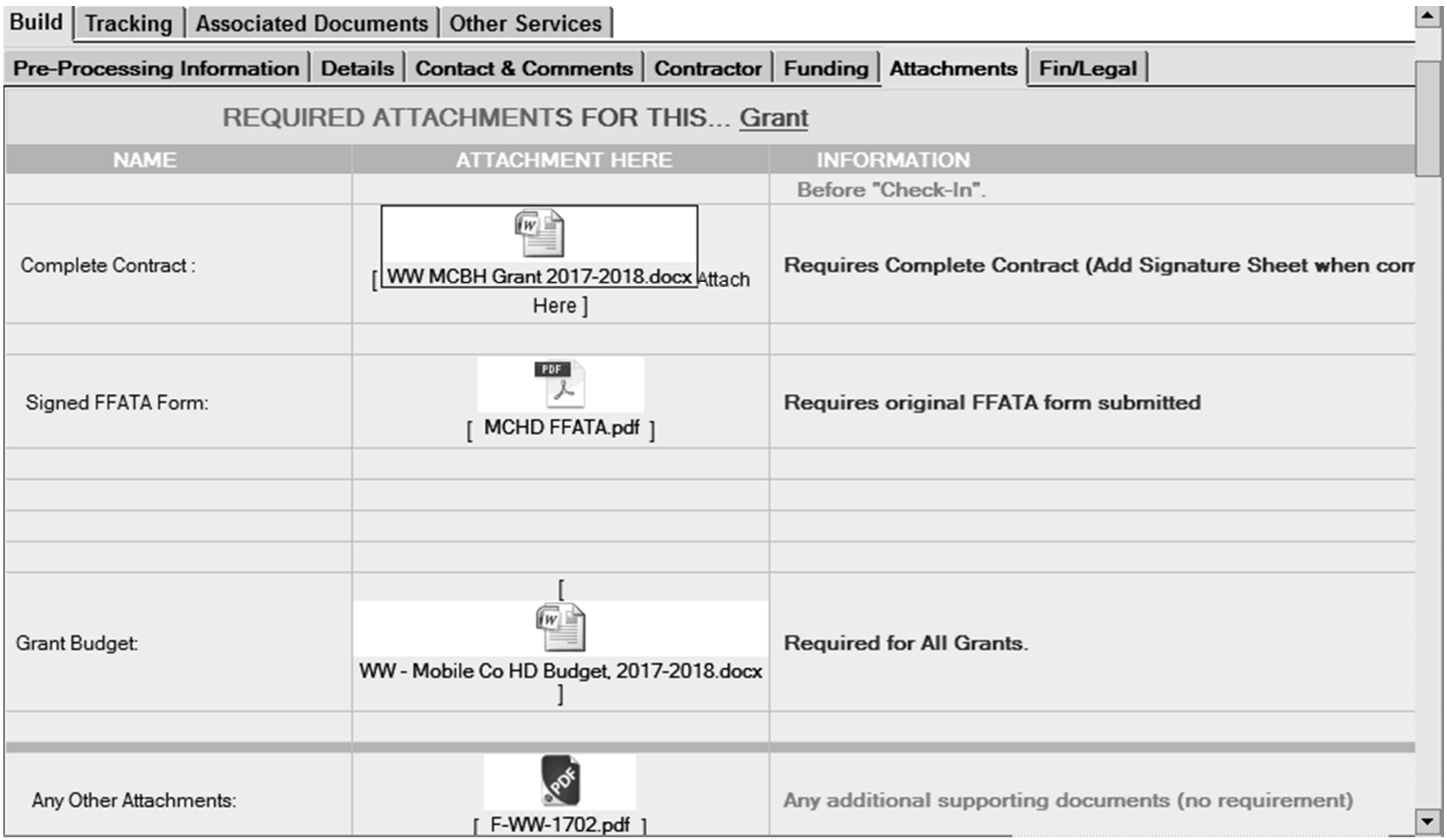
# CONTRACTOR TAB: Enter all information into boxes (i.e.: Name, Add, Etc.) & note the Red Asterisks and any additional Required Information in Blue



# FUNDING TAB: Enter the FED Amount in the first box & Press F-9 to Total. Enter Information in boxes for Fund; Agcy; Org; Obj Code; Cost



# ATTACHMENTS TAB: Attach all Required Instruments & Documents in the “Attachment Here” Column beside “Name” Column (Red Print Required)



# ASSOCIATED DOCUMENTS TAB: Complete Cover Sheet Tab; Summary Data Tab; FFATA Info Tab; Required Information in fields Highlighted in Yellow; attached is the Required Summary Data Sheet

Build | Tracking | Associated Documents | Other Services

Listed below are ALL the "paper" documents that can be created and printed from this database.
**Note: This is for reviewing the documents for completion before creating and printing.
Do Not Print This or any other TAB. Only Print when asked after pressing the **"Print"** buttons.

Questionnaire | Cover Sheet | Summary Data | Contract Review | Legal Srv Review | FFATA Info | Certificate of Compliance

Yellow Highlighted fields may require information.

Print This Document

ALABAMA DEPARTMENT OF PUBLIC HEALTH
SUMMARY DATA SHEET (A-36)

BUREAU/OFFICE#F-WW-1702 OGC CONTRACT#

Grant BETWEEN Alabama Department of Public Health & Family Health Services AND Mobile County Board of Health

Physical Address: 251 N Bayou Street , Mobile , ALABAMA , 36603 + 5827
And Mailing Address if different than above:
EFFECTIVE DATE: 07/01/2017 EXPIRATION DATE: 06/30/2018

Purpose of Grant: To identify and reduce risk factors associated with cardiovascular disease and stroke by providing risk factor screening and lifestyle intervention referrals to women enrolled in the Alabama Breast and Cervical Cancer Early Detection Program.

| TYPE OF FUNDING | CONTRACT AMOUNT | TYPE OF DOCUMENT: |
|---|---|---|
| State: 0% | | |

# Attached is the Required Finance Cover Sheet

Build | Tracking | Associated Documents | Other Services

Listed below are ALL the "paper" documents that can be created and printed from this database.
**Note: This is for reviewing the documents for completion before creating and printing.
Do Not Print This or any other TAB. Only Print when asked after pressing the **"Print"** buttons.

Questionnaire | Cover Sheet | Summary Data | Contract Review | Legal Srv Review | FFATA Info | Certificate of Compliance

Yellow Highlighted fields may require information.

Print This Document

FRMS-50

MODIFIED FOR HEALTH DEPT ONLY

STATE OF ALABAMA
DEPARTMENT OF FINANCE
Division of Control and Accounts

Grant Cover Sheet

Check one:

☑ CT- Original

☐ CA - Amendment

Contract Number - - Agency: 011 Contracts

Effective Date: 07/01/2017 Expiration Date: 06/30/2018

Contract Type :
☐ Contract
☑ Grant
☐ MOA
☐ MOU
☐ Business Associate Agreement

**Upon completion of entering information into fields in tabs; attachment of required instrument(s) and documents into the Associated Documents Tab; the file should be ready for CP to send to BU DIR.**

# Finance Review & E-sign

- ✓ Federal and state funding on the cover sheet
- ✓ CFDA number on cover sheet and instrument (& NOA number within instrument)
- ✓ Contract dates fall within the grant year (federal grants).
- ✓ Amount consistency across documents
- ✓ Budget (see template – A15)
  - ✓ Total consistent with instrument
  - ✓ Accurate calculation
  - ✓ Indirect cost calculations consistent with attached Indirect Cost agreement

- ✓ Closeout date less than 90 days (preferably 60)
- ✓ Funding information on cover sheet should be consistent with Grant master spreadsheet
- ✓ Amendment amount with original instrument
- ✓ FFATA location if amount of instrument using federal monies is greater than or equal to $25,000
- ✓ DUNS number supported by attached pdf

*If everything is correct, send to Legal for Legal Review and E-sign.*

# Legal Review & E-sign

Refer to Legal Review & E-sign Guidelines (A19).

Verifies the following:

a. Appropriate build, template, clauses were used
b. Grammar (Purpose Statement)

   *The purpose statement should be brief. If the Summary Data Sheet becomes two sheets, your purpose statement is too long!*

c. Dates
d. Completeness of tabs
e. Consistency of name, EIN, DUNS, CFDA, grant award number and address (physical) in tabs, instrument and existing attachments

*If everything is complete and correct, the instrument is sent to the bureau.*

# Send to Contractor

- Bureau prints instrument and send all attachments/forms to vendor to be signed.

- Vendor has already been sent the marketing packet, so should have already printed and signed the FFATA, Certificate of Compliance, and Disclosure Statement (if applicable to the instrument).

***Please note that the dates on all of these should be the same date as the instrument was signed, or earlier.***

# Review after Contractor

- ◎Bureau receives executed instrument, attachments, and required forms from the vendor.
- ◎Bureau attaches all instruments in ACES in the appropriate locations. Placeholders (blank.pdf) should be replaced at this time.
- ◎Bureau prints current copies of the Cover Sheet and Summary data sheet.
- ◎Bureau clicks on the "contractor" buttons in ACES.

- Bureau completes the Cover Sheet for Final Processing by Legal

- Bureau attaches the Cover Sheet for Final Processing by Legal to the top of the original, hard copies of all documents in ACES that pertain to the instrument and delivers them to Legal.

# Processed by Legal

Submitting your hard copies (A21)

1. Verify the Cover Sheet for Final Processing by Legal (A23) is attached, signed, and dated.
2. Verify the Bureau Director Checklist (A11) is attached, signed, and dated.
3. Verify that you have followed the guidelines for submitting your hard copies to legal (A21).

4. Documents submitted should match those checked on Cover Sheet.
5. Verify the Cover Sheet and Summary Data Sheets are complete and current.*

**These should not be printed until after the instrument has been through Legal Review. If printed prior to this step, information will be missing from the forms, and your instrument will be placed off track.*

6. Verify the documents in ACES are consistent with each other.

   a. dates
   b. names
   c. addresses
   d. EIN
   e. Monetary amounts

**Please note that names should match exactly. If the contract has John Doe, the remaining documents (COC, Disclosure, etc.) should also have John Doe. Do not put John M. Doe on the Contract, and John Doe on the COC.**

7. Verify the documents in ACES are consistent with the hard copies.
8. Verify the E-Verify is dated prior to the beginning of the instrument.
9. Verify the Certificate of Compliance and Disclosure Forms are completed (i.e. signed and notarized, as necessary).
    a. Pay attention to the names. They must match exactly.

b. Pay attention to the dates. They must match exactly.

c. The Certificate of Compliance and Disclosure forms should pre-date the instrument.

10. If the documents are inconsistent/inaccurate, they will be returned to you and the instrument will be taken off track, while you wait for the corrected forms from the vendor.

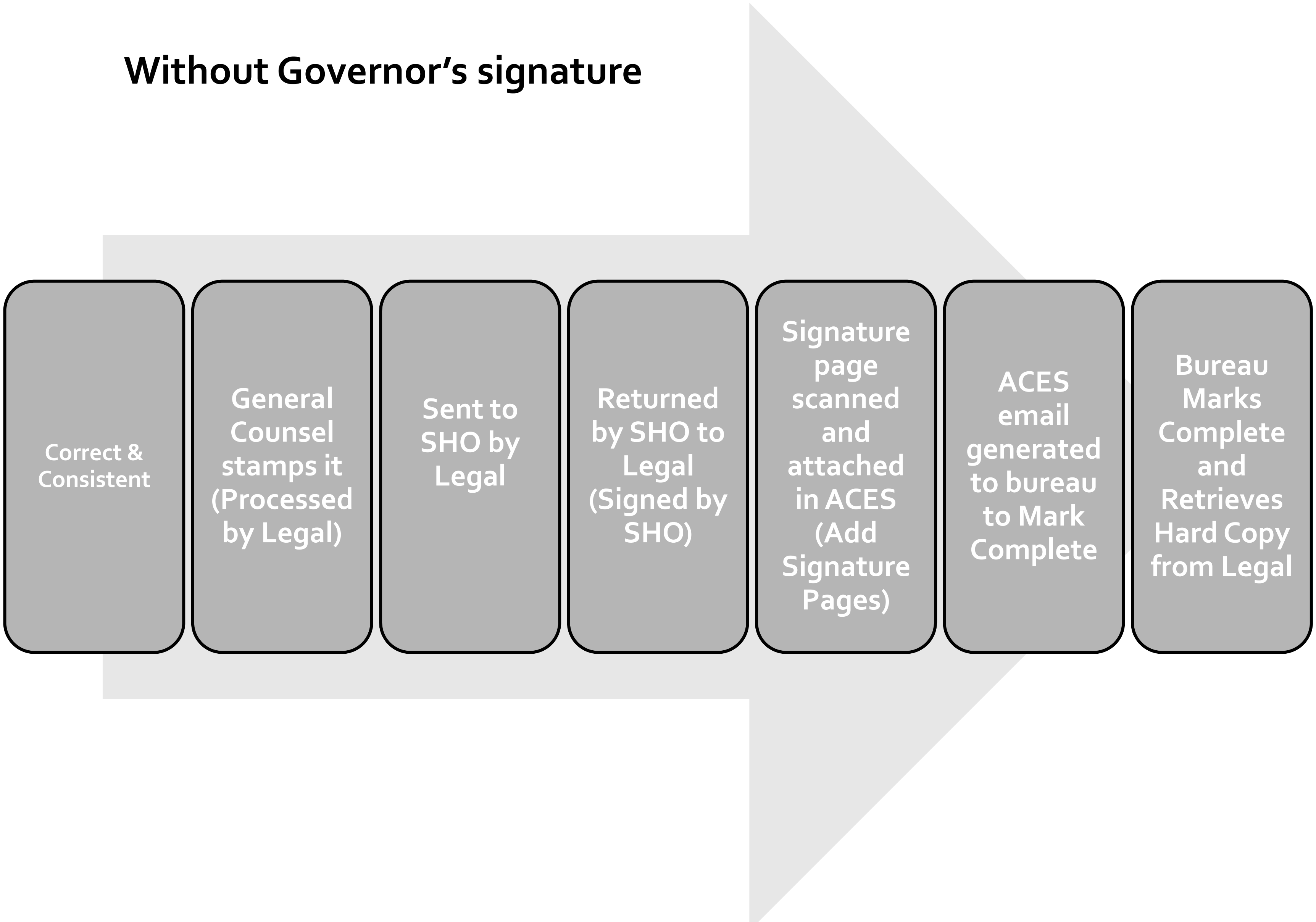
**Handwritten corrections or alterations to the Certificate of Compliance and Disclosure Statement are not acceptable. These documents have been witnessed and/or notarized, and cannot be changed after the fact. You must request new  forms from the vendor.*

11. If everything is consistent and accurate, the instrument will move forward through processing.

**Handwritten corrections or alterations to the Certificate of Compliance and Disclosure Statement are not acceptable. These documents have been witnessed and/or notarized, and cannot be changed after the fact. You must request new forms from the vendor.*

10. If everything is consistent and accurate, the instrument will move forward through processing.

## Without Governor's signature



Returned from SHO (Processed by Legal)

↓

Sent to the Governor's office.

↓

Returned from the Governor's office.

↓

Signature page scanned and attached in ACES

↓

**ACES email generated to bureau to Mark Complete**

↓

**Bureau Marks Complete and Retrieves Hard Copy from Legal**

# Reference Material and Resources:

1. Contract Manager Checklist (A1)
2. Bureau Director Checklist (A11)
3. Finance Guidelines (A13)
4. Cover Sheet for Final Processing by Legal (A23)
5. Submitting Instruments to Legal (A21)
6. Vendor Flyer (Marketing Packet) (A3)
7. Budget Template (A15)
8. Escalation Process (A7)
9. ACES Template Library (i.e. templates, clauses, forms)
10. Build FAQs (A9)
11. Legal Review & E-Sign (A19)
12. Common Writing Errors (A25)

# Helpful Links

1. Vendor Self Service System (VSS) portal: https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService
2. e-Verify: https://www.uscis.gov/e-verify
3. Duns: https://www.dandb.com/advanced-search
4. Agency number: http://comptroller.alabama.gov/pdfs/ChartofAccts/agcy.pdf
5. ACES Training: http://www.alabamapublichealth.gov/legal/aces.html
6. Contract Information for vendors: http://www.alabamapublichealth.gov/legal/contracts.html

# Contact Information:

For information or assistance with the front end of instruments (anything occuring up until Legal Review & E-sign), please contact:

Janice Heacock

(334) 206-5209

For information or assistance with the back end of instruments (anything occurring after Legal Review & E-sign), please contact:

Denise Bertaut

(334) 206-5209

# Contract Manager Checklist

## Getting Ready: gathering information

- ☐ Application/proposal or sole source letters (RFP, sole source letters from vendor and SHO)
- ☐ Vendor
- ☐ Purpose
- ☐ Effective dates
- ☐ Responsibility parameters (NOA)
- ☐ Funding information
- ☐ Identify correct template (ACES Library)

## Prepare & Build

| | |
|---|---|
| ☐ Draft instrument.<br>• Must be in Word format (not PDF)<br>• Must apply "DRAFT" watermark | 1. See ADPH document library for checklist of required forms.<br>2. See clause template. |
| ☐ Vendor<br>☐ Who is contact person?<br>☐ How to send instrument draft & marketing package<br>☐ Check on STAARS status – VSS (Vendor Self Service System) | https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService |
| ☐ Send instrument draft & marketing package to vendor | 1. Identify appropriate marketing package.<br>2. See ADPH Contract Website for marketing package; refer to Escalation Process if there are delays. |
| ☐ Receive & review instrument draft & marketing package from vendor | Review for accuracy, consistency, and grammar. |
| ☐ Remove "DRAFT" watermark from instrument and save. | |
| ☐ Verify DUNS, make PDF, and attach in ACES | 1. If DUNS does not match, contact vendor.<br>2. https://www.dandb.com/advanced-search |
| ☐ Identify state agency # (if applicable) | Recorded in contractor tab. |
| ☐ Obtain Bureau Log # | See designee. |
| ☐ Build/Enter in ACES | Sub-unit is division/program name |
| ☐ "Check-in" for BU DIR Review | |

Signed by: ______________________________________ Date:____________________

## Information Packet for Sub-Recipients of Grants and Contracts

This packet is intended to assist those entities entering into a grant or contract with the Alabama Department of Public Health (ADPH). This packet will assist your ADPH contact with setting up the grant or contract and getting it approved through the internal review process at ADPH. Your contact person's information is listed below.

ALABAMA PUBLIC HEALTH

### Your ADPH Contact Person:

Name:
Phone:
Email:

### Vendor Checklist:

To begin the contract process, ADPH will require the following from the vendor:

1. Organization's Name (this name must be the same name as the E-Verify from Homeland Security).
2. Address (must be exactly like the E-Verify {if street is spelled out on E-Verify, spell out here; if St. is used as the abbreviation, use the abbreviation}).
3. City, State, Zip (please include the plus-four codes).
4. DUNS number (make sure this DUNS number matches the E-Verify name).

This information is required when you are returning the Draft version of the contract.

Draft Version of the contract:

1. Please read over the contract (DO NOT SIGN AT THIS TIME).
2. If you have any changes you would like to make to the contract, please list those on a cover page when you return the DRAFT version back to ADPH.
3. If there are not any changes with the DRAFT, please use the cover sheet to state – NO CHANGES.

Email the DRAFT version (with cover sheet) and all the other required information back to the representative at ADPH.

In order to expedite your contract and get everything through our system, we ask you to return this information as quickly as possible. This procedure can be done via email with your ADPH contact.

---

After this is submitted, please verify the following systems have correct and current information:

1. Vendor Self Service System (VSS) portal - https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService
2. E-Verify - https://www.uscis.gov/e-verify

All required documents will be requested at the same time as the final signed contract. Please identify the required documents and begin gathering information to expedite the final signature process. Your ADPH contact person can provide any documents that are drafted by ADPH.

# DRAFT Contract/Grant Response Cover Sheet

Entity Contact Person:

Entity Contact Person Email and Phone:

Entity Name:

Entity Address:

Entity Address (2):

Entity City, State, Zip:

Entity DUNS Number:

Requested Changes to Drafted Contract:

# Required Elements for ADPH Grants and Contracts

**Business Association Agreement (BAA)** – A BAA is needed when the contracting party or entity creates, receives, maintains, or transmits protected health information (PHI) for ADPH, unless it meets an exception. Required if:

1. PHI is being disclosed, and
2. The entity is not part of ADPH's workforce (workforce members include employees, volunteers and trainees), and
3. The PHI does not meet any of these exceptions:
   a. PHI is de-identified.
   b. Relationship is for transport services (e.g., postal service or courier).
   c. Claim being sent to health plan, payment to a provider, or a fund transfer to financial institution.
   d. PHI being disclosed to Health Oversight Agency as part of a federal or state program.
   e. Information provided as a response to law enforcement or subpoena.
   f. Office of General Counsel has informed you that you are legally required to report the information.
4. The information is not being disclosed for official investigation or proceeding approved by ADPH's Privacy Officer, and
5. The PHI is not being disclosed to an insurance plan for payment purposes, and
6. The PHI is not being disclosed for research purposes.

*PHI includes: name, address, date of birth, diagnosis, social security number, or other demographic information that would identify the individual.

**Budget Template** – A budget is required for all grants to show how the funds will be expended along with justifications for each spending category.

**Certificate of Compliance (or Beason-Hammon)** – A certificate of compliance is required for grants/contracts that must be competitively bid or that require submission to the Contract Review Permanent Legislative Oversight Committee.

1. **DUNS –** Required with $.01 or more federal funding. The preferred place to obtain a DUNS number is Dun & Bradstreet. **https://www.dandb.com/advanced-search**

**E-Verify -** Used only if the vendor has at least one employee within the state of Alabama and the grant or contract is for more than $1,500.

**FFATA** – This is required if:

1. Agreement type is a grant, and
2. Grant total is $25,000 or greater, and
3. Funds originate from the federal government (CDC, HRSA, USDA, etc).

**Immigration Status Form –** Only used for individuals or sole proprietorships.

**Indirect Cost Rate Agreement** – The federally negotiated rate must be provided if the vendor is requesting more than a 10 percent indirect rate. If a lower rate is used, a letter acknowledging the lower rate must be submitted. If the 10 percent rate is used in lieu of a federally negotiated rate, a letter stating no such rate has been established must be submitted.

**Vendor Disclosure Statement** – Required with all proposals, bids, contracts, or grants greater than $5,000.

**Vendor Self Service System (VSS)** – VSS is part of the state financial system (STAARS) and is how ADPH Finance Division and the State Comptroller make payments to vendors. All vendors must be registered in STAARS and should verify that the information in STAARS matches the information on invoices prior to submitting them for payment. Failure to do so will result in delayed payments. Link: https://procurement.staars.alabama.gov/webapp/PRDVSS1X1/AltSelfService

**W-9** – Required for any individual or entity (Form W-9 requester) that is required to file an information return with the IRS.

# Escalation Process

**Contract Initiation**

The Contact Person's goal is to receive approval of the draft instrument from the sub-recipient within eight days. Below are steps to assist in ensuring approval is received within eight days. If there is a delay due to edits/questions/neglect complete the following steps.

1. Within three days after sending draft instrument to the contractor/sub-recipient, the Contract Manager or Program Person should contact contractor/sub-recipient to provide technical assistance with completing forms or answering questions.
2. Allow two more days. If the contractor/sub-recipient still has not accepted the draft instrument, the Program Manager or Division Director should contact contractor/sub-recipient.

**Sending Final Contract Packet to Contractor/Sub-recipient**

The Contact Person's goal is to receive approval of the draft instrument from the sub-recipient within twenty days. Below are steps to assist in ensuring approval is received within twenty days. If there is a delay due to edits/questions/neglect complete the following steps.

Follow the below process if the final instrument has been sent for signature.

1. Allow twelve days for the contractor/sub-recipient to return originally signed instrument & forms via mail. The Contract Manager or Program Person should contact contractor/sub-recipient to ensure it was received and is being routed within their organization.
2. Allow five more days. If the final instrument and forms have not been received, the Program Manager or Division Director should contact contractor/sub-recipient. The Division Director will decide the next step if needed.
3. Optional:
    a. Bureau Director should contact contractor/sub-recipient if there is any difficulty in receiving forms from the contractor/sub-recipient, or they are non-responsive to first two steps.
    b. Program Person could request meeting/call with Grant Accountant, Contract Manager, and Division Director for financial direction to assist the contractor/sub-recipient.
    c. Program Person could request meeting/call with Legal, Contract Manager, Bureau Director, and Division Director for direction to assist the contractor/sub-recipient with the instrument or any of the forms (instruction, clarification, necessity).

# Build FAQs

This guide walks through the Build Questions in ACES. Answering these questions correctly is very important as it tells ACES which sections to include for the instrument. If this is done incorrectly, you may be required to restart the process.

Please note, that there are exceptions to the rule. This guide is intended to address the majority of instruments. Any questions should be directed to Finance or Legal, depending on the question.

**Start:** To initiate building a new instrument, click "New Instrument" in ACES.

**Question: Select an Instrument you wish to create.**

Policy #2016-011 from Legal defines a contract, grant, IMOU, MOA, MOU, Blanket Approval, BAA

**Question Series: Business Associate Agreement Determination**

A BAA is required if

- PHI is being disclosed and
- The entity is not part of ADPH's workforce (workforce members include employees, volunteers and trainees) and
- The PHI does not meet the exceptions listed in ACES

A BAA is NOT required if disclosures are being made to a health care provider for treatment of the individual.

**Question: Is the entity that is receiving PHI considered part of the workforce?**

Another way to ask this: Is PHI being disclosed to an ADPH employee, volunteer, or trainee? (Example: Some agreements exist between ADPH bureaus. In these situations, the answer is "yes.")

**Question: Is the sub-recipient or contractor the federal government?**

Another way to ask this: Are we awarding funds to the federal government for activities? (Example: Environmental provides funding through a grant or contract to the US Department of Agriculture. This is an award distributed to the federal government.)

**Question: Does business entity or employer employ one or more persons in the State of Alabama?**

Answering yes means that the system requires Certificate of Compliance and E-Verify.

**Question: Tangible goods?**

Contracts are only utilized to obtain professional services, not tangible goods. Training is considered a professional service.

**Question: Insurance?**

All insurance obtained for the Department must be approved by the Department of Finance Division of Risk Management prior to issuance and payment.

**Is this a Disaster Agreement?**

A disaster agreement is any instrument in which the purpose and/or deliverables are primarily used to support emergency response. This could be a contract or grant that would secure services, such as ambulance services, needed to respond to a disaster.

**Select the Amount**

Your answer to this question tells ACES whether to include several different sections such as FFATA and Certificate of Compliance.

**Computer/IT Related**

If yes, there is a required IT review.

Example: Purchasing development of databases, services for implementation of software, software support. Note: Tangible software is purchased through a PO.

**Exemption to Act 2001-956 (Competitive Bidding Statute):**

Another way to ask this question: Is this contract subject to competitive bidding? (No bidding is required when the entity is providing hands-on direct health care services or sole source.)

Yes – bidding is not required

No – bidding is required

**Do you want to Save this ______?**

Answering yes finalizes the build and it cannot be changed.

Answering no will return to the beginning of the build.

# Bureau Director Checklist

**(Required with instrument submission to Legal for Final Processing)**

## Getting Ready:

- ☐ ACES Training
- ☐ ADPH Common Mistakes White Paper and Powerpoint
- ☐ Greg Reference Manual

## Reviewing:

| |
|---|
| ☐ Attachments tab – Open instrument<br>• Is it the correct instrument? (i.e. MOU/MOA/Grant/Contract/Private Entity/most current template) |
| ☐ Details tab<br>☐ Bureau/Office name correct<br>☐ Sub-unit is Division/Program name<br>☐ Begin and End date correct and match instrument<br>☐ Purpose of instrument entered and grammatically correct |
| ☐ Contractor tab<br>• Ensure all information is correct and properly filled out (must reference instrument to ensure it is accurate). **Everything must match.** (Vendor name/address in instrument) |
| ☐ Funding tab<br>• Ensure fund and object codes are correct (0800 contract/1100 grant) |
| ☐ Attachments tab<br>• Ensure build is correct (e.g., was a FFATA, COC, BAA needed). **Remember federally funded grants over $25,000 must have a FFATA. See Vendor Flyer.** |
| ☐ Associated Documents tab - **Review information just to ensure it is correct.**<br>• "Cover Sheet" tab has correct information in yellow section.<br>• "Summary Data" tab |
| ☐ Review instrument – All must be grammatically correct.<br>☐ Deliverables (department shall/vendor shall)<br>☐ CFDA<br>☐ Clauses<br>☐ Progress report dates<br>☐ Billing (monthly, quarterly, etc.)<br>☐ Close Out Clause (30, 60, or 90 days)<br>☐ Check signature page (FEIN and Address) |
| ☐ Hard Copy signature |

Signed by: ________________________________________ Date:____________________

# Finance

Verifies the following on the Cover Sheet and Summary Data Sheet with the instrument:

- ☐ Type of document
- ☐ Original vs amendment
- ☐ Initial & end dates
    - o and appropriate related close out clause/verbiage
- ☐ Contractor name
- ☐ Dollar amount – confirm verbiage of dollar limit
- ☐ Payment terms must be specific and adequate.
- ☐ Advance payment text in instrument must be preapproved and signed letter from Chief Accountant must be attached.
- ☐ CFDA / NOA number
- ☐ Funding – compare to grant master – new fund requires grant accountant program request in STAARS – process through approval steps
- ☐ Contract vs grant funding codes
- ☐ Budget attachment – review for contractor /terms identification, consistency, and mathematical accuracy
- ☐ Identify applicable existence of indirect costs (I/C) on budget. If I/C exists, a supporting I/C agreement with vendor must be attached and calculation coincide correctly
    - o If vendor has never had an I/C agreement, 10% I/C is acceptable
    - o Review I/C exceptions for Mobile and Jefferson counties.
- ☐ Amendment incremental adjustment is on cover sheet – use original and amendment attachments to confirm
- ☐ If instrument requires federal funding and is greater than/equal to $25,000, an allocated space exists on attachment tab
- ☐ Verify DUNS number / attachment exists.

Signed by: ________________________________________ Date:____________________

# Instructions for Budget Template

The following are instructions for filling out a budget template. Budgets must be submitted when ADPH will be entering into a contractual (grants only) agreement with another entity. The template is meant to be a guideline for most grants. Exceptions will exist and the template can be modified to accommodate. Be sure to always include the required elements - see Budget Template on separate tab of this spreadsheet.

## Required Elements of a Budget:

Budget must be labeled properly (see Heading section below)
Organization name must match E-Verify.
Date ranges of budget must match those on the grant.
Budget must have total amount of grant broken down by categories.
Budget must have a justification for each category used .
Important: Any calculations used for mileage rate, personnel time spent on project x personnel costs, supply details, and other detail information are to be included in the justification section.
The justification section can be expanded to width/height as needed.
A description is required by Item 1, Item 2, or other items added to each category.
The cell description can be edited after "Item #" to add this information.
Template includes Item 1 and Item 2 per category. If you need to add more line items, be sure new lines are included in the sum formula in Column C.
Total amount for all categories must add up to total cost of the budget.
The budget must match all other documents provided for the grant.
If indirect cost is utilized in the instrument, an indirect rate agreement must be provided (or default 10% used when no agreement exists).
Any time an indirect rate agreement is not followed, a letter waiving the rate must be provided.

*Insert information related to your grant into the yellow fields provided.

## Heading:

Insert the name of the organization (must match E-Verify).
Insert the name of the grant that pertains to this particular budget.
List the date ranges of the grant (must match the grant end dates).

*** IF A SECTION IS NOT NEEDED FOR YOUR BUDGET, PLEASE JUST LEAVE IT BLANK.**

## For all Direct Costs:

Enter the individual costs for each category into the yellow field per item.
Enter the justification utilized for each category into the appropriate yellow field.

## Total of Direct Costs:

The spreadsheet will automatically calculate total direct costs.

## Indirect Costs:

Enter the rate in the yellow field based on whether indirect is calculated based on <u>Salary</u> or <u>Salary and Fringe</u>. You must use the decimal percentage format (ex: .10 for 10%)
Use ONLY one rate or the other. Both percentage lines cannot be used on the same budget.
Must have an attached indirect cost agreement if indirect cost is more than 10%.
If less than 10%, must have a letter stating the entity is using a lower rate of their own accord.
If entity chooses a lower rate than agreed upon, a waiver from the entity must be submitted.

## Total Being Requested:

Spreadsheet will automatically total all inputted costs in existing Column C.
However, if the requested amount is different, enter the amount requested into the yellow field.
If the total costs and amount requested are different, provide a justification.

**Contractor/Grantee Name**
**ADPH Grant Name**
**Date Range of Agreement**

**PROJECT BUDGET**

| | | |
|---|---|---|
| **Salary:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Salary** | | $ - |
| **Justification of Salary:** | | |
| **Fringe:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Fringe** | | $ - |
| **Justification of Fringe:** | | |
| **Consultant Costs:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Consultant Costs** | | $ - |
| **Justification of Consultant:** | | |
| **Travel Costs:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Travel Costs** | | $ - |
| **Justification of Travel:** | | |
| **Equipment Costs:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Equipment Costs** | | $ - |
| **Justification of Equipment:** | | |
| **Supplies:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Supplies** | | $ - |
| **Justification of Supplies:** | | |
| **Other Costs:** | | |
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Other Costs** | | $ - |
| **Justification of Other Costs:** | | |
| **Total of Direct Costs** | | $ - |
| **Total Indirect Costs (calculated on Salary only)** | **0%** | $ - |
| **** OR **** | | |
| **Total Indirect Costs (calculated on Salary and Fringe)** | **0%** | $ - |
| NOTE: Only use one type of % Calc | | $ - |
| **Justification of Indirect:** | Must attach a federally negotiated indirect cost rate agreement to the budget, if one exists. If one does not exist, the entity can use 10% but must submit a letter acknowleding the rate. If a rate lower than the federally negotiated rate is used, submit the agreement and a letter waiving the agreed upon rate. | |
| **Total of Direct and Indirect Costs:** | | $ - |
| **Total Amount of Funds Requested from this Program:** | | $ - |
| **Justification if Different:** | If the total direct and indirect cost is different from the requested amount, please provide a justification. | |

**ABC Contract Services, Inc.**
**ABC Contract Services, Inc. for Blood Pressure Program**

**October 1, 2017 - September 30, 2018**

**EXAMPLE PROJECT BUDGET**

**Salary:**

| | | |
|---|---|---|
| **Item 1:** | | **20,000.00** |
| **Item 2:** | | |
| **Total Salary** | **$** | **20,000.00** |
| **Justification of Salary:** | | |

**Fringe:**

| | | |
|---|---|---|
| **Item 1:** | | **8,500.00** |
| **Item 2:** | | |
| **Total Fringe** | **$** | **8,500.00** |
| **Justification of Fringe:** | | |

**Consultant Costs:**

| | | |
|---|---|---|
| **Item 1:** | | 2,500.00 |
| **Item 2:** | | |
| **Total Consultant Costs** | **$** | **2,500.00** |
| **Justification of Consultant:** | | |

**Travel Costs:**

| | | |
|---|---|---|
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Travel Costs** | **$** | **-** |
| **Justification of Travel:** | | |

**Equipment Costs:**

| | | |
|---|---|---|
| **Item 1:** | | |
| **Item 2:** | | |
| **Total Equipment Costs** | **$** | **-** |
| **Justification of Equipment:** | | |

**Supplies:**

**Item 1:**
**Item 2:**

# Legal Review & E-sign

Verifies the following:

- ☐ Appropriate build
- ☐ Correct template
- ☐ Appropriate clauses
- ☐ Grammar (Pay attention to the purpose statement)

  *The purpose statement should be brief. It should not make the Summary Data Sheet become two pages, instead of one.*
- ☐ Dates
- ☐ Completeness of tabs
- ☐ Consistency of name, EIN, DUNS, CFDA, grant award number and address (physical) in tabs, instrument and existing attachments.

Signed by: ___________________________________________ Date:______________________

# Submitting Instruments to Legal

## *Guidelines*

- ☐ Use a paperclip/binder clip to secure instrument and attachments. Do not secure instrument and/or attachments with staples.
- ☐ Flag each spot that requires the signature of SHO and/or General Counsel's stamp. Do not forget to flag the SHO's signature on the Summary Data Sheet.
- ☐ Flag the signature page of all pages containing signatures (including BAAs), even if they do not require the SHO's signature. These pages must still be stamped by General Counsel.
- ☐ Print single sided only.

## *Order of Instruments*

- ☐ Summary Data Sheet
- ☐ Cover Sheet
- ☐ Instrument
- ☐ Budget
- ☐ Certificate of Compliance (witnessed)
- ☐ FFATA
- ☐ Disclosure Statement (notarized)
- ☐ E-Verify
- ☐ If instrument is an amendment, copy of original instrument and any prior instruments.
- ☐ Additional documents, if applicable.

Signed by: ________________________________________ Date:______________________

# Cover Sheet for Final Processing by Legal

**(Required with instrument submission to Legal for Final Processing)**

I verify I have the following information in order for legal to finalize my instrument.

- ☐ Original instrument signed by sub-recipient/contractor and Bureau director (2 copies if sub-recipient/contractor requires an original copy)
- ☐ Original copy, with **original signature**, of the same forms that are attached in ACES
  - ☐ Certificate of Compliance/Beason-Hammon
  - ☐ Sole Source Letters (both letters)
  - ☐ Disclosure Form
  - ☐ BAA, if needed
- ☐ Copies of the same forms that are attached in ACES
  - ☐ Cover Sheet (printed from ACES Associated Documents tab)
  - ☐ Summary Data Sheet (printed from ACES Associated Documents tab)
  - ☐ E-Verify
  - ☐ Sub-recipient Budget
  - ☐ Indirect cost form or letter
  - ☐ Other
    - o ____________________
    - o ____________________
    - o ____________________
    - o ____________________
    - o ____________________

Signed by: ____________________________________________ Date:______________________

# Common Writing Errors

Note: The Gregg Reference Manual may be consulted for further clarification and guidance

## Numbers

Spell out numbers from 1 through 10; use figures for numbers above 10.

Use all figures – even for the numbers 1 through 10 – when they have technical significance or need to stand out for quick comprehension. This all-figure style is used in tables, in statistical material, and in the expressions of dates *(May 3),* money *($6),* clock time *(4 p.m.)*, proportions and ratios *(a 5-to-1 shot),* sports scores (*3 to 1*), votes (*a 6-3 decision*), academic grades (*95*), and percentages (*8 percent*). This style is also used with abbreviations and symbols (*12 cm, our No. 1 sales rep*), with numbers referred to as numbers (*think of a number from 1 to 10*), with highway designations (*U.S. Route 1, I-80*) and with technical or emphatic references to age (*a tristate clinical study of 5-year-olds*), periods of time (*a 6-month loan*), measurements (*parcels over 3 pounds*), and page numbers (*page 1*).

Use words for numbers at the beginning of a sentence, for most ordinals (*our twenty-fifth anniversary*), for fractions (*one-third of our sales*), and for non technical or non emphatic references to age (*my son just turned twelve*), periods of time (*twenty years ago*), and measurements (*I lost thirty pounds*).

Use the same style to express *related* numbers above and below 10. If any of the numbers are above 10, put them all in figures. (Examples: *When people annoy you, remember this: it takes 42 muscles to frown but only 4 muscles to extend your arm and whack 'em. We used to have two dogs, one cat, and one rabbit.* **BUT** *We now have 5 dogs, 11 cats, and 1 rabbit.*)

## Percent

Express percentages in figures and spell out the word percent (example: *5 percent, 5.5 percent, less than 1 percent*). At the beginning of a sentence, spell out the number (example: *Forty to fifty percent*). In tables, it is acceptable to use the percent symbol (%).

## Comma

When three or more items are listed in a series and the last item is preceded by *and, or,* or *nor*, place a comma before the conjunction as well as between the other items. If all items in the series are joined by *and*, *or,* or *nor* do not use the comma. (Examples: *It takes time, effort, and a good deal of money. It takes time and effort and a good deal of money.*)

## Semicolon

Use a semicolon to separate items in a series if any of the items already contain commas. (Example: *The company will be represented on the Longwood Environmental Council by Martha Janowski, director of public affairs; Harris Mendel, vice president of manufacturing; and Daniel Santoya, director of environmental systems.*)

## Acronyms

Be consistent within the same material. Do not abbreviate a term (or use acronyms) in some sentences and spell it out in other sentences. Spell out the full term when it is used first and provide the abbreviation or acronym in parenthesis. Thereafter, use the abbreviation or acronym.

**Using the Article “the” Before Acronyms, Initialisms, or Abbreviations**
A rule for this could not be located in The Gregg Reference Manual. Choose one way (“ADPH is located at…” or “The ADPH is located at…”) and be consistent throughout the document.

**Capitalization**
Do not capitalize *state* or *federal*.
Capitalize each item displayed in a list or an outline.
Capitalize a common noun when it is part of a proper name but not when it is used alone in the place of the full name (examples: *the Alabama Department of Public Health* **but** *the department* and *the Bureau of Health Promotion and Chronic Disease* **but** *the bureau*).
Titles of organizational officials should not be capitalized when they follow or replace a personal name (exception: the Governor, the State Health Officer).

**Periods in Displayed Lists**
Use periods after independent clauses, dependent clauses, or long phrases that are displayed on separate lines in a list. Also use periods after short phrases that are essential to the grammatical completeness of the statement introducing the list. For example:

*Please get me year-end figures on:*
- *Domestic sales revenues.*
- *Total operating costs.*
- *Net operating income.*

Avoid the following treatment of displayed lists:

*Please get me year-end figures on:*
- *Domestic sales revenues;*
- *Total operating costs; and*
- *Net operating income.*

No periods are needed after short phrases in a list if the introductory statement is grammatically complete or if the listed items are like those on an inventory sheet or a shopping list.

**Miscellaneous**
Use Spell Check but also proof the document as Spell Check doesn’t always catch every error.

Avoid the use of personal pronouns, such as *our* and *we*, when referring to the department or a bureau.

Be consistent when referring to the department throughout a document. Don’t refer to the department as the Alabama Department of Public Health in one instance then later refer to it as *the department* or *ADPH* or *Public Health* unless the short version of the name has been put in parenthesis the first time it is used. Example: *The Alabama Department of Public Health (the department) will host the meeting.* Later in the document, reference could be made to *the department*. Be consistent!

Source Document: The Gregg Reference Manual