



CONTRACT AGREEMENT APPROVAL FORM INSTRUCTIONS

INSTRUCTIONS FOR THE COMPLETION, APPROVAL AND SUBMISSION OF THE CONTRACT/AGREEMENT APPROVAL FORM (CAAF)

These are the instructions for the completion, approval and submission of the Contract/Agreement Approval Form commonly referred to as a CAAF. The purpose of a CAAF is to authorize approval for the obligation of funds for a Contract/Agreement. An approved CAAF must accompany every contract/agreement submitted to the Office of Contract Administration (OCA) Obligation Unit. The CAAF is not required for Personal Service Contracts (PSC's); this is the only exception. The CAAF includes a cover sheet (page 1), detailed information (pages 2-3), Procurement Code or GATA Compliance (page 4), Financial Attachment-Appropriation Details (pages 5-6) and Financial Attachment-Appropriation Summary (page 7-8). THIS FORM MUST BE COMPLETED IN ITS ENTIRETY AND CORRECTLY.

INSTRUCTIONS FOR THE COMPLETION OF THE CAAF

(Some fields auto-populate if entered on previous screens and some fields auto calculate)

COVER SHEET (PAGE 1):

1. Fiscal Year (FY) - enter FY by clicking the year from the drop-down box on the CAAF form. In SAP, this is called Budget Year (BY).
2. Total Number(s) Of Contracts Listed: - Count the number of contracts/agreements (regardless of the type of action) appearing on the detailed back up page(s) and place the number on the line provided. The "Total Number of Contracts Listed" on the Cover Page must equal the total number of contracts listed on the detail back up page 2 and page 3. NOTE: More than one contract can be added to CAAF if, and only if, the purpose of all contracts listed are the same.
3. PO (Purchase Order Number from BidBuy) or the PBC (Procurement Business Case Number from SAP PBC RFx) - enter PO # or PBC # on CAAF.
 - When the CAAF is submitted for approval, the respective PO or PBC must be accompanied it in a separate attachment.
 - PO can be in draft status when the CAAF is submitted for approvals; however, the PO must be finalized/published and **not** in DRAFT status when attached to the contract in SAP for OCA approval.
 - PBC must be finalized/published when submitting CAAF for approvals; draft version is unacceptable.
4. Tracking Number - create and enter.
 - Tracking number must begin with your division acronym like MH, DD, FCS, OBS, OCA, etc. and then the current FY like 23 for FY23.
 - Complete the end of your tracking number in accordance with your division's policy.
 - The Tracking Number on upper right corner auto populates on each page.
 - It is the same number on all pages of the CAAF.
 - Your division may dictate tracking number formatting; be sure to follow your division's rules.
5. Briefly state the purpose of the contract(s) - include Product/Services and Necessity, Type of Procurement, Procurement Action, Term Dates, and indicate if the contract will be Estimated or Not-to-Exceed. See below for details.
 - Product/Services and Necessity
 - Summarize the product or services needed and the necessity as described on the Procurement Justification Form (PJF)
 - Example: *"These items will be used to ensure the nutritional needs of the Individuals are met and to comply with IDPH food requirements i.e.: CoP: Dietetic Services -W459-460-466-478."*



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- Action Taken
 - Examples for SAP PBC RFx:
 - Initial obligation
 - Change of funding source
 - Increase does not exceed PBC approved amount
 - Increase exceeds PBC approved amount
 - Obligating new FY in multi-year agreement
 - Contract amended no change in value
 - Examples for BidBuy PO:
 - Initial obligation
 - Change of funding source
 - Obligating new FY in multi-year agreement
 - BidBuy P-#### Renewal Option Exercised; enter number of new BID
 - Contract amended for change in (terms & conditions/term/value); not a statutory Change Order
 - Increase to BidBuy P-###; enter BID number of Change Order Notice
- Type of Procurement
 - Information of Bid
 - Request for Proposal
 - Small Purchase
 - Sole Source
 - Emergency
 - State Use
 - Release Off Master (provide Master Contract Number)
 - Purchase of Care
 - Grant
- Term Dates: identify Start date and End date of contract or length of contract
- Estimated or Not-to-Exceed (include dollar amount if not to exceed applies)

Additional page can be added to the CAAF if needed.



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DETAILED INFORMATION (PAGES 2-3)

1. Contractor Information - List the Contractor's Name as it appears on the contract/agreement, include FEIN and SAP Supplier Number. If available, include the Contract Number. This page is to list each Contractor on this CAAF. Each Contractor listed should have only one line entry on this page; this page is not to be used to break down by SAP line number or by Appropriate funding by codes.
2. Current Contract Amount: For a new contract or a renewal, this is the amount subject to approval for the current fiscal year. For increases or decreases, this is the amount of the contract before the recommended increase or decrease is applied. The "Current Contract Amount" should always contain an entry. Each Contractor listed should have only one line entry on this page.
3. Amount of Increase (+)/Decrease (-): completed if the contract obligation amount is being increased or decreased.
 - o Increase - indicate the amount of increase; the Revised Contract Amount will auto calculate.
 - o Zero-dollar modifications - show two lines identifying the decrease amount and showing the increase amount for moving funds from one funding source to another.
 - o Decrease - indicate the amount of decrease preceded by the (-) sign so the Revised Contract Amount column will calculate correctly.
4. Revised Contract Amount: automatically calculates.
5. FY (Fiscal Year): Indicate the two-digit fiscal year from which funds will be obligated.
6. Contract in Previous FY: If your office obligated a contract with this contractor in the previous FY indicate with a "Y". If not indicate with a "N".
7. Type of Action: Check only one box
 - o New Contract - If this is a new contract for the current fiscal year, place an X in this column. If not, skip to next column.
 - o Multi Year or Renewal of Contract - If this is a subsequent year of a multi-year contract or if the renewal form is used and the contract was funded in the previous year, place an X in this column.
 - o Legislative Add On - If this contract/agreement is a "legislative add on" (dollars appropriated by the legislature to a specific contractor by name) indicate by placing an X in this column.
 - o Amendment/Modification - If this action is an amendment or modification to an existing contract/agreement, place an X in this column.
8. Is the Contract Subject to Illinois Procurement Code?
 - Yes - place an X in the "Yes" box if this contract is subject to (covered under) the Illinois Procurement Code.
 - o If a BidBuy PO is required for your contract, then it is subject to the Illinois Procurement Code.
 - o List the name, FEIN, and dollar amount to be paid to subcontractor(s) on page 4 if contract is subject to the Illinois Procurement Code.
 - No - place an X in the "No" box if not subject to the Code.
 - o If an SAP PBC RFX is required, it is not subject to the Illinois Procurement Code.
 - Purchase of Care, Intergovernmental Agreement (IGA) and Grant Agreement are examples of what is not subject to Illinois Procurement Code.

For help, contact the DHS Agency Procurement Officer at 217/557-9298.



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9. On the bottom of Page 2, identify the specific method used to select a vendor. A blanket statement regarding compliance is insufficient.

- If subject to Illinois Procurement Code, include Procurement method (select one from list below):
 - Small Purchase under Sole Source Conditions
 - Small Purchase under Emergency Conditions
 - Small Purchase
 - Small Business Set Aside (usually combined with another method)
 - Information for Bid (IFB)
 - Request for Proposal (RFP)
 - Release Off Master (provide Master Contract Number)
 - Sole Source or Sole Economically Feasible Source
 - Emergency
 - State Use
 - Renewal (include BID number)
 - Change Order (include BID number)
 - Other - identify method (ex. Disaster Proclamation)

If "No", include Procurement method, e.g., Purchase of Care, Intergovernment Agreement (IGA) and Grant Agreement, etc. Also explain why this agreement is exempt and what was done to comply with the Grant Accountability and Transparency Act (if applicable). In CSA Tracking System version, please select the appropriate option. You also have the ability to select "Other" which will allow you to provide an explanation.

PROCUREMENT CODE OR GATA COMPLIANCE (PAGE 4)

This page should be used to:

- Continue with your specific explanation (from bottom of page 2) for the steps taken to ensure compliance with the Illinois Procurement Code
- Expand the explanation of why it is exempt and what was done to comply with the Grant Accountability and Transparency Act (GATA), if applicable
- List the name, FEIN, and dollar amount to be paid to subcontractor(s) if contract is subject to the Illinois Procurement Code

FINANCIAL ATTACHMENT - APPROPRIATION DETAILS (PAGE 5-6)

1. Contractor Information - List Contractor's Name as it appears on the contract/agreement. If available, enter Contract Number and SAP Detail Line Number.
2. Current Contract Amount (must always contain an entry) for corresponding SAP Line Number.
 - New - the amount subject to approval for the current fiscal year.
 - Renewal - the amount subject to approval for the current fiscal year.
 - Increases or decreases - the amount of the contract before the recommended increase or decrease is applied.
3. Amount of Increase (+)/Decrease (-): completed if the contract obligation amount is being increased or decreased.
 - Increase - indicate the amount of increase; the Revised Contract Amount will auto calculate for corresponding SAP Line Number.
 - Zero-dollar modifications - show two lines identifying the decrease amount and showing the increase amount for moving funds from one funding source to another.
 - Decrease - indicate the amount of decrease preceded by the (-) sign so the Revised Contract Amount column will calculate correctly.
4. Revised Contract Amount - automatically calculates
5. FY (Fiscal Year) - Indicate the two-digit fiscal year from which funds will be obligated for corresponding SAP Line Number.
6. SAP FUNDED PROGRAM - Derived from other codes. Decimals in the code are required for corresponding SAP Line Number. Enter Fund, 444 IOC Division, Major Object Code, 00 + Sequence, 00 + Type. For example: 0921.44415.1910.000000NE



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7. FUND - Enter 4-digit Fund followed by six zeros for corresponding SAP Line Number. For example: 0921000000, 0001000000, 0408000000, etc.
8. SAP FUND/COST CENTER - enter 10-characters: 444+ 2-digit IOC Division Code + 2-digit DHS Division Code +3-digit Organization Code for corresponding SAP Line Number. For example: 4441515MS0
9. Amount - automatically calculates the total amount obligated from this appropriation

FINANCIAL ATTACHMENT - APPROPRIATION SUMMARY (PAGE 7-8)

1. DHS Contact: identify staff responsible for answering questions regarding this CAAF
2. DHS Contact Telephone Number: provide best number - cell or office
3. Enter in SAP Codes:
 - SAP FUNDED PROGRAM - Enter SAP Funded Program (as previously entered). If available, enter the respective Contract Number and SAP Detail Line Number
 - DESCRIPTION column - Enter brief purpose of contract as identified on page 1 of this CAAF, then enter WBS Element and Functional Area (see below)
 - WBS ELEMENT - Enter 444-Grant Name-Subprogram-Grant Fiscal Year - enter with dashes. For example: 444NONGRNT-00000000-PADM
 - FUNCTIONAL AREA - Major Object code, two zeros, Sequence and Type, Activity Category and Code. For example: 19100000NE0MS201
 - COMMITMENT ITEM - Enter 5 + Detail Object Code then five zeros. For example: 5128900000
 - SAP FUND/COST CENTER - will auto populate from previous page.
4. Amount: automatically calculates the total amounts

INSTRUCTIONS FOR THE APPROVAL OF THE CAAF

SIGNATURES REQUIRED ON COVER SHEET (PAGE 1)

1. Associate Director, Division Director, and Facility Director, or someone who has signature authority, must sign.
 - Signee is attesting to the paragraph that appears above the signatures.
 - This section must contain at least one signature before the obligation transactions listed on the CAAF will be processed, e.g., before CAAF is forwarded to OCA Obligation Unit via SAP for approval.
 - If someone signs for the designated individual, then the Program Area, Facility, or Division must ensure the signee has the authority to sign.



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2. Other Approver (Level 1) Signature - available for additional individuals who may need or wish to sign the CAAF.

- Signee for this line is not specifically attesting to the first paragraph on the CAAF.
- Associate Directors, Division Directors and Facility Directors or their equivalents are not to use these lines for signature. They are to sign in the designated spaces mentioned above.

The bottom portion of the Cover Sheet (Page 1) labeled "OTHER APPROVALS" is to be used by Executive Staff.

1. Contracts equal to or more than \$250,000.00 MUST be signed by: General Counsel, Chief Financial Officer, and Secretary
2. Signatures from General Counsel, Chief Financial Officer, and Secretary are required if:
 - Contract/Agreement is in the amount of \$250,000.00 or more
 - Amendment/Modification appearing on this form are in the amount of \$250,000.00 or more
 - Amendment/Modifications increase the value of a contract/agreement to \$250,000.00 or more

APPROVAL PROCESS

1. Division/facility approval is required on all CAAFs. Divisions/facilities may have internal processes for routing their CAAFs.
2. Executive Staff and Budget approval is not required if CAAF is for:
 - Zero-dollar modification for non-appropriation code change
 - Decrease
3. Executive Staff and Budget approval is required if CAAF is for:
 - Zero dollar modification for appropriation code change
 - Increase
4. Obtain Executive Staff and Budget approval:
 - Email Lori Stouffe and Jennie Melton
 - Subject line must include CAAF tracking number
 - Attach PO (Purchase Order Number from BidBuy) or the PBC (Procurement Business Case Number from SAP PBC RFx)
5. A CAAF Agenda number will be assigned, if applicable, and the CAAF will be routed electronically. The approved CAAF will be returned to the End User.
6. Division/facility is responsible for ensuring all required signatures are affixed prior to submitting to OCA Obligation Unit for approval.

SUBMISSION OF CAAF WITH THE CONTRACT VIA SAP

1. For Administrative Contracts (**non-CSA**), End User must merge CAAF into a single PDF attachment with all other required contract documentation and attach in SAP.
2. For CSA grants and contracts, the CAAFs must be sent to OCA by email following the instructions in the Publish Requests Section of the CSA Manual (Help tab) for DHS Users. Link: [DHS \(illinois.gov\)](https://www.illinois.gov)



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For PBC RFx		
Transaction	New PBC needed?	Enter on CAAF in "Briefly state the purpose of the contract(s)" page 1
Increasing amount <i>obligated</i> , no change to value of agreements. Includes new FY obligation.	No	<i>Increasing obligation only.</i>
No change to obligation or agreements, change only in <i>funding</i>	No	<i>Change of funding source.</i>
Increasing agreements and/or obligation; <i>total agreements plus all increases do not exceed</i> amount already approved on PBC.	No. The total dollars have already been approved for this program.	<i>Increase to (obligation and/or agreements) does not exceed PBC approved amount.</i>
Increasing agreements and/or obligation; <i>total agreements plus all increases exceed</i> amount already approved on PBCs.	Yes. Create new PBC to obtain approval for additional spending. "Procurement Approach" on SAP	<i>Increase to (obligation and/or agreements) exceeds PBC approved amount.</i>

For BidBuy		
Transaction	New REQ and BID needed?	Enter on CAAF in "Briefly state the purpose of the contract(s)" page 1
Increasing amount <i>obligated</i> , no change to value of contract(s).	No	<i>Increasing obligation only.</i>
No change to obligation or contract(s), change only in funding.	No	<i>Change of funding source.</i>
Obligating new FY on a <i>multiyear</i> contract	No.	<i>Obligating new FY in multiyear agreement.</i>
Exercising a Renewal	Yes. Create new REQ and BID . Use original PO Use original PO number on CAAF.	<i>P-XXXXX Renewal Option Exercised. Enter number of new BID.</i>
Change to contract terms and conditions; or, change to length by <i>less than 180 days</i> ; or, change to value <i>less than \$100,000</i> .	No	<i>Contract amended for change in (terms & conditions/ term/value); not a statutory Change Order.</i>
Increasing or decreasing contract(s) by <i>180 days or more</i> . or, Increasing or decreasing contract(s) by <i>\$100,000 or more</i> .	Yes. Create new REQ & BID . Use original PO number on CAAF.	<i>Material Change Order on P-XXXXX. Enter number of new BID.</i>