



**Agriculture
and Markets**

Grant Contract Development Process

Division of Agricultural Development

Training for Grant Recipients

July 28, 2022

Kathy Hochul
Governor

Richard A. Ball
Commissioner

Presenter
Jacqueline Boyer, MPH

1

Agenda

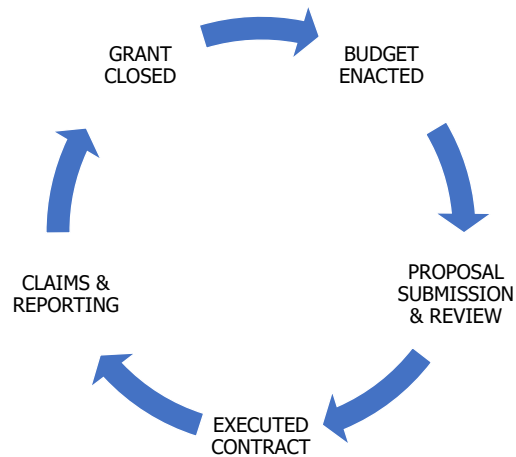
- Overview
- Budget Enacted
- Proposal Submission & Review
- Contract Execution
- Claims & Report Submission
- Closeout Letter
- Hypothetical Case Study
- Resource Page
- Q & A



**Agriculture
and Markets**

2

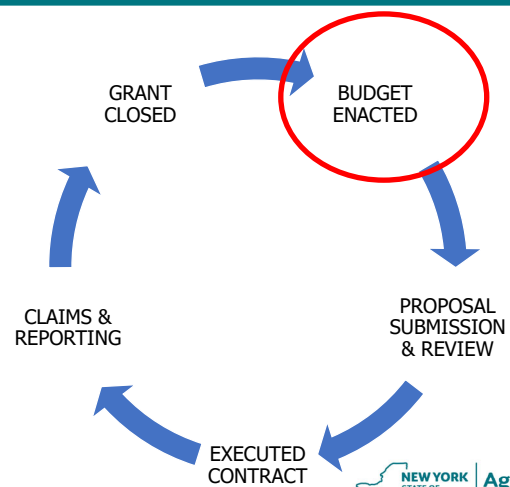
Overview



3

Budget Enacted

- Governor Prepares Executive Budget Proposal – State of the State Address (January)
- Legislature Passes Budget (April)
- Governor Signs – **Budget Enacted*** (April)
- Statewide Financial System (SFS) updated; back-end of contracting world (May)
- Award Notifications Sent (May-June-July)
- *Federally funded grant contracts may follow a different timeline.



4

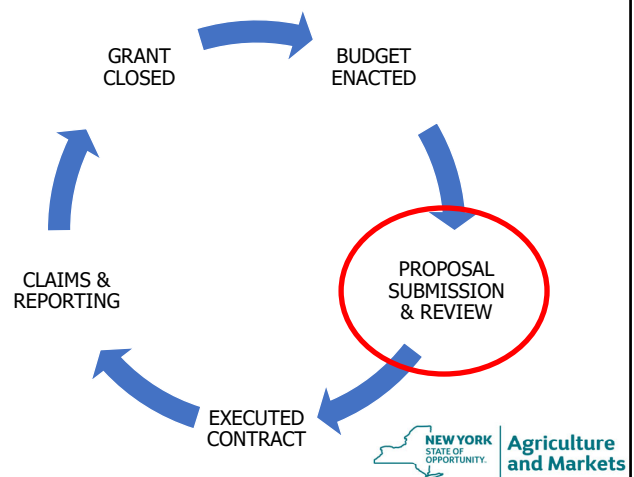
Potential Timeline – NYS Budget



5

Proposal *Submission*

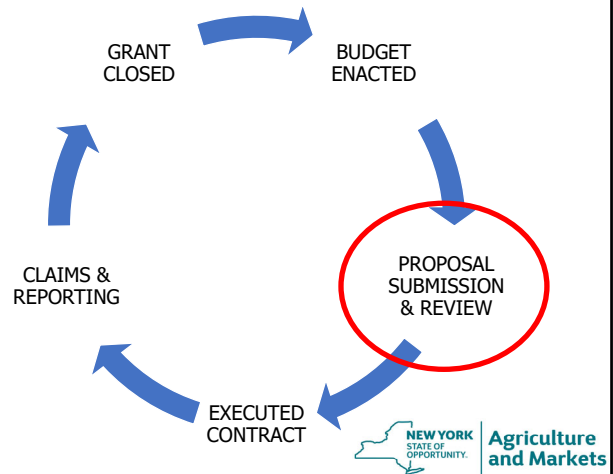
- Obtain a NYS Vendor ID
- Register in Grants Gateway
- Prequalified (if applicable)
- Fiscal paperwork is submitted to contractdocuments@agriculture.ny.gov
- MWBE documents to supplierdiversity@agriculture.ny.gov
- Workplan & Budget are submitted to ag.dev@agriculture.ny.gov or a specific program manager listed in award notice. **Program Manager will assist.**



6

Proposal *Review*

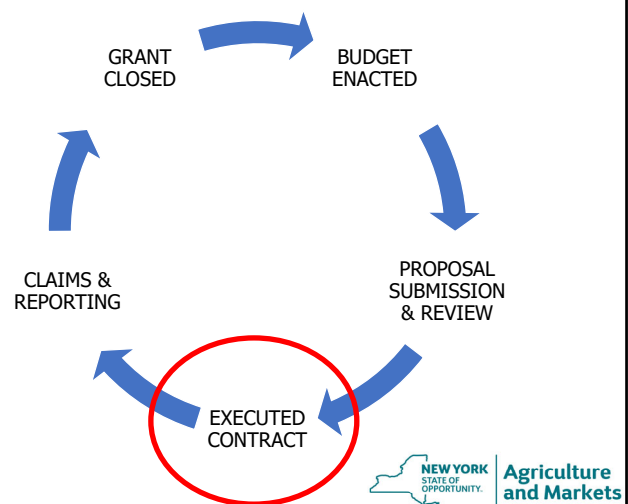
- Program Manager will work closely with you to finalize your proposal:
- Are expenses eligible?
- Are expenses reasonable?
- Are expenses categorized in the budget appropriately?
- Is the workplan outlined clearly?
- Are there measurable performance measured outlined?
- Program Manager will approve your proposal and forward along for the agency's internal review process.



7

Executed Contract

- Internal Review by NYS Department of Agriculture and Markets (AGM)
- Grantee Signs
- AGM Signs
- Attorney General (AG) Signs (if applicable)
- Office of State Comptroller (OSC) Signs (if applicable)
- Contract Fully Executed



8

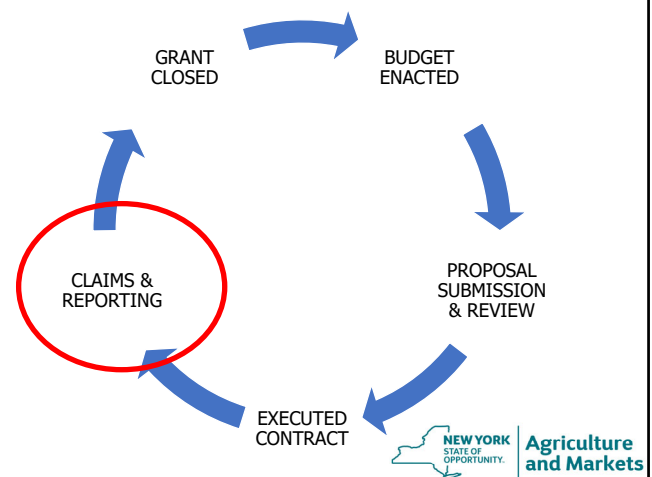
Workflow



9

Claims & Reporting

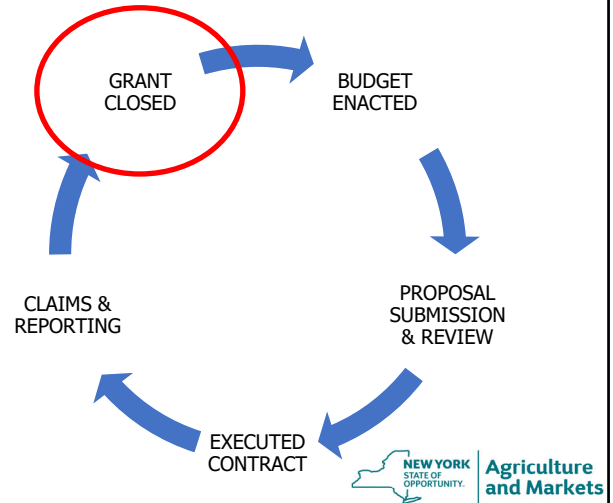
- Claim Submission & Review
- Report Submission & Review
- Contract Modifications/Amendments Processed (if applicable)
- Site Visits (if possible)
- Note: More information on the claim process is available in another webinar presentation.



10

Grant Closed

- Project Completion
- Grant Funds Fully Expended
- Closeout Letter Released
- Grant Closed



11

A closer look...

12

STEP 1: Award Notice

Send

From: Jacqueline.Boyer@agriculture.ny.gov

To: [Jacqueline Boyer \(AGRICULTURE\)](#)

Cc:

Subject: SAMPLE: New York State Fiscal Year 2022-2023 Enacted Budget Award - Spinner's Farm School

Contractor Information Checklist.pdf 481 KB

Executive Order 177.pdf 84 KB

Budget Template - FINAL 2022.xlsx

Vendor Assurance of No Conflict of Interest or Detrimental Effect.pdf 729 KB

Proof of Workers Compensation and Disability Insurance Documents.pdf 105 KB

Scope Template.pdf

Hello Jacqueline Boyer,

We are pleased to inform you that the New York State Fiscal Year 2022-2023 Enacted Budget included funding for the following programs:


Spinner's Farm School \$50,000

We are sending you this letter to inform you of the procedure to get this funding to your program. To begin the process of creating your contract, you will provide your program manager with completed scope & budget templates via email so they can begin drafting your contract. Your program manager is Lisa DiMatteo and can be reached at lisa.dimatteo@agriculture.ny.gov or 518-457-0146.

Your scope & budget templates must be returned within 45 days from the date of this email.

In addition, the following forms and information must be returned to the department to process your contract:

- NYS Vendor ID (SFS Supplier ID)** - The NYS Vendor ID is not your Taxpayer ID or EIN.
 - If you already have a NYS Vendor ID, you do not need to complete this process again.
 - If you do not have a NYS Vendor ID, you must request a Substitute W9 form from your program manager. You can email the completed form back to your program manager for processing.


 **NEW YORK**
STATE OF OPPORTUNITY. **Agriculture and Markets**

13

STEP 2: NYS Vendor ID Substitute Form W-9

- If you do not have a **NYS Vendor ID**, submit a **Substitute W9 form** to contractdocuments@agriculture.ny.gov. Note: The **NYS Vendor ID** is not your Taxpayer ID or Employer Identification Number (EIN).
- If you already have a **NYS Vendor ID**, you do not need to

AC 3237-S (Rev. 1/17)

 NEW YORK STATE OFFICE OF THE STATE COMPTROLLER SUBSTITUTE FORM W-9: REQUEST FOR TAXPAYER IDENTIFICATION NUMBER & CERTIFICATION	
TYPE OR PRINT INFORMATION NEATLY. PLEASE REFER TO INSTRUCTIONS FOR MORE INFORMATION.	
Part I: Vendor Information	
1. Legal Business Name:	2. Business name/disregarded entity name, if different from Legal Business Name:
3. Entity Type (Check one only): <input type="checkbox"/> Individual Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> Limited Liability Co. <input type="checkbox"/> Corporation <input type="checkbox"/> Not For Profit <input type="checkbox"/> Exempt	

 **NEW YORK**
STATE OF OPPORTUNITY. **Agriculture and Markets**

14

STEP 3: Grants Gateway

Registration & Prequalification

- **Registration** - If you are not yet registered in the Grants Gateway, you will need to do so prior to your contract being created. URL: <https://grantsmanagement.ny.gov/register-your-organization>
- **Prequalification** –If you are not yet prequalified in the Grants Gateway, you will need to do so prior to your contract being created. URL: <https://grantsmanagement.ny.gov/get-prequalified>

Note: If you are already registered, you do not need to complete this process again; however, you must maintain the status of prequalified which does require updates.



15

STEP 4: Proposal - Fiscal Paperwork

- **Email** scanned copies to contractdocuments@agriculture.ny.gov
- **Contract Information Checklist** - required for contracts less than \$100,000 & contractors exempt from Vendor Responsibility regardless of contract value.
- **Vendor Responsibility Questionnaire** – required for contacts greater than \$100,000. *May be completed online.*
- **Executive Order No. 177**
- **Vendor Assurance No Conflict of Interest of Detrimental Effect**
- **Workers Compensation Certificate** - proof of coverage/exemption
- **Disability Benefits Certificate** - proof of coverage/exemption



16

STEP 5: Proposal – Program Paperwork

Overview

- **Scope of Work** – This is a fillable PDF form that describes your workplan.
- **Budget Template** – This is a fillable excel file that describes your budget.
- **Email** completed document to ag.dev@agriculture.ny.gov and cc: your program manager.
- **Program Manager** will review and approve of the workplan and budget.

Note: There may be other documents requested, as needed.



17

STEP 5: Proposal – Program Paperwork

Workplan/Scope of Work



Rev 1/09/2020

Scope of Work

PROJECT NAME:

Objective 1.:

Task 1.:

Performance Measure 1.:

Performance Measure 2.:

Performance Measure 3.:



18

STEP 5: Proposal – Program Paperwork

Workplan/Scope of Work

PROJECT NAME: 2019 Agricultural Fairgrounds Infrastructure Improvement

CONTRACTOR/SFS PAYEE NAME: *Full legal name of organization receiving the grant*

CONTRACT TERM: 4/01/2019 – 3/31/2024

PROJECT SUMMARY:

Concisely describe the need for the project, what you want to accomplish, and an overview of how you will do this. Any details that don't fit anywhere else, but you would like included in the contract, should go here. This may be as long or as short as you like. **State the name of the fair in your Project Summary description.**

SCOPE OF WORK:

Instructions: Please describe your work plan using objectives, tasks and performance measures, as defined:

Objectives - Describe the goals of the project or what you plan to do.

Tasks - Describe how you will achieve the objectives or how you will do it.

Performance Measures – Describe how you will prove the work was done or the evidence you will provide.



19

STEP 5: Proposal – Program Paperwork

Workplan/Scope of Work

Example:

Objective #1: *Upgrade electrical wiring in the main animal barn.*

Task 1: *Hire a contractor to perform the work.*

Performance Measure 1: *Provide at least 3 qualified bids from contractors and agreement with chosen contractor.*

Task 2: *Install 4 new lights and 3 new fans.*

Performance Measure 1: *Provide before and after photos of work progress, invoice(s) and proof of payment to contractor (paid receipt, cancelled check)*

Task 3: *Pass Inspection.*

Performance Measure 1: *Provide certificate of compliance from inspector.*



20

STEP 5: Proposal – Program Paperwork

Workplan/Scope of Work

Some things to keep in mind –

- Your project must have at least one **objective**; you may have more than one objective.
- Each objective must have at least one **task**; you may have more than one task per objective.
- A task must have at least one **performance measure**; you may have more than one performance measure per task.
- Objectives are big picture goals (e.g. make improvements to the electrical systems of a building)
- Tasks are action items (e.g. – hire a contractor, install new outlets).
- Performance measures are evidence of the action item (e.g.–obtain 3 qualified bids from contractors, provide invoice(s) and paid receipt(s) as proof of payment for completed work).



21

STEP 5: Proposal – Program Paperwork

Budget – Overview Table

Project Name:		
Contractor SFS Vendor Name:		
Budget Category	Grant Funds	Description of expense
Category 1. Personal Services		
a) Salary/Wages	\$ -	
b) Fringe	\$ -	
SUBTOTAL	\$ -	
Category 2. Non-Personal Services		
a) Contractual		
b) Travel	\$ -	
c) Equipment	\$ -	
d) Space/Property/Utilities	\$ -	
e) Operating Expenses		
f) Other	\$ -	
SUBTOTAL	\$ -	
TOTAL	\$ -	



22

STEP 5: Proposal – Program Paperwork

Budget Categories *Gold Standard**

- **Salary** – employees who work on the books for the grant recipient; paychecks are issued; W-2's are issued; etc.
- **Fringe** - allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages; include, but are not limited to, the costs of leave, employee insurance, pensions, etc.
- **Contractual** – independent contractors; short-term professional consultants; other persons or firms in business for themselves to offer services to the public.
- **Travel** – expenses directly related to the project such as conferences; train tickets; gas; car rental; mileage reimbursement; hotel fees; other travel related expenses.

*This information is intended to provide **general guidance**; Program Manager will provide specific guidance.



25

STEP 5: Proposal – Program Paperwork

Budget Categories *Gold Standard (con't)*

- **Equipment** – tangible personal property with a useful life of more than one year and a purchase price that typically exceeds a set dollar threshold (e.g. \$1,000).
See specific program requirements for more details.
- **Space/Property/Utilities** – land or real property acquisition; rent; gas/electric/water/internet services; etc.
- **Operating Expenses** – supplies and materials; postage; shipping; printing; marketing and promotion; other expenses incurred tied to normal day-to-day operations. Restrictions often apply (e.g. directly related to grant project).
- **Other** – eligible expenses that do not align with another budget category.

*This information is intended to provide **general guidance**; Program Manager will provide specific guidance.



26

STEP 5: Proposal – Program Paperwork

Budget Categories *Gold Standard (con't)*

Some things to keep in mind –

- If work is done by an independent contractor (e.g. electrician/attorney/guest lecturer) categorize expenses as **contractual**, not **salary**.
- In most cases, purchases should not be made with cash. NYS requires proof of payment for all expenses and cash payments do not typically allow for this.
- Tips are not eligible expenses (e.g. tipping a server at a restaurant).
- If the grant contract is affiliated with a larger program, ensure all program rules are being adhered to (e.g. if equipment purchases over \$5,000 are not permitted, stay below that threshold).
- Expenses must fall within the term of the contract; know the term of your grant contract.
- Budget modifications must be pre-approved by Program Manager **in writing**.
- Work must be done within the contract period (term).



27

Resources

Statewide Financial System (SFS)

- **SFS Help Desk**
- Phone: 855-233-8363
- Email: HelpDesk@sfs.ny.gov
- **SFS Vendor Portal**
- URL: <https://www.osc.state.ny.us/state-vendors/portal/enroll-vendor-self-service-portal>

Business Services Center (BSC)

- **Accounts Payable – Claim Submission**
- Email: accountspayable@ogs.ny.gov
- **Customer Service – Payment Status Information**
- Phone: 518-457-4272
- Email: bscfinance@ogs.ny.gov

Grants Gateway Help Desk

- Phone: 518-474-5595
- Email: grantsgateway@its.ny.gov

Grant Proposal Documents Submission

- **Fiscal Documents (EO177, Disability Insurance, etc.)**
- Email: contractdocuments@agriculture.ny.gov
- **Program Documents (Workplan and Budget)**
- Email: ag.dev@agriculture.ny.gov
- **Minority & Women's Business Development**
- Email: supplierdiversity@agriculture.ny.gov



28

Questions?

- Type questions into chat box
- Raise your hand



29

Contact Information

NYS Department of Agriculture and Markets

Division of Agricultural Development

Phone: 518-457-7076

Fax: 518-457-2716

Email: ag.dev@agriculture.ny.gov

<https://agriculture.ny.gov/division-agricultural-development>



30