



Contract Instructions Document

- Pages 2–4 of this document shows summaries of the required documents
- Pages 5–13 are the instructions for each of the required documents
- Please contact your program manager or email fau@ocfs.ny.gov for any assistance.
- Note: OCFS will attempt to obtain as many documents as feasible through the Grants Gateway Vault and will up load them into the Contract Management System (CMS) if they are up to date.

Summary of Required Contract Documents

(See pages 4-11 for more detailed instructions)

- Interactive: Enter data directly in the document. Click on SUBMIT to save.
- Download: Click on document title – follow the system directions to take the document out of the CMS and save as a WORD document on your personal computer. The Downloadable documents that require submission will need to be uploaded into the CMS after they are completed.
- Upload: Click on Upload Document. Upload as a WORD or scanned document (.pdf only).

Document	Process for Submission	Helpful Tips
Application Cover Page	Interactive	In the Contract Management System (CMS). Click on “Insert Details” button and follow attached Instructions and click “Submit”
Attachment D Payment and Reporting Schedule	Interactive / For OCFS use only	OCFS will complete this form. No action needed by contractor.
Budget forms	Interactive	Click on “Enter Budget Details”. Enter expenses and narrative by following the attached Instructions and click “Submit” after each page to save your work.
Multi-Year Projected Budget Summary	Interactive / For OCFS use only	Only applies to multi-year contracts. OCFS will complete this form. No action needed by contractor.
Attachment C Work Plan/Narrative	Download/Upload	Download the form and fill in blanks. Upload the completed form, in some cases you may be using the previous year’s template and modifying for the upcoming year. If you are not sure what form you are to use please discuss with your program manager. The top of the page should read Attachment C Work plan.
Disability Benefits Coverage	Upload	Be sure the certification is signed and current, the correct form is used and that OCFS is the certificate holder. Scan and upload the certificate into CMS.
Workers Compensation Coverage	Upload	Be sure the certification is signed and current, the correct form is used and that OCFS is the certificate holder. Scan and upload the certificate into CMS.
Outcome/Performance Targets	Download/Upload	If appropriate this form will be listed under the downloadable documents. If this is there you will fill in blanks following the attached instructions and upload. Depending on the program area this may be covered in the work plan. If you are unsure if this applies to you please speak with your OCFS program manager. <i>*For HFNY your Performance Targets and Indicators will be inserted in your contract by OCFS.</i>
Target Population Form	Interactive	Enter information for each county to be served. This will be the information you will be reporting against in the OCFS Quarterly Data System. This <i>doesn’t apply</i> to HFNY, HFNY-MIECHV, MDT- CAC, FFVPSA and Trust Fund – FRC contracts.

Document	Process for Submission	Helpful Tips
Minority/Women Owned Business Enterprise (W/MBE) Forms	<p style="text-align: center;">Email directly to: MWBEinfo@OCFS.ny.gov</p>	<p><u>GRANT AND NON-GRANT CONTRACTS THAT CONTAIN STATE FUNDS:</u></p> <p>The following forms must completed and submitted to the address in the middle column. Links to all MWBE forms may be found in the Appendix MWBE (http://ocfs.ny.gov/main/bcm/MWBE%20Appendix.pdf).</p> <ul style="list-style-type: none"> - OCFS 3460 MWBE-EEO Policy Statement – form is due during contract development - OCFS 4629 Project Staffing Plan – form is due during contract development <p><u>MWBE Utilization Plan</u> – <u>Contracts containing state funds are required to submit their MWBE Utilization Plan through the NYS Contract System (NYSCS). At the beginning of the contract period, Contractors will receive an email from the NYS Contract System containing a link to that system.</u></p> <p><u>100% FEDERALLY FUNDED GRANT</u> will continue to use the paper forms:</p> <p>The following forms must completed and submitted to the address in the middle column. Links to all MWBE forms may be found in the Appendix MWBE (http://ocfs.ny.gov/main/bcm/MWBE%20Appendix.pdf .)</p> <ul style="list-style-type: none"> o OCFS 3460 MWBE- EEO Policy Statement – form is due during contract development o OCFS 4629 <u>Project Staffing Plan</u> – form is due during contract development <ul style="list-style-type: none"> - OCFS 4631 <u>MWBE Utilization Plan</u> – this form is due no later than the beginning of the contract period.
AS APPLICABLE:		(For contractors who meet the following criteria only)
Subcontracts and Agreements	Upload	For all budget items listed under “Contractual/Consultant”, a current agreement must be uploaded in CMS no later than the point at which related claims will be submitted. For large subcontracts, 50% of OCFS award or \$50,000 in the project, a budget will be required. Sub-contractors also need to be current in Vend Rep as well as Grants Gateway. Budget forms for subcontractors can be obtained by emailing: fau@ocfs.ny.gov
Federal Indirect Cost Rate Agreement	Upload	If your budget includes an indirect cost line item, attach currently approved indirect cost agreement from DHHS or other Federal Agency. Dates of agreement must be within contract period.

Document	Process for Submission	Helpful Tips
AS APPLICABLE:		(For contractors who meet the following criteria only)
Charities Registration	Website	<p>For non-for-profit corporations, unless you are exempt.</p> <p>NYS Attorney General website: http://www.charitiesnys.com/charities_new.jsp</p>
Grants Gateway	Online	<p>You need to update your application as required documents expire; you should receive an email from Grants Gateway. During the course of a contract renewal process you must remain in a “prequalified status”.</p> <p><i>Municipalities are exempt.</i> www.GrantsGateway.ny.gov</p> <p>Login: https://grantsgateway.ny.gov</p> <p>Help Desk Availability:</p> <p>Hours: Monday thru Friday 8am to 8pm Phone: 1-800-820-1890 Email: helpdesk@agatesoftware.com</p>
Vend Rep Questionnaire	Online/Mailed	<p>You need to register and update your questionnaire annually via online through NYS OSC Vendrep system https://portal.osc.state.ny.us/Enrollment/login .</p> <p>~If you choose to mail Vend Rep Questionnaire it needs to be the original and notarized and sent to: NYS OCFS Att. Meghan Manny 52 Washington Ave, Room 335 North, Rensselaer NY 12141.</p> <p>~The certification for both online and paper needs to have a certified date that is not older than 6 months from your contract start date. You do not have to do both but you will have to do one of the above. Online is always best as it’s easier to update.</p>
Multi-Year Contracts		<p>If your contract is set up as a multi-year contract you will submit one year’s budget projection. Your contract will be set up with a 5 year shell. Annual funding is subject to availability of funds per year. You will get an annual continuation letter of what funds will be made available to you pending funding availability. You will not be able to roll over funding from one year to the next and you can’t spend money outside of the one year period.</p>

Contract Instructions Document		NOTES
APPLICATION COVER PAGE		
1	Be sure to complete each item on the Cover Page. Under "Address"; If there is more than one location for the provision of services or the agency operations, (except subcontractor locations, these should be in work plan), be sure each is included.	
2	The payment address on the cover page must match the address in the State Financial System (SFS)	
3	Be sure the correct nine-digit Federal ID# is used	
4	Be sure the correct Charities' Registration Number is used or exempt and reason for exemption	
5	Under "Contact Persons", authorized persons are only those who have been designated as contract signatories (Consig) or claim signatories (claimsig) in CMS. Include a phone number and an email address for all contacts. The information must match with addresses and CMS accounts/roles in the Contract Management System (CMS)	
BUDGET FORMS		
General Instructions		
6	The OCFS share of the budget total must <u>exactly</u> match the award amount	
7	All the figures must calculate accurately and must be rounded to the nearest dollar (no cents)	
8	OCFS will only reimburse up to 15% of the total grant award for indirect and any separate administrative expenses combined. Administrative costs are generally defined as those not directly related to the provision of services to clients. (*Indirect Cost Rate agreements will need to be uploaded if you are applying directly for the indirect cost rate.)	
9	All the costs must be itemized and a budget narrative provided for each budget line item which describes and justifies the item. The amounts indicated in each line item must reconcile with the budget narrative information. The descriptions in the budget narratives need to be listed in the same order as the budget line items.	
10	Non allowable costs include interest costs, fundraising, legal fees to represent agency staff, social activities for staff, major construction/renovation costs	
11	Delineate as either a program (P) or administrative expense (A) for all budget line items by entering P or A next to the budget item.	

Contract Instructions Document		NOTES
Summary of Personnel Costs		
12	<p>For each staff position in the budget, the annual salary and percentage of time on the project must be completed and calculate accurately.</p> <p>If any Personnel are part administrative and part program related, on the Personnel Narrative page, show the salary on two lines (one line for program portion and one line for admin. portion if space allows for this)</p> <p>ALL narratives must describe staff responsibilities and include "direct supervision" language for any title listed in the staffing plan.</p>	
13	<p>The Total Fringe Benefits chargeable should not exceed the current approved fringe rate, which can be found in the NYS Office of the State Comptroller's Guide to Financial Operations (GFO) at: http://www.osc.state.ny.us/agencies/guide/MyWebHelp/ See Chapter VII. State Revenues, Section 9. Fringe Benefits and Indirect Costs.</p> <p>If this is a renewal and the salary has significantly increased from the previous contract period, in the budget narrative, include a justification for the increase.</p>	
14	<p>Note: When calculating total administrative expenses to ensure they do not exceed the 15% cap (10% for some contracts that are Federally Funded); the proportion of fringe expenses related to administrative personnel costs will be included.</p>	
Contractual/Consultant Cost		
15	<p>Any Contractual/Consultant expenses must have a written agreement signed by both parties (contract, lease, rental agreement, etc.) covering the contract period. Agreements must be uploaded into CMS prior to reimbursement of expenses.</p>	
16	<p>For each item over \$50,000 or 50% of OCFS award, a contract agreement, covering the contract period, must be uploaded into CMS prior to reimbursement of expenses. The agreement must be signed by both parties.</p>	
17	<p>For subcontractors which provide a substantial portion of the direct services, the agreement must include each subcontractor's name, employee identification number, address and amount of grant funds provided.</p>	
18	<p>If any contractor or consultant is more than \$15,000, three written bids must be obtained and uploaded. If other than the lowest bidder was selected, sufficient justification must be provided.</p>	
19	<p>If rented/leased space is included which is paid to a third-party/landlord, the expense is listed in this category and the rental agreement/lease must be uploaded. Expenses related to space owned by the Organization will go under the "Other Expenses" category.</p>	

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Travel		
20	Only staff related travel is included in this section. (Consultant travel belongs under the "Consultant" category and client travel belongs in the "Other" category)	
21	When utilizing OCFS funds, travel expenses must not exceed state rates which can be found through the following links: http://www.osc.state.ny.us/agencies/guide/MyWebHelp/Content/XIII/4/C.htm - mileage rates http://www.gsa.gov/portal/category/100120 - NYS per diems http://www.osc.state.ny.us/agencies/travel/meals.htm - Meal Allowance Breakdowns	
Equipment		
22	Equipment is defined as any tangible personal property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Computers, furniture, etc. under \$5,000 should go on the Supplies page.	
23	Are all items in this category being purchased? (Leased or rented items belong in the "Contractual/Consultant" category)	
24	Obtain and provide information on three written bids for all items over \$5,000. If other than the lowest bidder is selected, a statement must be submitted indicating why that vendor was selected.	
25	Is each item clearly described and justified in terms of need and function?	
Supply Costs		
26	Supplies are defined as items under \$5,000 each and consumable within the contract period. For items over \$2,500 each, obtain and provide information on three verbal price quotes.	
27	Categorize supply costs and provide examples of items under each supply category (e.g. arts/crafts (brushes, paint,); program office supplies (paper, pens, ink); janitorial supplies (paper towels, tissue, soap) <i>(Food and beverage for clients at groups etc. must go into B8. Other Expenses)</i> . If office supply costs exceed \$300 per FTE, provide justification.	
Other Expenses		
28	Other expenses are items of expense which are not applicable under any other category and may include occupancy, postage, client travel, utilities, telephone, printing, etc.	

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29	Occupancy Costs - If claiming reimbursement for space owned by the applicant organization, it is allowable to include mortgage costs and costs associated with up-keep of the building/space. These costs should be shown as individual line items with a description on the "Other Expenses" budget page along with any other items such as \$200 mortgage, \$50 water, \$100 electricity, etc. It is no longer acceptable to just use square footage as the explanation of the cost. Depreciation and interest are not an allowable expense. If the space is rented (rent paid to a landlord), please see "Contractual/Consultant" category above.	
30	<p>A line item of expense for "Federal Indirect Costs" can be used to combine general administrative costs (associated with staff performing administrative functions) ONLY if there is a federally approved indirect cost rate for the budget period.</p> <ul style="list-style-type: none"> If you have an approved Federal Indirect Cost Rate letter from the Department of Health and Human Services, or other federal agency, covering the contract period, are all of the pages of this letter uploaded into the contract documents in CMS? OCFS will reimburse up to 15% of the grant award for an approved indirect rate. If you use the full 15% for indirect expenses, no other administrative costs will be allowable. 	
Local Share Breakdown Page		
31	<p>Provide each of the funding sources and the dollar amount supporting the local share portion of the budget. Enter the OCFS award amount under F Grants - "Amount of OCFS Funds"</p> <p>The total on this form must match the total on the Budget Summary Page under Total Project Cost.</p> <p>If you are required to provide a certain percentage of local match, be sure the total of the local match equates to that percentage of the grant award and list the source of the match.</p>	
Budget Summary Page		
32	Does the total of the OCFS Funds in the Budget Summary agree with the amount in Application Cover Page and award?	
Attachment C – Work plan		
33	Renewal contracts may use the same work plan as the prior year with updates as needed. You may be required to use the new work plan template; if this is the case it will be located in the contract as a downloadable document in the Contract Module Screen. <i>*If this is a new contract (1st year/period of term) you should discuss this with your OCFS program manager as this may vary among programs.</i>	
34	The work plan includes information on Community, Target Population, Program Description, Community Collaboration and Program Staff.	

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35	The plan must clearly define the geographic area to be served and the location(s) of services provided.	
36	The plan must define the target population in terms of strengths, needs, demographics, etc.	
37	The plan must describe the full range of services to be provided under the contract.	
38	The plan must state the days and hours of operation including any non-traditional work hours as applicable.	
Performance Targets Form		
39	Complete the form including the number of persons anticipated to reach the Performance Target by the end of the contract period.	
40	Are the performance targets reasonable, measurable, outcome focused and clearly related to the budget and program plan?	
41	Does the plan clearly address how obtainment of the performance targets will be verified?	
Target Population Form		
42	If applicable: For each county to be served, include the number of adults and/or children to be served during the contract period, and of these, the total number of families to be served. If this form applies to your program area it will be on the contract screen as an interactive document.	
Statewide Financial System (SFS)		
43	With the implementation of SFS vendors are required to maintain their own address and other information directly in the system. OCFS does not have access to change this information. For vendor Self-Service Directions and Information (Vendor Self-Service System) click on http://osc.state.ny.us/vendors/index.htm	
Charities Registration		
44	If you are a not-for profit corporation, unless you are exempt, you must register with the Department of Law/Charities Bureau to receive a Charities Registration # and file a Charities Registration Statement annually. NYS Attorney General website: http://www.charitiesnys.com/charities_new.jsp	

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Proof of Worker's Compensation Coverage		
45	<p>Contractors must provide proof of workers compensation coverage by uploading one of the following forms into CMS:</p> <ul style="list-style-type: none"> • C105.2 Certificate of Workers Compensation Insurance • U26.3 Issued by the State Insurance Fund • SI-12 Certificate of Workers Compensation Self-Insurance • Form GSI-105.2 Certificate of Participation in Workers Compensation Group Self Insurance • CD-200 Certificate of Attestation of Exemption from NYS Workers Compensation and/or Disability Benefits coverage <p>The form must list NYS OCFS as the certificate holder and the dates of the certificate must be current. The address for NYS OCFS is 52 Washington Street, Rensselaer, NY 12144</p>	
Proof of Disability Benefits Coverage		
46	<p>Contractors must provide proof of Disability Benefits Coverage by uploading one of the following forms into CMS:</p> <ul style="list-style-type: none"> • DB-120.1 Certificate of Disability Benefits Insurance; • DB-155 Certificate of Disability Benefits Self-Insurance; • CE-200 Certificate of Attestation of Exemption from New York State Workers' Compensation and /or Disability Benefits Coverage <p>The form must list NYS OCFS as the certificate holder and the dates of the certificate must be current. The address for NYS OCFS is 52 Washington Street, Rensselaer, NY 12144.</p>	
The NYS Contract System ("NYSCS") M/WBE and EEO Compliance (STATE FUNDED)		
47	<p>The New York State Contract System ("NYSCS"), https://ny.newnycontracts.com, is the tool that New York State uses to monitor MWBE participation in contracts containing state funds. Contractors will use this system to:</p> <ul style="list-style-type: none"> • File utilization plans for the contract period (formerly reported using the OCFS 4631) and to • Report any MWBE spending on contracts (formerly reported using the OCFS 4441). <p>The following forms should continue to be emailed to the Contract Compliance Unit at MWBEinfo@ocfs.ny.gov. Links to all MWBE forms may be found in the Appendix MWBE (http://ocfs.ny.gov/main/bcm/MWBE%20Appendix.pdf)</p> <ul style="list-style-type: none"> • OCFS – 3460 Equal Employment Opportunity Policy Statement • OCFS – 4629 Project Staffing Plan - Updates to this form is required on a quarterly basis to document changes to the composition of the work force 	

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	<p>M/WBE and EEO Compliance (100% FEDERALLY FUNDED CONTRACTS)</p> <p>Throughout the term of the contract, the following forms should continue to be emailed to the Contract Compliance Unit at MWBEinfo@ocfs.ny.gov.—Links to all MWBE forms may be found in the Appendix MWBE (http://ocfs.ny.gov/main/bcm/MWBE%20Appendix.pdf)</p> <p><u>OCFS-3460 MWBE – EEO Policy Statement</u> – Due annually at the beginning of the contract period.</p> <p><u>OCFS 4629 Project Staffing Plan</u> - Due annually at the beginning of the contract period. Updates to this form is required if necessary on a quarterly basis to document changes to the composition of the work force</p> <p><u>OCFS 4631 MWBE Utilization Plan</u> - Due annually at the beginning of the contract period.</p> <p><u>OCFS 4441 M/WBE Quarterly Report</u> Submission of this spending data should occur using the same schedule outlined in your contract for the submission of claims and/or reports. This form is due no later than 30 days following the end of the quarter. Reports are due even if there has been no MWBE spending during the quarter.</p>	
	<p>Grants Gateway</p>	
48	<p>In order to do business in NYS all vendors need to apply in Grants Gateway and must be in a “prequalified” status when your contract is returned to us and while it’s being sent to OSC for approval. Municipalities are exempt.</p> <p>Applications must be updated as required documents expire; Grants Gateway System (GGS) will send an email to the user identified in the GGS. During the course of a contract renewal process you must remain in a “prequalified status”.</p> <p>Required Documents:</p> <ul style="list-style-type: none"> ✓ <i>Certificate of Incorporation or Equivalent Document;</i> ✓ <i>IRS 501 c Determination Letter (2);</i> ✓ <i>IRS 990;</i> ✓ <i>Audit/Reviews and Findings;</i> ✓ <i>CHAR500 or CHAR410;</i> ✓ <i>Board of Directors Profile;</i> ✓ <i>Senior Leadership Resumes;</i> ✓ <i>Corporate Bylaws</i> <p>Login: https://grantsgateway.ny.gov</p> <p>Grants Gateway Help Desk Availability: Hours: Monday thru Friday 8am to 8pm Phone: 1-800-820-1890 Email: helpdesk@agatesoftware.com.</p>	

Contract Instructions Document		NOTES
	NYS OSC VendRep System	
49	<p>Register and update your Vendor Responsibility Questionnaire annually online through NYS OSC VendRep system https://portal.osc.state.ny.us/Enrollment/login . Certification date must be no older than 6 months from your contract start date. OCFS recommends completing the VR Questionnaire online in the VendRep System. The process is centralized (can be used for several contracts) and easier to update.</p> <p>For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us</p> <p>Vendors may also opt to file a paper questionnaire which can be found in the Vendor Responsibility section of the OSC website http://osc.state.ny.us/vendrep/forms_vendor.htm. The "Vendor Responsibility Questionnaire – Not For Profit Business Entity Form (AC-3291s)" must be used by Not For-Profit vendors.</p> <p>If you choose to mail the Vendor Responsibility Questionnaire an original, signed and notarized document is required. Mail to: NYS OCFS Att. Program Manager 52 Washington Ave, Rensselaer NY 12141.</p>	
	Contract Management System (CMS)	
50	<p><i>As a best practice it is recommended that you click the "submit" button intermittently to avoid loss of data.</i></p> <p>The Contract Management System (CMS) https://apps.ocfs.ny.gov/cms is a secure, browser based system used by the Office of Children and Family Services (OCFS) to increase efficiency and effectiveness of the contract development process.</p> <p>Getting Started in CMS</p> <p>Prior to completing any online transactions in CMS, at least two users from the contractor's organization need to be identified.</p> <ul style="list-style-type: none"> ▶ User responsible for processing the contract documents; and ▶ User responsible for electronically signing a contract and/or expenditure <p>Vendors request access to CMS by completing a CMS Authorization form. This form in conjunction with the Vendor & Contract Contact Update form should be used for any updates to a contractor's reviewer credentials and/or CMS vendor file.</p> <p>Forms can be obtained from the FAU Unit FAU@ocfs.ny.gov .</p>	

Contract Instructions Document

NOTES

Contract Management System (CMS) *continued*

The following table depicts the level of access and/or function for contractors

Type of User →	CONUSER	CONSIG	CLAIMSIG	CONMEWER
Module ↓				
Inbox	✓	✓	✓	
Contractor Details	✓	✓	✓	✓
Logging Expenditures/ Advances/ Budget Modifications	✓	✓	✓	
Processing Expenditures/ Advances	✓			
Electronically Signing Contracts		✓		
Electronically Signing Expenditures/Advances			✓	
Contracts List	✓	✓	✓	✓
Correspondence Search			✓	✓

NOTE:

- When logging into CMS be sure to access CMS via the Internet Explorer browser. All other browsers are incompatible and the features of CMS may not work as designed if other browsers are used to access CMS.

PDF is the preferable format for uploaded documents

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