

**Office of Operations
2015 Fall Conference
December 8-9**

Partners in Excellence

Tools for Effective Grant Procurement

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AGENDA

- Introduction to Grants
- Grant Procurement Methodologies
 - Competitive
 - Non – Competitive Procurements
 - Contract Reporter Exemption Request (CRER)
 - Designated Grants
- Grant Contracts



INTRODUCTION

Guiding Principle

- The purpose of State procurement is to facilitate each State agency's mission while protecting the interests of the State and its taxpayers and promoting fairness in contracting.



INTRODUCTION

What is a grant?

- Grants are not specifically defined in statute. Grants are only referred to in one section of State Finance Law, Article 11-B, the Prompt Contracting Law.
- Called “program” contracts, grants are usually associated with work that supports the mission of an agency by ensuring that critical services are provided.
- Grant programs often have multiple contracts associated with them.



INTRODUCTION

What is a grant?

- Grants are provided for the benefit of the public to non-profits, municipalities and other entities, such as for-profits and universities.
- The lack of a statutory definition for a “grant” creates a challenge for state agencies in determining in some cases whether a procurement is a grant or a service.



INTRODUCTION

Grant or State Operations Service Contract?

Component	Service Contract	Grant Contract
Purpose of Funds	Services are being provided to support the operations of the agency or their statutory obligations.	To support services being provided to the public at large for a specific purpose which aligns with the state agency's mission.
Evaluation of Cost	Typically best value.	Based upon individual proposal and reasonableness.
Contract Terms	Fee for service, expectation of completion based upon agency- specific requirements. Vendor not required to account for how payments are spent.	Agreement based upon agency program plan, Enforcement based upon using funds for intended purpose. Use of Master Grant Contract boilerplate.
Agency Oversight	Agency has significant involvement in completion of services.	Agency has oversight in completion of services.
Matching Requirements by contractor	Does not contain matching requirements.	Frequently contains a matching requirement.



INTRODUCTION

Grant or State Operations Service Contract?

Component	Service Contract	Grant Contract
Payment	Payment is made upon receipt of invoice for completed services. No advances are typically allowed.	Advances to not-for-profits are allowed by statute up to 25%. Payments are typically made quarterly in arrears.
Additional Statutory Requirements	Subject to ST220, consulting disclosure, SFL139J&k, and the lobbying law.	Subject to prompt contracting statute.
Funding Sources	State Operations Appropriation: various fund types including General and Special Revenue Funds.	Aid to Localities Appropriation: typically General and Special Revenue fund types and Capital Projects funds.
Spending Authorization	May be an annual lump sum appropriation or specifically described in appropriation language.	Specially described in appropriation language, special legislation or statute.
Award Amounts	There is typically no funding cap stipulated in the Request for Proposal.	There is a funding cap stipulated in the RFP and in many cases, the authorizing legislation.



INTRODUCTION

Funding for Grants

- The state budget divides programs into three general appropriation categories: operating funds, aid to locality funds and capital project funds.
 - Operating funds are generally intended for state operations (State Finance Law Section 163 Procurements).
 - Aid to Locality funding is typically designated to support not for profits and municipalities.
 - Capital project funds can be either for state operations or grants depending on the language in the appropriation.



PROCUREMENT PROCESS

State Procurement Process Objectives

- Ensure fair and open competition.
- Guard against favoritism, extravagance, fraud and corruption.
- Ensure the results meet agency needs.
- Provide for checks and balances to regulate and oversee agency procurement activities.
- Protect the interests of the State and its taxpayers.



PROCUREMENT PROCESS

Documenting Decisions

- Procurement Records document the procurement process and the decisions made during the process.
- Agencies should submit a complete Procurement Record to OSC with sufficient time for approval and the timely execution of contracts.



PROCUREMENT PROCESS

- Grant procurement records are approved by OSC as a separate approval function prior to the receipt of contracts generated from the procurement.
- Once an approval or non-approval determination is made for a procurement record, a letter indicating the status of the procurement is generated and sent to the agency electronically.



PROCUREMENT PROCESS

Grant Procurement Methodologies

- Based on the criteria and the funding guidelines, the following methodologies are available for procuring grants:
 - Competitive Procurement
 - Non-Competitive Procurement
 - Contract Reporter Exemption Request (CRER)
 - Designated Recipients



COMPETITIVE PROCUREMENT RECORD

OSC Reporting
Code _____
(Completed by OSC)

OFFICE OF THE STATE COMPTROLLER
COMPETITIVE
GRANT PROCUREMENT RECORD CHECKLIST

AGENCY INFORMATION		
Agency Business Unit ID:	Agency Department ID:	Agency Name:
Grant Program Name (if applicable):		
Procurement Description:		
Earliest Contract Start Date:		Latest Contract End Date:
Aggregate Procurement Amount:		Number of Contracts Awarded:
Single Term Only? <input type="checkbox"/>	OR <input type="checkbox"/>	Define Term (including Renewal Term(s), if applicable):
Initial Term with Simplified Renewal(s)? <input type="checkbox"/>	OR <input type="checkbox"/>	
Multi-Year Term? <input type="checkbox"/>	<input type="checkbox"/>	
More than 5 Years? Yes <input type="checkbox"/> No <input type="checkbox"/>		
If "Yes" Provide Explanation/ Justification:		
Is an Advance Allowed? Yes <input type="checkbox"/> No <input type="checkbox"/>		
What are Terms of the Advance?		
Does the Amount of Advance exceed 25% in an appropriation period? Yes <input type="checkbox"/> No <input type="checkbox"/>		
If Yes: Please provide justification:		
Eligible Applicants (check all that apply):		
Not For Profits <input type="checkbox"/>	For Profits <input type="checkbox"/>	Municipalities <input type="checkbox"/> Other (explain) <input type="checkbox"/>



COMPETITIVE PROCUREMENT RECORD

DOCUMENTATION			
Check:	STATUTE	Comments:	
<input type="checkbox"/>	1. Enacting Legislation		
<input type="checkbox"/>	2. Appropriation		
SOLICITATION			
<input type="checkbox"/>	3. NYS Contract Reporter/State Register Advertisement; or		
<input type="checkbox"/>	4. Substantial Compliance Justification		
<input type="checkbox"/>	5. Solicitation List		
<input type="checkbox"/>	6. Bidder/ Applicant List		
<input type="checkbox"/>	7. Request for Proposal (RFP), or		
<input type="checkbox"/>	8. Request for Application (RFA)		
<input type="checkbox"/>	9. List of Bidder Conference Attendees		
<input type="checkbox"/>	10. Questions and Answers		
<input type="checkbox"/>	11. Letters of Intent		
<input type="checkbox"/>	12. Evaluation Instrument		
<input type="checkbox"/>	13. Applicant/Awardee List		
	14. Protest letters and resolution documentation		
CONTRACT DOCUMENTS		Comments:	
<input type="checkbox"/>	15. Boilerplate contract		
<input type="checkbox"/>	16. DOB Spending Control (Attachment A or B)		
1. Program Outline			
2. Eligible Audience			
3. Funding Methodology			
CONTACT INFORMATION(REQUIRED):			
Agency Contact Person/ Title:		Phone:	Email:
		Date Submitted to OSC:	
ADDITIONAL COMMENTS			



COMPETITIVE PROCUREMENT RECORD

Competitive Grant Procurement Overview

- State agencies implement program plans as shaped by the State Budget.
- Procurement opportunities must be available to all qualified entities.
- State agencies create solicitations, such as Requests for Proposals (RFPs) and Requests for Applications (RFAs), for community distribution.



COMPETITIVE PROCUREMENT RECORD

Competitive Grant Procurement Overview

- Advertising should include the Contract Reporter and may include any other relevant resources to enhance competition.
- Specifications should be designed to encourage competition.
- All applicants must know the rules for submission, start on an equal playing field and be aware of how proposals will be evaluated.
- The procurement process should ensure that all applicants are fairly evaluated and objectively awarded.



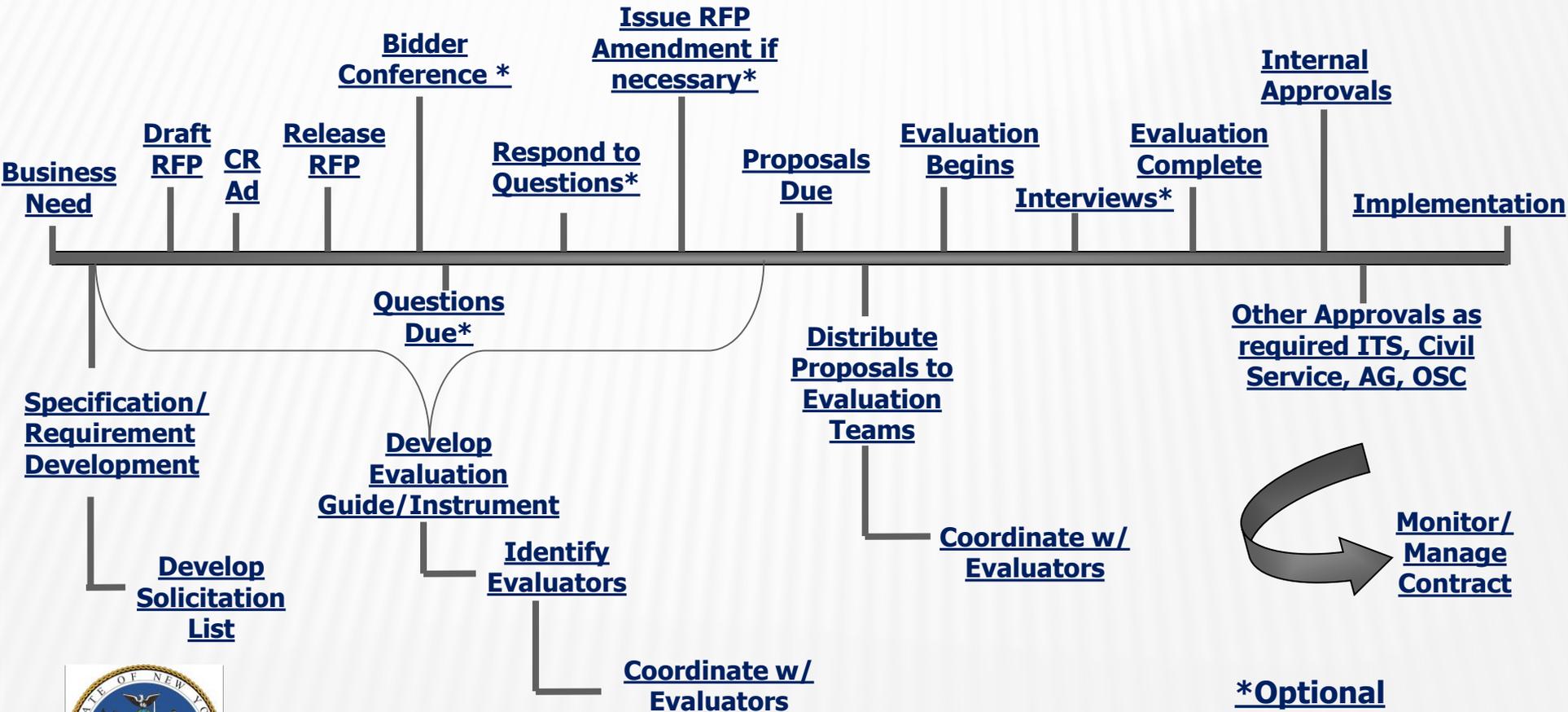
COMPETITIVE PROCUREMENT RECORD

Competitive Procurement Record Elements

- Planning
- Solicitation Development
 - Award Methodology
 - Evaluation Process



COMPETITIVE PROCUREMENT TIMELINE



COMPETITIVE PROCUREMENT RECORD

Considerations When Developing a Solicitation

- What is being procured?
- How will those services be delivered?
- Where is the need?
- Who is a qualified or eligible applicant?
- How will reasonableness of cost be determined?
- Are matching funds required?



COMPETITIVE PROCUREMENT RECORD

All Solicitations Must Include

- Minimum Qualifications Required to Participate
- Contract Term
- Method of Award
- Funding Methodology
- Evaluation Criteria

Evaluation Methodology Must Include

- Evaluation Instrument
- Instructions to Evaluators



COMPETITIVE PROCUREMENT RECORD

Award Methodology

- What criteria will be taken into consideration when making awards?
- How will the criteria be scored?
- How will awards be made?
 - Highest Score
 - Regionally
 - Statistically Documented Need



COMPETITIVE PROCUREMENT RECORD

Evaluation Process

- The evaluation instrument, or process, must be developed prior to the receipt of proposals.
- RFP / RFA must include a methodology to follow for evaluating proposals / applications.
- Establish written guidelines and instructions for evaluators.
- Identify mandatory requirements, how they will be reviewed and the consequences for proposals that fail to meet them.
- Decide how reasonableness of cost be reviewed and documented in the record. OSC recommends cost to be at least 20% of the total final score.



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Pass / Fail Requirements
- Technical Evaluation
- Cost Evaluation
- Final Calculations



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Pass / Fail
 - Pass / Fail requirements must be objective in nature.
 - Consider providing a checklist to evaluators to document that an application meets (or passes) the pass / fail requirements.



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Technical Evaluation
 - The specifications must clearly identify the program's technical requirements.
 - The evaluators review how well the applicant's proposal meets the program requirements identified in the solicitation.
 - The evaluation instrument identifies the predefined range of scores or values being used to fairly measure each applicant's response to the solicitation.
 - Values, or weights, are assigned to each set of scoring criteria.



COMPETITIVE PROCUREMENT RECORD

Planning the Evaluation of Proposals

- The process must provide for scoring that is uniform among all applicants being ranked in order to ensure a fair and equitable final result.
- If an agency finds it necessary to use more than one team of evaluators, it should, to the extent possible,
 - minimize the number of teams of reviewers,
 - provide for additional levels of review and
 - consider having the same set of reviewers review separable parts of the evaluation tool.
- Agencies should contemplate the potential for large responses when designing the criteria, RFP and the methods of evaluation.



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Instructions for Evaluators
 - Evaluators should have a common understanding of criteria and how to evaluate the responses.
 - Evaluators should understand and consistently use the same formula when scoring applications.



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Technical Score Summary
 - Include individual evaluator scores for each proposal.
 - Show final calculations used to determine the final technical scores.
 - Provide a score summary in rank order according to the pre-defined Method of Award.
 - Address discrepancies and wide variances in scores between evaluators.
 - Document rescoring, if rescoring is allowed for in the solicitation.



COMPETITIVE PROCUREMENT RECORD

Components of an Evaluation Methodology

- Technical Score Summary Best Practices
 - Single proposals must be completely evaluated.
 - Identify minimum technical scores, if applicable.
 - Address processes for scoring ties between applicants.
 - Explain the criteria being evaluated.
 - Develop a matrix that identifies potential scores for each criteria.
 - Break criteria down into subcategories to easily measure how well an applicant responds to all the program's various requirements.



NON-COMPETITIVE PROCUREMENTS

Types of Non – Competitive Procurements

- Procurements where Eligible Applicants are Predefined
- Contract Reporter Exemption Requests (CRER)
- Designated Grants



NON-COMPETITIVE PROCUREMENTS

Non-Competitive Procurement Record Checklist

AGENCY INFORMATION			
Agency Business Unit ID:	Agency Department ID:	Agency Name:	
Grant Program Name (if applicable):			
Earliest Contract Start Date:		Latest Contract End Date:	
Aggregate Procurement Amount:		Number of Contracts Awarded:	
Single Term Only?	<input type="checkbox"/>	OR	Define Term (including Renewal Term(s), if applicable):
Initial Term with Simplified Renewal(s)?	<input type="checkbox"/>	OR	
Multi-Year Term?	<input type="checkbox"/>		
More than 5 Years? Yes <input type="checkbox"/> No <input type="checkbox"/>			
If "Yes," provide explanation/justification:			
Is an Advance Allowed? Yes <input type="checkbox"/> No <input type="checkbox"/>			
What are Terms of the Advance?			
Does the Amount of Advance exceed 25 percent in an appropriation period? Yes <input type="checkbox"/> No <input type="checkbox"/>			
If "Yes," please provide justification:			
Eligible Applicants (check all that apply):			
Not-For-Profits	<input type="checkbox"/>	For-Profits	<input type="checkbox"/>
Municipalities	<input type="checkbox"/>	Other (explain)	<input type="checkbox"/>



NON-COMPETITIVE PROCUREMENTS

Non-Competitive Procurement Record Checklist

DOCUMENTATION			
Check:	DOCUMENTATION	Comments:	
<input type="checkbox"/>	1. Enacting Legislation		
<input type="checkbox"/>	2. Appropriation		
<input type="checkbox"/>	3. Applicant/Awardees List		
<input type="checkbox"/>	4. Boilerplate contract		
<input type="checkbox"/>	5. Division of the Budget Spending Control (Attachment A or B)		
NARRATIVE			
1. Program Outline			
2. Eligible Audience			
3. Funding Methodology			
CONTACT INFORMATION (REQUIRED):			
Agency Contact Person/Title:	Phone:	Email:	Date Submitted to OSC:



NON-COMPETITIVE PROCUREMENTS

Non-Competitive Procurement Records

- Procurements that are formula driven to a predefined subset of eligible entities.
- Procurements that are legislatively directed.



NON-COMPETITIVE PROCUREMENTS

Documentation Required

- Enacting Legislation
 - A copy of the relevant law enacting the program and/or procurement, if applicable.
 - Only the section pertinent to the specific program should be submitted.
 - Please include the year and citation information for where the law can be found.



NON-COMPETITIVE PROCUREMENTS

Documentation Required

- Appropriation
 - A copy of the appropriation of funds for the procurement must be submitted.
 - The appropriation must be from the current fiscal year.
 - Please include a citation for where appropriation can be found in the current State budget.



NON-COMPETITIVE PROCUREMENTS

Documentation Required

- Boilerplate Contract
 - A copy of the contract that will result from the procurement must be submitted.
- Applicant/Award List
 - A list of eligible entities participating in the procurement.
 - Notate the funding amount awarded, contract numbers and the intended contract term.



NON-COMPETITIVE PROCUREMENTS

Narrative Requirements

Outline of the Program

- Describe the services to be provided along with a short explanation of the need.

Outline of the Eligible Audience

- Describe the eligible applicant pool and it was determined all eligible applicants receive funding.

Description of Funding Methodology

- Describe precisely the process utilized to establish the contract amounts. For example, funding distributed based on the number of people who voted in each county.



NON-COMPETITIVE PROCUREMENTS

Best Practices for Non-Competitive Procurements

- Document the procurement is non-competitive in nature and could not be fulfilled with a competitive process.
- Explain how it is known all eligible entities receive funding.
- Provide evidence that the funding is based on a formula or other objective criteria, and that the lack of competition does not contradict any legislative intent.



CONTRACT REPORTER EXEMPTION REQUEST

CRER

- A Contract Reporter Exemption Request (CRER) is a request from a State agency for an exemption to the advertising requirements for public notice in the Contract Reporter.
- Economic Development Law encourages competition “to the maximum extent possible.”
- Requests for exemption must be made and approved prior to entering into a contractual agreement with any contractor.



CRER CHECKLIST

**OFFICE OF THE STATE COMPTROLLER
CONTRACT REPORTER EXEMPTION REQUEST (CRER) CHECKLIST
GRANT PROCUREMENT RECORD CHECKLIST**

AGENCY INFORMATION		
Agency Business Unit ID:	Agency Department ID:	Agency Name:
Grant Program Name:		
Grant Program Description:		
Total Transaction Amount :		Number of Contracts:
Vendor ID(s) (list here, or if more space is required, use #5 below):	Vendor Name(s) (list here, or if more space is required, use #5 below or attach list):	
Basis for Request: New Contract <input type="checkbox"/> Adding Funds to Existing Contract(s) <input type="checkbox"/> Adding Funds and Time to Existing Contract(s) <input type="checkbox"/> <small style="margin-left: 200px;">complete timeline on Page 2</small>		
Define Term and requested Renewal Term(s) (if applicable):		
Method of Award type (check box that applies): Single Source <input type="checkbox"/> Sole Source <input type="checkbox"/> Emergency <input type="checkbox"/> Critical <input type="checkbox"/> Not Feasible <input type="checkbox"/>		
CRER PROPOSAL DETAILS		
1. EXPLANATION OF NEED: (Describe the Grant Procurement/Activity being procured, including the need):		
2. SELECTION OF VENDOR(S): (Explain the circumstances leading to the selection of the Vendor, including possible alternatives considered and the unique nature of this specific request):		



CRER CHECKLIST

3. REASONABLENESS OF COST (Provide the precise and detailed method used to substantiate that cost is not excessive. Acceptable methods include: a due diligence process; cost vs. benefits in monetary terms; and comparison to similar regions, other providers, like entities, or prior year costs):			
4. Required Attachments:			
1. Appropriation			
2. Division of the Budget (DOB) Spending Control (Attachment A or B)			
CONTACT INFORMATION(REQUIRED):			
Agency Contact Person/Title:	Phone:	Email:	Date Submitted to OSC:
ADDITIONAL COMMENTS			
5.			

Required when adding both time and funds to Existing Contract
TIMELINE FOR FUTURE ANTICIPATED PROCUREMENT

DESCRIPTION	DATE
RFA/RFP completed	
Submit Contract Reporter/State Register Notice	
Notice published in Contract Reporter/State Register	
Applicant conference (if applicable)	
Letters of Intent due (if applicable)	
Written bidder questions due (if applicable)	
Q & A to bidders (if applicable)	
Applications due	
Technical review	
List of recommended vendors complete	
Potential vendor list approved	
Contracts sent to vendors	
Procurement Record to OSC for approval	
Contracts due back to agency	
Contracts sent to Attorney General & Comptroller	
Contract start date	



CONTRACT REPORTER EXEMPTION REQUEST

CRER

- CRERs are requested by state agencies to create new contracts or amend existing contracts that are not being competitively bid.
- Recent Examples include
 - Transactions to add money or change the scope of an existing contract.
 - Transactions where there is only one provider.
 - Contract extensions for existing agreements while a new competitive procurement is being finalized.



CONTRACT REPORTER EXEMPTION REQUEST

CRERs

- Mandatory Components of a CRER include:
 - Explanation of Need
 - Selection of Vendor
 - Reasonableness of Cost Analysis



CONTRACT REPORTER EXEMPTION REQUEST

CRER

- Explanation of Need
 - Provide a brief summary of the program services to be provided.
 - Detail the length of, or any proposed extensions to, existing contract terms.
 - Explain why it is not feasible to advertise.
 - Provide a timeline for future competitive procurements or indicate what the future intent is regarding a competitive procurement.



CONTRACT REPORTER EXEMPTION REQUEST

CRER

- Selection of Vendor
 - Exemption requests must include a clear explanation of the circumstances leading to the request.
 - Include details for the selection of the vendor including other possible alternatives and why they were not considered.
 - Document the unique nature of this specific contractor.
 - If the agency is indicating that only this vendor can provide the required services, it must document how they made this determination.



CONTRACT REPORTER EXEMPTION REQUEST

CRER

- Reasonableness of Cost
 - Provide clear and substantiated documentation that shows how the determination was made that the contract amount is a reasonable expense for the state.
 - Describe the contract amounts and how the values were calculated.
 - If the purpose of the CRER is to provide an increase in budget an explanation should be provided explaining each item increased.



DESIGNATED GRANTS

Grants to Designated Recipients

- Community Project Funds 007, “M” Contracts
 - 007 funded Legislative Initiatives must have an “M” prefix for the contract number.
- Other Designated Grants
 - When a program is named in the budget that is not 007 funded, the contract should have a “C” prefix for the contract number.
 - If the grantee is not specifically named in the appropriation, a legislative letter of intent or initiative form is required.



PROCUREMENT RECORD REVIEW

Summary of Requirements for All Procurements

- Use the OSC Checklists when submitting the transaction.
- Include all documentation and information required on the checklists in the procurement record.
- Ensure that all dollar values in the transaction are consistent between the value of the awards, the appropriation authorization and the amount listed on the checklist.
- Completed checklists to include accurate contract terms and dates, an accurate value of the procurement and correct department ID.
- Provide a copy of the boilerplate contract and incorporate samples of the Budget, Payment Terms and Work Plan.
- Detail the precise method used to determine price reasonableness.



CONTRACT APPROVAL

State Finance Law, Section 112

- Before any contract made for or by any state agency, department, board, officer, commission, or institution... shall be executed or become effective whenever such contract amount exceeds fifty thousand dollars in amount... it shall, first be approved by the comptroller and filed in his or her office.



CONTRACT APPROVAL

State Finance Law, Article 11-B

- Contracts with not-for-profit entities must be approved or non-approved by OSC within 15 calendar days.



CONTRACT APPROVAL

OSC Review

- The following items are required for all contract transactions
 - STS / AC340-S / Transmittal
 - Contract Agreement
 - Supplemental Documentation



CONTRACT APPROVAL

OSC Review

- STS / AC340-S / Transmittal
 - Contract Number
 - Supplier Name
 - Term of Contract
 - Transaction Amount
 - Intended Fund Reservation
 - Department ID
 - Program Description



CONTRACT APPROVAL

OSC Review

- Contract Agreement
 - Contractor SFS Payee Name
 - Vendor Identification Number
 - Federal Identification Number or Municipality Code
 - For Profit / Not-for-Profit Status
 - Charities Registration Number
 - Sectarian Entity Status



CONTRACT APPROVAL

OSC Review

- Contract Agreement
 - Contract Amount
 - Contract Term
 - Authorized State Agency Signature
 - Attorney General Approval
 - Contractor Signature
 - Notary Signature
 - Notary Identification Number and Expiration Date



CONTRACT APPROVAL

OSC Review

- Contract Appendices and Attachments
 - Appendix A, Standard Clauses for NYS Contracts, January 2014
http://www.ogs.ny.gov/purchase/biddocument/22936i_AppendixA.pdf
 - Attachment A-1(A) , Agency Specific Terms and Conditions
 - Attachment A-1(B), Program Specific Terms and Conditions



CONTRACT APPROVAL

OSC Review

- Contract Appendices
 - Attachment B – Budget
 - Check that dollar values are consistent throughout the AC-340s or STS, the contract face page and the Attachment B, Budget.
 - Verify that the each year of the contract term is represented by a budget, especially if each year is a different budget amount.
 - Confirm that the budget contains sufficient detail.



CONTRACT APPROVAL

Budget Lacking Sufficient Detail

Budget for the OSC Not - For-Profit Corporation		
Contract Cost Line Items		NYS Funding
Personnel Costs:		
Total Personnel Salaries		1,135,000.00
Total Fringe Benefits		227,000.00
Total Personnel Costs		1,362,000.00
Indirect Cost 20% of		
Personnel Costs		227,000.00
Non-Personnel Costs:		
Equipment		56,000.00
Materials % Supplies		63,000.00
Consultant/Contracts		2,000,000.00
Other		3,250,000.00
Total Non-Personnel Costs		5,369,000.00
Total Budget		12,100,000.00



CONTRACT APPROVAL

Budget with More Detail

Contract Cost Line Items				
Personnel:	Positon	FTE	Salary	NYS Funding
Barbara Norton	President	0.5	\$ 1,000,000.00	\$ 500,000.00
Randy McConnach	Vice President	0.5	\$ 800,000.00	\$ 400,000.00
Kathleen Picciocca	CEO	0.75	\$ 100,000.00	\$ 75,000.00
Robert Barnes	Researcher	1	\$ 75,000.00	\$ 75,000.00
Carol Hayes	Investigator	1	\$ 85,000.00	\$ 85,000.00
				\$ 1,135,000.00
Fringe Benefits 20%				227,000.00
Total Personnel Costs				\$ 1,362,000.00
Indirect Costs 20% of Personnel Costs				\$ 227,000.00
Non-Personnel Costs				
Equipment				
3 Computers				\$ 3,000.00
2 leased Vehicles				\$ 10,000.00
5 Cell Phones monthly				\$ 3,000.00
3 Printers				\$ 40,000.00
Total Equipment				\$ 56,000.00

Materials and Supplies		
Copy Paper		\$ 50,000.00
stamps and envelopes		\$ 3,000.00
Publications		\$ 10,000.00
Total Material and Supplies		\$ 63,000.00
Consultant/Contracts		
BF Consultants		\$ 500,000.00
Technologies are Us		\$ 1,000,000.00
Star Enterprises		\$ 500,000.00
Total Consultant Contracts		\$ 2,000,000.00
Other Expenses		
Laboratory Fees		\$ 2,000,000.00
Meetings		\$ 50,000.00
Outreach		\$ 1,000,000.00
Training		\$ 200,000.00
Total Other Expenses		\$ 3,250,000.00
Total Budget		\$ 12,100,000.00



CONTRACT APPROVAL

OSC Review

- Attachment C – Work Plan
 - Scope
 - Work Plan



CONTRACT APPROVAL

OSC Review

- Attachment D – Payment Schedule
 - Expenditure Based
 - Schedule Based
 - Contract advance payments are limited to 25%



CONTRACT APPROVAL

OSC Review

- Supplemental Documentation
 - Division of Budget B-1184 Approval
 - Grant Procurement Approval / CRER Approval Letters
 - Contract Award List
 - Vendor Responsibility Documentation



CONTRACT PROCESS

OSC Review

- Vendor Responsibility Documents
 - Signed Vendor Responsibility Profile
 - Authorized Signature required
 - Vendor Responsibility Questionnaire (VRQ)
 - Online VRQs do not require an additional paper copy of the VRQ
 - VRQs are required for transactions valued \$100,000 and greater
 - Workers Compensation Certification
 - Disability Insurance Documentation
 - Charities Registration



CONTRACT PROCESS

Resources

- NYS Guide to Financial Operations
<https://www.osc.state.ny.us/agencies/guide/MyWebHelp/>
- Grants Reform
<https://www.grantsreform.ny.gov/>
- NYS Division of the Budget
<https://www.budget.ny.gov/>
- NYS Office of General Services Procurement Services
<http://ogs.ny.gov/bu/pc/SPC.asp>
- NYS Contract Reporter
<https://www.nyscr.ny.gov/>
- Office of the State Comptroller Grants Team Email Box
BOCGrantsTeam@osc.state.ny.us



OSC GRANT TEAM STAFF

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John Kehn, Supervisor	486-1298
Krista Clark, Supervisor	486-6521
Amy Wines, Supervisor	408-4822
Carol Hayes, Primary Auditor	408-3479
Robert Barnes, Primary Auditor	474-2692
Regina Richardson, Primary Auditor	473-5689
Catherine Bruns, Primary Auditor	408-4378
Kathleen Picciocca, Primary Auditor	473-0949
Kelly Evers Engel, Primary Auditor	486-1291
Kathleen Koehler, Primary Auditor	486-3042



Thank You!

