Background

The Agency Spending Controls Application (ASCA) is a statewide, web-based, secure application used to capture agency spending requests subject to approval by the Division of the Budget (DOB) and the Office of the Director of State Operations (State Operations). These approvals are required by the provisions of Budget Bulletin B-1184, entitled “Agency Contracts, Non-Personal Service and Capital Spending Controls” issued on November 4, 2008 and, as revised, effective February 6, 2009.

Pursuant to B-1184, certain types of agency spending require the approval of DOB and State Operations. Also, as per B-1184, agencies must obtain pre-approval by DOB before engaging in any aspect of the contractual process, including the issuance of a Request for Proposal. Once approved, agencies will use ASCA to generate Attachment A forms and submit them to the Office of the State Comptroller (OSC) for processing, as appropriate.

In general, spending requests which a) involve Federal reimbursement of at least 75 percent and/or b) address an immediate threat to public health and/or safety are exempt from pre-approval by DOB and State Operations. Such Attachment B spending is approved by the Agency Head.

It should be noted that:

1. Effective 4/23/12, the Executive Chamber will review and validate the agency M/WBE participation goals for the Attachment A and B Contracts - RFP/RFI/Pre-Contract, Contracts - New and Local Assistance Grants requests prior to their approval.

   Also, agencies will need to answer the M/WBE survey questions below for all request types other than RFI/RFP/Pre-Contract, Contracts – New, Local Assistance Grants and In and Out of State Travel. The questions will need to be answered before an Attachment A and B approval form can be printed.

M/WBE Survey Questions

- Pursuant to New York State Executive Law Article 15-A and consistent with the Governor’s goal of promoting equal opportunities for certified minority and women owned business enterprises, were any certified minority and women owned business enterprises solicited for this procurement opportunity?
  - Potential Answers: Yes, No
  - If no, please explain.

- Was a New York State certified minority or women owned business selected for this procurement opportunity?
  - Potential Answers: Yes, No
  - If no, please explain.

2. Effective October 13, 2011, the thresholds and other B-1184 requirements have been modified as shown in the Update section on page 3 of this User Guide.

3. Effective August 26, 2011, the only out of state travel requests that should be submitted through the Attachment B process are those that are critical to protect
public health and/or public safety. Out of state travel requests for all employees that are at least 75 percent federally funded are to be submitted through the Attachment A process.

4. The new “Out of State Travel - Exempt Class Employees” NPS request type must be used for all out of state travel by exempt class employees. Such requests will be submitted directly to State Operations for review and action.

5. The threshold for both the “Out of State Travel - Commissioner Only” and “Out of State Travel - Exempt Class Employees” NPS request types is now $0 (lowered from $500). This means that, regardless of the cost, all out of state travel by commissioners and exempt class employees requires approval by State Operations.

6. Out-of-state travel requests for commissioners only will continue to be submitted directly to State Operations for review and action.

7. Spending requests for out of state travel by staff traveling with a commissioner will continue to be subject to approval by both DOB and State Operations.

8. The NPS type “Out of State Travel - Commissioner Only” is still to be used for all requests for out of state travel by a commissioner. The NPS type “Out of State Travel - Staff with Commissioner” is to be used to request approval for staff traveling with a commissioner. These must be entered as separate requests and should not be combined into a single request (e.g., using the “Out of State Travel - Staff with Commissioner” NPS request type to cover both).

9. Spending requests with the request type “Contracts - RFP/RFI/Pre-Contract” require only DOB approval, do not go to State Operations for action and do not generate an Attachment A form.

10. Spending requests other than Out of State Travel which a) involve Federal reimbursement of at least 75 percent and/or b) address an immediate threat to public health and/or safety are exempt from pre-approval by DOB and State Operations. Such Attachment B spending is approved by the Agency Head. Agencies will use ASCA to generate Attachment B forms and submit them to OSC for processing, as appropriate.

### Updates to ASCA

<table>
<thead>
<tr>
<th>Date</th>
<th>Update</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/23/12</td>
<td><strong>Validation of Agency M/WBE Goals &amp; M/WBE Survey Questions</strong></td>
</tr>
</tbody>
</table>

Effective 4/23/12, the Executive Chamber will review and validate the agency M/WBE participation goals for the Attachment A and B Contracts - RFP/RFI/Pre-Contract, Contracts - New and Local Assistance Grants requests prior to their approval.

Also, agencies will need to answer the M/WBE survey questions below for all request types other than RFI/RFP/Pre-Contract, Contracts – New, Local Assistance Grants and In and Out of State Travel. The questions will need to be answered before an Attachment A and B approval form can be printed.

**M/WBE Survey Questions**
- Pursuant to New York State Executive Law Article 15-A and
consistent with the Governor's goal of promoting equal opportunities for certified minority and women owned business enterprises, were any certified minority and women owned business enterprises solicited for this procurement opportunity?

- Potential Answers: Yes, No
- If no, please explain.

- Was a New York State certified minority or women owned business selected for this procurement opportunity?
  - Potential Answers: Yes, No
  - If no, please explain.

03/28/12 New M/WBE Report

ASCA contains a M/WBE report which can be used to report on the agency M/WBE participation goal entries for the request types: Contracts – RFP/RFI/Pre-Contract, Contracts – New and Local Assistance Grants.

To access the report, on the Report tab, select “M/WBE Report” from the Report drop down list box and make the report selections.

02/28/12

The Governor’s M/WBE participation goal is 20%. At the request of the Office of the Director of State Operations, effective 02/28/12, ASCA contains new fields to capture each agency’s M/WBE contract goal. Agencies also need to enter the rationale for its M/WBE contract goal (i.e., M/WBE availability within specific industry).

If a M/WBE goal is not applicable, agencies should enter “0” in the M/WBE Contract Goal field and an explanation for why the goal is not applicable.

These entries are required for the request types: Contracts - RFP/RFI/Pre-Contract, Contracts - New and Local Assistance Grants.

10/13/11 Effective October 13, 2011, the entry thresholds and other B-1184 requirements are:

**$500 or greater**

- Conferences
- Employee Related Events
- Membership Dues to Associations
- Non-institutional Food Purchases
- Cell Phones and Service Plans
- Desktop and Laptop Computers
- Fax Machines
In State Travel
PDAs/Smartphones and Service Plan
Out of State Travel – All Other
Out of State Travel – Staff with Commissioner
Printers
Promotional Items
Any request identified as a **member item**

**$20,000 or greater**
Capital – New
Capital – Change Orders / Other
Capital – Multi-Phase Projects
Contracts – Amendment
Contracts – New
Contracts – RFP / RFI / Pre-contract
Equipment
Leases – Amendment
Leases – Escalation / Holdovers / Other
Leases, Maintenance and Repairs
Leases – New
Local Assistance Grants
Purchase Orders – as Applicable
Contractual Services
Copiers
Supplies & Materials
Temporary Personnel Services
Vehicles

**$50,000 or greater**
Centralized Contracts

**$0 or greater**
Out of State Travel - Commissioner Only
Out of State Travel - Exempt Class Employees

**$0 Value**
Spending requests for change orders (Capital – Change Orders / Other) and contract amendments (Contracts – Amendment) with a zero dollar value are no longer subject to B-1184.

<table>
<thead>
<tr>
<th>08/26/11</th>
<th>Effective August 26, 2011, the only out of state travel requests that should be submitted through the Attachment B process are those that are critical to protect public health and/or public safety. Out of state travel requests for all employees that are at least 75 percent federally funded are to be submitted through the Attachment A process.</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/23/11</td>
<td>Agencies are now required to use the new “Out of State Travel - Exempt Class Employees” NPS request type for all out of state travel by exempt class employees. The “Out of State Travel - Commissioners Only” NPS request type should continue to be used for commissioner out of state travel.</td>
</tr>
</tbody>
</table>
The threshold for both “Out of State Travel - Exempt Class Employees” and “Out of State Travel - Commissioner Only” NPS spending requests is now $0. Therefore, all out of state travel by commissioners and exempt class employees must be approved by State Operations.

The threshold for both “Out of State Travel - Staff with Commissioner” and “Out of State Travel - All Other” requests will continue to be $500.

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/30/10</td>
<td>ASCA now contains a “Member Item (007)” field on the Create New Request screen. Agency Users need to identify spending requests for Member Item projects in ASCA by using the newly required “Member Item (007)” field (Yes/No) when creating a General Fund request. Any pending General Fund spending requests that have not been submitted to the Division of the Budget (DOB) will require an entry in the “Member Item (007)” field before the request can be submitted to DOB. To report on such spending requests, use the new “Member Item (007)” filter on the ASCA Summary report selection screen. Please direct any questions to your Budget Examiner.</td>
</tr>
<tr>
<td>07/19/10</td>
<td>Executive Law 15-A Compliance Reporting</td>
</tr>
<tr>
<td>04/01/10</td>
<td>Pursuant to the March 17, 2010 email from Valerie Grey to agency commissioners, thresholds in ASCA have been increased from $500 to $5,000 for the agencies that met their 2009-10 Deficit Reduction Package (DRP) target with the exceptions listed below. Exceptions 1. The threshold for centralized contract requests is now $50,000. When agencies enter a request with the request type: Contracts – RFP / RFI / Pre-contract, Contracts – New or Contracts – Amendment in ASCA, they must indicate if the request will use a centralized contract. For centralized contract requests, the threshold (for all agencies) is $50,000; otherwise, the threshold for these request types will continue to be $500. 2. The threshold for requests with the NPS types listed below is $500. - Cell Phones and Service Plans - Contractual Services - Copiers - Desktop and Laptop Computers</td>
</tr>
</tbody>
</table>
Fax Machines  
Out of State Travel - All Other  
Out of State Travel - Commissioner Only  
Out of State Travel - Staff with Commissioner  
PDAs/Smartphones and Service Plans  
Printers  
Temporary Personnel Services

3. The threshold for requests with the new NPS types listed below is $500.
- Conferences
- Employee-Related Events
- Membership Dues to Associations
- Promotional Items
- Non-institutional Food Purchases

| 04/16/10 | A Temporary Personnel Services Request form and instructions on how to complete the form are now available via the ASCA Help link. When submitting requests with the ASCA NPS Type of “Temporary Personnel Services,” agency users should complete the form, save it as a PDF file and then attach it to the request so it can be reviewed by the agency’s Budget Examiner. |
Documentation

Certain data entry field labels in ASCA change at the start of a new fiscal year. Those changes may not be reflected in all screen shots contained in this User Guide. For example, at the start of the 2012-13 fiscal year, the following changes will occur:

- Estimated 2010-11 Disbursements will become Estimated 2011-12 Disbursements
- Estimated 2011-12 Disbursements will become Estimated 2012-13 Disbursements
- Estimated 2012-13 Disbursements will become Estimated 2013-14 Disbursements
- Estimated 2013-14 Disbursements will become Estimated 2014-15 Disbursements

All examples used in these instructions are fictitious and do not represent actual agency spending requests.

Security

Users will have the ability to view, update and/or report on spending requests for a single agency or multiple agencies, depending on access granted via your Agency Security Coordinator (ASC). Questions regarding security should be directed to your ASC.

Access

To access ASCA:

- Go to DOB’s official web page http://www.budget.ny.gov, click on the Secure Login link located on the left side of the screen and then click on eBudget Applications.
- Enter your DOB-issued User ID and Password. If you have any problems logging into the application, contact the DOB Help Desk at (518) 486-4357.
- Once logged into the eBudget Applications page, click on the Agency Spending Controls link. This will open up the application.

Exit

To exit the application:

- Click on the Exit link in the upper right corner of your screen. You will be brought back to the eBudget Applications page.
- To completely log out of the eBudget Applications, click on the Logout link located in the upper right corner of the eBudget Applications screen.
Request Listing

After logging into ASCA, the user will be presented with the Requests tab screen. This screen has two sections: Filter Requests and Request Listing. The Filter Requests section contains criteria selections by which a user may filter the items displayed in the Request Listing section of the screen. By default, the screen will display requests based on the role of the user. For example, the screen below is defaulted to display all requests with a Request Status of "Agency Review Level 1" and "Returned to Agency." A complete list of agency user roles is located in Appendix B of this document.

An example of the initial screen showing the Filter Requests and Request Listing sections is shown below.

Most of the selection choices available in the Filter Requests section of the screen allow for multiple selections. The exceptions are the Fiscal Year, Expedited and Attachment drop down lists, which only allow single selections.

Use the Request # and Alternative Tracking # text fields to find a specific request.

Note that the Alternate Tracking # field uses “%” as the wild card. So, you can enter “C%” in the field to display all requests with entries that start with “C” in the Alternative Tracking # field such as “CM00407” and “CM00729.”

Also, you can click on the Show As Column check box to display the Alternative Tracking # as a “sortable” column.
Once all Filter Request criteria have been selected, click Submit to change the Request Listing section of the screen. The total number of requests returned for the selected filters will be displayed at the bottom of the list.

The Request Listing will list a maximum of 15 requests per page. If there are more than 15 records found, the request listing pages may be toggled by selecting the Previous or Next links, or by selecting the link for a specific page. Alter the Filter Requests criteria if the result set is too large. Click Reset to return the filter criteria to the default filter selections.

Click on the column labels to sort a column in ascending or descending order.

Search Text Filter

The Request Listing screen contains a new search text filter. To display requests which contain certain text (e.g., Toner) in the Request Listing section of the screen, enter the text that you want to search on in the “Search Text” field (no double quotes required). ASCA will display all the requests containing that text (by searching the text contained in the Request Title, Description and/or Justification fields).

The text filter functionality is available to all ASCA users. An example of the text filter functionality is shown below.
Create a New Request

Click on the **Create New Request** link located in the upper right corner of the Requests screen. This will bring the user to the **New Request** screen. A red asterisk (“*”) next to a field indicates that it is a required field and a user will not be able to save a request until all the required fields have been entered.

An example of a blank **New Request** screen is shown below.
To create a new spending request, enter the following:

- **Attachment B Only:** Determine if the request is Attachment A or B. If you are entering an Attachment B request, select one or both of the check boxes that pertain to the request.

- **Fiscal Year:** Will be preselected based on the date of entry.

- **Agency:** Select the agency associated with the request.

- **Agency Contact:** Enter in the **Last Name, First Name** and **Phone Number** of the agency contact person for the request.

- **Request Type:** Select the type of request from the available list.

- **Centralized Contract:** For the request types “Contracts - RFP / RFI / Pre-contract,” “Contracts – New” or “Contracts – Amendment” select “Yes” if the agency is using a centralized contract; otherwise select “No.”

- **Request Title:** Enter a brief, self-explanatory title that describes the request. This will be used to identify the request on the **Requests** tab screen and on all reports (70 character limit).

- **Contract Term:** These date fields are only enabled and required if a Contract request type is selected. Enter the **From** and **To** date range of the contract term.

  For Request Type “Contracts – Amendment,” the contract term would be for the contract amendment. The contract term for the original contract should be noted in the **Description** field.

- **NPS Type:** This field is only enabled if the NPS request type is selected. Select the NPS type from the available list.

- **Fund Type:** Select the appropriate fund type from the available list.

- **Member Item (007):** This field is available for entry only if the selected fund type is General Fund and is used to indicate the spending request is for a 007 Member Item project.

- **Description:** The **Description** field can be used to further define the spending request. This field may be optionally viewed on reports (500 character limit). A character count will be displayed to the right of this text field.

- **Agency’s M/WBE Contract Goal:** Enter your agency’s M/WBE Contract Goal as a whole number (e.g., 15). The Governor’s M/WBE participation goal is 20%.

  If a M/WBE goal is not applicable, agency should enter “0” in the M/WBE Contract Goal field and an explanation for why the goal is not applicable.
Entry is required for the request types: Contracts - RFP/RFI/Pre-Contract, Contracts - New and Local Assistance Grants.

- **Rationale for Agency's M/WBE Contract Goal:** Enter the rationale for contract goal (e.g., M/WBE availability within a specific industry).

- **Justification:** Use the Justification field to describe why this spending is needed. This field may be optionally viewed on reports (500 character limit). A character count will be displayed to the right of this text field.

- **Additional Information:** This is an optional text field which can include additional supporting explanation or justification for the request. Its contents cannot be displayed on any reports (4,000 character limit).

- **Supporting Files:** You can attach up to 3 pdf files (3 MB per file limit) to a request.

  To attach a file to a request, click on the **Attach Files** link, click **Browse**, select the file you want to attach and click **Open**. The file will be attached once you click **Save**. Only pdf files can be attached to ASCA spending requests. If you need assistance to convert a Word or other document to the pdf format, contact the DOB Help Desk (518-486-4357).

- **Estimated Total Value This Request:** Enter the dollar value for this request.

- **Estimated 2011-12 Disbursements:** Enter in the dollar value of the previous year disbursements on this request.

- **Estimated 2012-13 Disbursements:** Enter in the dollar value of the current year disbursements for this request

- **Estimated 2013-14 Disbursements:** Enter in the dollar value of the first out year disbursements for this request, if applicable.

- **Estimated 2014-15 Disbursements:** Enter in the dollar value of the second out year disbursements for this request, if applicable.

- **Alternative Tracking Number:** This is an optional field which can be used to enter an agency's internal tracking number for the request. The field permits entry of alpha, numeric and special characters (20 character limit).

- **Internal Agency Comment:** This is an optional text field for internal agency use only. DOB and State Operations users will not have access to this field (70 character limit).

- **Expedite Request:** Check this box if you wish to expedite the request. This field is only enabled for Attachment A requests.

A complete Data Dictionary is located in Appendix A of this document.
Modify/View Existing Requests

On the Request tab in the Request Listing section, you may access the details of any saved request by clicking the Pencil icon in the "Modify/View" column to the right of the request. This will open either the Update Request or View/Modify Request screen, depending on its Request Status (e.g., users cannot modify requests with an Approved or Disapproved request status).

An example of the Modify/View Request screen is shown below.
To return to the **Request** tab, click the **Request Listing** link in the upper right corner of the **Requests** screen.

### Agency Work Flow Actions

#### Agency Review Level Users

Once a request is ready for review, the user should submit the request to the next Agency Review Level or to the Agency Head. Depending on your provisioned role, you will see one of three buttons listed below on the New or Update Request screens.

- **Submit to Agency Review Level 2**: Users provisioned in the "Agency Review Level 3" role will see this button. Once an Agency Review Level 3 user submits a request to Agency Review Level 2, the Agency Review Level 3 user can no longer modify the request unless such request is returned by Agency Review Level 2.

- **Submit to Agency Review Level 1**: Users provisioned in the "Agency Review Level 2" role will see this button. Once an Agency Review Level 2 user submits a request to Agency Review Level 1, the Agency Review Level 2 user can no longer modify the request. Users in the "Agency Review Level 2" role can return a request back to the Agency Review Level 3 (so such user can modify a request) by clicking **Return to Agency Level 3**. This changes the status of the request to "Agency Review Level 3."

- **Submit to Agency Head**: Users provisioned in the "Agency Review Level 1" role will see this button. Once an Agency Review Level 1 submits a request to the Agency Head, the Agency Review Level 1 user can no longer modify the request. Users in the "Agency Review Level 1" role can return a request back to the Agency Review Level 2 (so such user can modify a request) by clicking **Return to Agency Level 2**. This changes the status of the request to "Agency Review Level 2."

#### Agency Head Users

Once a request has been submitted to the Agency Head, users in the Agency Head role will see the buttons listed below on the New or Update Request screens, depend on the type of request and whether it is an Attachment A or Attachment B request.

- **Save**: Use this button to save work without submitting the request.
- **Submit for Approval**: Use this button to submit request.
- **Return to Agency Level 1**: Use this button to return a request back to the Agency Review Level 1 (so such user can modify a request). This will change the status of the request to “Agency Review Level 1.” **Do not click Save** after clicking Return to Agency Level 1 or the status will be changed back to “Submitted to Agency Head.”
- **Approve Exemption**: Use this button to approve Attachment B requests for request/NPS types other than Contracts – RFP/RFI/Pre-Contract, Contracts –
New, and Local Assistance Grants requests (the request types require MWBE goal reviewed by the Executive Chamber prior to approval).

All Agency Users

As stated above, once the request has been submitted to the next review level status, users in the former review level can no longer make changes to the request. For example, if an Agency Review Level 3 user submits the request to Agency Level 2, the Agency Review Level 3 user can no longer change the request. If an Agency Review Level 3 needs to revise the request, the user can request that Agency Level 2 "Return to Agency Level 3," or request that Agency Level 2 make the required changes. A list of agency user roles is located in Appendix B.

Other actions a user may take on the Update Request screen are:

- **Withdraw:** A user should withdraw a request if it no longer needs to be considered for approval by an Agency Head, DOB or State Operations. "Withdrawn" requests will be accessible in the application and can be viewed on the Request Listing screen and reports; however, they cannot be modified and can no longer be processed.

- **Delete:** A user should delete a request if it was entered in error or otherwise should no longer remain in the application. Deleted requests are no longer active and cannot be viewed from within the application.

Status History of a Request

The status history of a request within an Agency is maintained in ASCA. To view the status history for a request, click on the Pencil icon in the View/Modify column of a request. A new screen will appear. The history of the status changes for a request within the agency is displayed in the lower portion of the screen.
Executive Chamber Validation of Agency M/WBE Participation Goals

The Executive Chamber will review and validate the agency M/WBE participation goals for the Attachment A and B Contracts - RFP/RFI/Pre-Contract, Contracts - New and Local Assistance Grants requests prior to their approval.

Once submitted, such requests will have a status of “Submitted for Approval” until they receive a final status of “Approved”, “Disapproved” or “Withdrawn.”
An example is shown below.

Mandatory M/WBE Survey Questions

Agencies are required to answer the M/WBE survey questions prior to printing Attachment A and B approval form for all request/nps types other than those listed below (e.g., Capital - New, Purchase Orders, Contract - Amendments, and Leases - New).

- Contracts–RFP / RFI / Pre-contract
- Contracts – New
- Local Assistance Grants
- In State Travel
- Out of State Travel - Commissioner Only
- Out of State Travel - Exempt Class Employees
- Out of State Travel - Staff with Commissioner
- Out of State Travel - All Other

The survey questions are:

M/WBE Survey Questions
- Pursuant to New York State Executive Law Article 15-A and consistent with the Governor’s goal of promoting equal opportunities for certified minority and women owned business enterprises, were any certified minority and women owned business enterprises solicited for this procurement opportunity?
- Was a New York State certified minority or women owned business selected for this procurement opportunity?
  - Potential Answers: Yes, No
  - If no, please explain.

An example of the survey questions is shown below.

Generating an Attachment A Form

Once Attachment A requests are approved and any required M/WBE survey questions are answered, the Attachment A form can be printed from the application and submitted to OSC. To generate an Attachment A form, select the Request Status “Approved” and Attachment “A” from the Request Listing screen and click Submit.

All approved Attachment A’s will be listed. Select the request by clicking the Pencil icon in the Modify/View Request column. The View screen will display. Click on the Attachment A Form link to generate the form.
Below is an example of an approved Attachment A request and the link to the Attachment A form.

A sample Attachment A is shown below.
Generating an Attachment B Form

Once Attachment B requests are approved and any required M/WBE survey questions are answered, the Attachment B form can be printed from the application and submitted to OSC. To generate an Attachment B form, select the Request Status “Approved” and Attachment “B” from the **Request Listing** screen and click **Submit**.

All approved Attachment B’s will be listed. Select the request by clicking the **Pencil** icon in the **Modify/View Request** column. The **View** screen will display. Click on the Attachment B Form link to generate the form.

Below is an example of an approved Attachment B request and the link to the Attachment B form.

A sample Attachment B Form is shown below.
Disapproved Requests

If a request is disapproved, no further action may be taken on this request by the agency and no Attachment A form will be created by the application.

Returned to Agency

DOB or State Operations may require changes to a request before it can be approved and may return a request back to the agency. When a request is returned, the original request is withdrawn automatically by the application and a new, duplicate request is created with a status of “Returned to Agency.” The original “Withdrawn” request cannot be modified or acted upon by the agency, DOB or State Operations; thereby, keeping the original request intact. All changes needed for the request should be made to the new request. For “Returned to Agency” requests, “Supersedes” and “Superseded By” links will be displayed on the Modify/View Request screens.

An example of a Request with a "Supersedes" link is shown below.
Reports

Summary Report

ASCA provides users with a **Summary Report** which allows users to generate reports by selecting a variety of reporting criteria. To access the **ASCA Summary Report**, click on the **Reports** tab and, then select the **Summary Report** from the ddb.

The **Summary Report** selection screen is shown below.

The screen provides selection filters (many of which are multi-select) which can be used to generate reports. Multi-selections are available for the following fields: Agency, Request Status, Request Type, Fund Type, NPS Type and Executive Law 15-A Compliance. The Member Item (007), Fiscal Year, Expedited and Attachment selections are single-select. In addition, users may filter or narrow the scope of reports by using the date range selection fields: **Submitted to DOB** and **Status Date**.

**Submitted to DOB Range** is used to list requests which were submitted to DOB between a range of dates (e.g., between 04/01/09 and 05/15/09).

**Status Date Range** is used to list the requests which changed to a certain status between a range of dates (e.g., to generate a report that lists requests that changed to “Approved” between 01/01/09 and 03/31/09).

Users may also optionally choose to have the report display the Description and/or Justification text fields by selecting the appropriate check boxes.
Select your report criteria and click **Submit** to generate a report. Click **Reset** to set the criteria back to its default state.

A sample Summary Report is shown below.

### Minority and Women-Owned Business Report

ASCA also provides users with a Minority and Women-Owned Business (M/WBE) Report which allows users to report on agency M/WBE participation goal entries by selecting a variety of reporting criteria. To access the ASCA M/WBE Report, click on the Reports tab and, then the **M/WBE Report** from the ddb. The **Filter M/WBE Report** screen will display.

The **Filter M/WBE Report** screen is shown below. Please note that the M/WBE report is only available for the following request types: Contracts – RFP/RFI/Precontract, Contracts – New and Local Assistance Grants.
Below is an example of output from the M/WBE report.

<table>
<thead>
<tr>
<th>Request #</th>
<th>Title</th>
<th>Goal %</th>
<th>Rationale</th>
<th>Requested Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>10006-16</td>
<td>Watertown Correctional Facility</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10006-1</td>
<td>Contracts - New</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10006-1-1</td>
<td>SUPPORT VENDING MACHINE SERVICE</td>
<td>20</td>
<td>AGENCY HAS REVIEWED THE AVAILABILITY OF MWBE CONTRACTORS AND HAS DETERMINED THAT THE PERCENTAGES ARE REASONABLE AND ATTAINABLE FOR THIS PROCUREMENT</td>
<td>$20,000.00</td>
</tr>
<tr>
<td>10030-1-1</td>
<td>Contracts - New</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10030-1-2</td>
<td>WW’h recording machine service</td>
<td>20</td>
<td></td>
<td>$20,000.00</td>
</tr>
</tbody>
</table>

Subtotal Contracts - New - 1  $20,000.00
Subtotal Submitted to DOB - 1  $20,000.00
Total 16630-Watertown Correctional Facility - 1  $20,000.00
### Appendix A: Data Dictionary

#### Agency Spending Controls Application Data Dictionary

<table>
<thead>
<tr>
<th>Field Name</th>
<th>User Definition</th>
<th>Required</th>
<th>Valid Values*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Additional Information</strong></td>
<td>An optional field for use by an agency to include information that supports a spending request. The field should be used only when the Description and Justification fields are not long enough for an agency to support the request.</td>
<td>No</td>
<td>Text field (4,000 character limit).</td>
</tr>
<tr>
<td><strong>Agency</strong></td>
<td>The name of the OSC detail agency.</td>
<td>Yes</td>
<td>Agency(ies) user is provisioned to access.</td>
</tr>
<tr>
<td><strong>Agency Code</strong></td>
<td>The code assigned to the agency by OSC.</td>
<td>Yes</td>
<td>Agency code(s) user is provisioned to access.</td>
</tr>
<tr>
<td><strong>Agency Contact</strong></td>
<td>The first and last name of the person to contact regarding the request.</td>
<td>Yes</td>
<td>Text field. First name 25 character limit. Last name 25 character limit.</td>
</tr>
<tr>
<td><strong>Agency's M/WBE Contract Goal</strong></td>
<td>The number that represents an agency's goal for the percentage of all agency contracts that are with M/WBE. Enter &quot;0&quot; if not applicable.</td>
<td>Yes</td>
<td>Numeric field (e.g., 20) Whole number</td>
</tr>
<tr>
<td><strong>Alternative Tracking Number</strong></td>
<td>An optional field for use by an agency to use an internal tracking number to identify a spending request (e.g. Contract Number).</td>
<td>No</td>
<td>Text field (20 alpha, numeric or special characters limit).</td>
</tr>
<tr>
<td><strong>Attachment A Spending</strong></td>
<td>Contracts, Capital, NPS and local assistance spending requiring approval by DOB and the Office of the Director of State Operations pursuant to B-1184.</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td><strong>Attachment B Spending</strong></td>
<td>Contracts, Capital, NPS and local assistance spending which 1) involve Federal reimbursement of at least 75 percent or 2) directly impacts immediate public health and/or safety are exempt from pre-approval and considered to be Attachment B spending.</td>
<td>n/a</td>
<td></td>
</tr>
<tr>
<td><strong>Centralized Contract</strong></td>
<td>Indicates if a &quot;Contracts – RFP / RFI / Pre-contract,&quot; &quot;Contracts – New&quot; or &quot;Contracts – Amendment &quot; request will use a centralized contract.</td>
<td>Conditional</td>
<td>Yes / No</td>
</tr>
<tr>
<td><strong>Contract Term</strong></td>
<td>The starting and ending dates of the contract, including Capital contracts. Contract term can cross fiscal years.</td>
<td>Conditional</td>
<td>Date fields are only enabled and required if a Contract request type is selected.</td>
</tr>
<tr>
<td><strong>Date Submitted</strong></td>
<td>Date the request is submitted to DOB or for “Out of State Travel - Commissioner Only” requests to State Operations.</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td><strong>Description</strong></td>
<td>A description of the spending requested including the quantity of items and the vendor (if known).</td>
<td>Yes</td>
<td>Text field (500 character limit).</td>
</tr>
<tr>
<td>Field Name</td>
<td>User Definition</td>
<td>Required</td>
<td>Valid Values*</td>
</tr>
<tr>
<td>--------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>----------</td>
<td>-------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Estimated 2011 -12</td>
<td>The estimated dollar value of disbursements in the prior year expected for the request, if applicable.</td>
<td>No*</td>
<td>Numeric field. * If Estimated Total Value This Request is greater than 0, an entry in at least one of the estimated disbursement fields is required.</td>
</tr>
<tr>
<td>Disbursements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated 2012-13</td>
<td>The estimated dollar value of disbursements in the current year expected for the request.</td>
<td>No*</td>
<td>Numeric field. * If Estimated Total Value This Request is greater than 0, an entry in at least one of the estimated disbursement fields is required.</td>
</tr>
<tr>
<td>Disbursements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated 2013-14</td>
<td>The estimated dollar value of disbursements in the first out-year expected for the request.</td>
<td>No*</td>
<td>Numeric field. * If Estimated Total Value This Request is greater than 0, an entry in at least one of the estimated disbursement fields is required.</td>
</tr>
<tr>
<td>Disbursements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Estimated 2014-15</td>
<td>The estimated dollar value of disbursements in the second out-year expected for the request.</td>
<td>No*</td>
<td>Numeric field. * If Estimated Total Value This Request is greater than 0, an entry in at least one of the estimated disbursement fields is required.</td>
</tr>
<tr>
<td>Field Name</td>
<td>User Definition</td>
<td>Required</td>
<td>Valid Values*</td>
</tr>
<tr>
<td>--------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>----------</td>
<td>------------------------------------------</td>
</tr>
</tbody>
</table>
| Estimated Total Value This Request | The full dollar value of the request, even if the request crosses fiscal years. | Yes      | Numeric field. 1. The following NPS request types require an entry of $0 or greater:  
  - Out of State Travel - Commissioner Only  
  - Out of State Travel - Exempt Class Employees  
  2. The following NPS Types require an entry of $500 or greater:  
  - Cell Phones and Service Plans  
  - Conferences  
  - Desktop and Laptop Computers  
  - Employee Related Events  
  - Fax Machines  
  - Membership Dues to Associations  
  - Non-institutional Food Purchases  
  - In State Travel  
  - Out of State Travel - All Other  
  - Out of State Travel - Staff with Commissioner  
  - PDAs/Smartphones and Service Plans  
  - Printers  
  - Promotional Items  
  3. Member Item requests require an entry of $500 or greater.  
  4. The following NPS types require an entry of $20,000 or greater:  
  - Equipment  
  - Contractual Services  
  - Copiers  
  - Leases, Maintenance and Repairs  
  - Supplies and Materials  
  - Temporary Personnel Services  
  - Vehicles  
  5. The request types: Contracts–RFP / RFI / Pre-contract, Contracts–New or Contracts–Amendment with Yes for Centralized Contract require an entry of $50,000 or greater. If such request types have No selected for Centralized Contract, an entry is $20,000 and greater is required.  
  6. The request types: Capital – New, Capital–Change Order / Other, Capital–Multi-Phase Projects, Leases–New, Leases–Amendment, Leases–Escalation/Holdovers/Other, Local Assistance Grants, Purchase Orders–As Applicable require an entry of $20,000 or greater. |
<table>
<thead>
<tr>
<th>Field Name</th>
<th>User Definition</th>
<th>Required</th>
<th>Valid Values*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expedite Request</td>
<td>A request identified as a high priority.</td>
<td>No</td>
<td>Yes / No.</td>
</tr>
<tr>
<td>Fiscal Year</td>
<td>The Fiscal Year in which the request is initially entered and saved.</td>
<td>n/a</td>
<td>Preselected.</td>
</tr>
<tr>
<td>Fund Type</td>
<td>The grouping of all funds of similar characteristics and purposes.</td>
<td>Yes</td>
<td>• General Fund</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Special Revenue Funds – Other</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Special Revenue Funds – Federal</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Capital Projects Funds – Other</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Capital Projects Funds – Federal</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Debt Service Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Internal Service Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Enterprise Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Private Purpose Trust Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Agency Trust Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Pension Trust Funds</td>
</tr>
<tr>
<td>Internal Agency</td>
<td>An optional field for use by an agency to capture internal comments on the</td>
<td>No</td>
<td>Text field (70 character limit).</td>
</tr>
<tr>
<td>Comment</td>
<td>request. DOB and State Operations users will not be able to report on this field.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Justification</td>
<td>Text explaining the need for the spending proposal and its relationship to the</td>
<td>Yes</td>
<td>Text field (500 character limit).</td>
</tr>
<tr>
<td></td>
<td>agency's core mission, including the implications or consequences should the spending</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>request not be approved.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Member Item (007)</td>
<td>Indicates if the spending request is for a 007 Member Item project.</td>
<td>Conditional</td>
<td>Yes / No.</td>
</tr>
<tr>
<td>Field Name</td>
<td>User Definition</td>
<td>Required</td>
<td>Valid Values*</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>----------</td>
<td>------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>NPS Type</strong></td>
<td>The type of non-personal service spending (NPS) requested.</td>
<td>Conditional</td>
<td>This field is only enabled and required if the NPS request type is selected.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Cell Phones and Service Plans</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Conferences</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Contractual Services</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Copiers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Desktop and Laptop Computers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Employee Related Events</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Equipment</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Fax Machines</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- In State Travel</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Leases, Maintenance and Repairs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Membership Dues to Association</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Non-institutional Food Purchase</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Out of State Travel - Commissioner Only</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Out of State Travel - Exempt Class Employees</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Out of State Travel - Staff with Commissioner</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Out of State Travel - All Other</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- PDAs/Smartphones and Service Plan</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Printers</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Promotional Items</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Supplies and Materials</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Temporary Personnel Services</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Vehicles</td>
</tr>
<tr>
<td><strong>Phone Number</strong></td>
<td>The phone number of the contact person.</td>
<td>Yes</td>
<td>3 digit area code. 7 digit phone number. 5 digit extension number.</td>
</tr>
<tr>
<td><strong>Rationale for Agency's M/WBE Contract Goal</strong></td>
<td>An explanation or reason for the agency's M/WBE participation goal</td>
<td>Conditional</td>
<td>Text field (500 character limit).</td>
</tr>
<tr>
<td><strong>Request #</strong></td>
<td>A system generated number assigned to each request. The number will be unique within agency and will be assigned sequentially.</td>
<td>n/a</td>
<td>System generated number (e.g., 10000-3-2009).</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>The first 5 digits are the agency code. The next digits are the sequential numbers assigned by the system for each request entered and the last 4 digits represent the fiscal year in which the request is entered and saved.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>In the example 10000-3-2009, the request # is for the Department of Correctional Services. It is the 3rd request entered for the agency in fiscal year 2009-10.</td>
</tr>
</tbody>
</table>
### Agency Spending Controls Application
#### Data Dictionary

<table>
<thead>
<tr>
<th>Field Name</th>
<th>User Definition</th>
<th>Required</th>
<th>Valid Values*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request Status</td>
<td>Indicates the status of the request.</td>
<td>n/a</td>
<td>• Agency Review Level 3 (if staffed)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Agency Review Level 2 (if staffed)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Agency Review Level 1 (if staffed)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Submitted to Agency Head</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Returned to Agency</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Withdrawed</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Submitted for Approval</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Approved</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Disapproved</td>
</tr>
<tr>
<td>Request Title</td>
<td>Meaningful short hand reference for the request.</td>
<td>Yes</td>
<td>Text field (70 character limit).</td>
</tr>
<tr>
<td>Request Type</td>
<td>The type of request being made by an agency.</td>
<td>Yes</td>
<td>• Contracts–RFP / RFI / Pre-contract</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Contracts–New</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Contracts–Amendment</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Leases–New</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Leases–Amendment</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Leases–Escalation / Holdovers / Other</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Local Assistance Grants</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Capital–New</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Capital–Change Orders / Other</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Capital–Multi-Phase Projects</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Purchase Orders–as Applicable</td>
</tr>
<tr>
<td>Support Files</td>
<td>An optional function for use by an agency to attach up to three supporting pdf files to a request.</td>
<td>No</td>
<td>3 MB per file limit.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3 pdf file limit.</td>
</tr>
</tbody>
</table>
# Appendix B: Agency User Roles

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
</table>
| Agency Review Level 3       | - Enter and save spending request.  
                              - Attach PDF files to the spending request.  
                              - Modify spending request until submitted to Agency Review Level 2.  
                              - Submit to Agency Review Level 2.  
                              - Withdraw spending request until action taken by Agency Review Level 2.  
                              - Answer M/WBE Survey Questions.  
                              - Optional role. Not all agencies will need users in this role.                                |
| Agency Review Level 2       | - Enter and save spending request.  
                              - Attach PDF files to the spending request.  
                              - Modify spending request until submitted to Agency Review Level 1.  
                              - Submit to Agency Review Level 1.  
                              - Withdraw spending request until action taken by Agency Review Level 1.  
                              - Answer M/WBE Survey Questions.  
                              - Optional role. Not all agencies will need users in this role.                                |
| Agency Review Level 1       | - Enter and save spending request.  
                              - Attach PDF files to the spending request.  
                              - Modify Spending Request until submitted to Agency Head.  
                              - Submit to Agency Head.  
                              - Withdraw spending request until action taken by Agency Head.  
                              - Answer M/WBE Survey Questions.                                                |
| Agency Head                 | - Enter and save spending request.  
                              - Attach PDF files to the spending request.  
                              - Modify spending request until submitted for approval.  
                              - Submit spending requests for approval.  
                              - Withdraw spending request until action taken by DOB.  
                              - Answer M/WBE Survey Questions.                                                   |