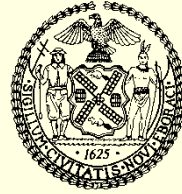


CITY OF NEW YORK  
OFFICE OF THE COMPTROLLER



OFFICE OF CONTRACT ADMINISTRATION  
(OCA)

*A GUIDE TO THE CONTRACT  
REGISTRATION PROCESS  
2010 UPDATE FMS3*

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# SUBMITTING A CONTRACT PACKAGE TO THE COMPTROLLER'S Central Imaging Facility (CIF):

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- Hand Deliver (do not mail or send by Express services) the contract packages to the Central Imaging Facility (CIF) – Municipal Bldg., Room #1225 – Phone: (212) 669-3741/ Fax: (212) 815-8780.
  
- What you need to submit to the Comptroller's Office:
  - Completed CIF Cover Sheet (See attached)
    - The Cover sheet has changed. Include the complete Vendor Number and check off the Contract Code and Contract Class.
  
  - FINAL Advice of Award (Packages submitted with Draft Advice of Awards will not be accepted by CIF; they will be returned.)
  
  - Documentation including, but not limited to: contracts, agreements, change orders, amendments, justifications, approvals, determinations, solicitations, bids, proposals, etc.

# 2012 update

- The City has updated its Financial Management System (FMS/3). The “TRANS CODE” in the Contract number format has changed. The FMS2 consortium functionality is no longer used. FMS3 went live on January 4<sup>th</sup> 2010. Contracts formerly known as Consortium are now processed using the Multiple Awards functionality. See conversion table below:

FMS2: Legacy System Doc Code	FMS3: Accounting Doc Code	Name	Description of use
CT/CTC	CT1	General Contract	The CT1 document is used for transactions where the City is required to make a payment, i.e., expense contracts , capital and mixed or split funded contracts.
CT	RCT1	Revenue Contract	Revenue Contracts (RCT1) are for transactions where the City receives payments or is not required to make an expenditure.
CT (MOD)/CTM	CTR	Contract Revision	Increases/Decreases/encumbrances and data changes to CT1 and CTA1 documents can only be done with a CTR document.
CE/CEA	MA1	Master Agreement	Master Agreement (MA1) documents are referenced by DO1 documents. (Direct Orders, formerly Release Orders (PG) in FMS/2).
CE (MOD)	MAR	Master Agreement Revision	Contract max increases, decreases and data changes to MA1, MMA1, and RCT1 documents can only be done with an MAR document.
CT (parent)	MMA1	Multiple Award Master Agreement	MMA1 documents are used for master agreements where a vendor pool has been created.
CT (child)	CTA1	Multiple Award Contract	The CTA1 document awards a contract to a vendor by referencing an MMA1 document and it is used for transactions where the City is required to make a payment to vendors selected from the vendor pool.

# 2012 update cont'd

## ■ OPERATIONAL CHANGES:

- FMS/3 allows agency staff to attach files, such as Excel spreadsheets or word processing files to many transactions (see the “Getting Started” eLearning course for more details). Nevertheless, the existing process for submitting contract documentation to the Comptroller’s Office of Contract Administration (OCA) is that DOCUMENTS MUST BE SUBMITTED TO THE COMPTROLLER’S CENTRAL IMAGING FACILITY. Attachments to FMS/3 Contract documents will not be reviewed nor will they be considered as part of the contract package.
- FMS/3 requires every Capital encumbrance document to reference a Capital Asset Intent document. Capital encumbrances will reject without an intent reference.
- A Revenue Contract represents those transactions where the City receives payments or is not required to make an expenditure.

For these transactions, either:

1. The provider pays the City, e.g., Concessions, Franchises, and Revocable Consents
2. There are no costs associated with the transaction, e.g., Permits
3. The provider is paid on a different transaction, e.g., direct intervention services are paid through a fiscal conduit OR
4. The transaction yields revenue which is used to compensate the provider, e .g., Corpus Funded, and Compensating Balances

Please refer to the following table for Revenue Contract Types:

# 2012 update cont'd

REVENUE CONTRACT TYPES	DESCRIPTION
15	FRANCHISES
17	REVOCABLE CONSENTS
20	CONCESSIONS
29	OTHER EXPENSE CONTRACTS OR REVENUE RELATED
30	MISC REVENUE / NO EXPENSE
25	CORPUS FUNDED
18	PERMITS
72	PROGRAMS (NOT TAX LEVY FUNDED)
39	LESSOR - REVENUE
26	COMPENSATING BALANCE FROM PROCEEDS

- MODIFICATION DOCUMENTS:
  - A modification to a contract will have its own TRANS CODE (CTR and MAR).
  - Modifications have a version number instead of a modification number. The version number is displayed on Search Display Screens and in Worklists.

## 2012 update cont'd

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- **Contract Vendor Code Correction:**
- There will be no Vendor Code Conversion process to change the payee/vendor number on a contract. Standard vendor record creation and maintenance should be self-performed by vendors using the Payee Information Portal (PIP). Agencies will be allowed to add or modify vendor records, but the City strongly recommends that agencies direct vendors to PIP to maintain their own information.
- If a vendor has a contract and changes its vendor information in the PIP, the next revision processed will update the data on the contract. However, if the updated information includes a name change or tax identification number change, the CTR or MAR (Contract Revision document) cannot be processed. Instead an overridable error will be generated. Agencies must call the Comptroller's Office of Contract Administration to have the error overridden. It is the Comptroller's Office policy that the error will not be overridden to convert, substitute, or assign vendors on a contract, i.e., if the tax identification number of the vendor has changed the error will not be overridden. In such an event, the original contract must be brought down to the level of expenditure (or canceled if not expended) and a new contract submitted to OCA for the balance of the agreement.

# Need Assistance?

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## Unlocking a contract

Contract transactions are “locked” in FMS/3 by applying level 4 approval. Level 4 approval is applied automatically by FMS/3 after level 3 approval has been manually applied by authorized agency personnel. At Level 5 status no changes can be made by the agency. Contract documents that require corrections and are already pending Level 5 approval must be unlocked by OCA staff. After the corrections have been made, users must print the new advice of award (AT) document. This new ‘AT’ document shows the changes made. The new 'AT' must then be submitted to the Comptroller's Central Imaging Facility (CIF) as additional documents to the contract already submitted.

To have contracts unlocked please email [OCAMailbox@comptroller.nyc.gov](mailto:OCAMailbox@comptroller.nyc.gov) or call 212-669-2323.



# Need Assistance?

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- **FISA Call Center:** Call the **FISA Call Center**  
@ (212) 857-1700 or email them at [callcntr@fisa.nyc.gov](mailto:callcntr@fisa.nyc.gov)
  - They will tell you who your Security Officer is
  - Assists with all FMS related issues and notifies users of changes to FMS by issuing FMS Bulletins
  
- **Your FMS Security Officer will:**
  - Provide users with an FMS ID & temporary passwords
  - Report security issues to the FISA Call Center
  - Enroll you in FMS courses
  - Arrange equipment setup to print FMS documents

# FMS DATA CODES AND DESCRIPTIONS

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- Contract “Award Method” Codes
- Contract “Type” Codes
- Contract “Category” Codes
- Contract Class Codes - Class codes are self-explanatory.  
Note: FMS/3 allows MIXED/SPLIT FUNDING (X) on a contract that historically has both capital and expense funding sources. The Contract Class designation must indicate MIXED/SPLIT FUNDING (X) sources based on the history of the document.