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AMC Equipment Purchasing Checklist

Applicable to entities that have been awarded equipment funds through the AMC grant. This document overviews the steps from notice of award to equipment purchasing and reimbursement.

All items below should be provided to Dan Lesh at dan@seconference.org. We encourage entities to submit draft documents to SEC for review.

1. **Onboarding as a Subaward Recipient under the AMC Grant**

    a. **Proposal Review for Unallowable Costs –** Southeast Conference (SEC) staff will review your proposal to identify any costs that may not be eligible for EDA funding, such as construction-related expenses or soft costs like engineering. If there are any questions about specific items included in your proposal, we will reach out.

    b. **Subaward Packet –** SEC will send you a subaward packet for review with the following elements
        - *Subaward agreement* – for your review/signature.
        - *Procurement Guidance for EDA awards* – please follow these guidelines for procurement of equipment and supplies.
        - *AMC Equipment Purchasing Checklist* – this document.
        - *Subawardee Proposal to SEC Equipment RFP* – a reminder of the scope of work and budget proposed.
        - *AMC Overarching narrative for equipment and tech* component – helpful background on the goals of the AMC equipment program.

    c. **Required Documentation –** After the subaward agreement is signed, please submit the following documents:
        - *Articles of Incorporation*
        - *Corporate Bylaws*
        - *State-Issued Certificate of Corporate Good Standing*
        - *Certificates of Insurance* (see subaward for required insurance)
        - *SEC Federal Subrecipient Monitoring Plan & Guide (Risk Assessment)* – fill out to the best of your ability. This is not designed to fix/ change things within your organizational controls. This is for SEC to ensure we are following auditing protocols as the prime recipient of EDA funds. Needs to be completed annually.
        - *Form W-9*

2. **Purchasing Documents –** Purchasing documents are applicable only to equipment (items with a per unit cost of $5K or more). Some equipment subaward agreements also include budget for supplies. Supplies should not be included or mentioned in the equipment purchasing documents described below.

Once these items are complete and finalized, SEC will submit them to EDA for written approval. Waiting for this approval before purchasing equipment ensures equipment costs can be reimbursed. SEC recommends and welcomes submission of draft documents for review prior to filing or signing. Send to dan@seconference.org.

a. Procurement Record Form or Sole Source Justification

- *EDA guidance document on competitive procurement*
- *AMC Procurement Record Form* - To meet federal procurement policy, the procurement record form needs to clearly show 3+ quotes for similar equipment and explain why the winning bid was chosen.
- *AMC Sole Source Justification Form* – If applicable, use sole source justification form to explain why only one vendor met your equipment needs. Clear documentation and reasonable justification will be required.

b. **UCC Filing –** to publicly record with AK DNR recorder's office the EDA's security interest in the equipment to be purchased with grant funds.

- See *UCC1 Form* with EDA address added. Ensure your entity's correct legal name is used.
- Ensure collateral (equipment) is listed.
- UCC1 filings are for initial filings, UCC3 filings are for amendments to prior filings.
- Forms must be recorded (see https://dnr.alaska.gov/ssd/recoff/ucc for filing links and instructions). Provide SEC with a copy of the filed documents that should have a bar code at the top to show they have been recorded with DNR.

c. Security Agreement

- See provided template, which includes instructions to follow. Please remember to include Exhibit A (list of equipment with dollar values) and Exhibit B (affidavit detailing useful life of equipment – usually 10 to 15 years).
- Must be signed, but Alaska law does not require this agreement to be notarized.

d. Attorney Opinion

- Opinion letter must be signed AFTER the date of security agreement signing and UCC document filing date(s).
- Opinion letter should reference the correct dates for the security agreement (signed date) and UCC filing date(s). This ensures that is it clear which documents were reviewed.
- Opinion letter needs to confirm the existence of a perfected security interest and first priority lien, among other requirements. Do not use future tense – the perfected security interest "*exists*" not **"***will exist***"**.

    - EDA prefers not to have other documents (ie. subaward agreement) incorporated into in the attorney opinion, other than documents supporting the actual purchase attached, unless legally necessary.
    - If hiring an attorney to provide this letter is a hardship, please reach out to SEC.

3. **Reimbursement and Direct Payment –** Once all required documentation has been submitted and approved by EDA, SEC has two options for equipment purchases - reimbursement and direct payment to the vendor.

    a. **Reimbursement** - The reimbursement model is preferred. Once the equipment has been purchased from the vendor, please submit the following to be reimbursed:

        - Invoice from subaward recipient to SEC for equipment purchased
        - *ACH/Direct Deposit Authorization Form* – this should include your organization's banking information to allow for a direct deposit.
        - Invoice from vendor of equipment purchased
        - Proof of payment

    b. **Direct payment to vendor –** This is an option for subawardees if cash flow and reimbursement are an issue. SEC will have minimal contact with the vendor with all purchasing details arranged by the subawardee.

        - Email to BBBfinance@seconference.org and dan@seconference.org requesting direct payment option.
        - *ACH/Direct Deposit Authorization Form* – this should include the vendor's banking information to allow for a direct deposit.
        - For international vendors or for vendors who prefer a wire transfer rather than a direct deposit, SEC needs detailed wire instructions from the vendor on their letterhead.
        - Invoice directed to SEC from vendor of equipment to be purchased (with all purchasing details arranged by the subawardee).
        - Submit Your Invoice and Accompanying Documents to: BBBfinance@seconference.org and dan@seconference.org. If there are any issues, we will reach out for corrections.

Important Notes on Equipment Purchases:

- All onboarding and purchasing documents mentioned above need to be submitted and approved by SEC before payment can be made. The quicker these documents are submitted, the quicker equipment can be purchased.
- Equipment expenses not allowed on invoices include: service contracts, building improvements, engineering costs not included as equipment costs, your personnel expenses, and see here for more information on EDA eligible costs.

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