DPH OPEN WINDOW CONTRACT ENTRY GUIDE - TABLE OF CONTENTS

### DHHS Style Guide

Before you enter any information in Open Window, you must read the DHHS Writing Style Guide: https://openwindow.dhhs.state.nc.us/Documents/WritingStyleGuide2010.doc

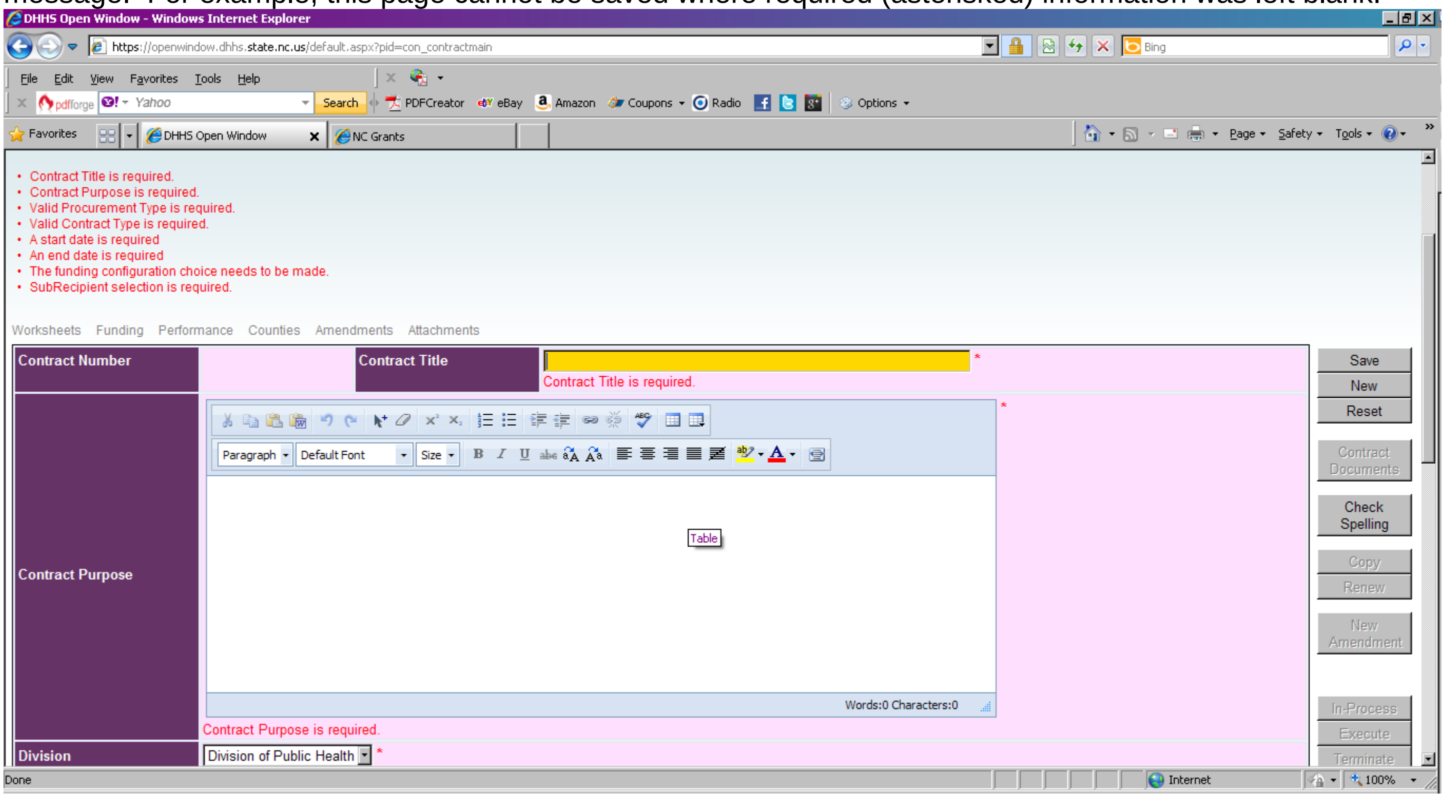
There are many issues addressed in the Writing Style Guide, but most important are

- Use Arial as the standard font as it is more readable for people with disabilities.
- Use black font color. (This is not to be mistaken for Arial Black as the font choice.)
- You must spell check all information.

### System Warnings

If, at anytime during entry, the system is missing critical information needed to save a record, a message will appear at the top of the screen in red lettering as well as near the place where the error occurred.

If you are attempting to save multiple times and nothing is saving, then scroll up the screen to read the message. For example, this page cannot be saved where required (asterisked) information was left blank.




### Parent and Child Relationships in Open Window

A parent/child relationship is a metaphor used to describe the relationship between databases which contain relevant information, where the information designated as the “Child” is dependant on the information designated as the “Parent”. In OW, the Child record will appear below the Parent record in the detailed view of the database record.

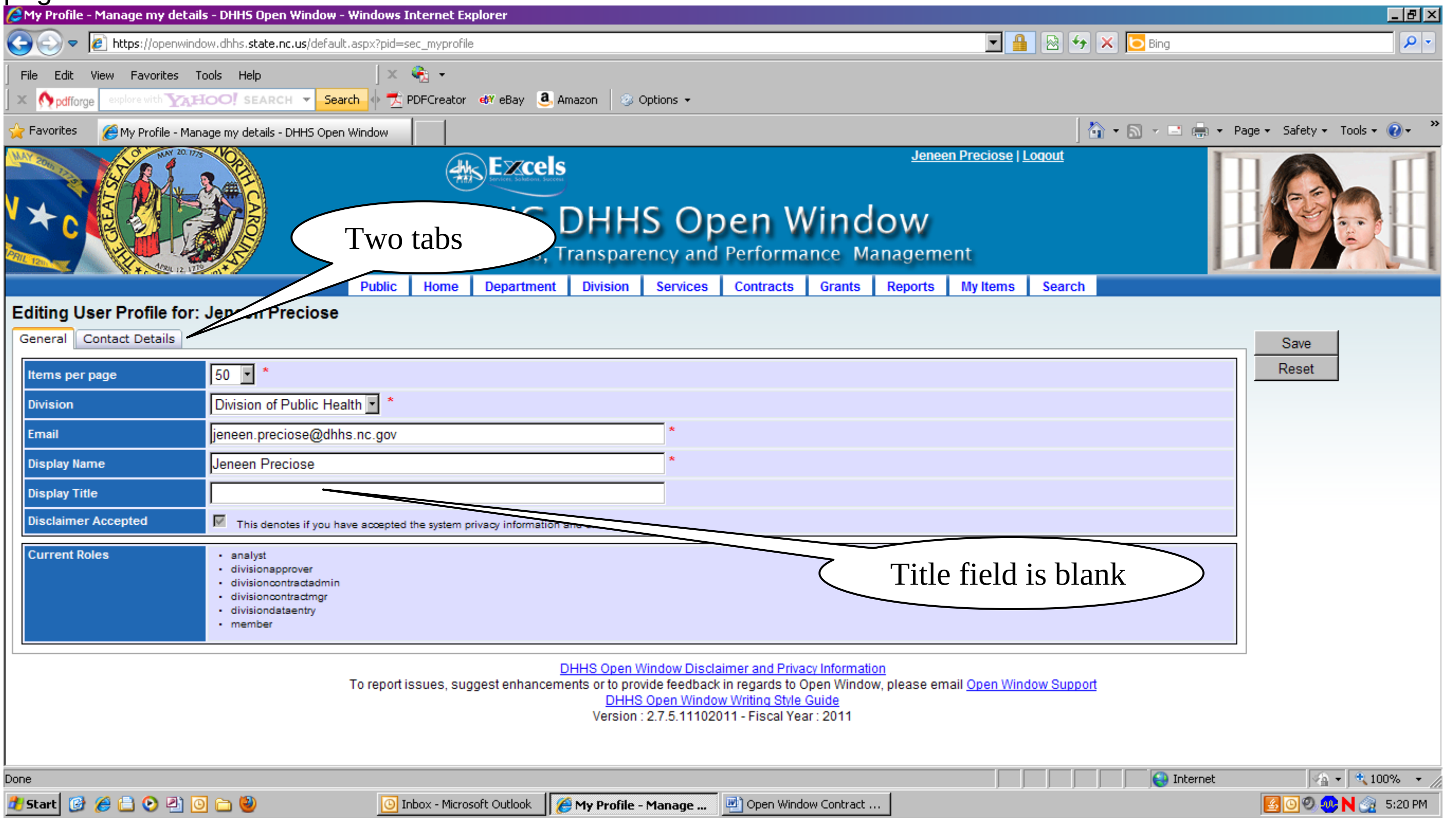
The Parent record must first be entered and saved before the Child record can be saved – often using a separate set of “Save” buttons.

These relationships appear in the Contractor Administrator and Contractor Signature fields as well as the Performance Measures. More detail in their respective sections of this guide.

## UPDATING YOUR PROFILE INFORMATION

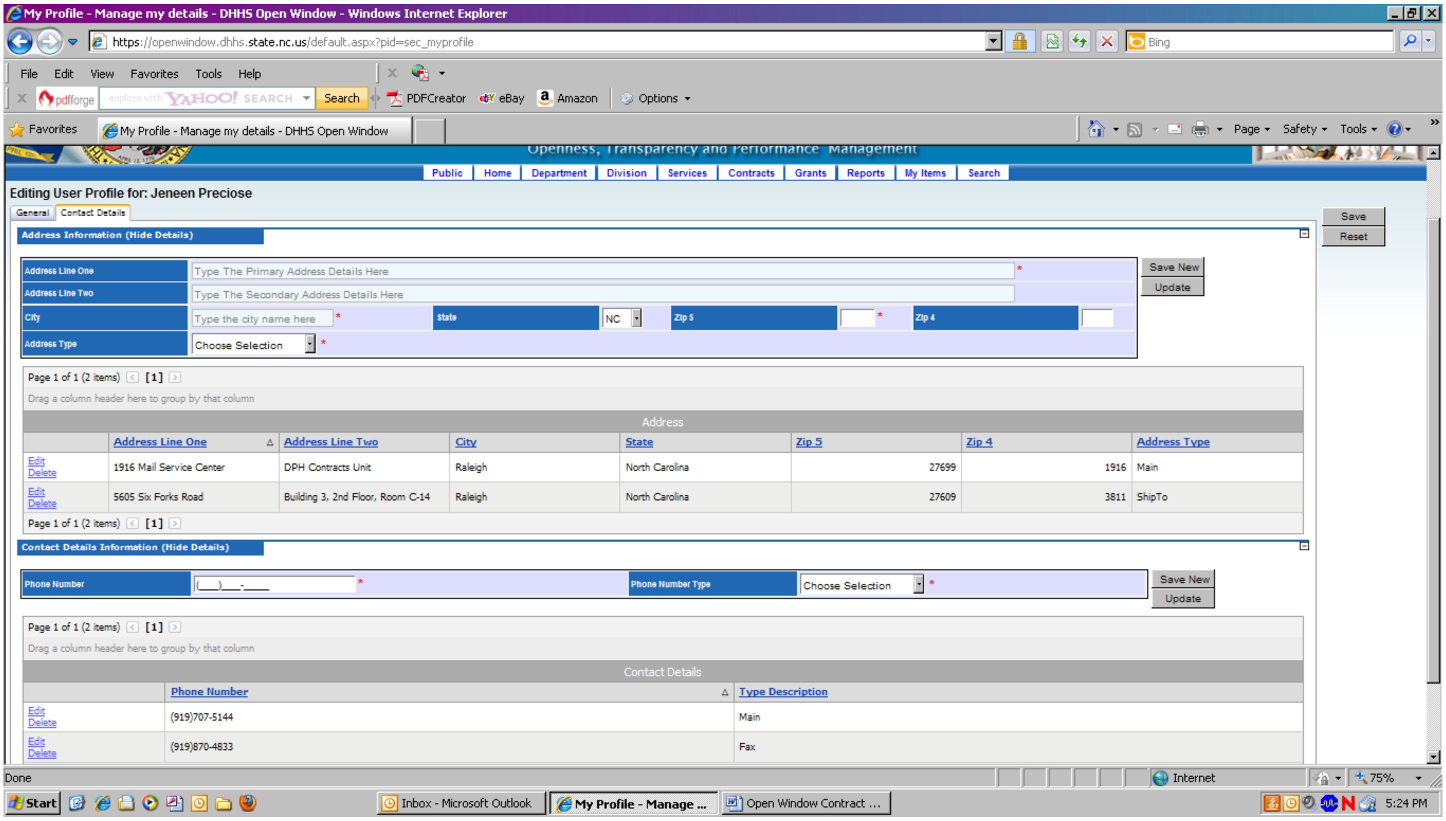
All users should ensure that their profile information is filled out completely and accurately. Even if you have used the system in the past, Open Window has recently (as of 11/09/2011) added a “Title” field to the profile configuration.

To access your profile, click on your name at the top, right hand side of the screen and it will bring you to this page:




Notice there are two (2) tabs: General and Contact Details.
If any of the data on the General tab is missing or incorrect, enter/edit it and click the Save button.
NOTE: Be sure that the Display Name is your professional name and not just a first name or nickname.

Once that information is saved, click on the Contact Details tab. Here, is all the contact information that will translate onto the contract itself. If any of the data on the Contact Details tab is missing or incorrect, it must be entered or edited.




To Enter New Address and Phone information:

Enter your mailing address (your MSC address)
Address Line One
City
State
Zip
Address Type, select: MAIN
Click Save New

Enter your physical address (the street address as line 1 and your building/floor/room as line 2)
Address Line 1
Address Line 2
City
State
Zip
Address Type, select: SHIP TO
Click Save New

BOTH addresses MUST be entered.

Enter your work Phone Number
Choose Type: Main
Click Save New

Enter your Fax Number
Choose Type: Fax

Click Save New

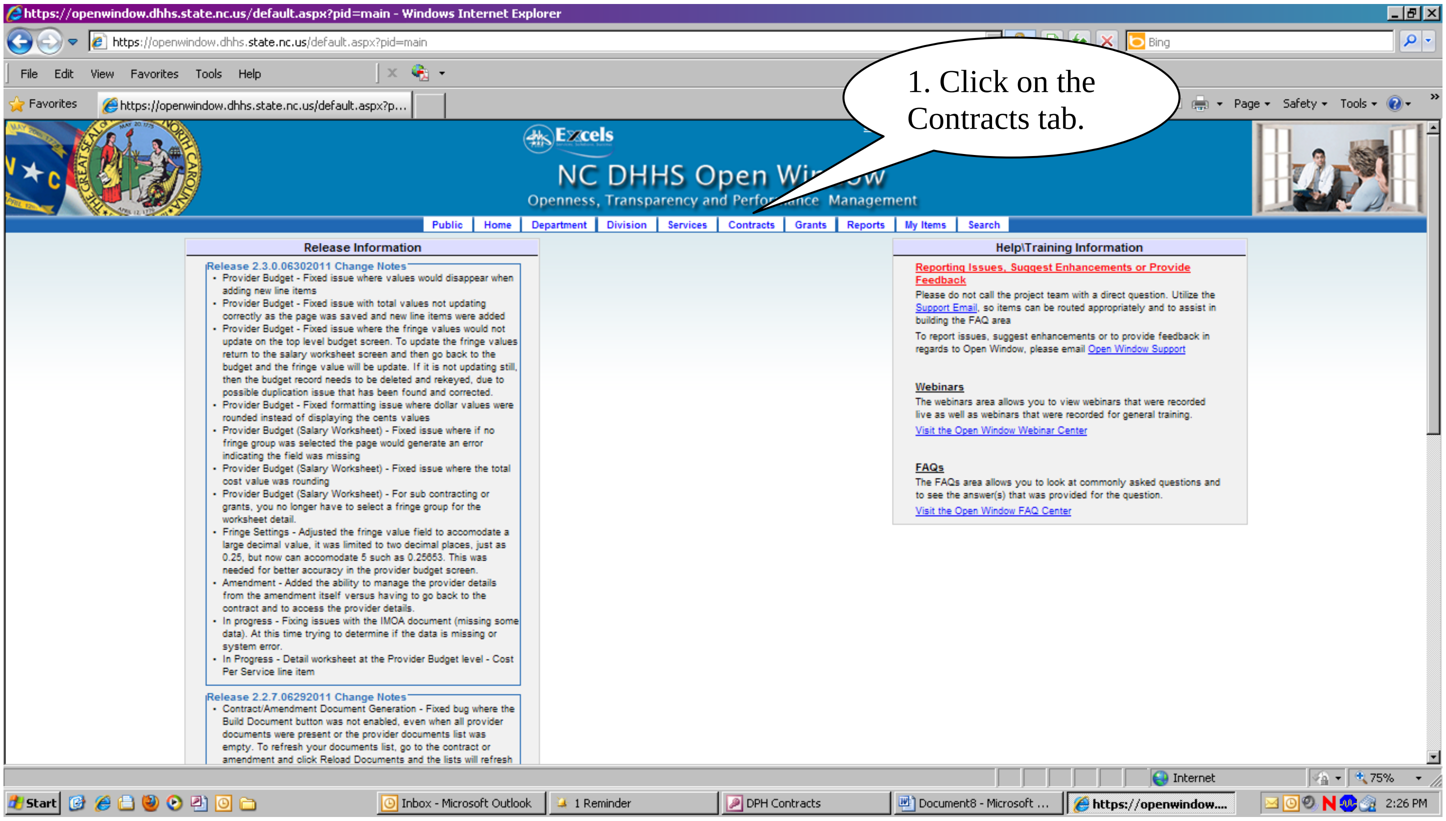
Enter your work Mobile Number, if you choose to do so
Choose Type: Mobile
Click Save New

To edit an existing item, click the word Edit beside the contact information you want to change, then change it and click the Update button. (If you hit Save, it will create a duplicate entry.)

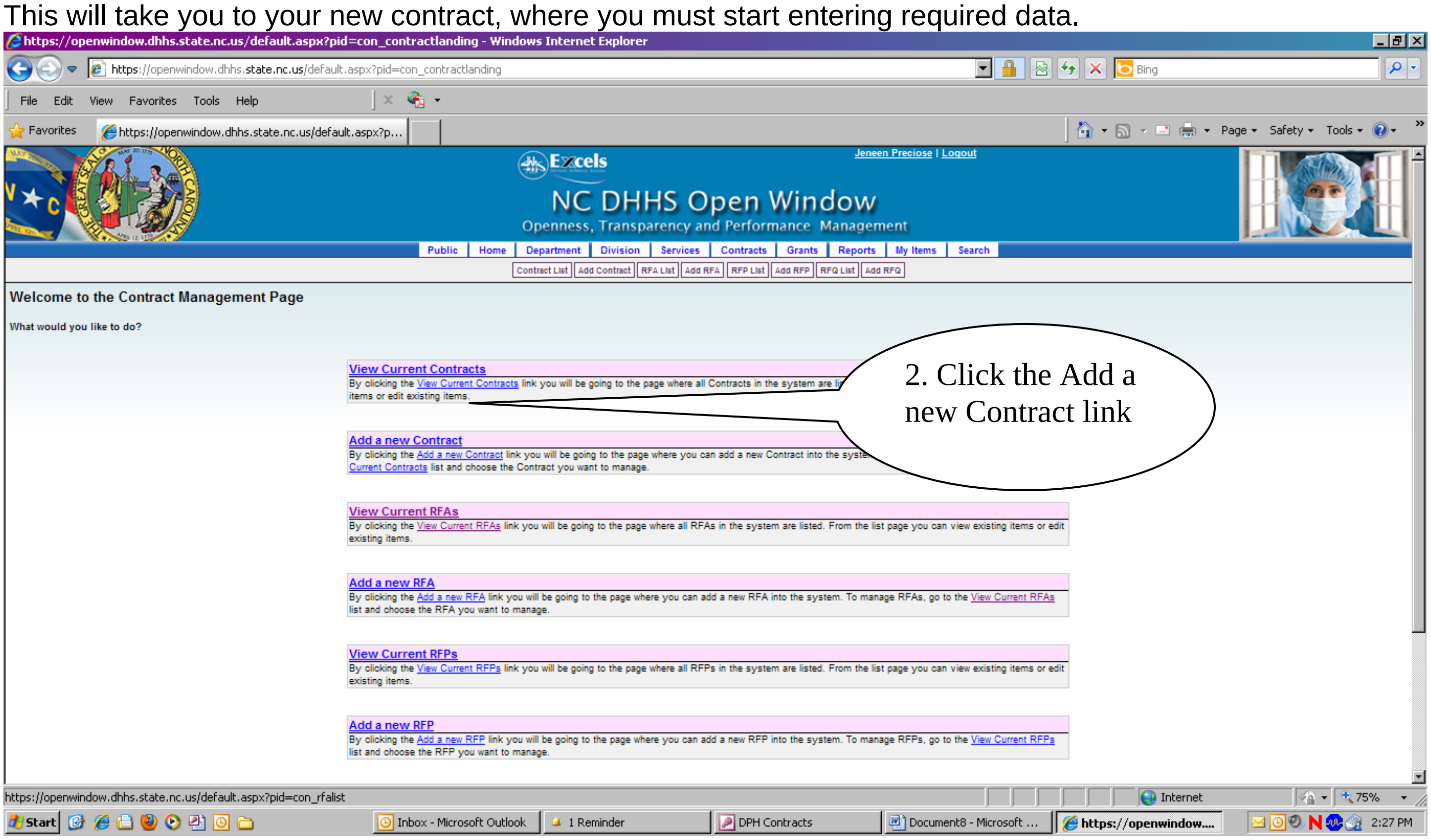
## ENTERING A BRAND NEW, SOLE SOURCE CONTRACT

To enter a brand new contract that is sole source, you must first ensure that DPH has not issued the contract in the past. This must be the first contract with the Contractor for that service.

To enter a new contract:

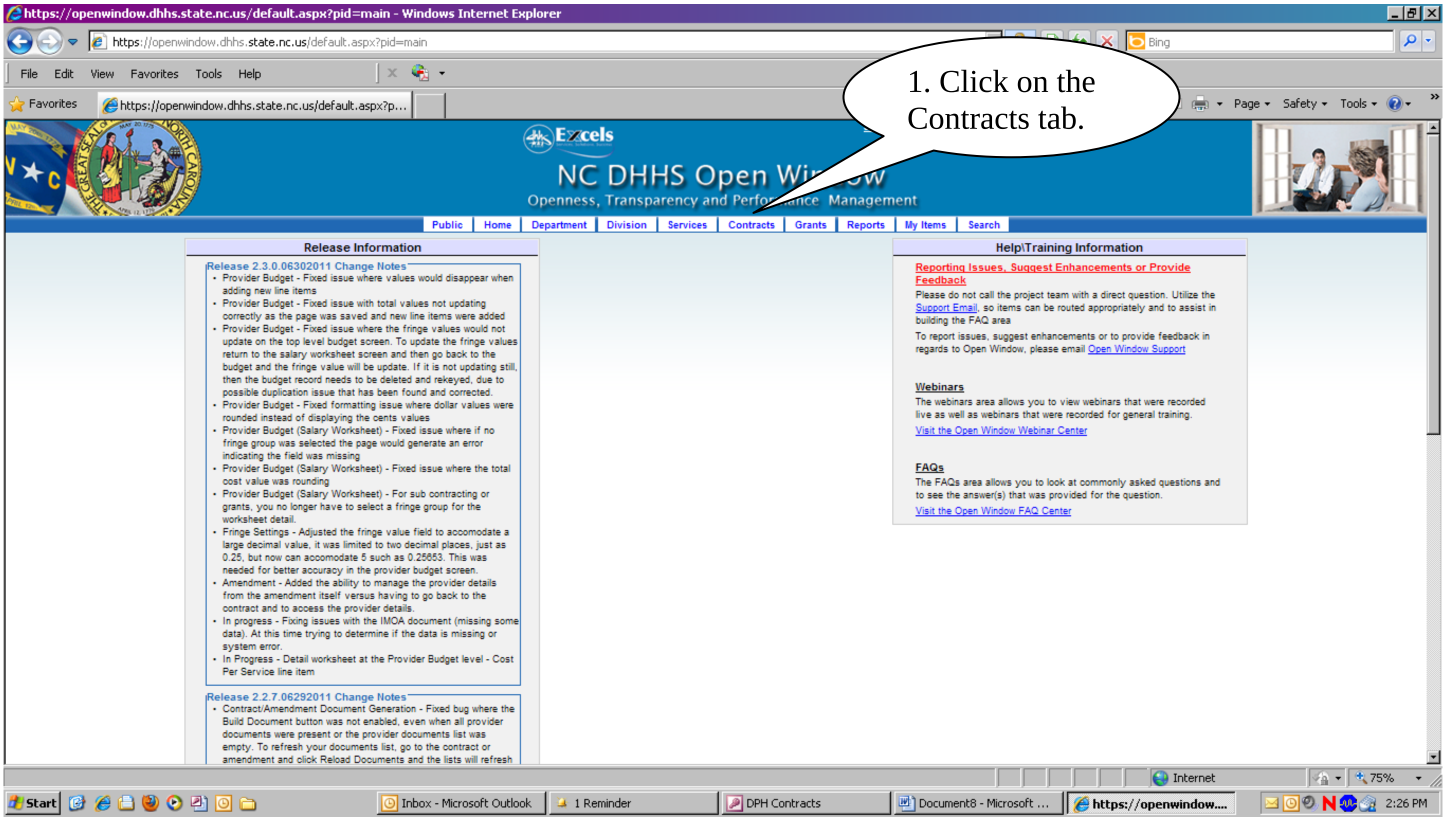


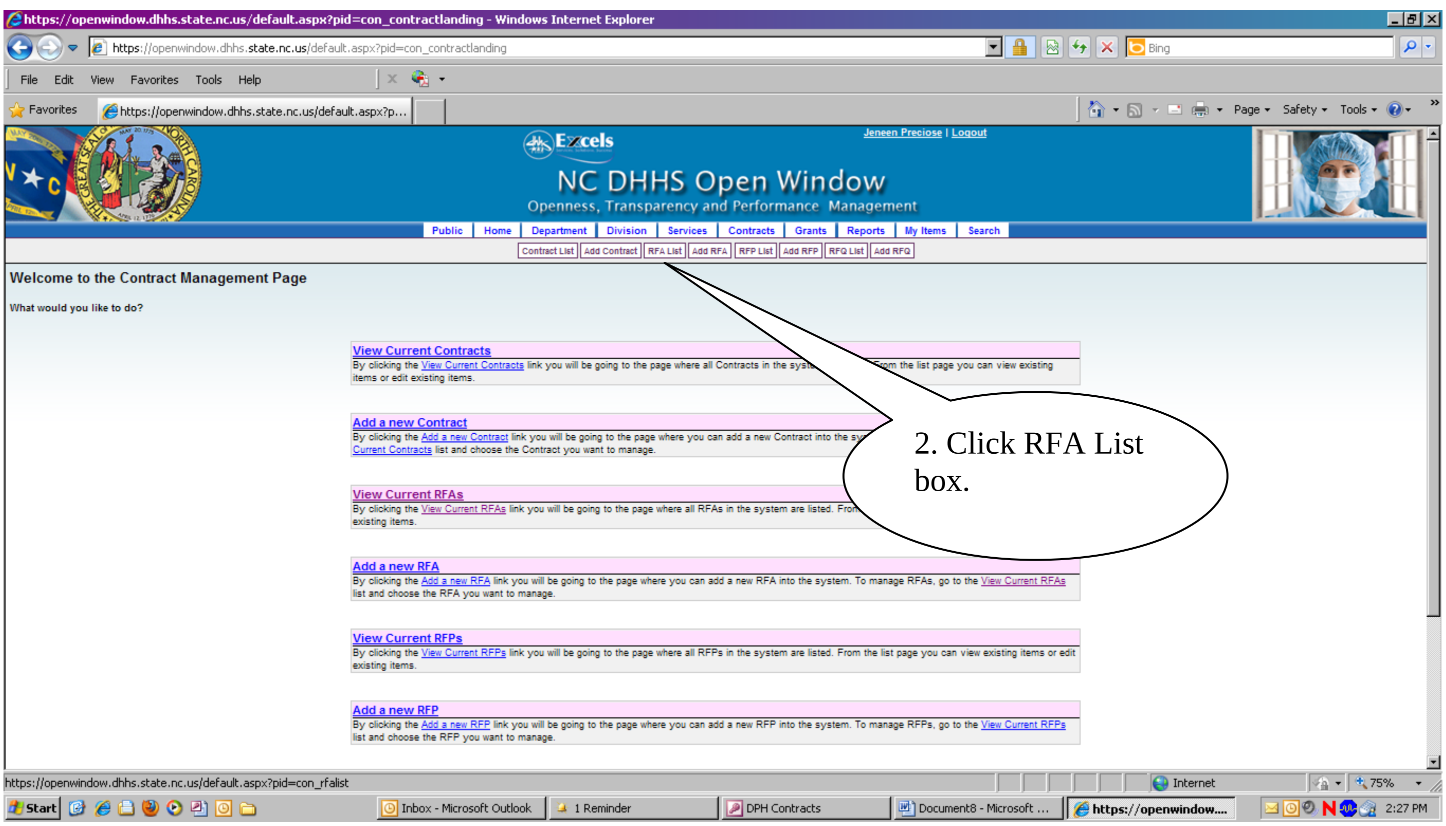

This will take you to your new contract, where you must start entering required data.

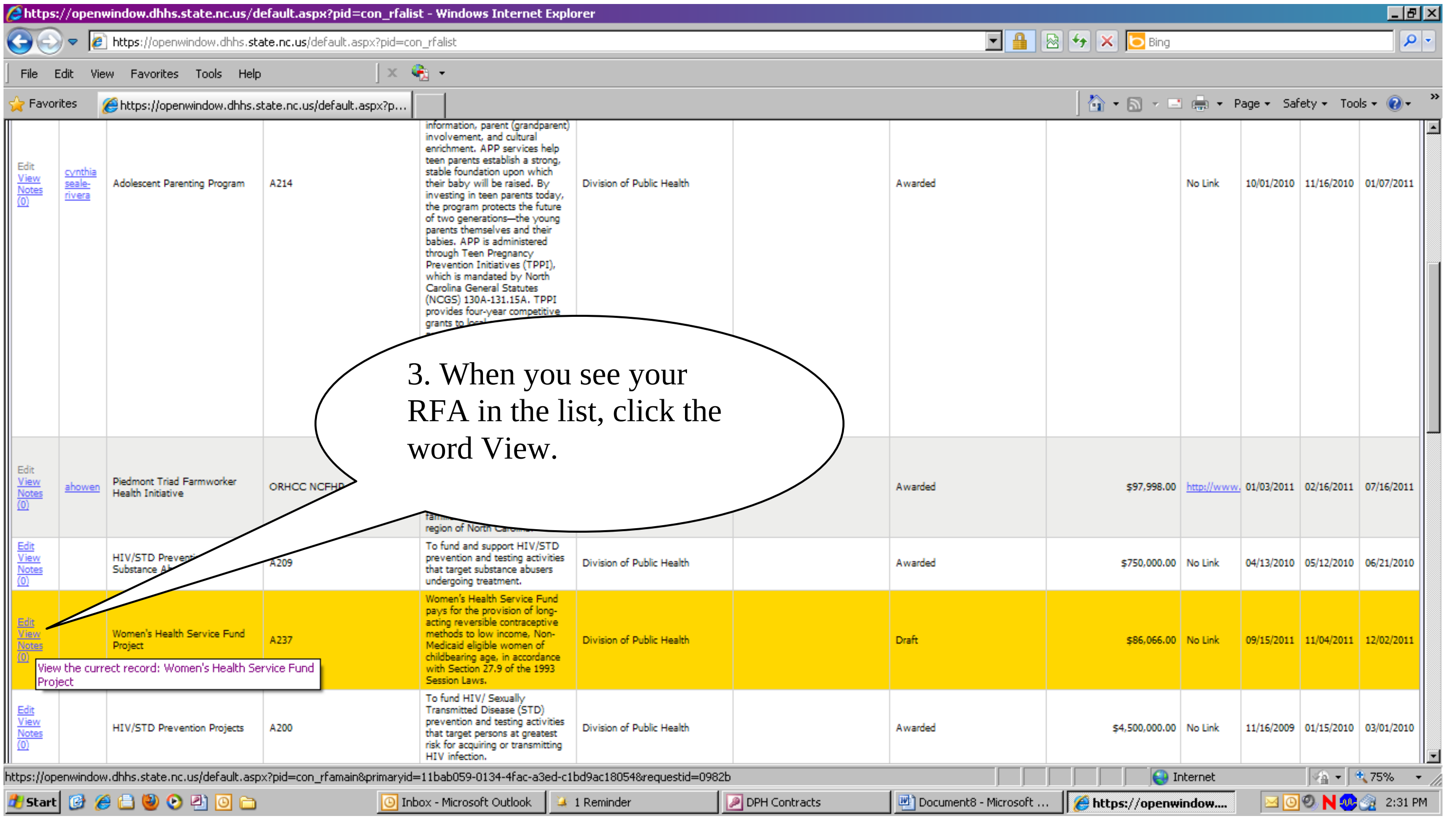


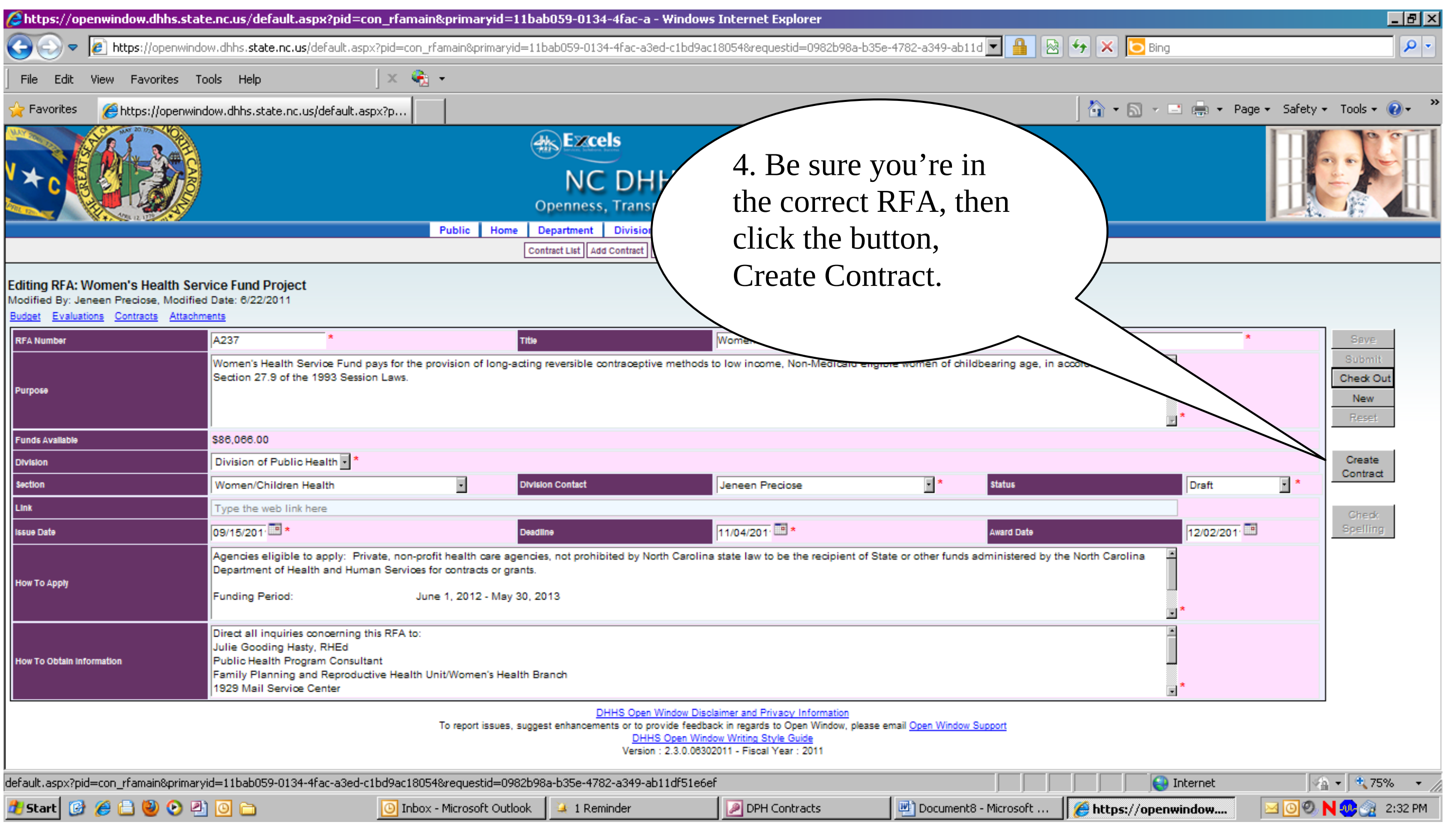
### Entering First Year Contracts from an RFA

To enter the first year's contracts from an RFA:





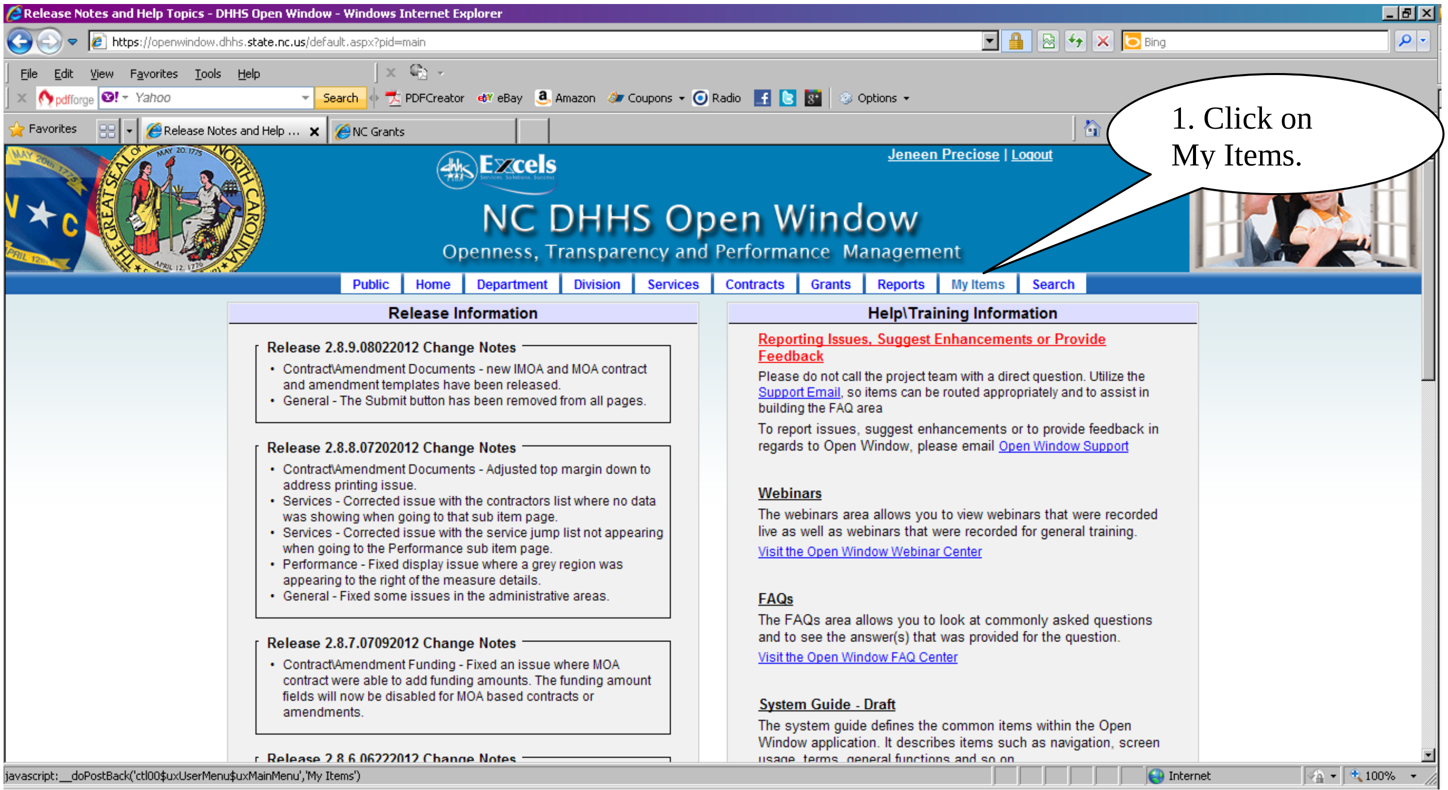



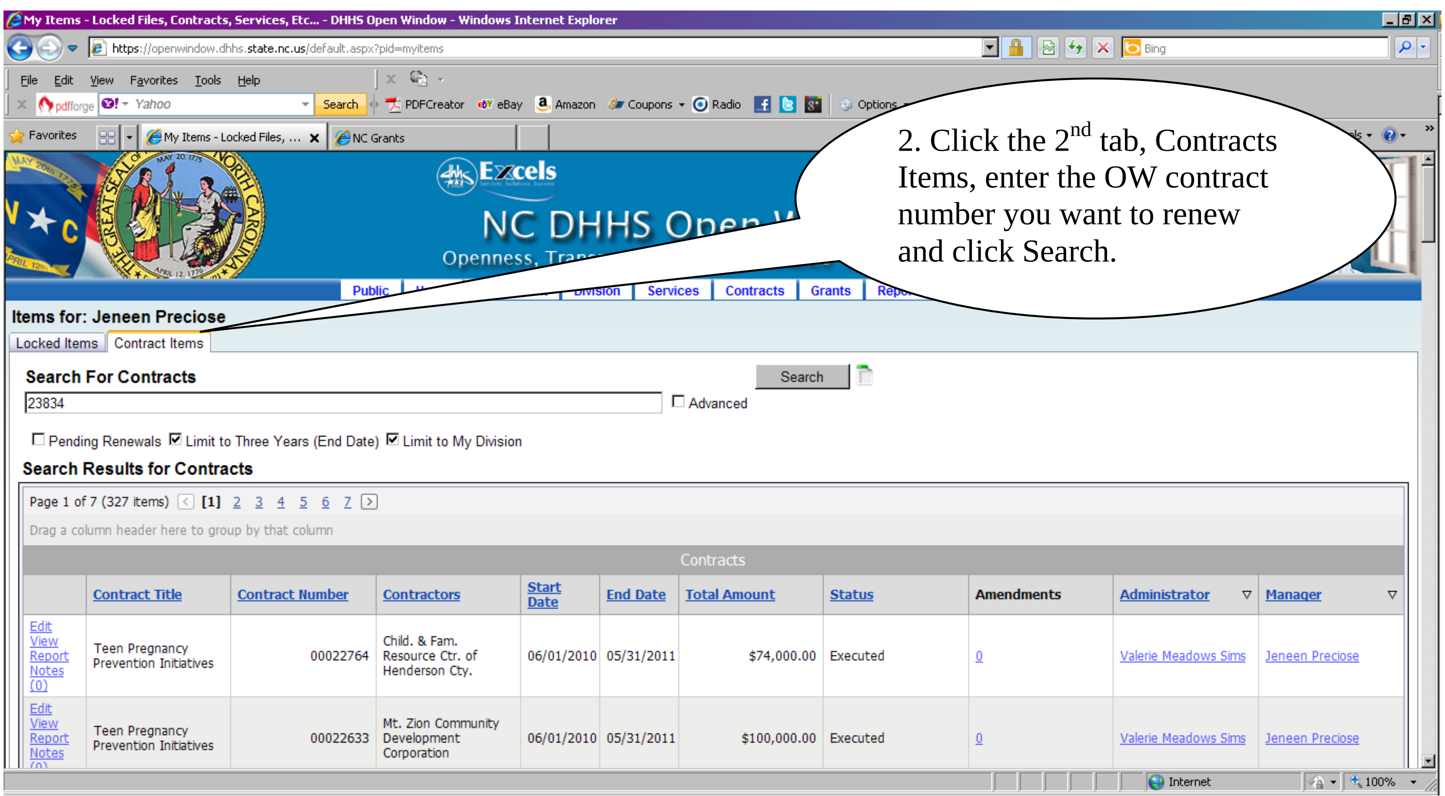

This will take you to your new contract, where you must start entering required data.
Note: some fields will be filled out with information that was entered in the RFA. This information may be changed in the contract.

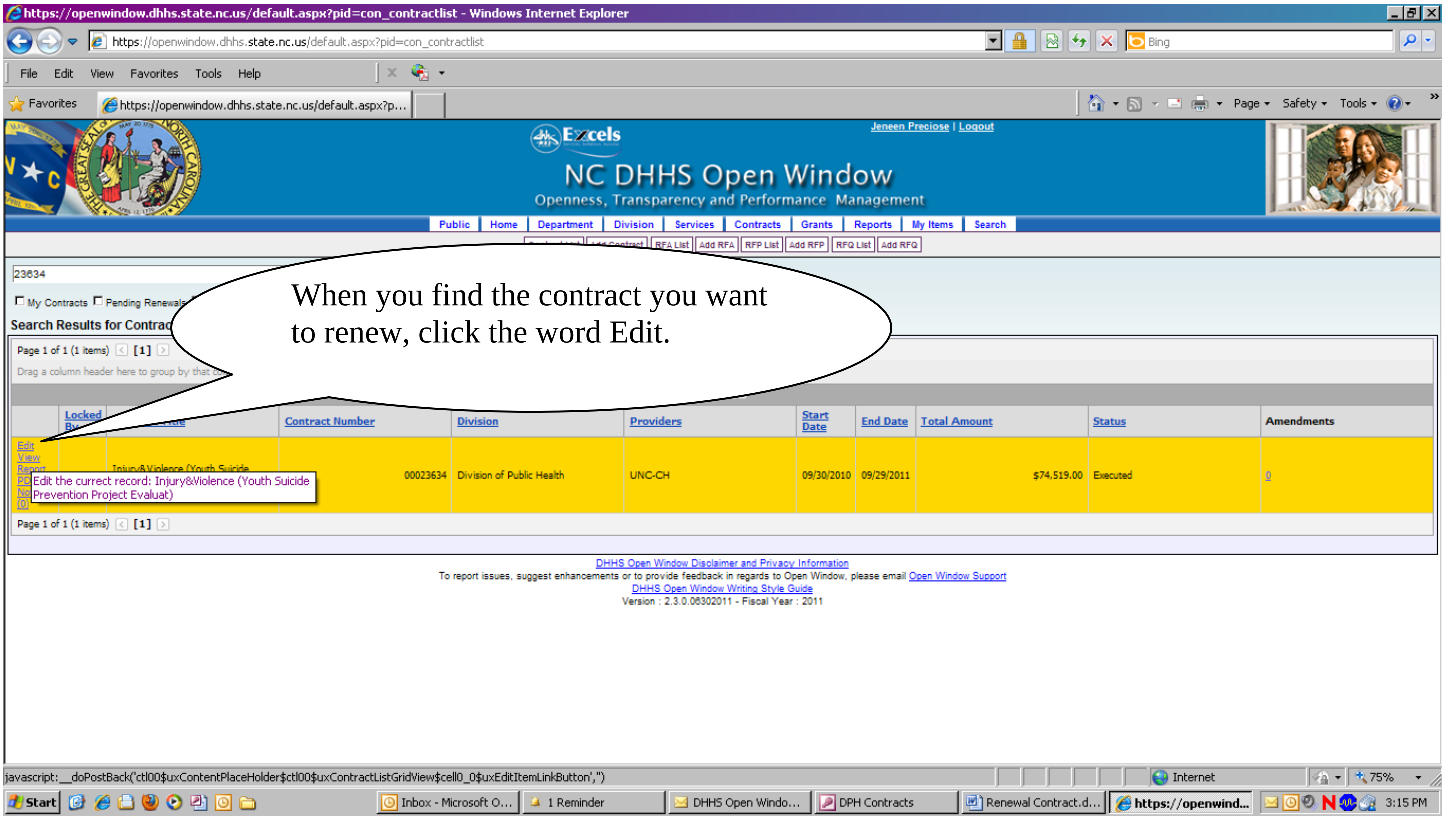
## ENTERING A RENEWAL CONTRACT

To renew a contract with the Contractor for a service that has been performed in the past, you must renew that previous or existing contract.

To renew a contract:

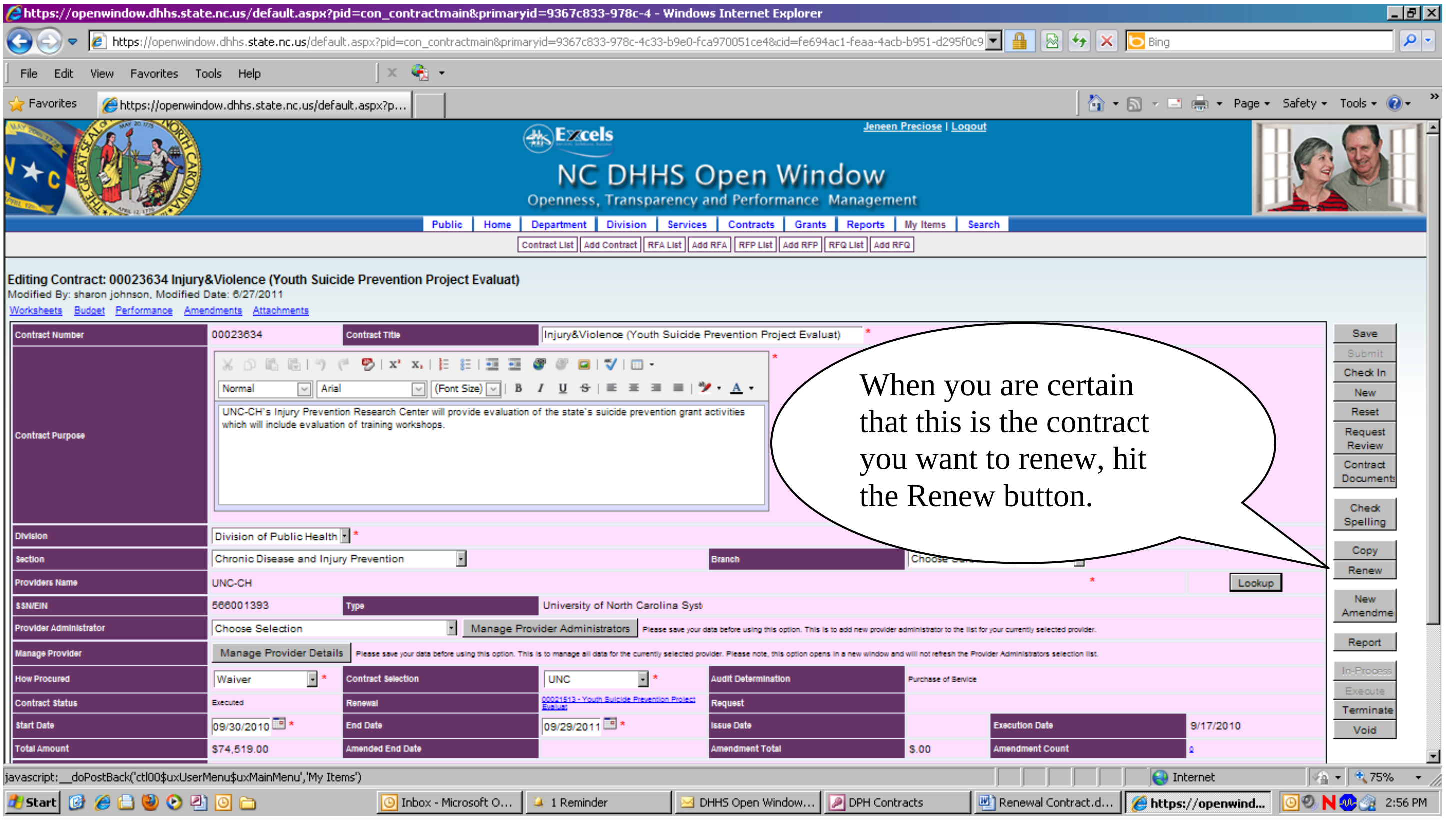





Once you click Edit, that means you have Checked Out the record. Before you logout of Open Window, you must Check In or Unlock (same thing) the old contract.

When the contract opens, check the data carefully and be certain that this is the contract you want to renew. Because once you hit Renew, there is no way to undo it.
Note: If the Renew button is grayed out (unavailable), check to see if your contract was a sole source contract (waiver). If so, you are not allowed to Renew it in the system. But, you can click the Copy button to transfer that data into a new contract.




This will take you to your renewal contract, where you must start entering required data.

## Funding Configuration of Renewal Contracts

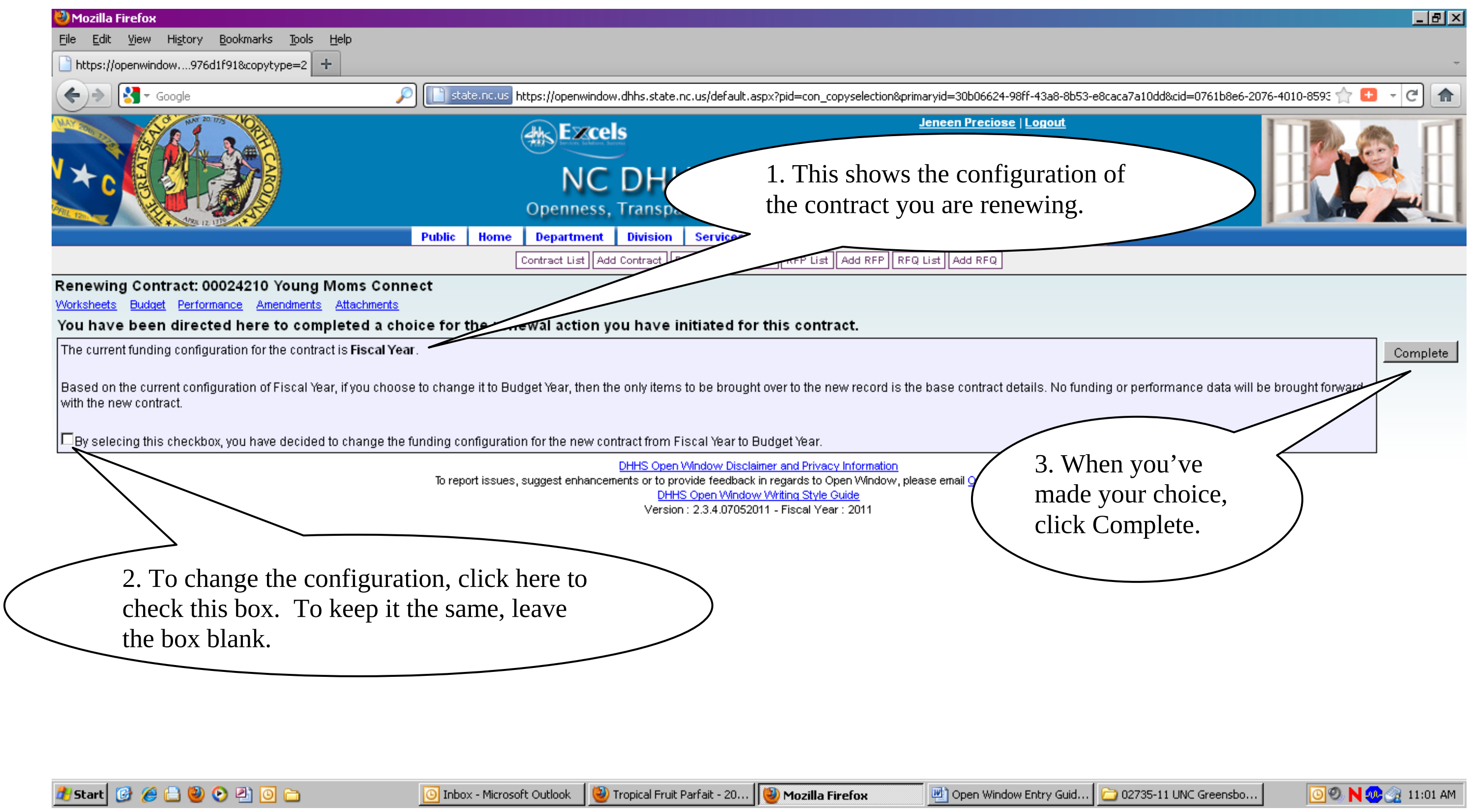
When you renew or copy a contract, the first screen to come up before you can begin to enter the contract data is a Funding Configuration Choice Screen. This screen tells you the configuration setting of the old contract (it will be either Fiscal Year or Budget Year) and asks you if you want to keep it or change it.

All contracts that are 12 months or less in length MUST use the Budget Year configuration.
Budget Year: bases the contract on a 12 month period of time. Reporting splits the total budget in 1/12 chunks across the state fiscal year.

All contracts that are longer than 12 months in length MUST use the Fiscal Year configuration.
Fiscal Year: bases the contract across state fiscal years. When Fiscal Year is selected, the Contractor's Budget must be split and entered for each state fiscal year. Likewise, the Performance Measures must also be split and entered for each state fiscal year.

If you want to keep the existing configuration, the system will copy forward the budget and measure data as well as some of the contract details.
If you want to change to a new configuration, the system will leave the budget and measure data blank and only bring some of the contract details.

To keep the Funding Configuration the same, simply click the Complete button on the right.
To change the Funding Configuration, you must click the box at the bottom, putting a ✓ in the box, then click the Complete button on the right.
Note: Once the choice is made, it can be undone – but with lots of extra work on your part. So, take care. If you need to "undo" your choice, contact your Contracts Team Leader immediately.




From here, you may begin to enter and edit the contract data.

## ENTERING CONTRACT DATA

There is a certain flow to entering data in Open Window that should be followed to

1. Ease pain associated with entered data not saving (aka disappearing);
2. Follow along your regular process of entering data for the "CAF", then other documents;
3. Get the easy stuff out of the way so you have a decent record, feel a bit more confident, and then you can concentrate on the tougher stuff.

Remember that anytime you generate a contract in the system, you must write down your Open Window System (Contract) number.

Remember that when you are done with your entry, remember to click the Check In button and click OK when the dialog box opens. This is extremely important, especially if you're going to be out on leave.

## CHECK IN / UNLOCK

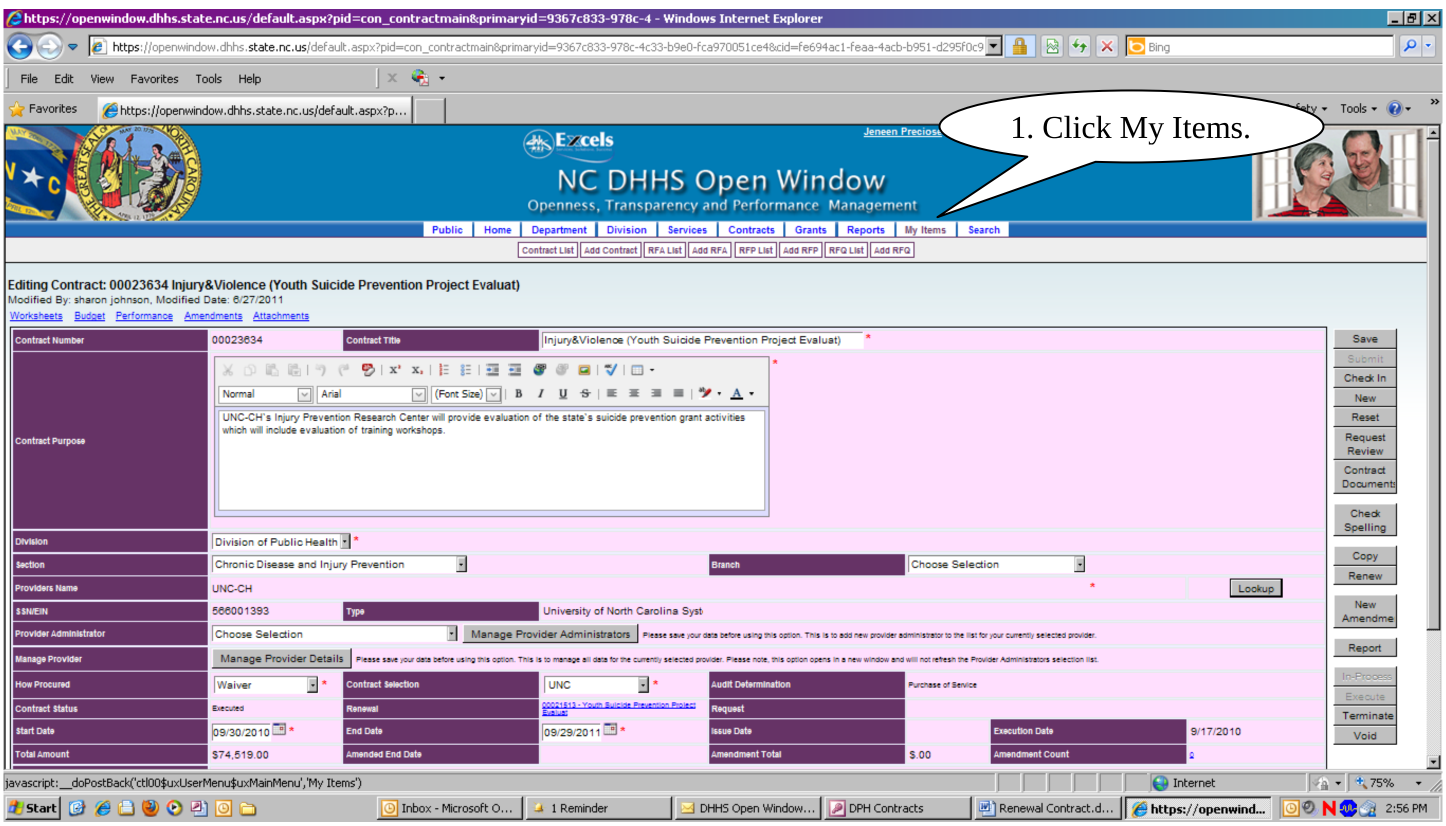
It is extremely important to Check In or Unlock contracts and records in Open Window. Contract Administrators should go into Open Windows - My Items at the end of each day and UNLOCK ALL ITEMS.

Additionally, everyone should be using VIEW (not EDIT) when looking up information in Open Window unless you are entering data on a particular contract or need to see detail not available through the VIEW field.

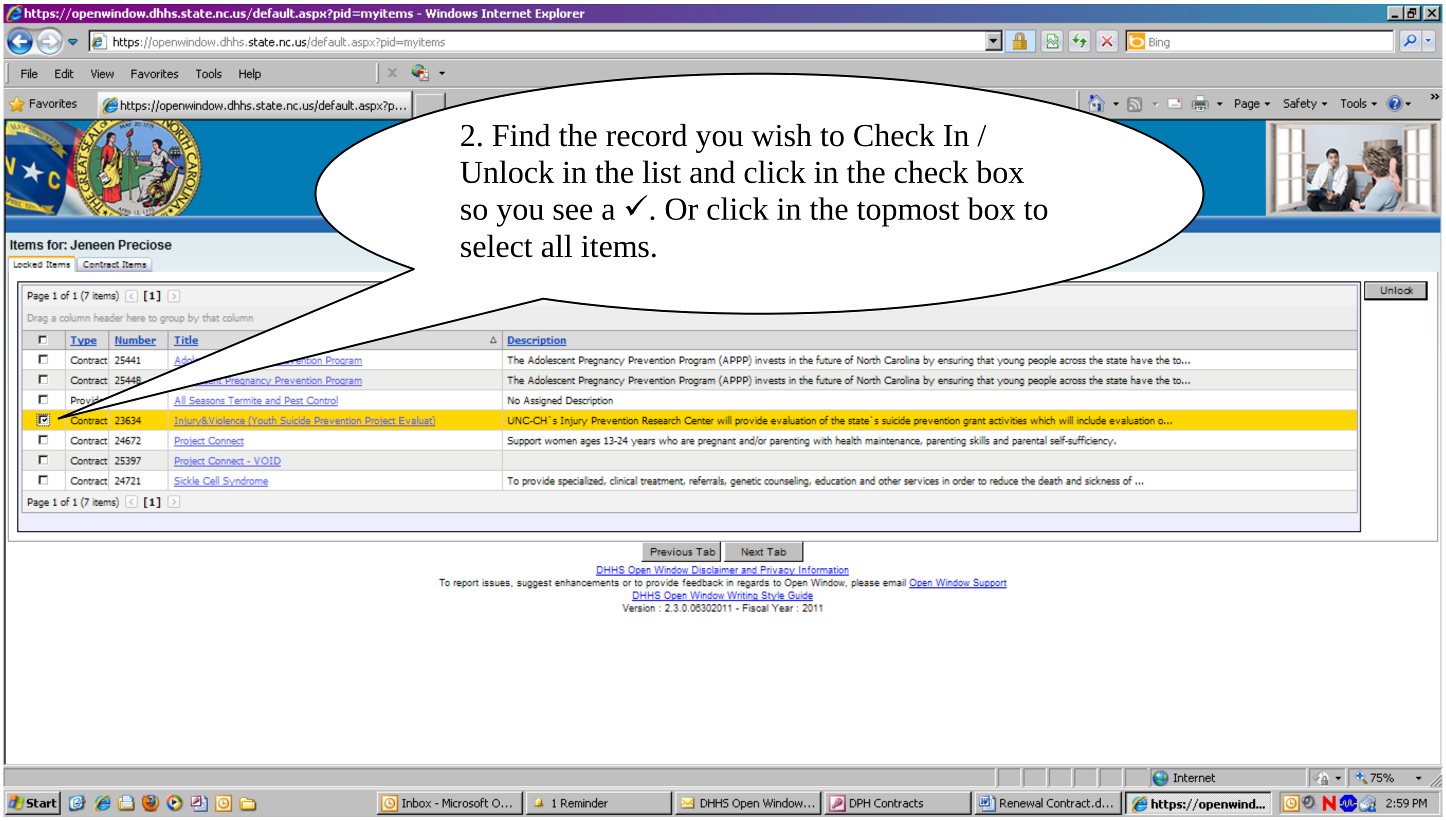
If you forget to use the Check In button, you may also Check In or Unlock items from your My Items tab. From anywhere in Open Window, click the My Items tab at the top of the Open Window Menu. When the screen opens, the first tab shows all the items that are Checked Out to you. To Check In one, some, or all of them, click the box to the left of the item(s) you want to check in and a ✓ will appear in the box. Then, click the Unlock button.

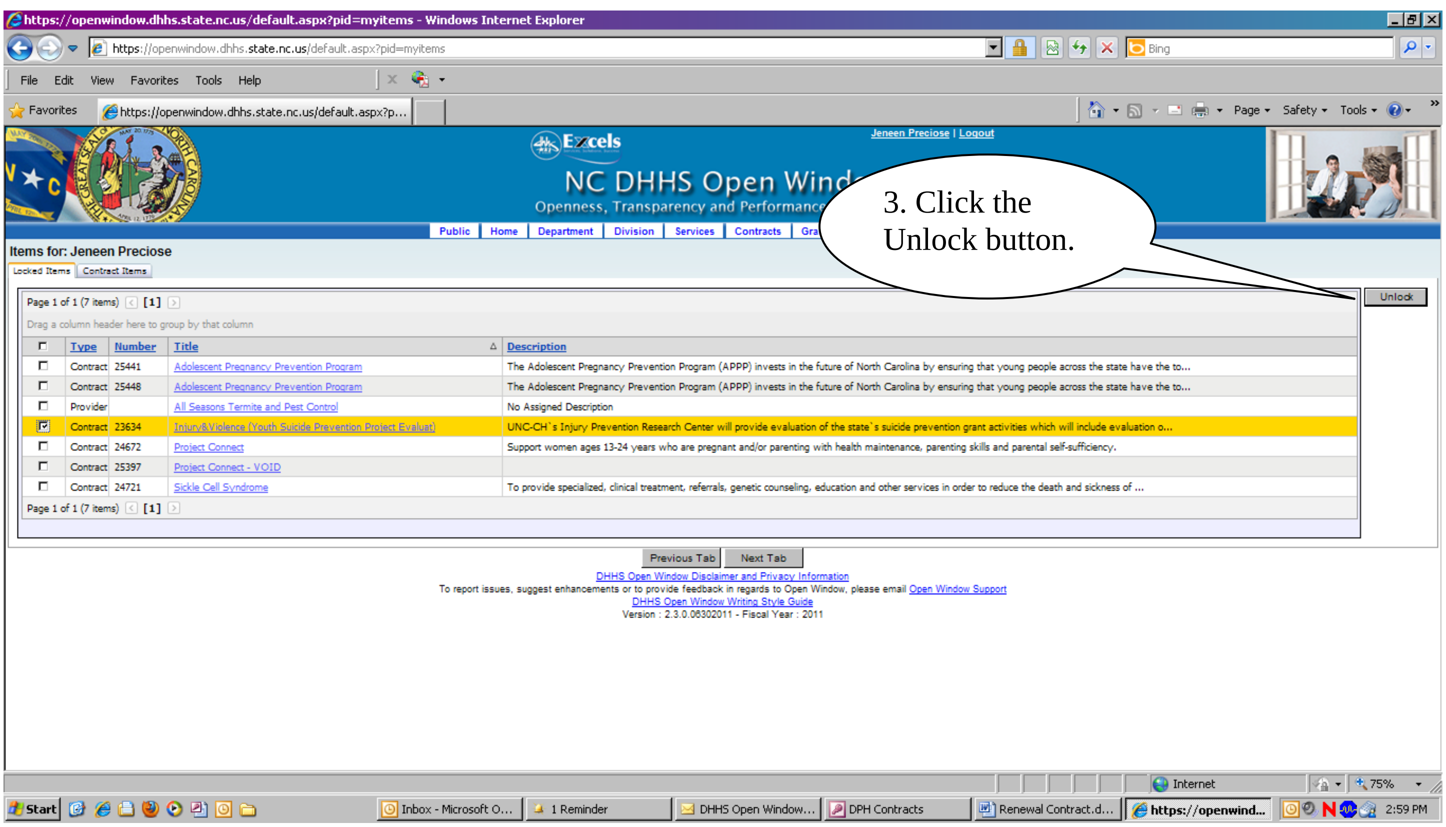
To Check In or Unlock a contract or record:

From any screen, click the My Items tab.

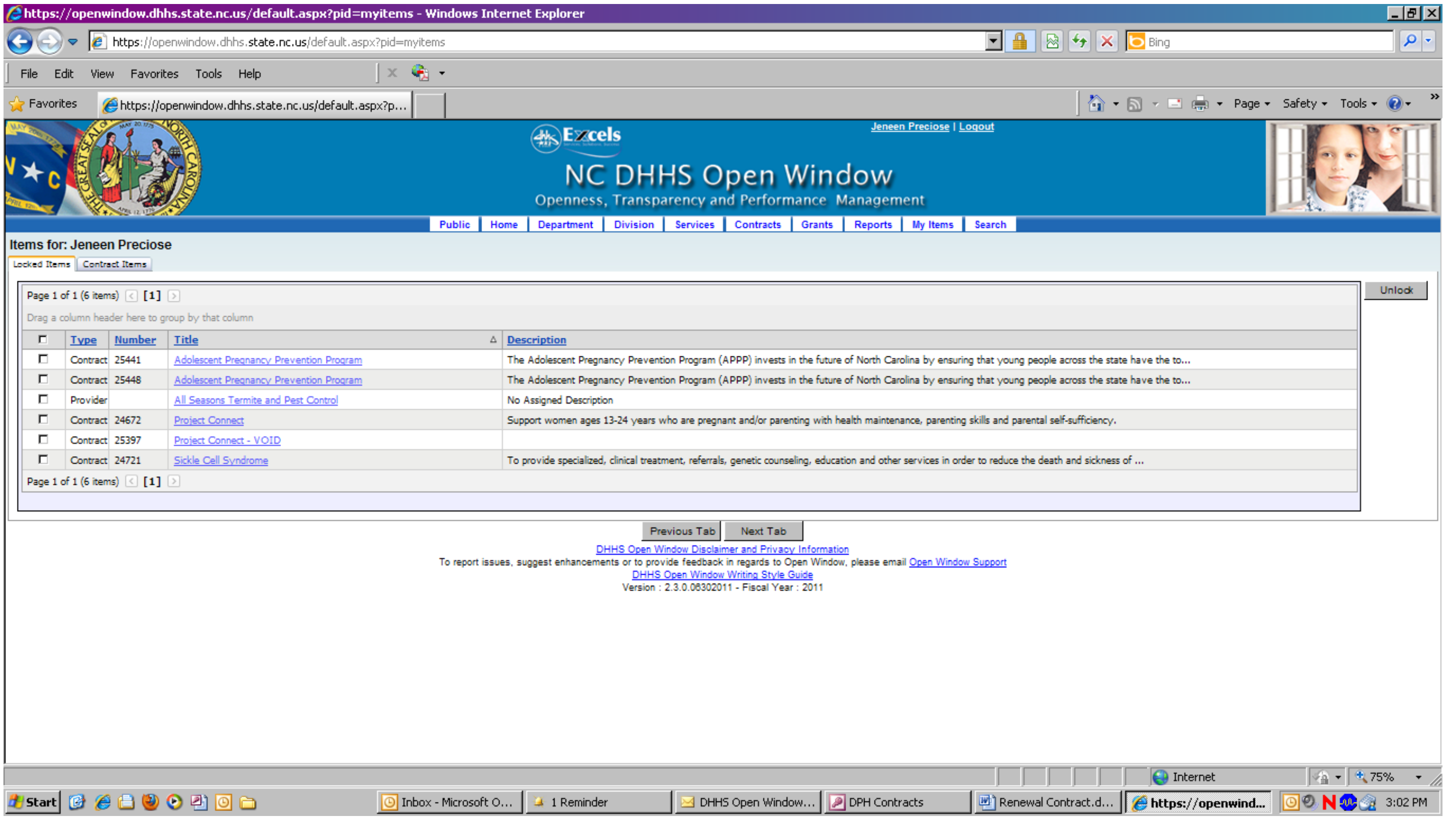


Notice the 2 tabs that come up in My Items:
Locked Items and Contract Items.  Locked Items are all the records that are Checked Out to you.



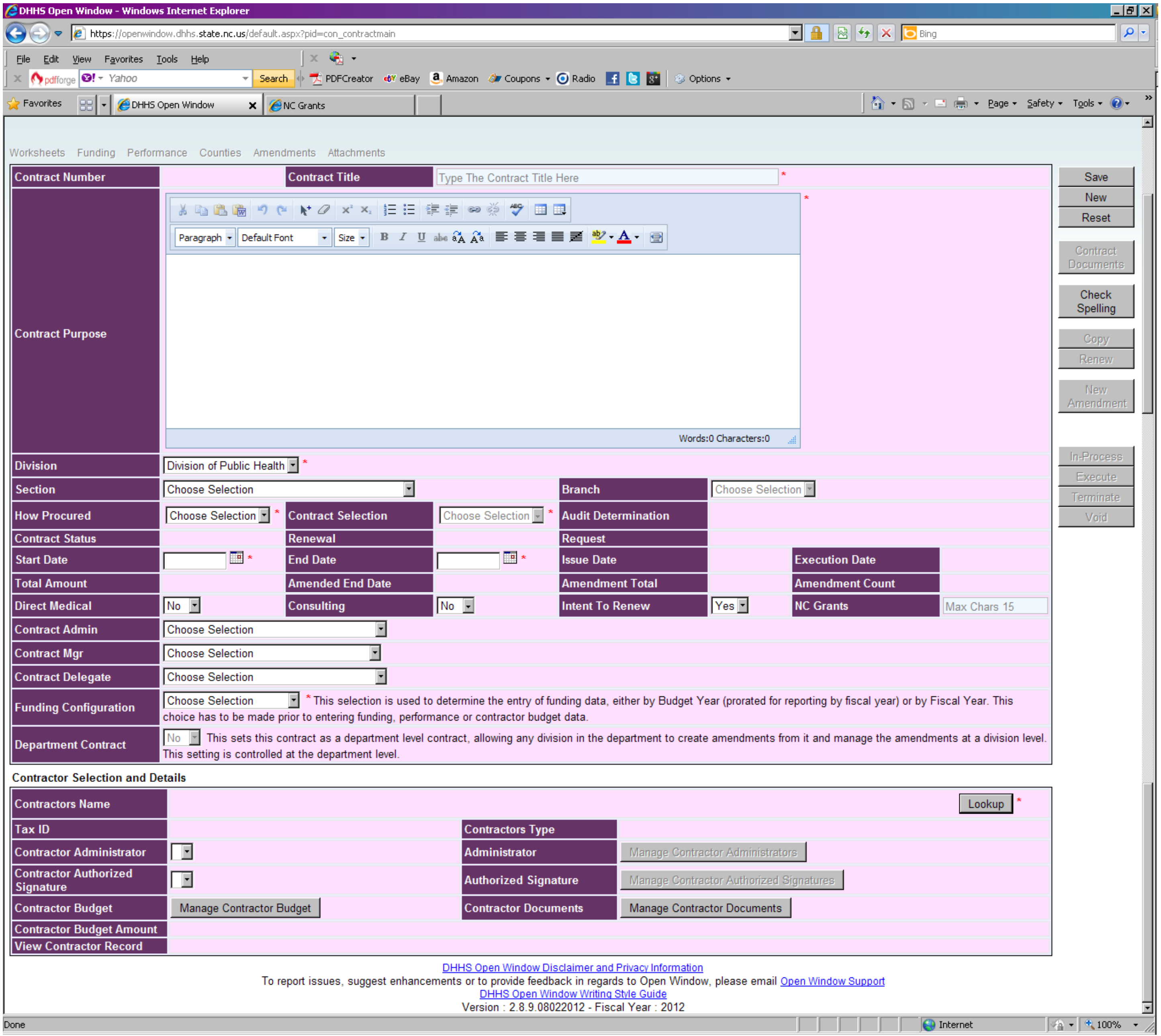




The item that was Unlocked no longer appears in your Locked Items list, meaning it has been Checked In.


https://openwindow.dhhs.state.nc.us/default.aspx?pid=myitems - Windows Internet Explorer
Jeneen Precoise | Logout
Excels
NC DHHS Open Window
Openness, Transparency and Performance Management
Public Home Department Division Services Contracts Grants Reports My Items Search
Items for: Jeneen Preciose
Locked Items Contract Items
Unlock
Page 1 of 1 (6 items) [1]
Drag a column header here to group by that column
Type Number Title Description
Contract 25441 Adolescent Pregnancy Prevention Program The Adolescent Pregnancy Prevention Program (APPP) invests in the future of North Carolina by ensuring that young people across the state have the to...
Contract 25448 Adolescent Pregnancy Prevention Program The Adolescent Pregnancy Prevention Program (APPP) invests in the future of North Carolina by ensuring that young people across the state have the to...
Provider All Seasons Termite and Pest Control No Assigned Description
Contract 24672 Project Connect Support women ages 13-24 years who are pregnant and/or parenting with health maintenance, parenting skills and parental self-sufficiency.
Contract 25397 Project Connect - VOID
Contract 24721 Sickle Cell Syndrome To provide specialized, clinical treatment, referrals, genetic counseling, education and other services in order to reduce the death and sickness of ...
Page 1 of 1 (6 items) [1]
Previous Tab Next Tab
DHHS Open Window Disclaimer and Privacy Information
To report issues, suggest enhancements or to provide feedback in regards to Open Window, please email Open Window Support
DHHS Open Window Writing Style Guide
Version : 2.3.0.06302011 - Fiscal Year : 2011

## MAIN SCREEN

I'm using a brand new (blank) contract as the template so you can easily see what data needs to be filled in. All the items with the red asterisks MUST be entered first. Do NOT enter any other information even if it comes before the next red asterisked item.




Enter the Contract Title (should be something specific and consistenty used for all similar contracts, e.g.: Teen Pregnancy Prevention Initiatives or Housing Opportunities for Persons with AIDS). Consistency is key!

Enter the Contract Purpose. This should be succinct and clear with acronyms spelled out and language that is easy to understand.

The Division should be chosen for you and should read: Division of Public Health.

Enter How Procured.
If you generate your contract from an RFA or by renewing an existing contract, this option will be filled in for you based on that information.
If you are entering a new contract, you must choose:

Waiver if it's a sole source contract or Other if it's an IMOA, MOA or Special Appropriations.

Enter Contract Selection.
If you chose Waiver above, you must either:
Enter General Contract if it's a Sole Source with a non-UNC entity;
Enter UNC if it's a Sole Source with a UNC entity; or
Enter Personal Service if it's a Personal Service contract.
If you chose other above, you must either:
Enter IMOA, MOA or Special Appropriations.

Enter the Start Date of your contract as MMDDYYYY (no spaces or dashes).
Enter the End Date of your contract as MMDDYYYY (no spaces or dashes).

If it's a brand new contract, you will have to select a Funding Configuration:
Select the Funding by Budget Year configuration if the contract is 12 months or less in length (start date to end date).
Select the Funding by Fiscal Year configuration if the contract is longer than 12 months (start date to enddate).

Note: Once the choice is made, it can be undone – but with lots of extra work on your part. So, take care. If you need to "undo" your choice, contact your Contracts Team Leader immediately.

### Contractor Selection and Details

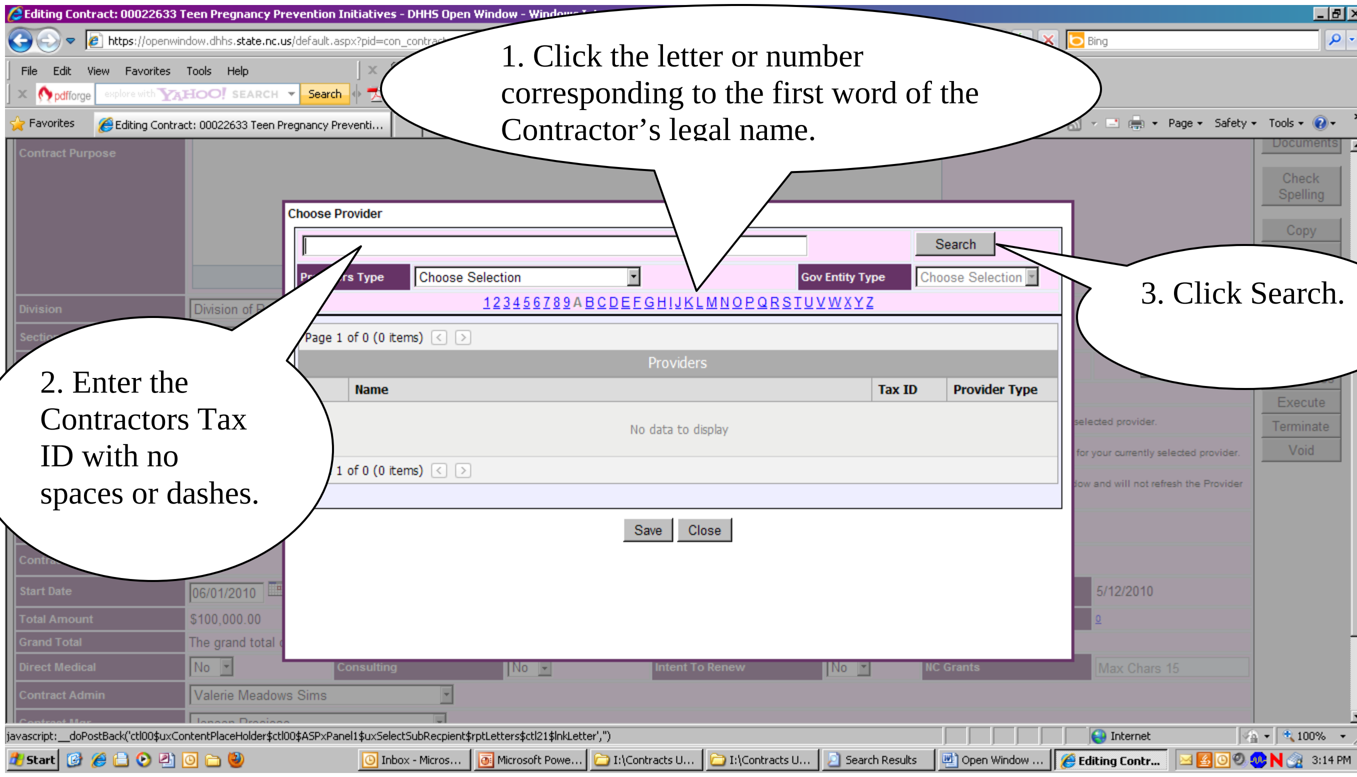
If you have renewed or copied an existing contract, the Contractor's Name and Tax ID should be pre-loaded.
Ensure they are correct by clicking the blue link that reads "View the details of the contractor…"
The detail screen will pop open in another window. Verify the Legal name and Tax ID (EIN) against your files and Ensure that the Status show "Active". (You may close that pop up window at any time.)

If the pre-loaded Contractor's status is "Inactive" or you are entering a brand new contract or entering a contract from an RFA, you will need to look up and enter the correct Contractor for this contract.
Enter Contractor by clicking the Lookup button. This will open a pop up window that you will use to find and select your Contractor.
The system is loaded with Contractors. You could easily spend an hour scrolling through the alphabet looking for your Contractor and still not find what you're looking for. The best way to find your Contractor is this:

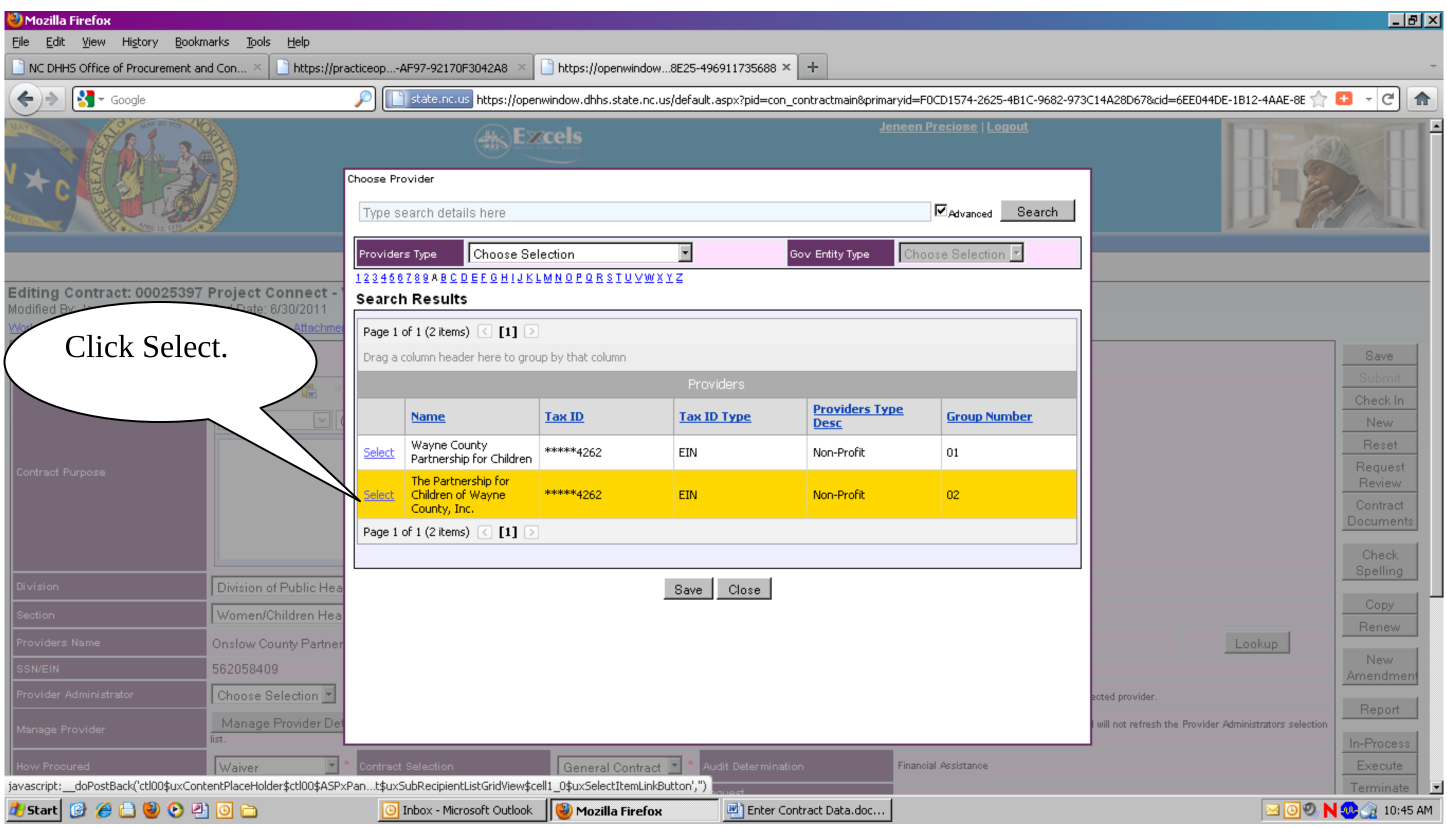
### Using Lookup to Find Your Contractor

The system will automatically default to searching the letter "A" for your Contractor. The first thing you must do is click on the letter or number that corresponds with the first letter of your Contractor's legal name.
(Note, some start with "T" for "The" e.g., "The University of North Carolina at Chapel Hill".

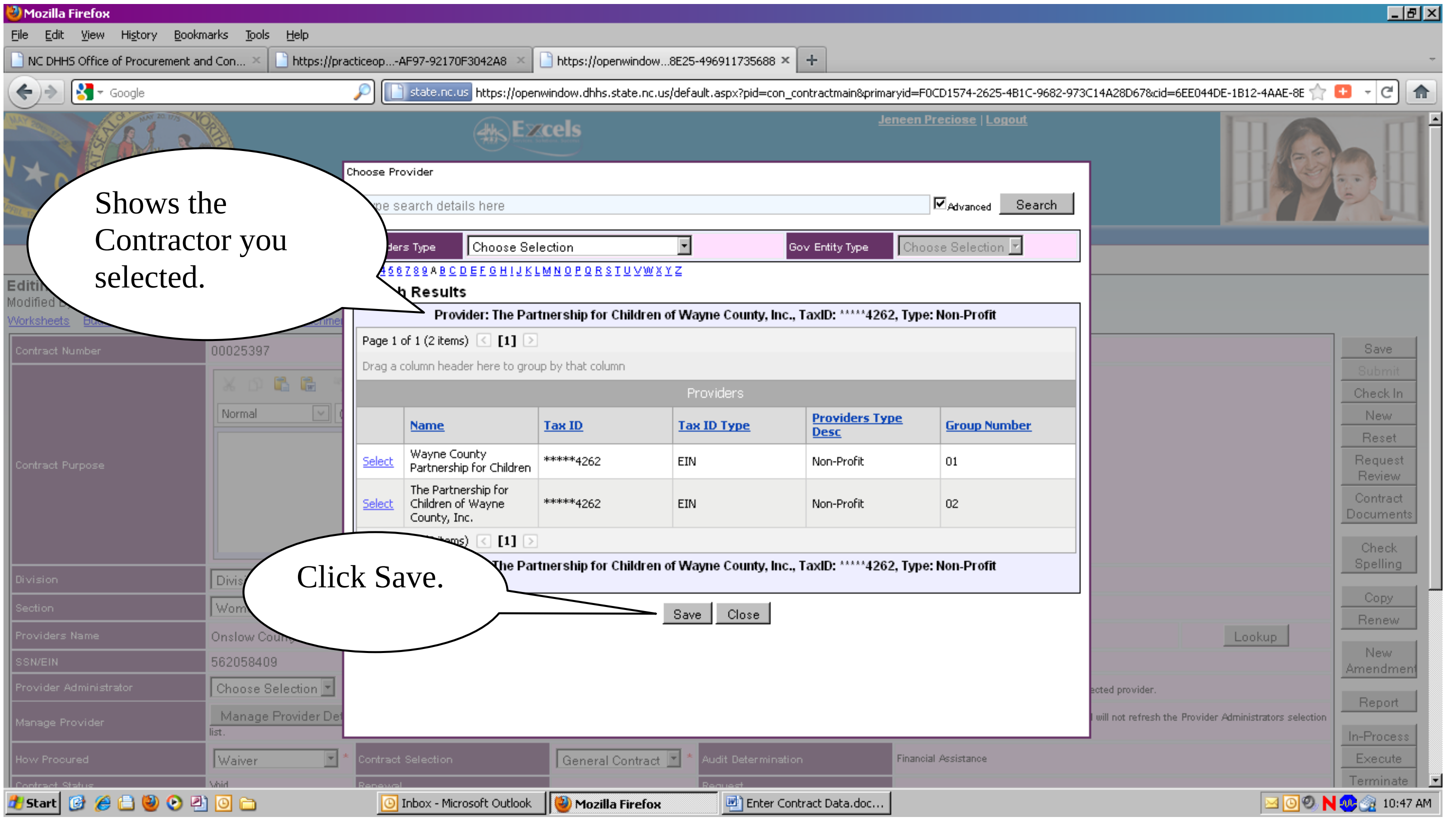
In the box where it reads, "Type search details here", enter the Contractor's Tax ID Number (EIN).
Enter the Contractor's Tax ID, EIN or SSN with NO spaces or dashes (e.g., 569999999).
Then click the Search button.




A list of matching Contractors will generate for you to chose from. If your Contractor has more than one Group number, (group numbers are the designation assigned to the payment address in NCAS), be sure to chose the correct one. Click the blue word Select next to the correct Contractor.



A revised screen will generate showing the Contractor you chose. If it is correct, click Save. (Note: you may need to scroll down in the pop up window to see and click Save.) The window will close automatically, and the contract Main Screen will show the saved Contractor.




Click the gray SAVE button at the top right hand side of the screen and write down your Open Window system (contract) Number.

**Enter all the other information asked for on the main page.**

Section – select from list
Branch – select from list

Enter if the contract is Direct Medical Service (select Yes or No).
Enter if the contract is Consulting (No).
Enter if you Intend to Renew this contract in the future (Yes).
You will NOT enter an NC Grants number. You do not have this information.

Contract Administrator – select the program person who's responsibility it is to monitor contract is on a day to day basis (often yourself).
Enter the Contract Manager - select the Contracts Team Leader assigned to your Branch
Enter the Contract Delegate - select the program person who backs up the administrator or enters data into Open Window.

These steps are KEY. If you do not assign the contract to yourself and the others involved with the processing, you will not be able to easily find your contract.

CLICK THE SAVE BUTTON.

Under Contractor Selection and Details
Select the Contractor Administrator and choose the person who will manage the contract on the Contractor's side. This is the person who you used to enter on the CAF and Profile Sheet as the Contractor Administrator.

Note: The name may be there, but the address and contact information may be missing and should be verified on a regular basis

### EDITING THE CONTRACTOR ADMINISTRATOR

Click the Manage Contractor Administrator button. Click the 2nd tab, Current Administrators and find your Contractor Administrator in the list. Click words “Administrator Data: Click here to show the contact detail(s)” or the plus sign (+) just above your contact to expand or hide the region and verify all the information has been entered and is correct and current. You will need to scroll down the page to view all the data. If an item needs to be changed, click the blue word Edit next to the entry, then change the information and click the Update button. (If you hit Save, it will create a duplicate entry.)
Each Administrator MUST have a Mail To address and a Ship To address where Mail To is the mailing or PO Box address and Ship To is the physical address. Each must also have a Title, email, phone and fax. (Exception, if the administrator has no fax number, that may be omitted.)

If there is no one listed in the drop down box, it means that no Contractor Administrators have been added.

### ADDING THE CONTRACTOR ADMINISTRATOR

Click the 1st tab, Add/Update Administrators.

Click the blue link, Add a New Administrator.

A new window will open where you have to enter the Contractor Administrator’s:
Name
Title
Email
Click Save New. This is the Parent record. The following information cannot be saved until the Name, Title and Email are saved.

Enter the administrator’s mailing address (often a PO Box)
Address
City
State
Zip
Choose Address Type: MAIN
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email). Click the Save New immediately to the right of this record. (Do NOT use the Save New at the very top – that’s for the Parent only).

Enter the administrator’s ship to address (the physical address)
Address
City
State
Zip
Choose Address Type: SHIP TO
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email). Click the Save New immediately to the right of this record. (Do NOT use the Save New at the very top – that’s for the Parent only).

BOTH addresses MUST be entered. Please refer to your copy of the last executed (signed) contract for correct addresses. Many of the CAFs and Profiles submitted with hard packets have bad addresses. The last executed contract will have the most up to date address information. You will not enter a “Billing” address at this time.

Enter the administrator’s Phone Number
Choose Type: Main

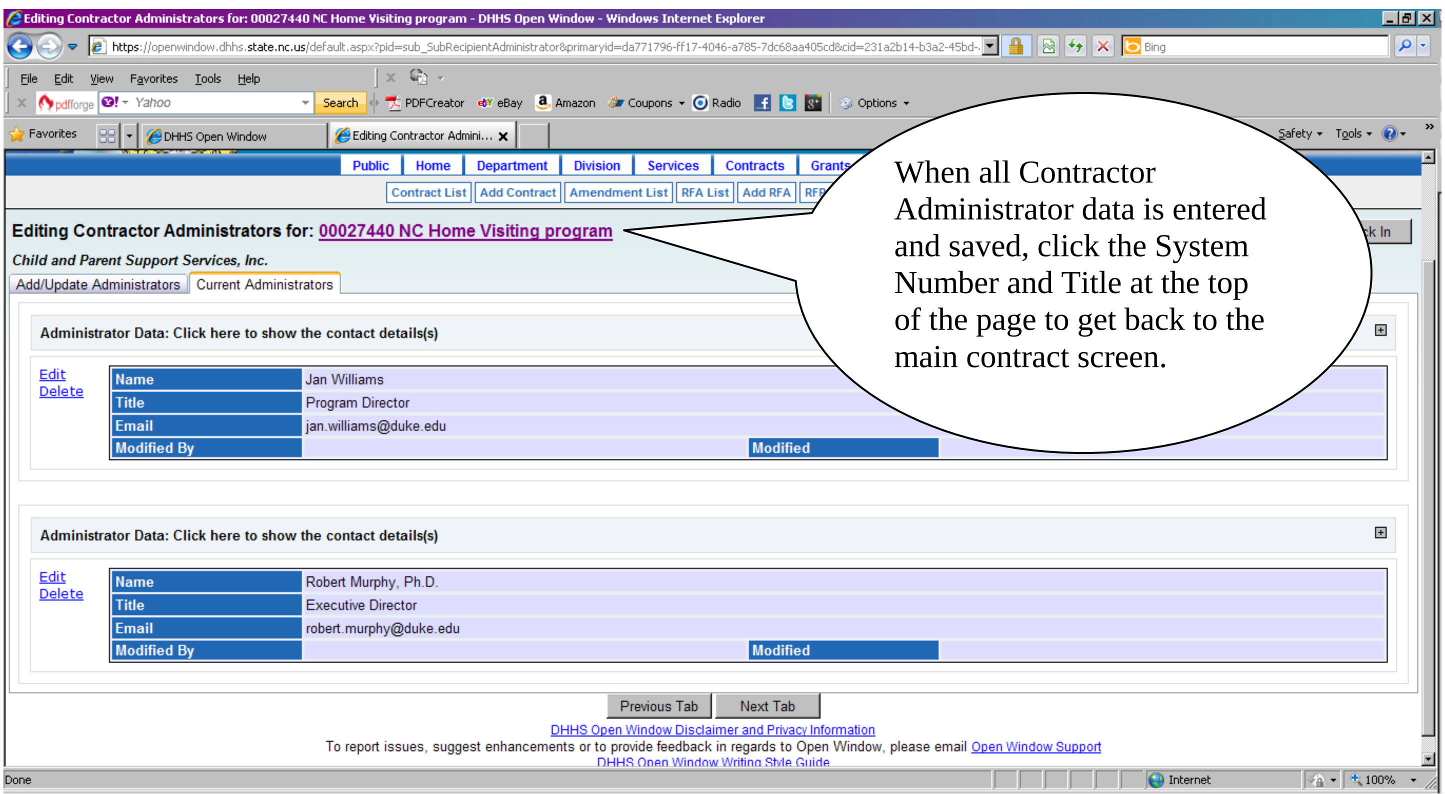
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email). Click the Save New immediately to the right of this record. (Do NOT use the Save New at the very top – that's for the Parent only).

Enter contact's Fax Number
Choose Type: Fax
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email). Click the Save New immediately to the right of this record. (Do NOT use the Save New at the very top – that's for the Parent only).

Enter contact's Mobile Number, if you have it
Choose Type: Mobile
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email). Click the Save New immediately to the right of this record. (Do NOT use the Save New at the very top – that's for the Parent only).

Note: If you need to edit an existing item, click the word Edit beside the contact information you want to change, then change it and click the Update button immediately to the right of the entry. (If you hit Save New, it will create a duplicate entry.)

When all Contractor Administrator data is entered and saved, click the System Number and Title "breadcrumb trail) at the top of the page to get back to the main contract screen.




Click on the drop down box for the Contractor Administrator and choose the person you entered.

Click the SAVE button.

### Editing the Contractor Authorized Signature

Click the Manage Contractor Authorized Signatures button. Click the 2nd tab, Current Authorized Signatures and find your Contractor Authorized Signature in the list. Click words "Authorized Signatures Data: Click here to show the contact details(s)" or the plus sign (+) just above your contact to expand or hide the region and verify all the information has been entered and is correct and current. You will need to scroll down the page to view all the data. If an item needs to be changed, click the blue word Edit next to the entry, then change the information and click the Update button. (If you hit Save, it will create a duplicate entry.)

At this time, the only field REQUIRED for Authorized Signature are Name, Title and Email. It is not necessary to add address, phone or fax information. However, if you would like to update the information, you are welcome to do so.

If there is no one listed in the drop down box, it means that no Contractor Authorized Signatures have been added. Prior to adding a new Authorized Signature, be sure that you have a copy of the current calendar year's Authorization to Sign Contracts forms. If you do not, you may obtain it by clicking on Manage Contractor Documents button on the Main Screen, under Contractor Selection and Details and clicking on the blue link for the latest version that reads "Authorization to Sign Contracts".

ADDING THE CONTRACTOR AUTHORIZED SIGNATURE

Click the 1st tab, Add/Update Authorized Signatures.

Click the blue link, Add a New Authorized Signature and follow the same steps as when you added the Administrator.

When the New Authorized Signature has been added and saved, click on the breadcrumb trail to get back to the Main Screen, select them from the dropdown list and

Click SAVE.

This should complete all the data on the main contract screen.

**FUNDING SETTINGS TAB (FOR ACTIVITY-BASED BUDGETS OR TO CHANGE FUNDING CONFIGURATION)**

When all data is entered and saved, click the blue word Funding. You will be taken to the Funding Summary screen. This summarizes all the dollars in the project. Nothing to enter here.

Most will also skip over the 2nd tab, Funding Settings to adjust the contract's funding settings.

Funding Configuration:
Choose Budget Year or Fiscal Year.
If you generated your contract from an RFA or by renewing an existing contract, this option will be filled in for you based on the choice you made on the Funding Configuration Choice Screen (p.12).

Funds Status: Do NOT enter anything at this time. The Budget Office will use this designation at some point.
Funds Budgeted
Funds Proposed
Funds Not Available
Funds Proposed, Requires Realignment

Activity Based Contractor Budget: Select Yes or No from the drop down. This means, if you pay the Contractor only when they have completed a specific activity and not on a reimbursement bases, you select Yes. If you pay the Contractor when they submit a CER for program-related expenses regardless of deliverables, you select No. Unless it is a special circumstance that has already been vetted through the Contracts Office or an RFP, the answer should be "No."

CLICK THE SAVE BUTTON.

## Funding Tab (Enter the Contract Source Funding – Federal/State/Other)

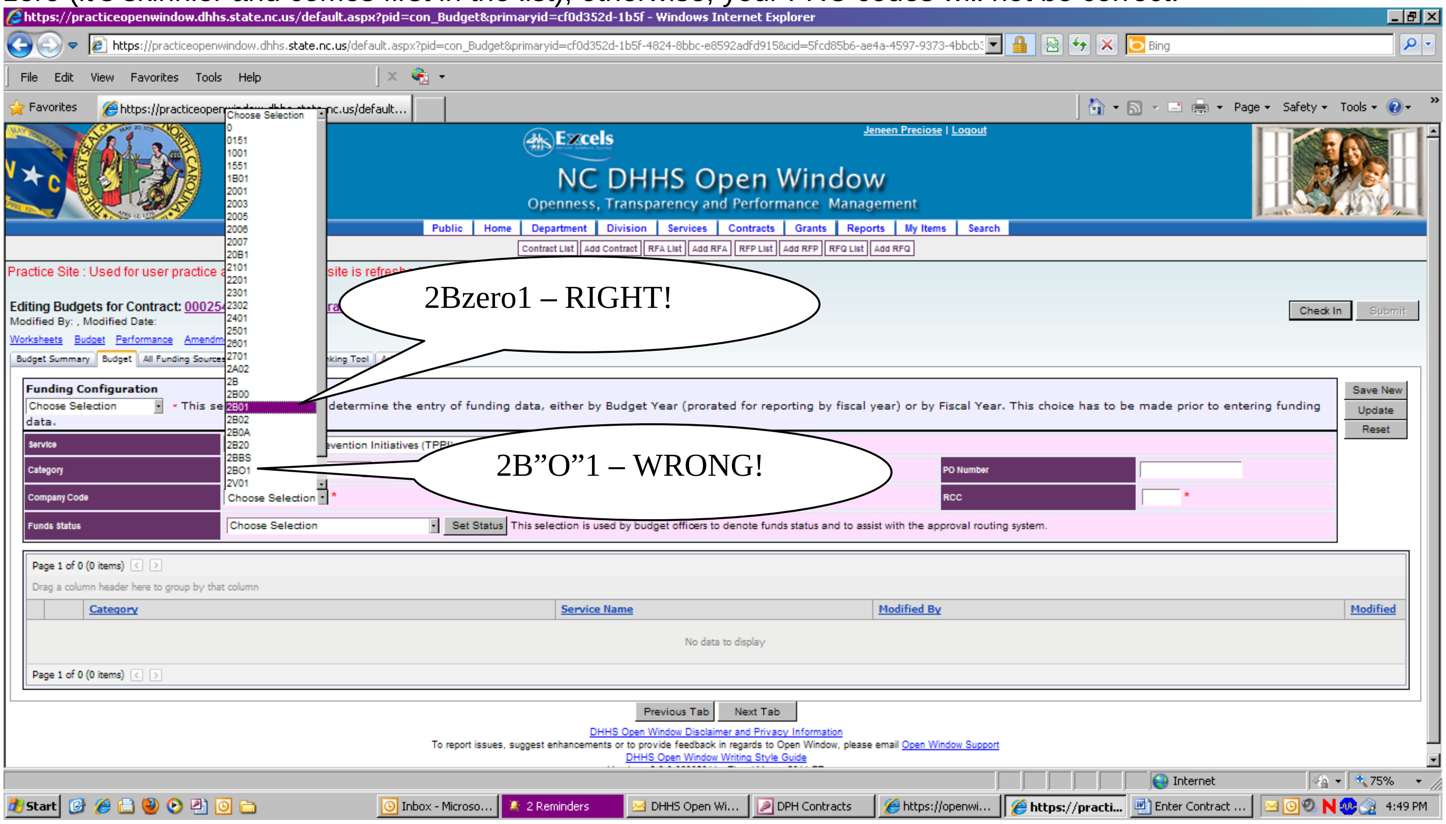
Click on the 3rd tab, Funding to enter funding information.

Enter Service: Choose your service title with the appropriate Fund Code from the drop down box.

Enter Requirement Account: 536XXX for an FA contract or 532XXX for a POS contract.

PO Number: Leave blank - the Contract Administrator will not have this information at the time of entry. It will be entered by the Contracts Office once the contract has been encumbered.

Enter the Company Code: for DPH, the company code is always 2B01.
Note: the drop down list has both 2B01 (zero) and 2BO1 (the letter "O"). Be sure to select the one with the zero (it's skinnier and comes first in the list), otherwise, your FRC codes will not be correct.




Enter your FRC code: Choose from the drop down list. This number is comprised of the last 2 digits of your old center number.

Enter your RCC code: Enter manually. This number is comprised of the middle 3 digits of your old center number.

Note: you will not enter the fund number (the first 4 digits of your old center number), as the system assigns this automatically based on the selection you made for the Service, above.

Grant – if it's a federally funded contract and the grant is loaded, select from the list

Grant Award - if it's a federally funded contract and the grant award is loaded, select

Contractor Match – Select NO unless you are entering a line of funding that is booked against an FRC code as Contractor (Local) Match; then, select YES.

Enter your dollars under the correct column for that FRC and RCC:

Federal Receipts if they are federal dollars.
Appropriations if they are State dollars.

Other if they are Contractor/Local Match dollars or are from another source.
(Do not use County/Local Receipts at this time).

CLICK THE SAVE NEW BUTTON.

For each different source of money / FRC / RCC code, you must repeat this process.

When you've entered all your funding information, click the 3rd tab, All Funding Sources.
Examine this information carefully for any mistakes / keying errors / omissions.
If you need to make adjustments, click the 2nd tab, Budget.

If you need to ADD a new item, follow the instructions as above.

If you need to EDIT an item that has been entered, the items you entered previously will be listed on the bottom half of your screen. Click the word Edit next to that funding source and make your edits. Click Update. (If you hit Save New, it will create a duplicate entry.)

If you need to delete an item, the items you entered previously will be listed on the bottom half of your screen. Click the word Delete next to that funding source. A dialog box will appear asking you if you really want to delete it. If you do, click OK. If you don't, click Cancel.

When you've entered all your funding information, click the 3rd tab, All Funding Sources.
Examine this information carefully for any mistakes / keying errors / omissions.
If all the information is correct, you are done with the Budget / Funding.

## WORKSHEETS

Click the blue word Worksheets. This is where you fill out your Justification, Audit Determination Questionnaire, IT Questionnaire, and HIPPA Questionnaire.

The first tab is called the Data Entry Checklist. This helps you keep track of everything that needs to be done.

I find it easiest to work from the right side in (again, building confidence and doing the easiest first).

IT QUESTIONNAIRE TAB
Click on the IT Questionnaire tab. This is your form that decides if your contract must go to DIRM for review and approval. Read the questions and click Yes or No in the drop down box. All the responses in the form default to No, but if your contract has all "No" to be entered, you must at least click on the first box and click "No" for the system to register that data was entered. Be sure the entries selected correspond to the contract's Scope of Work and Budget. Click Save when the form is correct and complete.

HIPPA QUESTIONNAIRE TAB.
Click on the HIPPA Questionnaire tab. This is your form that decides if your contract must go to the HIPPA compliance team for review and approval and include the HIPPA BA document. Read the questions and click Yes or No in the drop down box. All the responses in the form default to No, but if your contract has all "No" to be entered, you must at least click on the first box and click "No" for the system to register that data was entered. For DPH, the answer will be No 99.9% of the time. Click Save when the form is correct and complete.

AUDIT DETERMINATION QUESTIONNAIRE TAB.
Click on the Audit Determination Questionnaire tab. This is your form that decides if your contract is a Financial Assistance (FA) contract or a Purchase of Service (POS) contract. Read the questions and click the circles appropriately. The circles checked tally and enter values in that column. The column with the highest

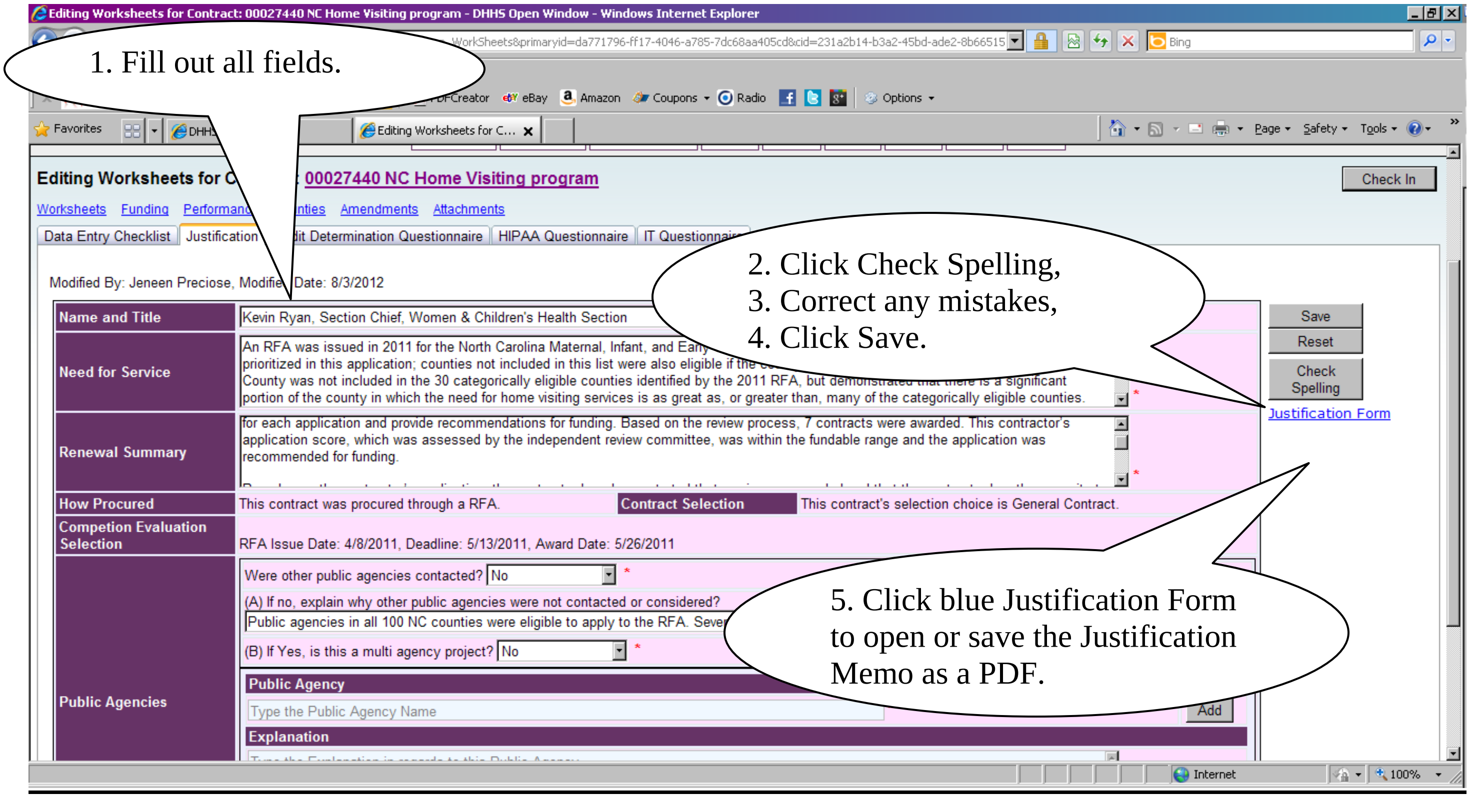
value determines the FA / POS status. Does final result match up to your sense the contract's FA / POS status? Click Save when the form is correct and complete.
Note: this form is not identical to the Audit form that you have been filling out. The questions are out of order and some have been reworded. Do not try to copy the answers verbatim from previous year's form. Read each question carefully and make the right choice for your current contract.

JUSTIFICATION TAB

Click the JUSTIFICATION TAB. This is the contract justification. Please reference the Contract Unit's Open Window Justification Worksheet for instructions and to assist you with what information goes where in this area. It can be found on the Contracts Unit Forms website under the folder "Open Window Worksheets".
Be sure that in Question #1, you've addressed the need for the service; who benefits; the measureable results; and the consequences if the contract is not executed.

Click Check Spelling to catch any misspelled words. Click Save when the form is correct and complete.

Note: By clicking the blue words "Justification Memo" on the right side of the Justification tab, the system will generate a PDF of the entire justification memo that you may open and or save to your computer or print out. Please be sure to review this document as it greatly assists in catching typos and mistakes that may not be easily spotted on screen.



## PERFORMANCE MEASURES

Click the blue word Performance. This takes you to the Performance Measures screen.
Remember, that for each Budget Year or Fiscal Year, you must enter the appropriate Performance measures for that time frame. Since the vast majority of DPH contracts are 12 months or less, the selection of Budget Year as your funding configuration will likely translate to just 1 year. However, if you chose Fiscal Year as your funding configuration and your contract crosses over 2 (or more) state fiscal years, you must enter measures for each fiscal year.

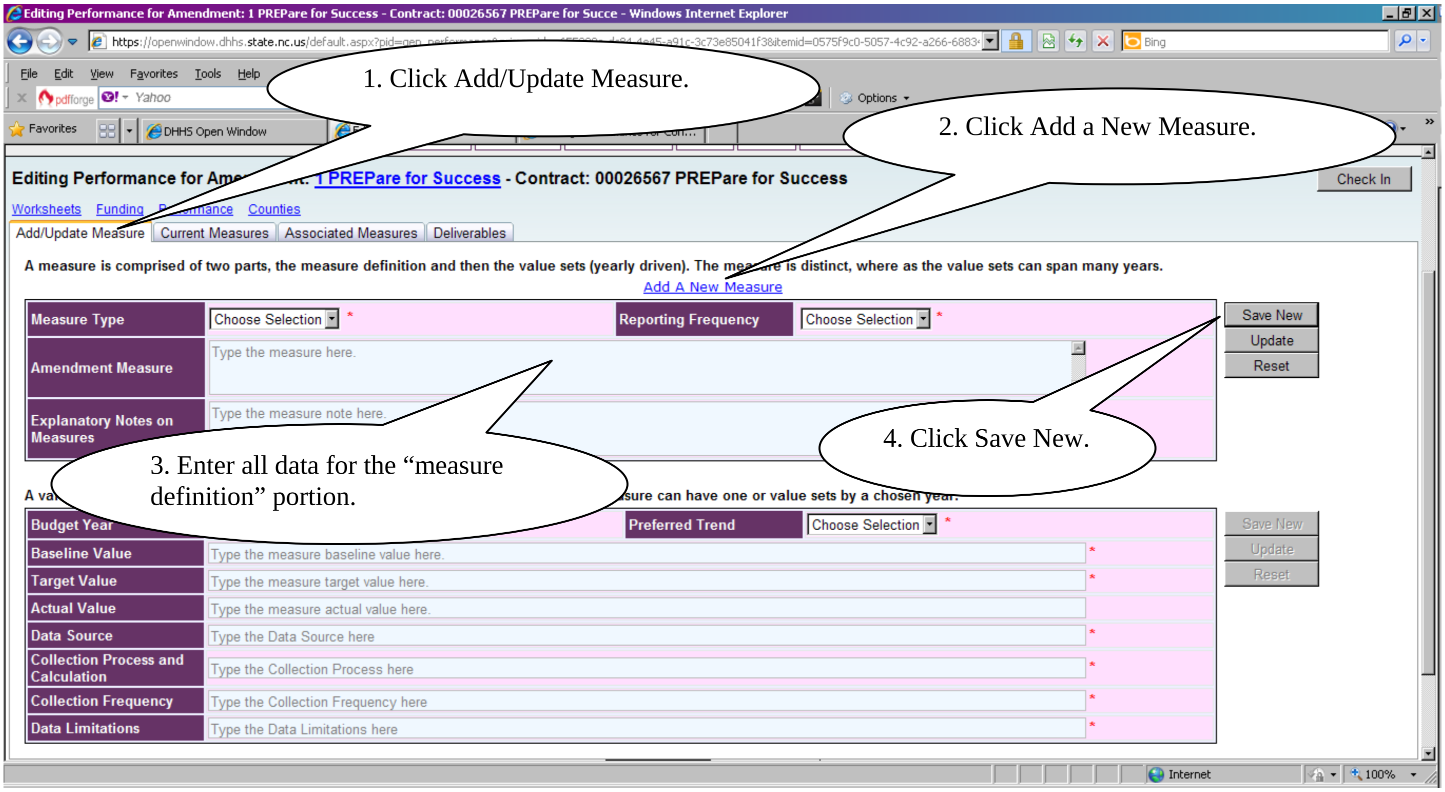
If you Renewed or Copied a contract, the last contracts Performance Measures will be brought into your contract. You may choose to Copy these entries and then edit them before you begin entering any new measures, or you may choose to Delete the previous measures. (See instructions on editing, below.)

**Please reference the Contract Unit's Open Window Performance Measures worksheet to assist you with definitions, writing style and what information goes where in this area. It can be found on the Contracts Unit Forms website under the folder "Open Window Worksheets".**

### ADDING A NEW MEASURE

Click on the 1st tab, Add/Update Measure
Click the blue link Add A New Measure
Measure Type – select from the drop down list: Demand, Input, Output, Outcome, Service Quality, Efficiency
Reporting Frequency – select from the drop down list: Monthly, Quarterly, Semi-Annual, or Annual.
Contract Measure – enter the measure definition
Explanatory Notes on Measures – enter any notes needed. Note: these do NOT print out on the built contract.

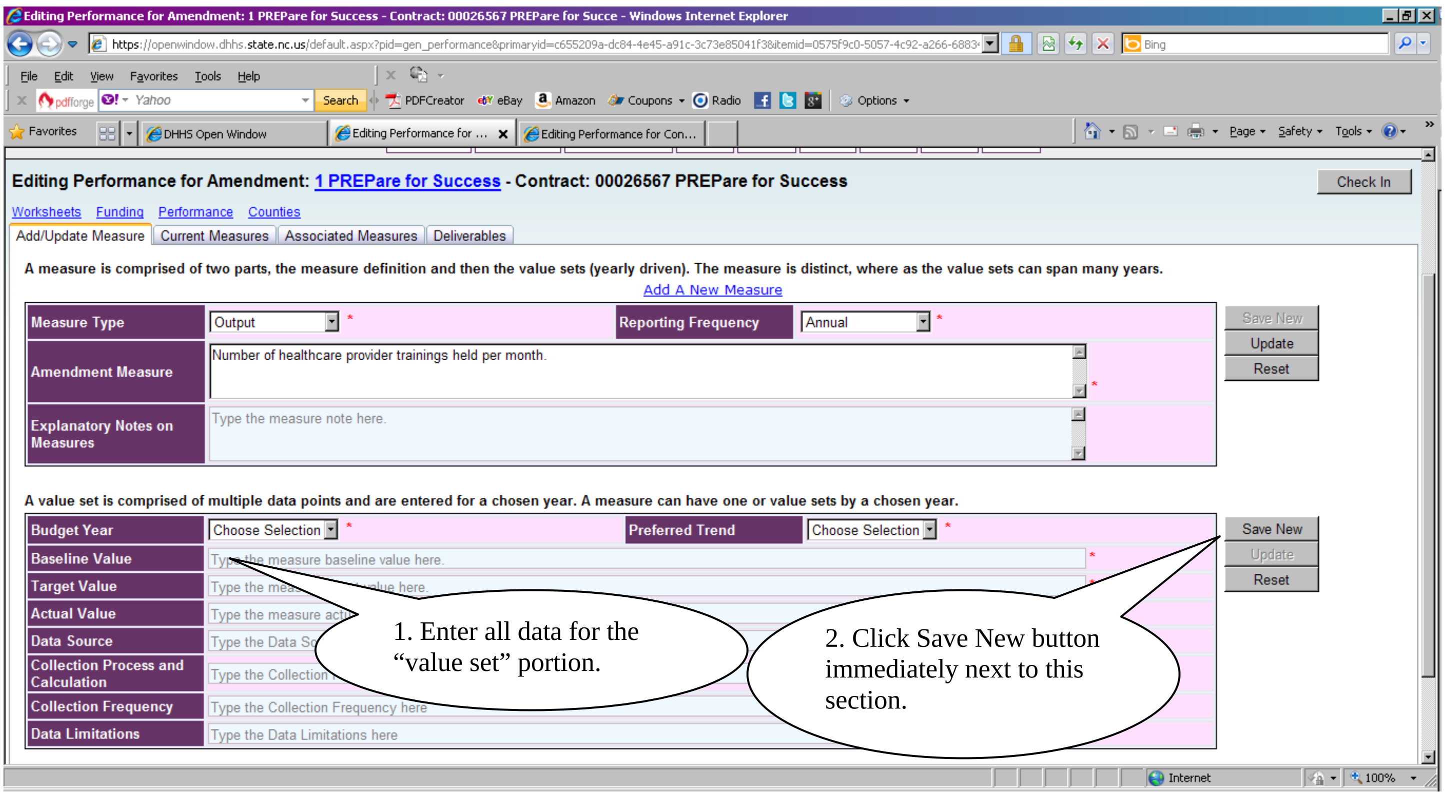
CLICK THE SAVE NEW BUTTON IMMEDIATELY TO THE RIGHT OF THIS INFORMATION.
This is the Parent record. The following information cannot be saved until the Measure Type, Reporting Frequency and Contract Measure (definition) are saved. Open Window defines this Parent collectively as the "measure definition".



Once that is saved, you may enter the detail about that measure.

Budget / Fiscal Year – select the appropriate year for the measure from the drop down list.
Preferred Trend  - select from the drop down list: Increase, Decrease, Maintain, or Other.
Baseline Value – enter
Target Value – enter
Actual Value – Leave this blank – it will be filled in as part of the contract close out process.
Data Source – enter
Collection Process and Calculation - enter
Collection Frequency - enter
Data Limitations - enter

CLICK THE SAVE NEW BUTTON IMMEDIATELY TO THE RIGHT OF THIS INFORMATION.
This is the Child record that is dependent on the Parent as listed above (Adminstrator Name, Title, Email).  Do NOT use the Save New at the very top – that's for the Parent only.  Open Window defines this Child collectively as the "value set".
For each new measure, you must repeat this process.




All Six Measures: Demand, Input, Output, Outcome, Service Quality, and Efficiency must be entered per the Open Windows Performance Measure Worksheet instructions.

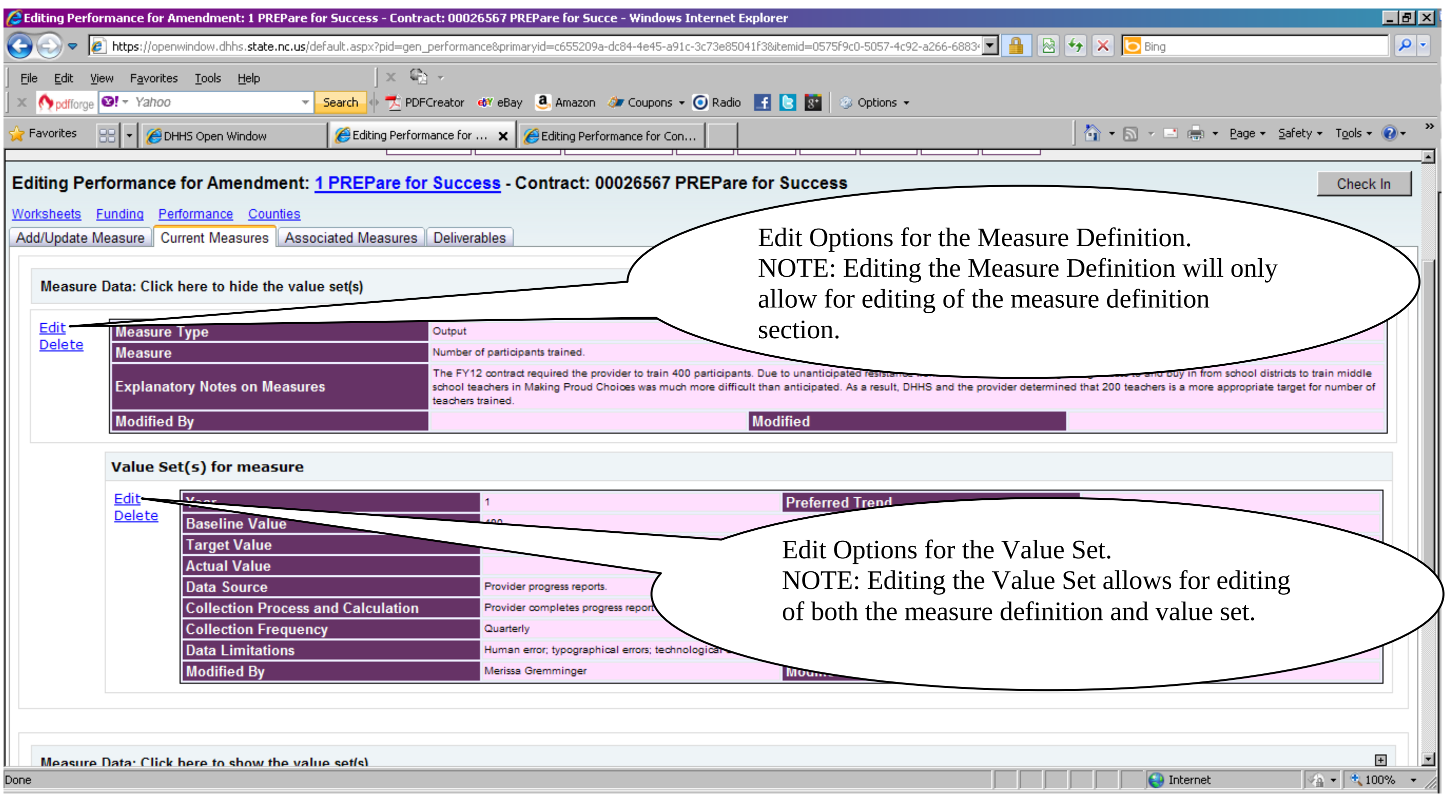
If your contract has a Fiscal Year funding configuration, you may add multiple value sets (changing the fiscal year) for each measure definition.  (E.g., the measure definition reads Output; Annual; Number of healthcare provider trainings.  The value set for FY13 can be added with a target value of 20 along with the other required information.  Save it.  Then, Edit that value set, change the FY to 14 and update the target to 30, and Save New to create the value set for FY14.  This method saves a lot of repeat entry.)

## Viewing, Editing and Deleting a Measure

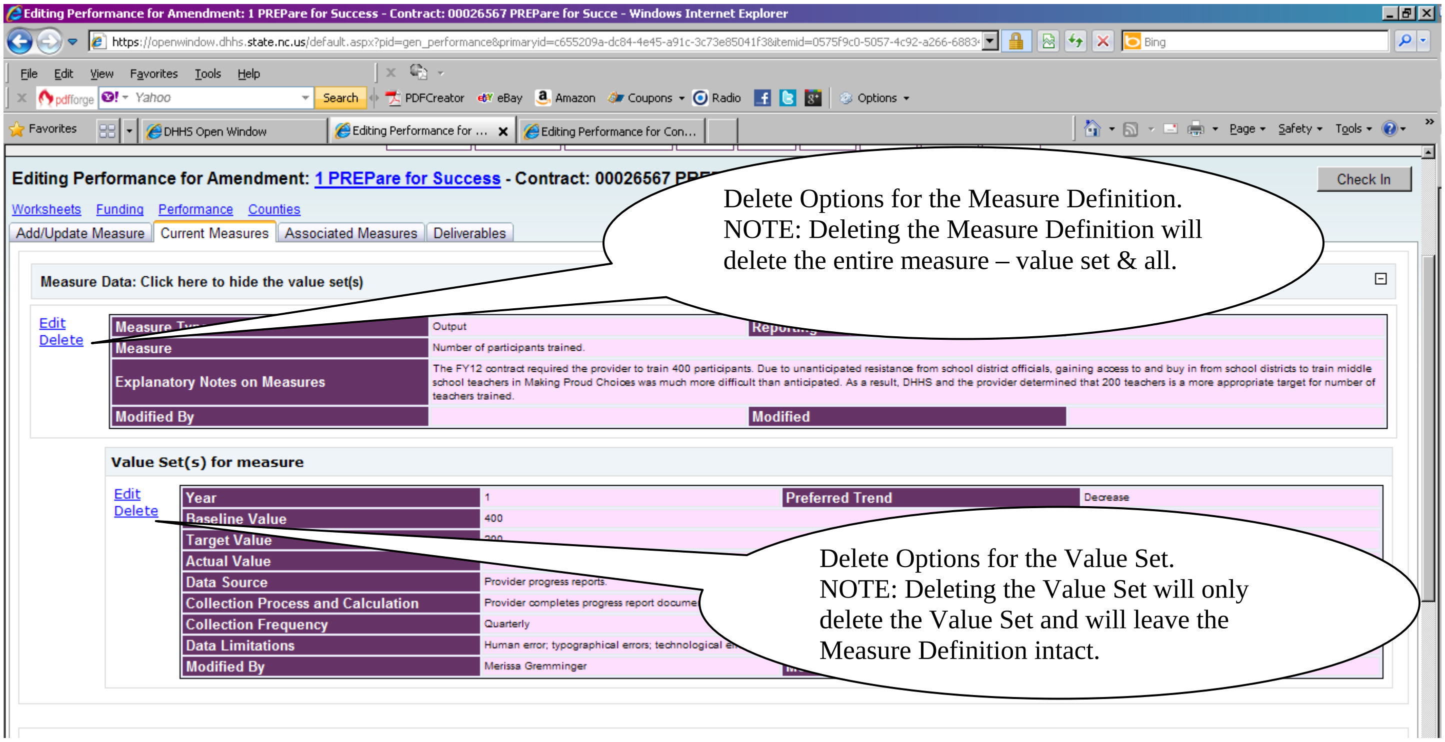
To VIEW all the entered measures, click the 2nd tab, Current Measures. What is displayed is the measure definition. To view the entire measure – including the value set – click the blue words "Measure Data: Click here to show the contact details(s)" or the plus sign (+) just above the to expand or hide the region and verify all the information has been entered and is correct and current. You will need to click on each measure definition individually to show the value set for each (until OW has built an expand all option). Scroll down the page to view all the data.

Examine the measures carefully on-screen for any mistakes / keying errors / omissions because not all elements print on the built document.

If you need to EDIT an item that has been entered, click the blue word Edit next to the entry, then change the information and click the Update button. (If you hit Save, it will create a duplicate entry.) Note: the measure definitions have their own sets of buttons for editing and updating. Be SURE you are clicking on the button immediately next to the item you want to edit or update.
Editing the Measure Definition will only allow for editing of the measure definition section.
Editing the Value Set allows for editing of both the measure definition and value set – BUT, you must change and click Update for the Value Set first. Then, you can change and Update for the measure definition.




If you need to DELETE an item, the items you entered, click the blue word Delete next to the entry. Note: the measure definitions have their own sets of buttons for deleting.
Deleting the Measure Definition will delete the entire measure – value set & all.
Deleting the Value Set will only delete the Value Set and will leave the Measure Definition intact. A dialog box will appear asking you if you really want to delete it. If you do, click OK. If you don't, click Cancel.

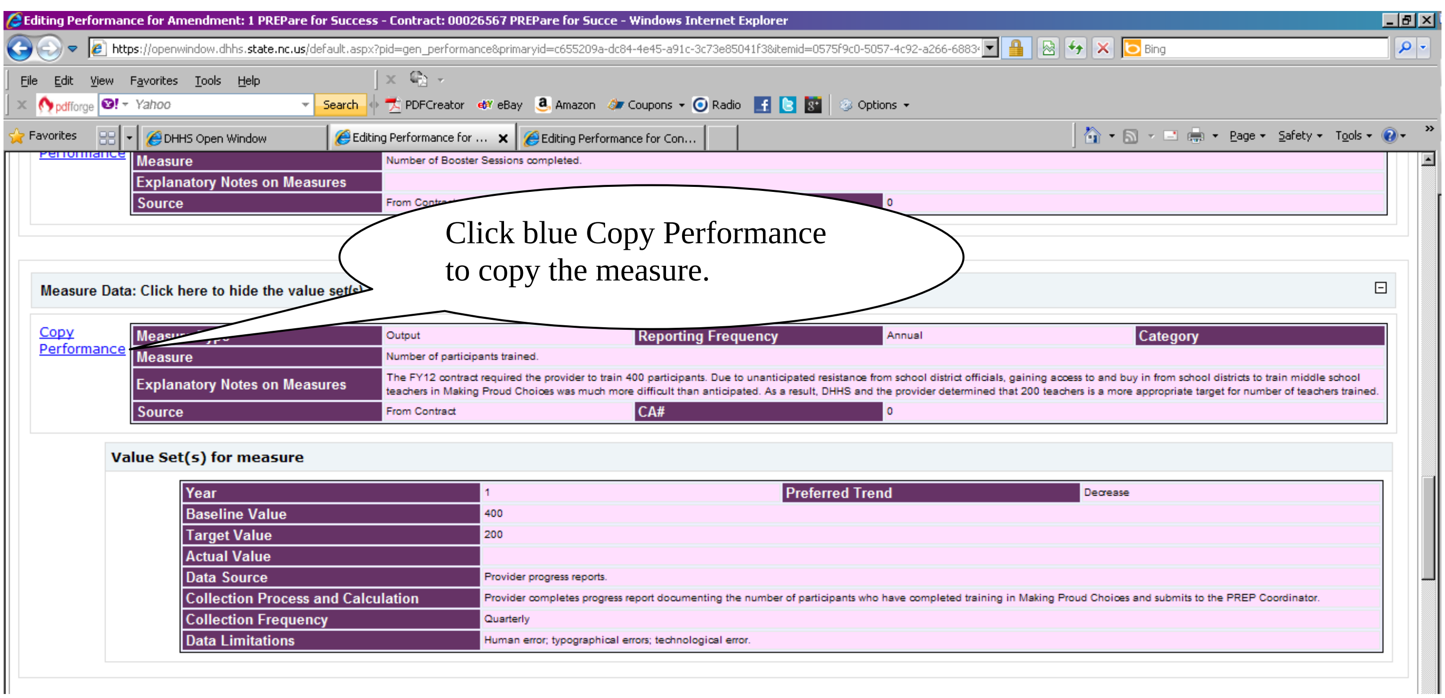



COPYING AND UPDATING MEASURES (RENEWALS, COPIED CONTRACTS, CONTRACT AMENDMENTS)

If you have renewed or copied a contract and the funding configuration is the same, the measures entered in the original contract will be brought forward into your latest contract.

To access the existing measures, click on the 3rd tab, Associated Measures.

In the list that follows are all the measures entered in the previous contract. You can view each in detail by clicking the blue words "Measure Data: Click here to show the contact details(s)" or the plus sign (+) just above the to expand or hide the region.



If the measure is applicable to this contract or just needs some minor changes, click on the blue words Copy Performance next to the measure you want to copy. That measure will be copied in full into the Current Measures tab – which is where your screen will change to display.
Continue this process for all measures you want to copy.

Remember, all Six Measures: Demand, Input, Output, Outcome, Service Quality, and Efficiency must be entered per the Open Windows Performance Measure Worksheet instructions.

To View, Edit or Delete the Measures that have been copied, follow the instructions in the previous section of this guide.

If you need to add a new item, go back to the first tab and click the blue words Add a New Measure and follow the instructions in the previous section of this guide.

*The Department has provided the following information as guidance for Performance Measures:*

We would like to encourage everyone to watch or review the Contract Webinar Recordings.
You can access them through the Open Window Home page. There is a link that will take you to the listing of recorded webinars available.

Performance measures are budget year or period driven. Measures and Deliverables work together. All performance measures will not be tied to a deliverable, but all deliverables will be tied to a performance measure. Which mean you can create a performance measure without a deliverable, but you can not create a deliverable without a performance measure.

You must select a measure for each type (input, output, etc) and each type may have several measures. The example below is output:

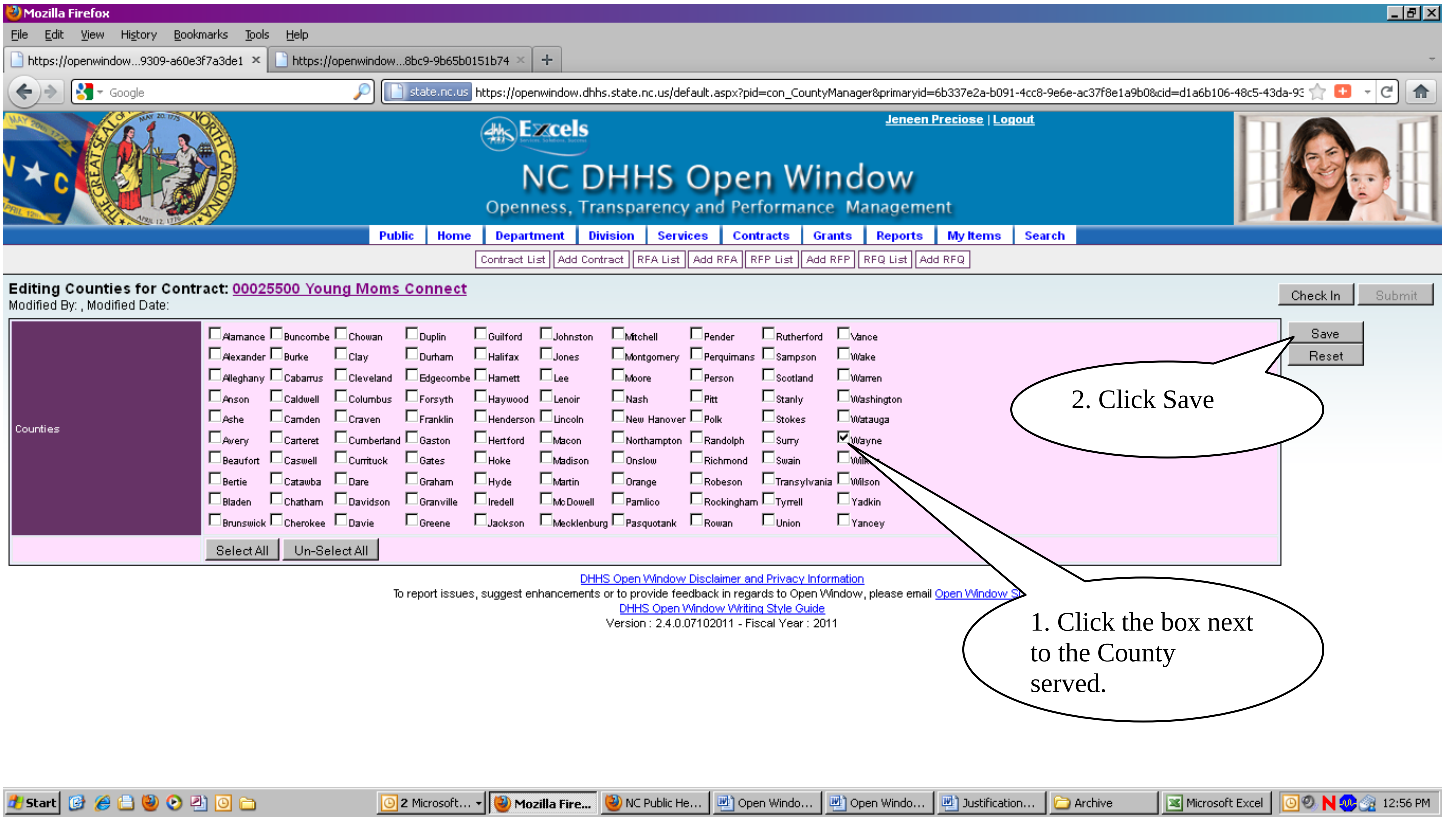
1. **The year:** is the budget year or period driven by the contract
2. **The trend**: How do you want the measure to perform? Do you wish it to go up, down and/or maintain the same?
3. **The frequency**: How often the measure is going to be reported on in terms of how often you are going to come back in and update the value of the measure itself Currently the choices are monthly, quarterly semi annually and annually. It is up the CA or CM how often they choose the measure the measure they select.
4. **Measure**: What is the measure doing?
5. **Baseline Value:** Determined by the information that you have gather to help generate the measure. Example, if over 3 years, the contractor on average provide CSBG services to 500 clients a year…that would be your baseline measure. The baseline measure usually does not change once it is established. However, your target will continue to change.
6. **Target Value:** Usually this is the initial baseline value, but base on performance will change over time. Example, if target keeps being reach, it will change based on the performance or actual.
7. **Actual Value:** Fill out when you come back in to update the progress of the measure
8. **Data Source:** Where is the information coming from for this measure (8, 9, and 10 all work together and relate to the data source)?
9. **Collection Process and Frequency**: How did you collect the data for the data source?
10. **Data Limitation**: Limitations that may impact the data

The second tab under Performance is titled, “Deliverables.” This is for use only when you are tying your Contractor’s Budget and Reimbursement to the Deliverables achieved in the contract. Please speak to your Contracts Team Leader or the Contracts Manager prior to using Deliverables in your contract as it has additional implications.

Once all the Performance Measures are in the system, you are ready to move on to the Counties served.

## COUNTIES

Click the blue word Counties.  This takes you to the Counties screen.
Click on the box next to each North Carolina County that is served by this contract to put a ✓ in the box.
To select all Counties, simply click the Select All button at the bottom of the screen.
To unselect all Counties, click the Un-Select All button at the bottom of the screen.
Click the Save button on the right to save the Counties served.




Once the Counties served by this contract have been saved, you are ready to move on to the Scope of Work.

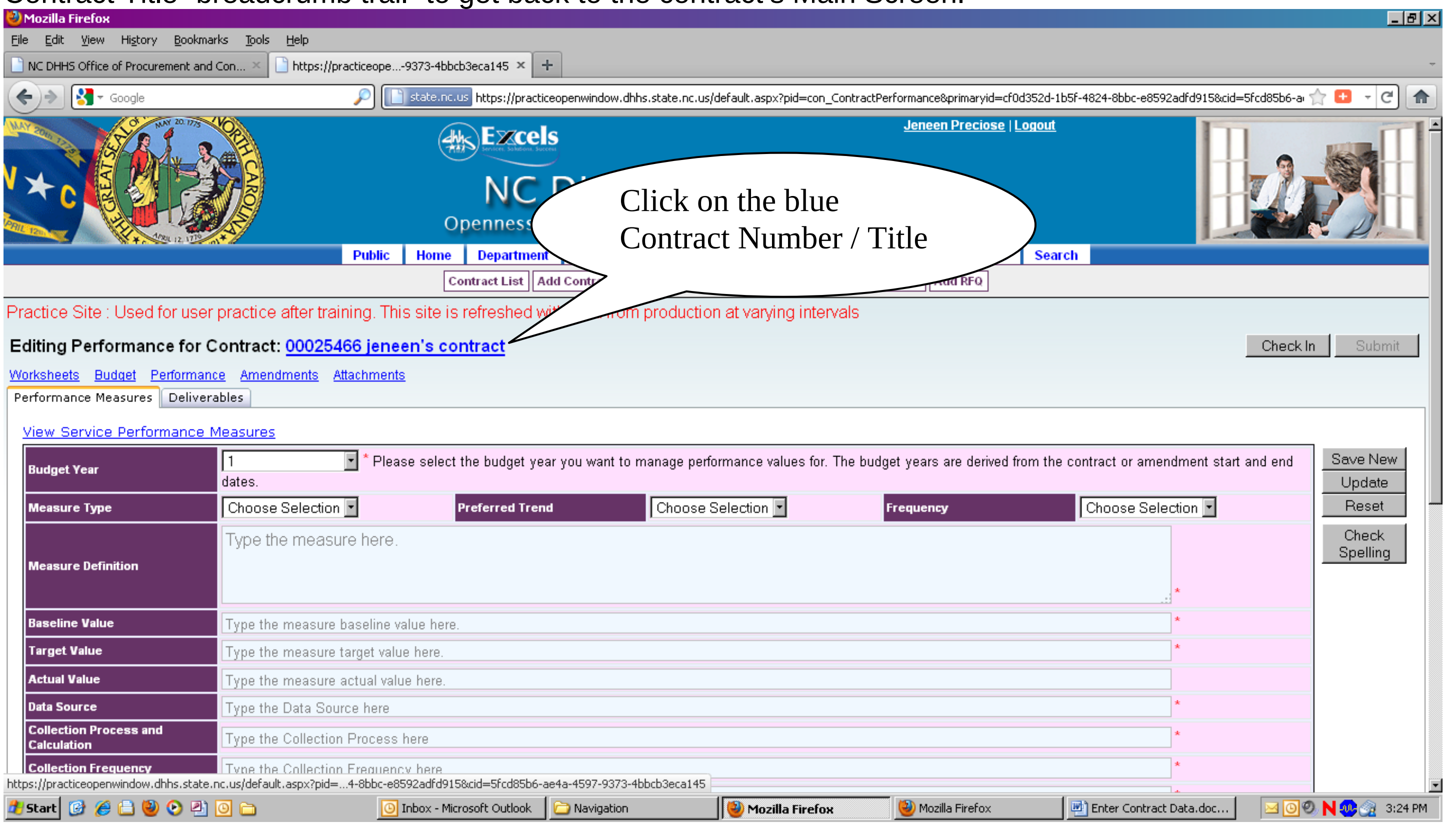
## SCOPE OF WORK

While Personal Services contracts, IMOAs, and MOAs may have abridged Scopes of Work, most General Contracts will have the following Scope of Work sections:

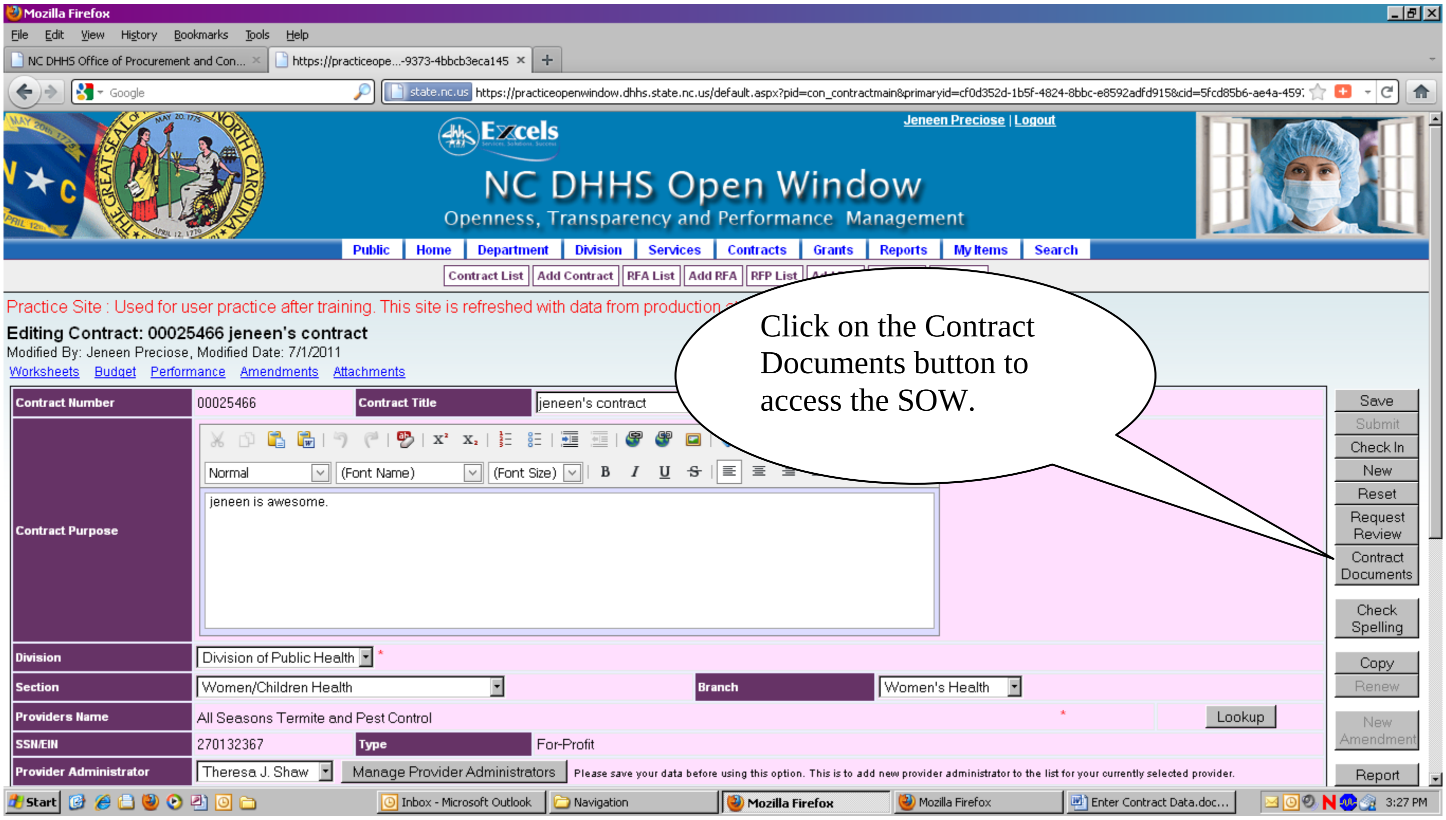
Background
Contract Purpose
Counties Served
Project Scope
Performance Requirements / Standards
Performance Monitoring / Quality Assurance Plan
Reimbursement

Please reference the Contract Unit's Open Window Scope of Work Override Worksheet to assist you with what information goes where in this area. The Override form (once all instructions have been deleted), is what the user will upload into Open Window.

To access the Scope of Work (SOW), you must get to the Main Screen of the contract.
From any of the blue tabs (Worksheets, Budget, Performance), click on the blue Contract Number and Contract Title "breadcrumb trail" to get back to the contract's Main Screen.



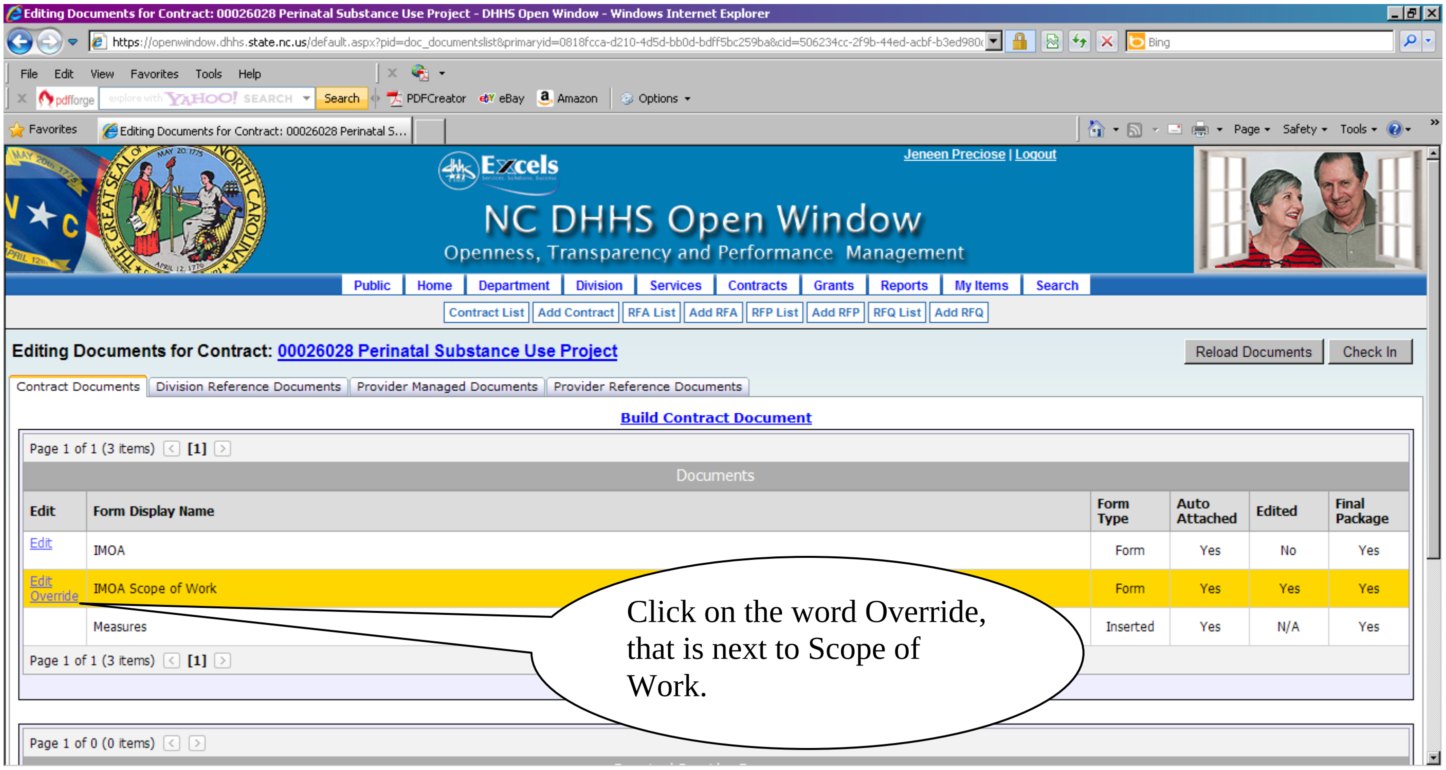

From the Main Screen, click on the Contract Documents button (on the right side).




This will bring you to the screen where the contract documents can be entered and edited (Edit) or uploaded (Override).

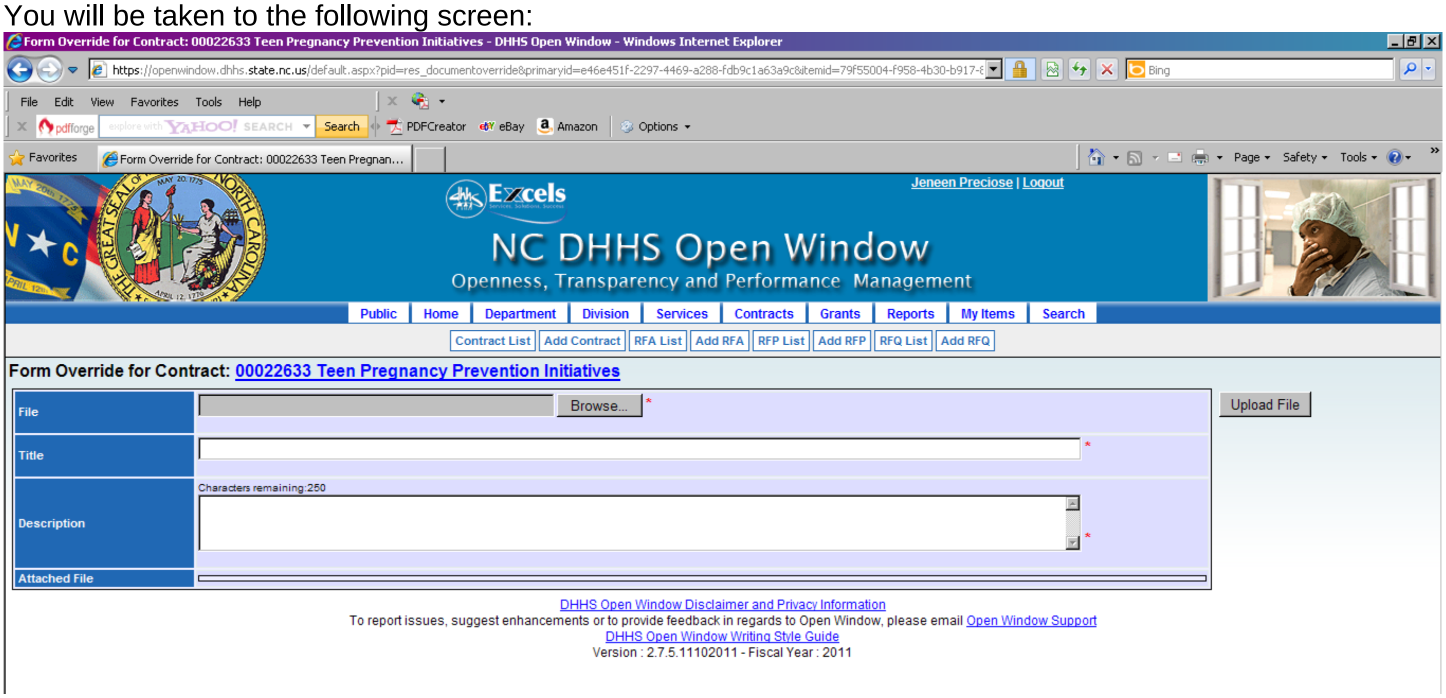
DPH has decided, as a Division, to use the Override Scope of Work document. Users should not attempt to enter or Edit the Scope of Work – but rather develop the document in Word using the most current form (details below) and upload it into Open Window.

**All users should use the "Override" feature in the Scope of Work, which allows the user to upload a Scope of Work that has been formatted in Word. Please use the Contracts Unit Scope of Work Override Form, found on the [Contracts Unit Forms website], under the "Open Window Worksheets" folder.**




Click the word Override.

You will be taken to the following screen:



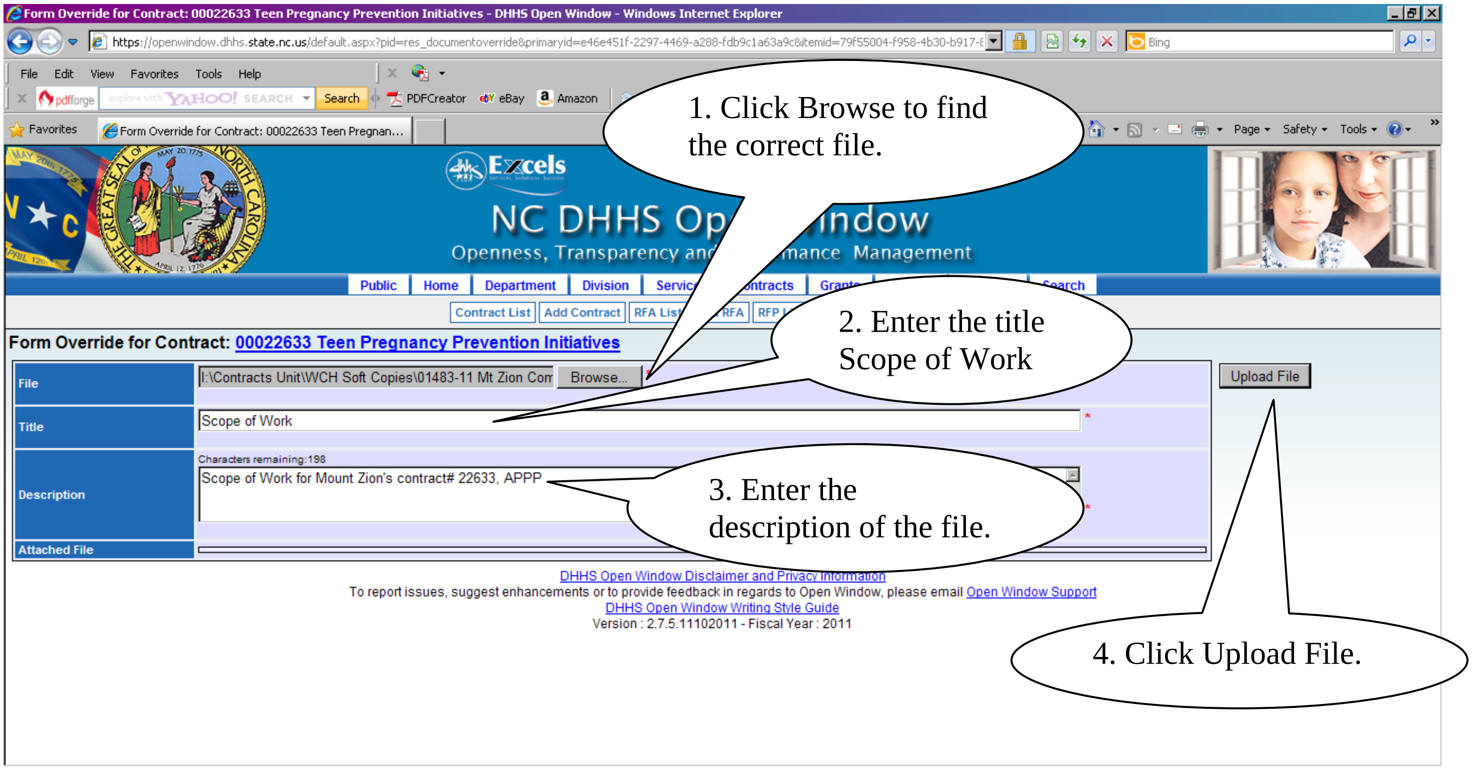

Click Browse to find the final, correct Scope of Work file that you wish to attach.

When you find the file, click Open.

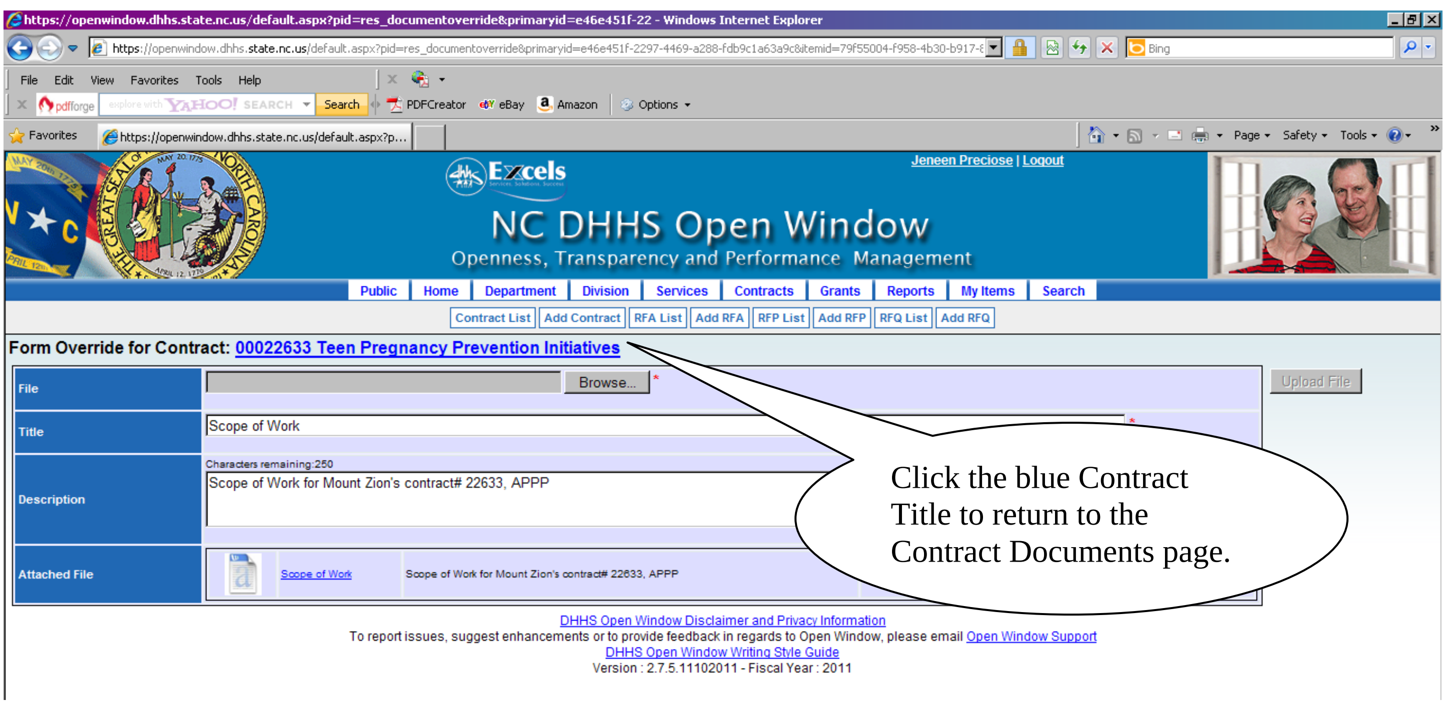
Enter the Title of the document: 22633 Scope of Work

Enter a Description of the document: (same as title is fine).

Click Upload File.




If it has successfully been uploaded, you will see the file added at the bottom of the table.
Now, you must follow the breadcrumb trail back to the contract's Main Screen. From the Override/Upload screen, click the blue heading Contract Title to return to the Contract Documents page.




Then, click on the blue Contract Number and Contract Title <u>again</u> to get back to the contract's Main Screen. From here, we will move on to entering the Contractor's Budget.

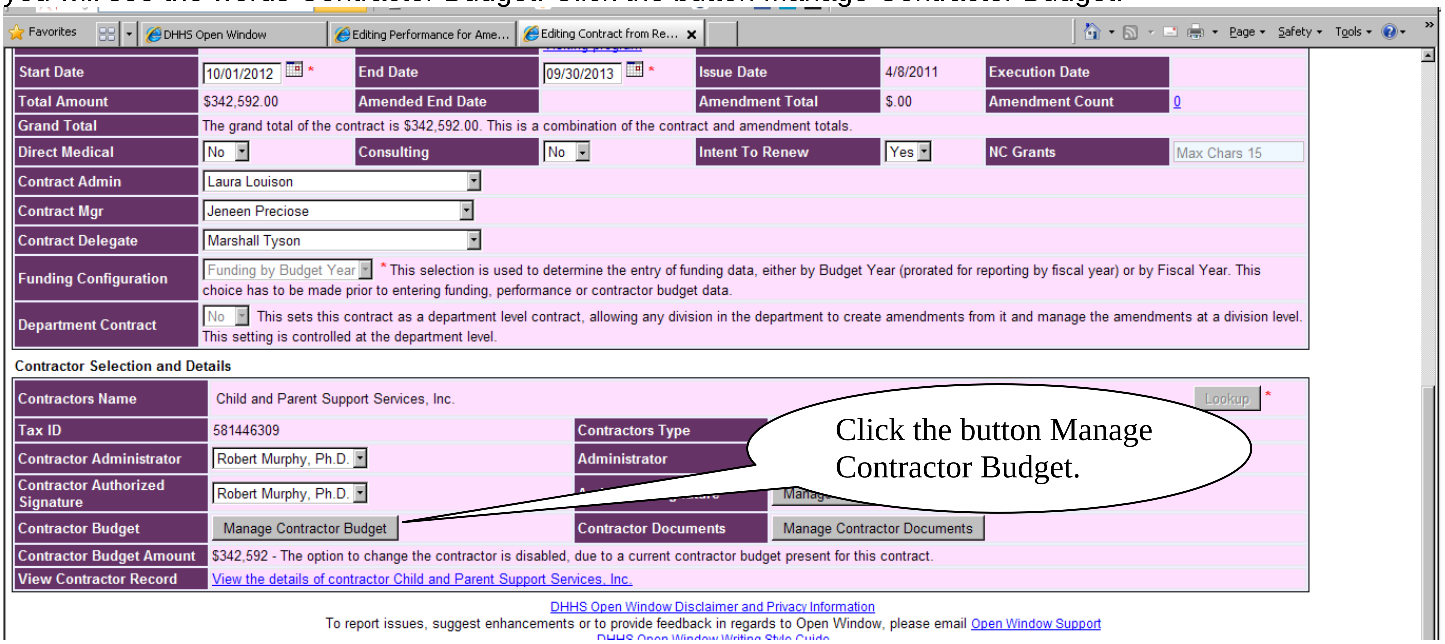
**ENTER THE CONTRACTOR'S BUDGET**

The Contractor's Budget is what we used to call "the Budget". But, it is now the Contractor's Budget to distinguish it from the contract's funding information.

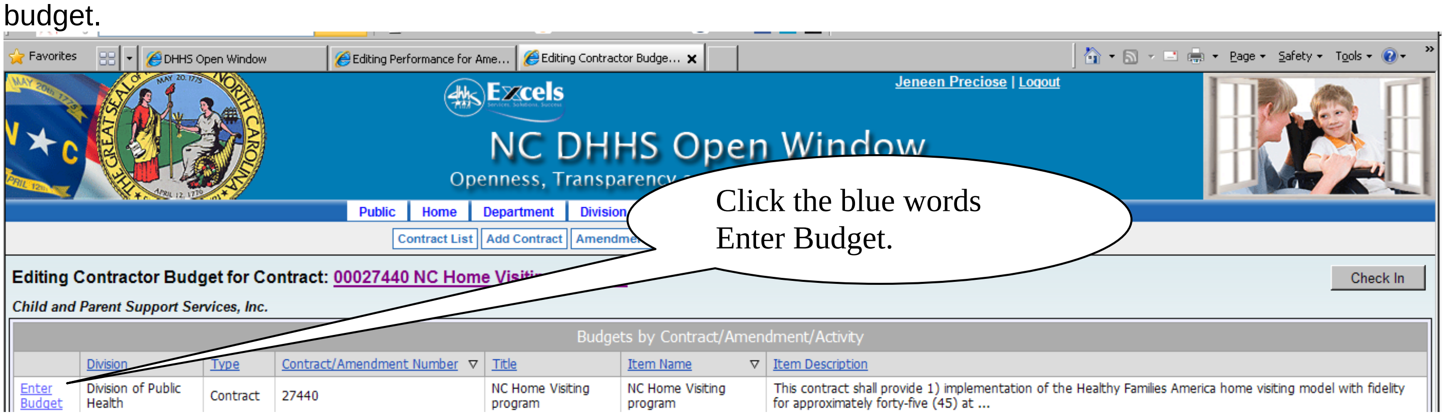
Open Window was built the long-term goal of Contractor access in mind. Ultimately, Contractors will have access to the system to upload their legal documentation, enter the Contractor's Budget, and accept or edit the Scope of Work. However, at this time, Open Window does not allow for Contractor access. It is the Program's responsibility to act as the Contractor by entering the Contractor's Budget.

Before you try to enter the Contractor's Budget, be sure you have a budget document you can reference. This document may be an older version of the budget or the new Contract's Unit Open Window Budget Worksheet (which mimics all the available line items in Open Window). It can be found on the [Contracts Unit Forms website]() under the folder "Open Window Worksheets". Regardless, the information you enter must be verified and correct.

To access the Contractor's Budget you must get to the Main Screen of the contract.
Scroll down to the second half of the screen. Under the Contractor Selection and Details, on the left in purple, you will see the words Contractor Budget. Click the button Manage Contractor Budget.



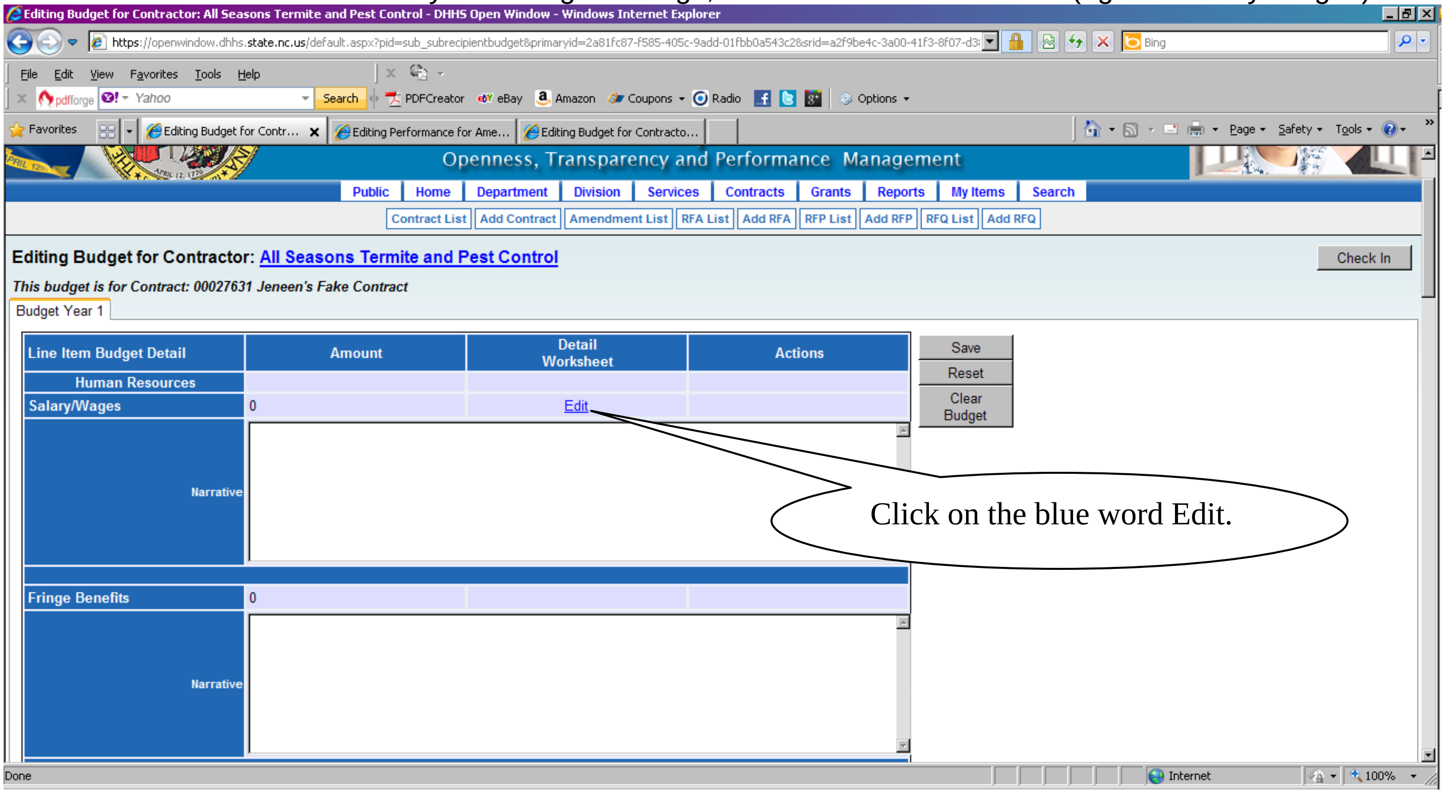

This will take you to the budget list. Click the blue words, Enter Budget to access the budget.



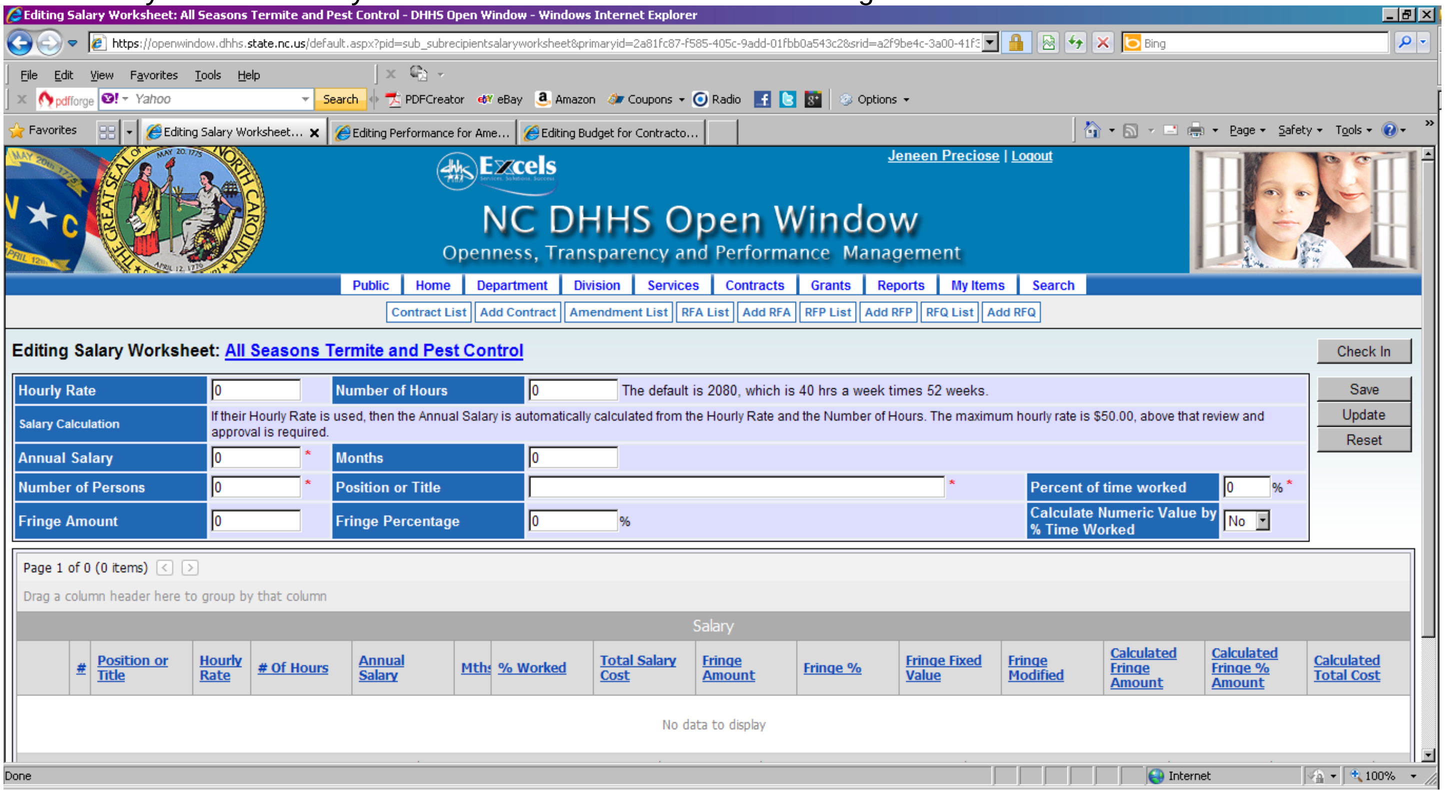
## ENTERING CONTRACTOR SALARY & FRINGE

Open Windows was updated in May, 2012 and it completely changed the way we enter the Contractor's salary and fringe – in a good way. The fringe can now be entered in the same screen as the salary for each staff member on the contract. It is still easy to make a mistake, however. So, be careful and ensure the calculations are correct prior to entering in the system.

To access the Contractor's Salary and Fringe Settings, click on the blue word Edit (right of Salary/Wages).

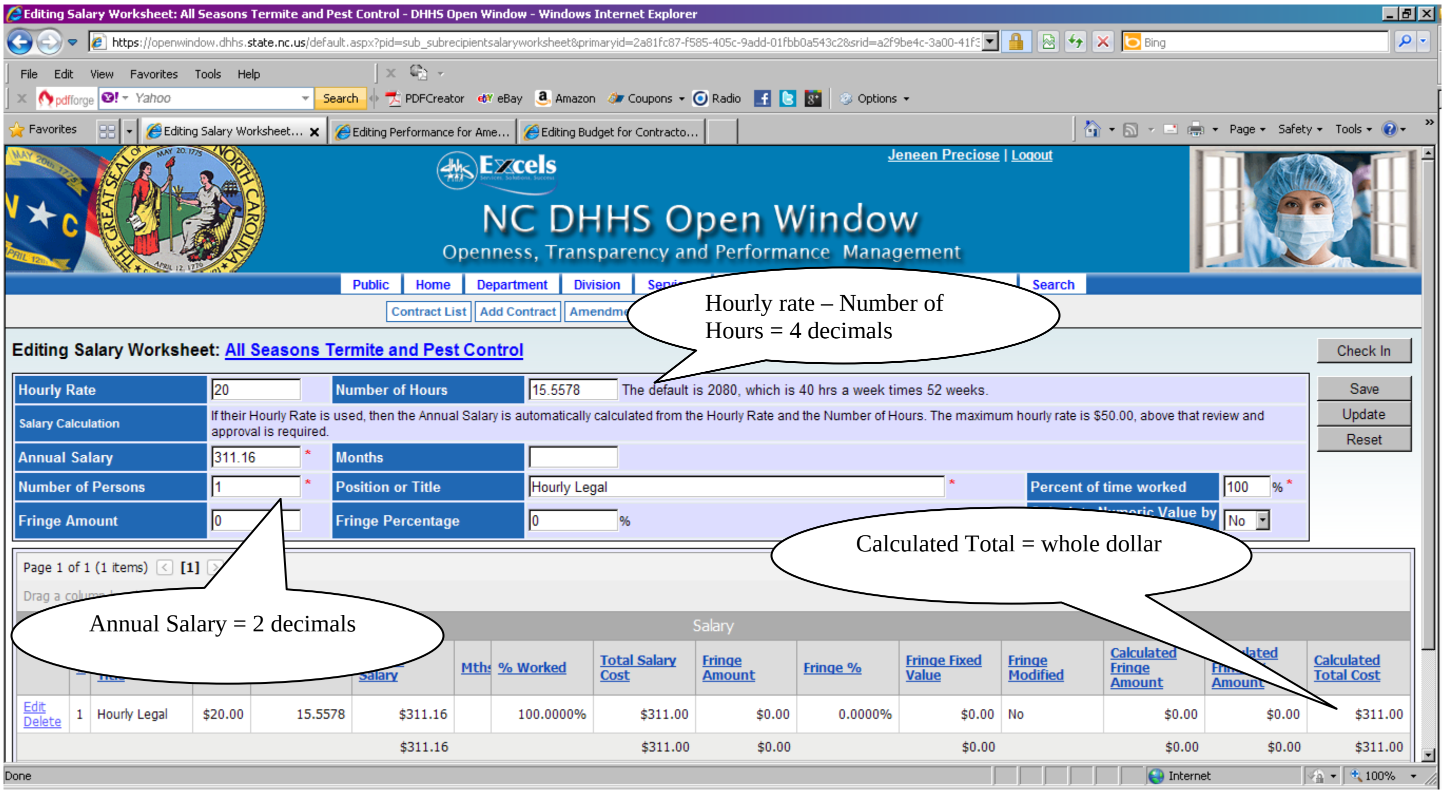



This takes you to the Salary Worksheet – which now includes Fringe:



## Hourly Rate versus Salary

If the person is paid hourly, enter amount paid per hour in the Hourly Rate box.
Enter the Number of Hours worked in the corresponding box to calculate the total Annual Salary. You may enter up to 4 digits past the decimal in this field. But, the Annual Salary will round to 2 digits past the decimal and the Calculated total will round to a whole dollar.
Note: The Salary is automatically calculated from the Hourly Rate. 2,080 hours / year (40 hours per week), which is the maximum time allowed. The maximum hourly rate is $50.00, above that review and approval is required.
When you use hourly rate, the system will not allow you to enter number of months or percent of time worked. Fill out the remaining data and Click SAVE.




If the person receives a salary, enter nothing in the Hourly Rate box and enter the total salary received by this individual in the Annual Salary Box.

Enter the Number of Months that the person will be working on the project funded by this contract.

Enter the Number of Persons: Often, the entry to this will be 1, because there is only one person who will be working at that same rate / salary, in the same position, for the same length of time (months), the same percent of time, and receiving the exact same fringe benefit rates.
You are probably asking yourself, "Why would I need to enter the number of persons, if the answer is usually 1?" The answer to that question is: Because there are contracts where, for example, there might be 3 people in the position "Social Worker" who all make the same salary (e.g. $30,000), work the same length of time (12 months) on the project, spend the same percentage of their time (100), and have the same Fringe Benefits Instead of entering each of them separately, you can enter them all at once.

Enter the Position or Title: Do not enter the names of the individuals here. You will enter the names in the narrative on the main budget screen. Only enter the name of the position, e.g. Executive Director, or Social Worker II.

Enter the percent of time worked: how much of that 12 months (for example) is the Executive Director working? Is it 100 percent or 5 percent? Enter the number without the percent symbol.

Fringe Amount and Fringe Percent: It is likely you will enter data in both of these fields.
Fringe Percent refers to the total percent of the staff's salary used to calculate their fringe benefits.
Fringe Amount refers to the total dollars in fringe benefits calculated in a way not using a percent of the staff's salary.

For example, if Joe has the following fringe benefits:
FICA at 7.65%
Retirement/401K at 8%
Health Insurance at $6,000 annually
Unemployment at 0.2%
Disability at 1.4878%

Joe's total Fringe Percent is 7.65 + 8 + 0.2 + 1.4878 = 17.1578%.
Joe's total Fringe Amount is $6,000.

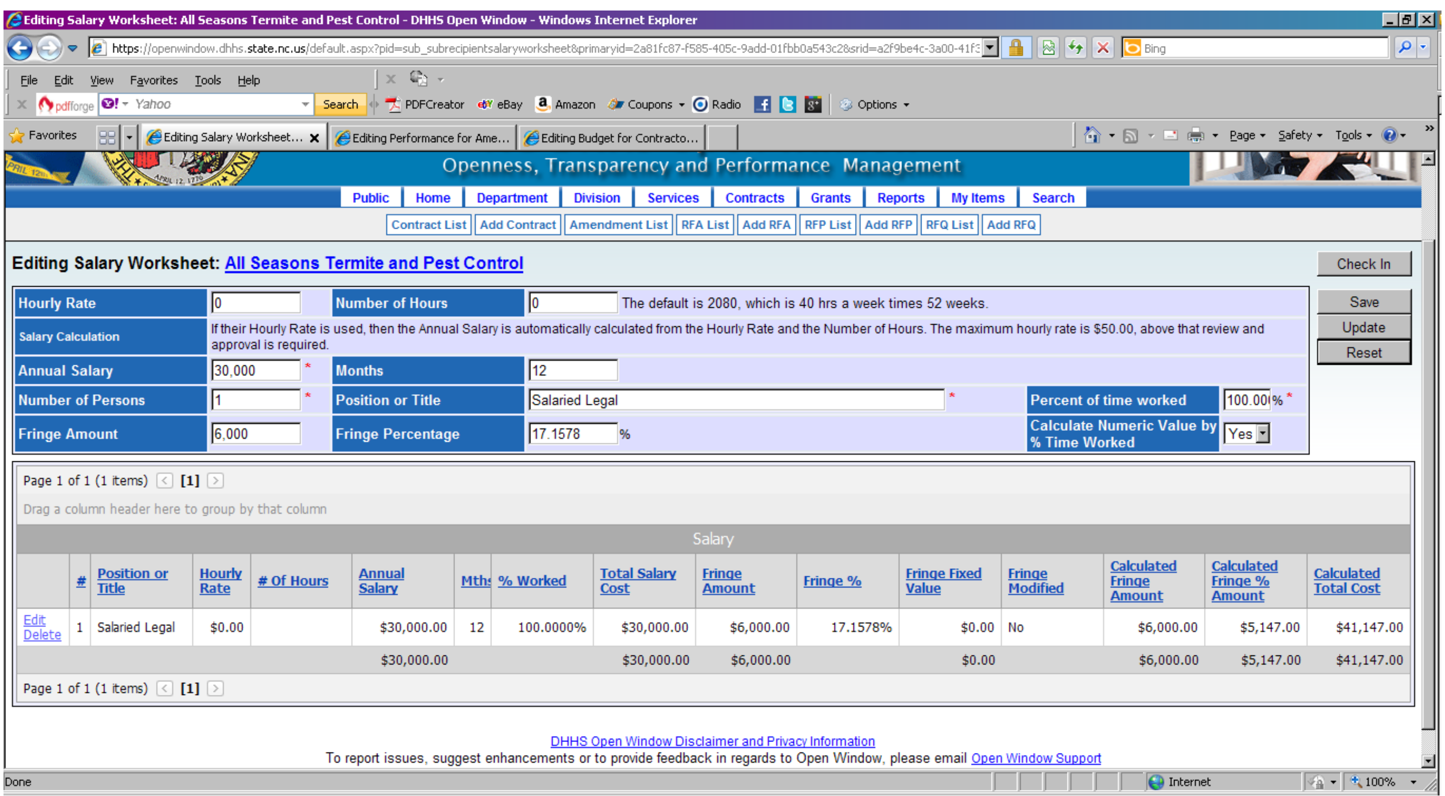
Enter $6000 in the Fringe Amount field and 17.1578 in the Fringe Percent field.

You may only enter whole dollars in the Fringe Amount field.
You may enter up to 4 digits past the decimal in the Fringe Percent field. But, the Annual Salary will round to 2 digits past the decimal and the Calculated total will round to a whole dollar.

Calculate Numeric Value by % Time Worked – If you Select YES, this will PRORATE the dollar amount entered as a Fringe Amount by the percent of time worked – but NOT by the number of months worked.
If you select NO, the Fringe Amount will be calculated into the total as entered.

Click SAVE.

NOTE: There may be differences in the rounding your Contractor used and the rounding that Open Window uses that may throw your total budget off. Please watch for this and be prepared to correct it in Open Window if necessary.



If you need to edit a Position entered, click the edit button, make your corrections and click Update. (Do NOT click Save again or you will create a duplicate entry.)

If you need to delete a Position entered, click the delete button. A dialog box will open for you to confirm (OK) or cancel your choice to delete.

Once all positions are entered and correct, click the blue heading “breadcrumb trail” to get back to the line item budget.

### Salary and Fringe Narrative

You must give detailed desciptions of jobs in the Salary narrative, including NAMES of the staff who are working on the contract. The narrative should indicate if the staff is part-time (otherwise, the assumption is that they are full time positions). In the case of Universities, it should also indicate which positions are students and/or the classification of the positions (e.g., EPA / SPA in the case of UNC schools).

In the Fringe Narrative, you must give detailed breakdowns of annual fringe amounts by position, if different, and show complete calculations by position. E.g.:
Executive Director Annual Fringe: FICA 7.65% * $50,000 = $3,825. Retirement: 8.25% * $50,000 = $4,125. Health/Medical $5,500, flat rate per individual. Worker’s Comp 1% * $50,000 = $500. Total Annual Fringe = $13,950.

### Budget Line Items

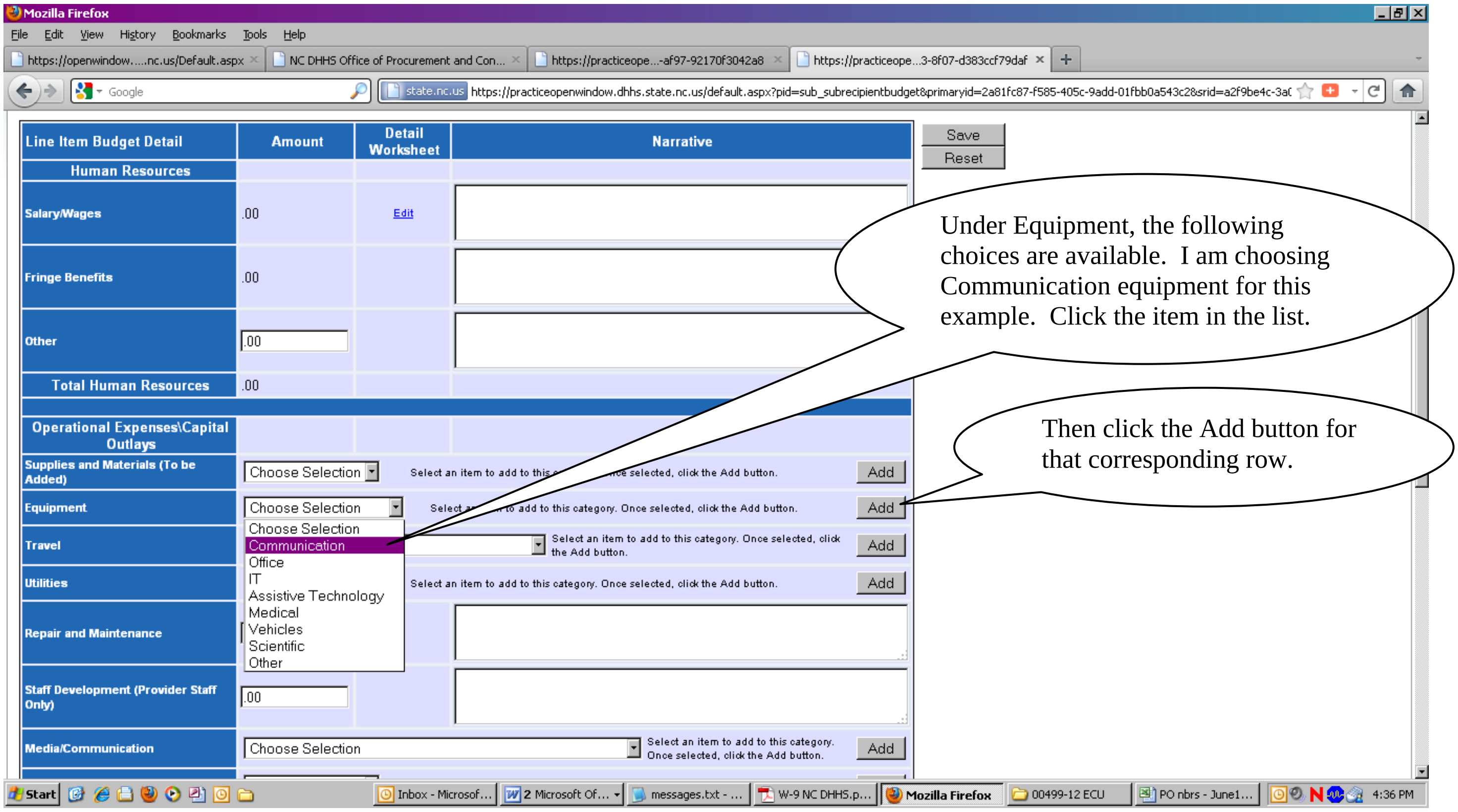
The budget screen designates click boxes for:
Save – saves the latest entry.
Reset – resets the budget to the last time it was saved.
Clear Budget – deletes the entire budget, narrative and all.

Certain line items are clearly defined and you will see an entry box to the immediate right. Simply enter the amount and narrative for that item. You will periodically want to click the Save button as you enter data.

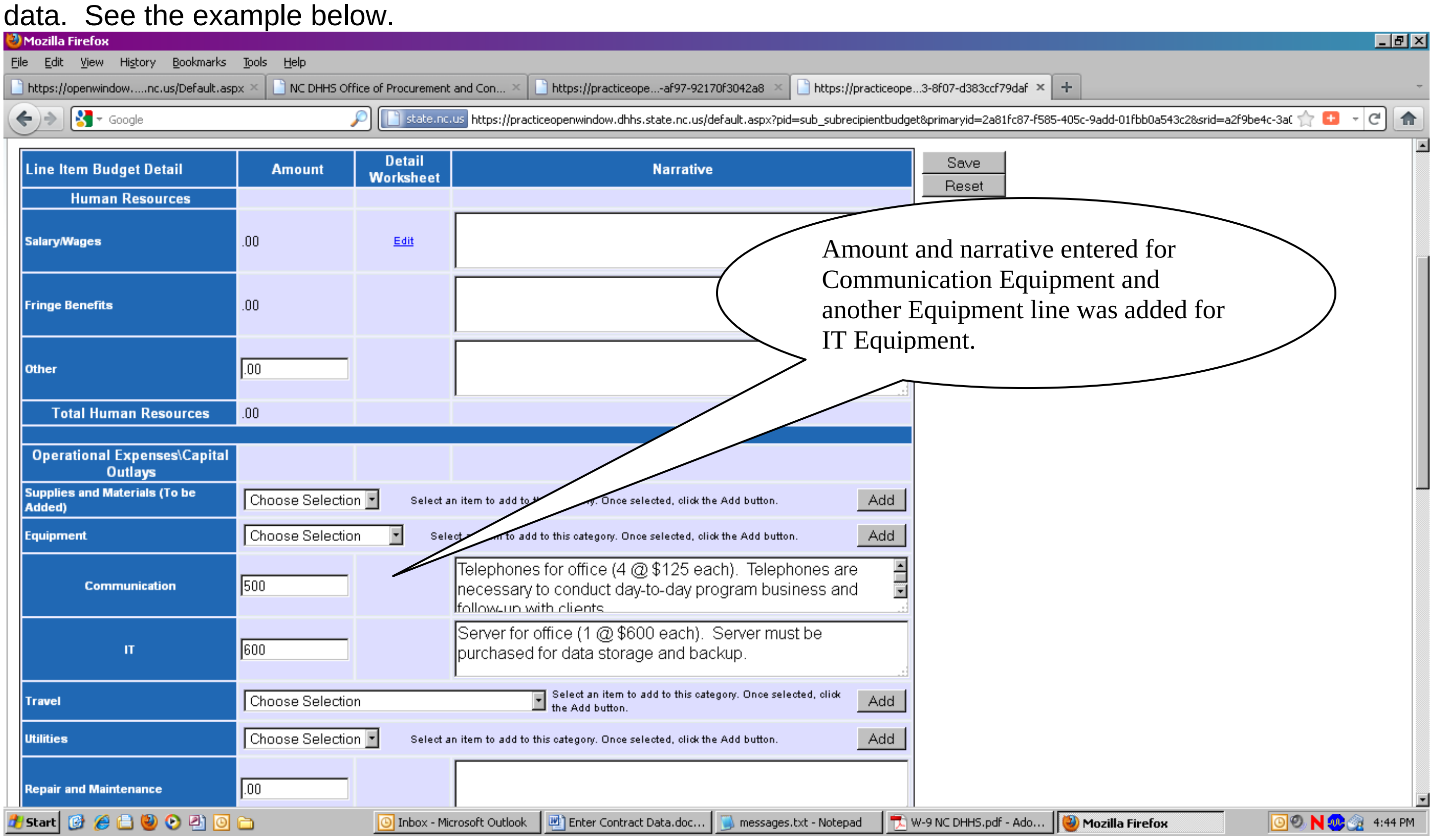
Note: The rules for what is required in the Budget Narrative have not changed.

- Contract budgets shall correlate with the scope of work.
- Budget narratives must break out all calculations and explain and justify all costs.
- Activities should not be described in the Budget Narrative – that detail belongs in the SOW.
- Allowable Expenditures must follow the rules of the grant/legislation and RFA (if applicable).
- Each line item must have a cost justification.
- Arithmetic must be checked by Contract Administrator to eliminate errors before submitting to COE or Contracts Office.
- If your budget includes gift cards, travel vouchers, etc. tracking language must be included in SOW Performance Requirements.
- Do NOT use any of the following “hot” words: catering, celebrations, consultants, flowers, honorariums, parties, rallies, holidays, etc.

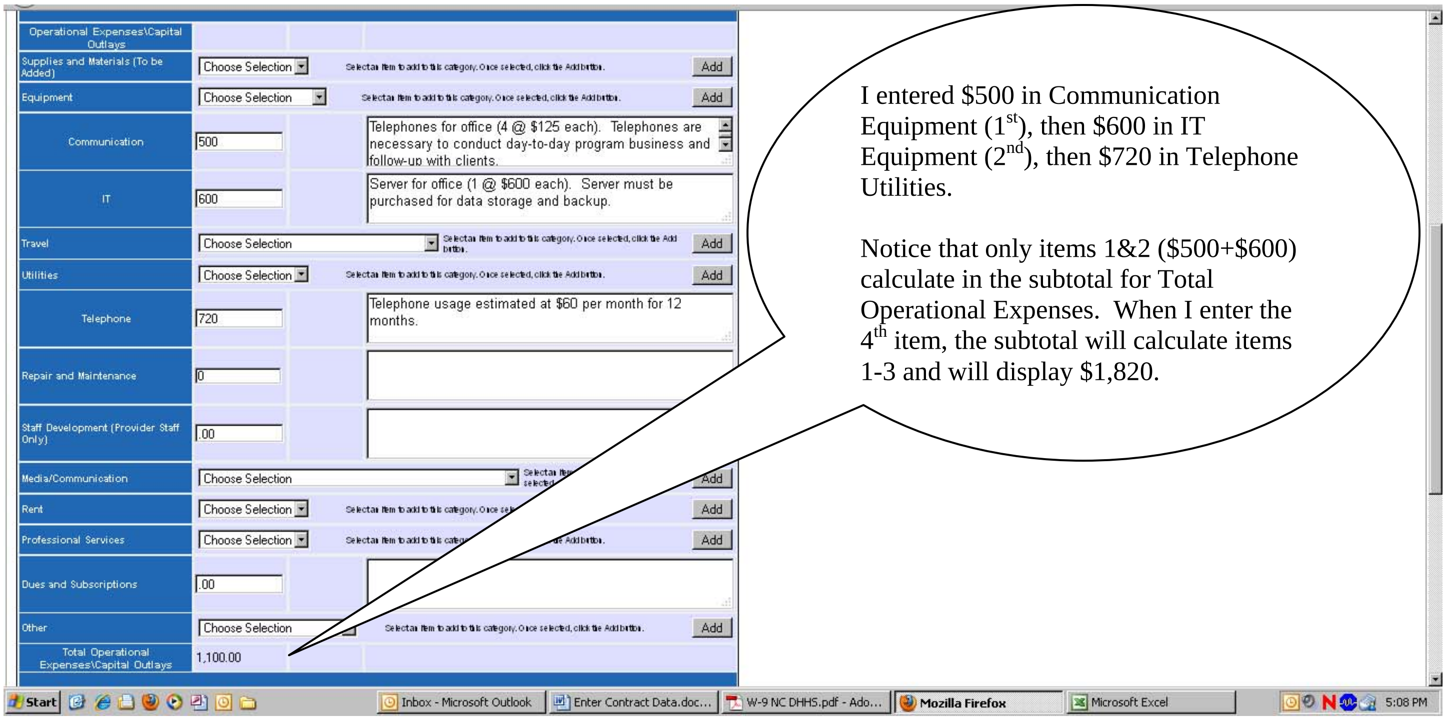
Certain line items have drop down menus where you choose the subcategory where your item best fits.
To enter the drop down line items, choose the item you want from the list. Click the Add button for that corresponding row.




Enter the dollar amount for that item and the narrative for that item. You can continue to Add items under the line item category as required for your budget. Remember to periodically click the Save button as you enter data. See the example below.




Note: You will notice that the budget subtotals and totals calculate one entry in arrears. That is, if you enter amounts for 3 items, the subtotals and totals will only reflect the combined amounts of the first 2 entries. Not until you enter the 4th entry will the 3rd entry be calculated. For example:



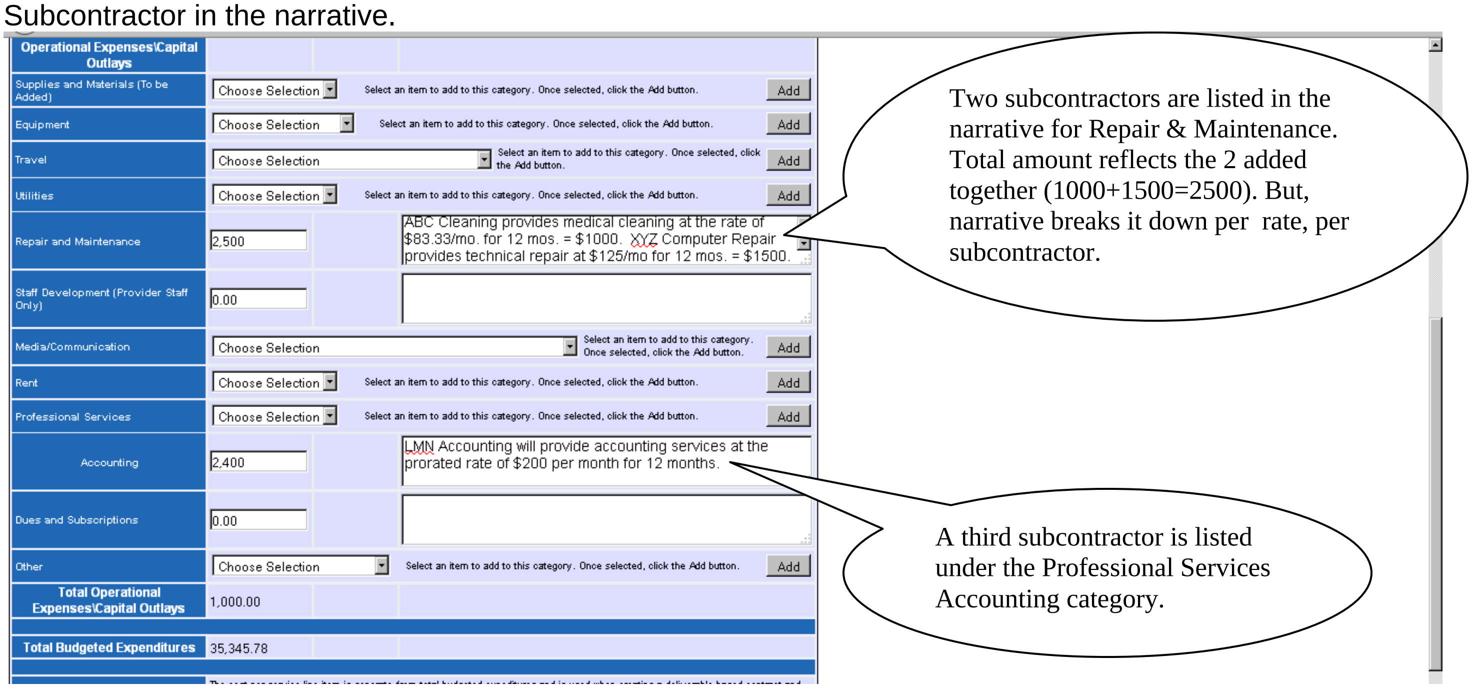

Be sure to click Save before moving on to the Subcontractor Budget!

### ENTERING THE SUBCONTRACTOR BUDGET

If the Contractor's Budget contains Subcontractors, you must click on the blue word Edit, in the row titled Subcontracting and Grants, under the column Detail Worksheet to enter the information.

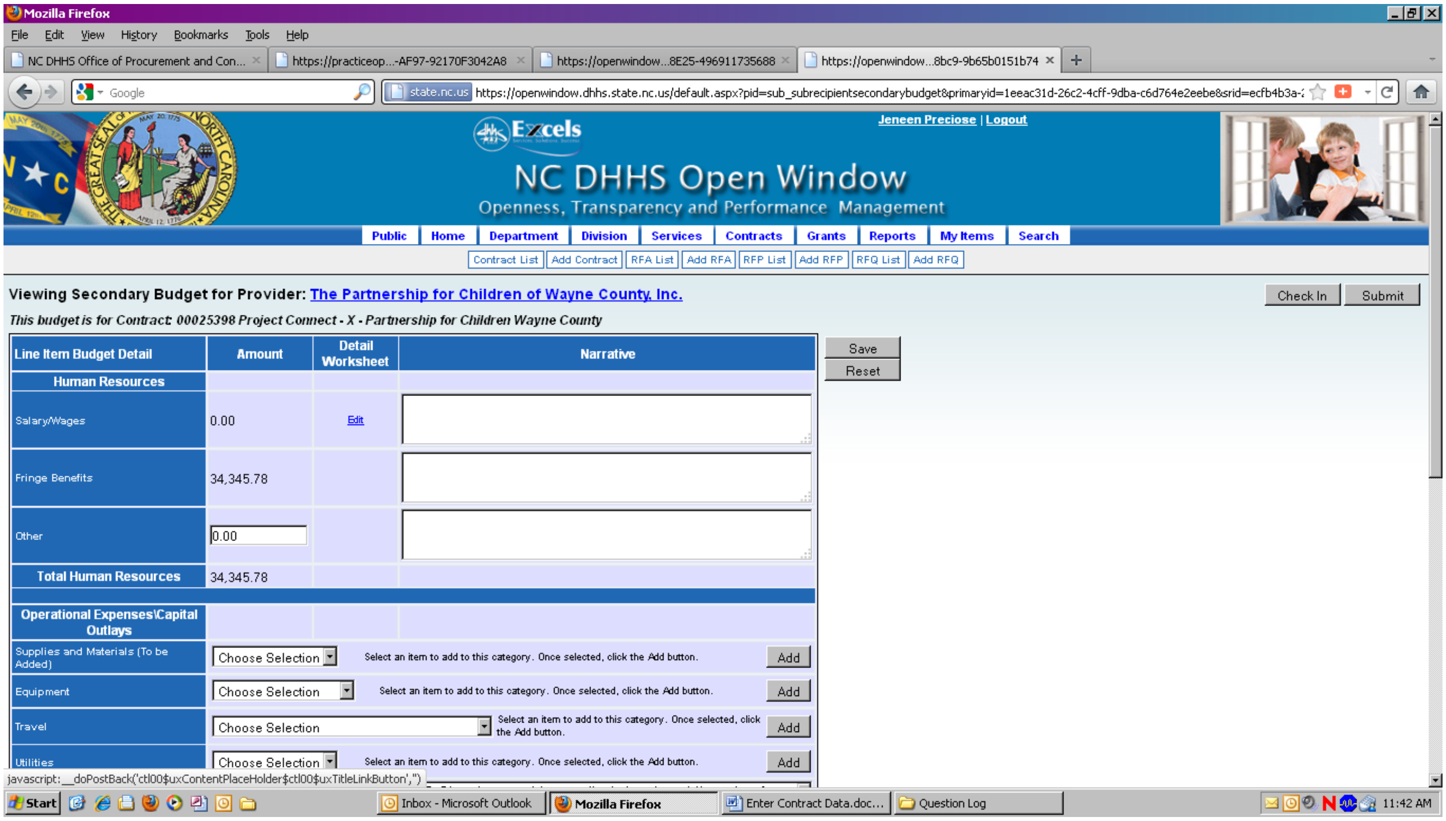
The Subcontractor detail worksheet mimics the line items and format of the main budget. For Subcontractor salary and fringe, simply enter the total salary amount and the total fringe amount, then give detailed explanation in the narrative.

You must enter the total applicable line items for all subcontractors and explain the breakdown in the narrative. This will be easy if you only have one Subcontractor. If however, you have multiple Subcontractors, this means that you will have to add all the similar line items together and break down the amounts per Subcontractor in the narrative.



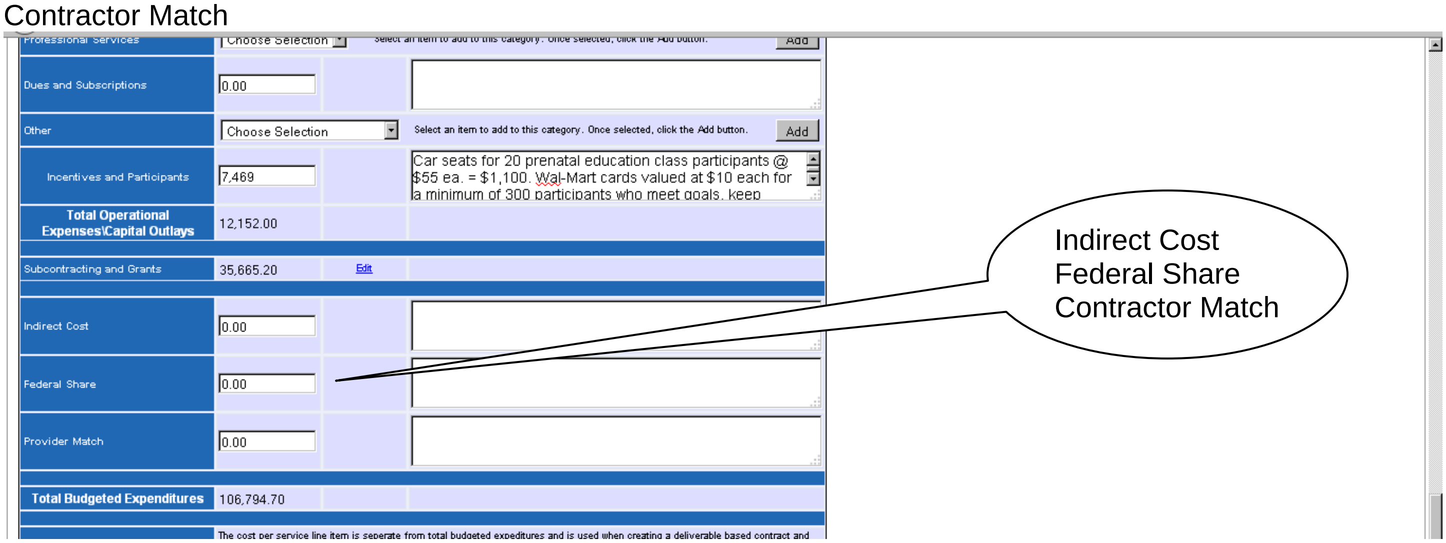
When the Subcontractor Budget has been entered, click the Save button on the Subcontractor budget screen.

Then, click the blue link (breadcrumb trail) next to the words Viewing Secondary Budget (they should be the name of your main Contractor) to get back to the main Contractor's Budget screen.




## INDIRECT COST, FEDERAL SHARE, AND CONTRACTOR MATCH

When you scroll down to the bottom of the main Contractor's Budget screen, just under the Total Operational Expenses Subtotal, you will see the following items:
Indirect Cost
Federal Share
Contractor Match




Indirect Cost
If your Contractor has included Indirect Cost in their budget, you must first insure that it is allowable per your RFA, Grant, and DPH Policy. If it is, the Contractor must submit an up-to-date Indirect Cost Letter, which is

forwarded to the Contracts Unit for processing. Regardless of the rate their letter indicates, DPH Policy states that <u>no more</u> than 10% Indirect Cost will be reimbursed. DPH Policy also states that Indirect Costs will <u>not</u> be reimbursed on contracts for Direct Medical Services.

Enter the total amount (dollars) of Indirect Cost. Once this entry is saved, you will not be allowed to build the contract document unless the current Indirect Cost letter is on file. Contact your Contracts Team Leader and forward them the Contractor's Indirect Cost Letter.

Federal Share
If your contract is funded with any Federal dollars, you must enter the total of all Federal dollars in this box.

> For example, if your $10,000 contract is funded as follows:
> $3,000 is State Appropriations,
> $5,000 is Federal Maternal Health Block Grant funds, and
> $2,000 is Federal Centers for Disease Control funds,
> then you would enter 7000 in the Federal Share box (5000 + 2000).

Contractor Match
If your contract is funded with any matching Contractor funds, and you designated these funds in the Funding screen of the contract, the amount will be pre-loaded for you and cannot be altered unless you go back and edit the funding entry.

> For example, if your $74,000 contract is funded as follows:
> $60,000 is State Appropriations, and
> $14,000 is Contractor Match,
> then would be entered 14,000 in the Contractor Match box if you designated it in the Funding screen.

Click the Save button. Then, click the blue link and follow the breadcrumb trail back to the Main Screen.

Total Cost Per Service: The cost per service line item is seperate from total budgeted expeditures and is used when creating a deliverable based contract and no other detail is required for the line item budget. Do NOT use this function without first speaking with your Contracts Team Leader or the Contracts Manager.

### USING AN ACTIVITY BUDGET

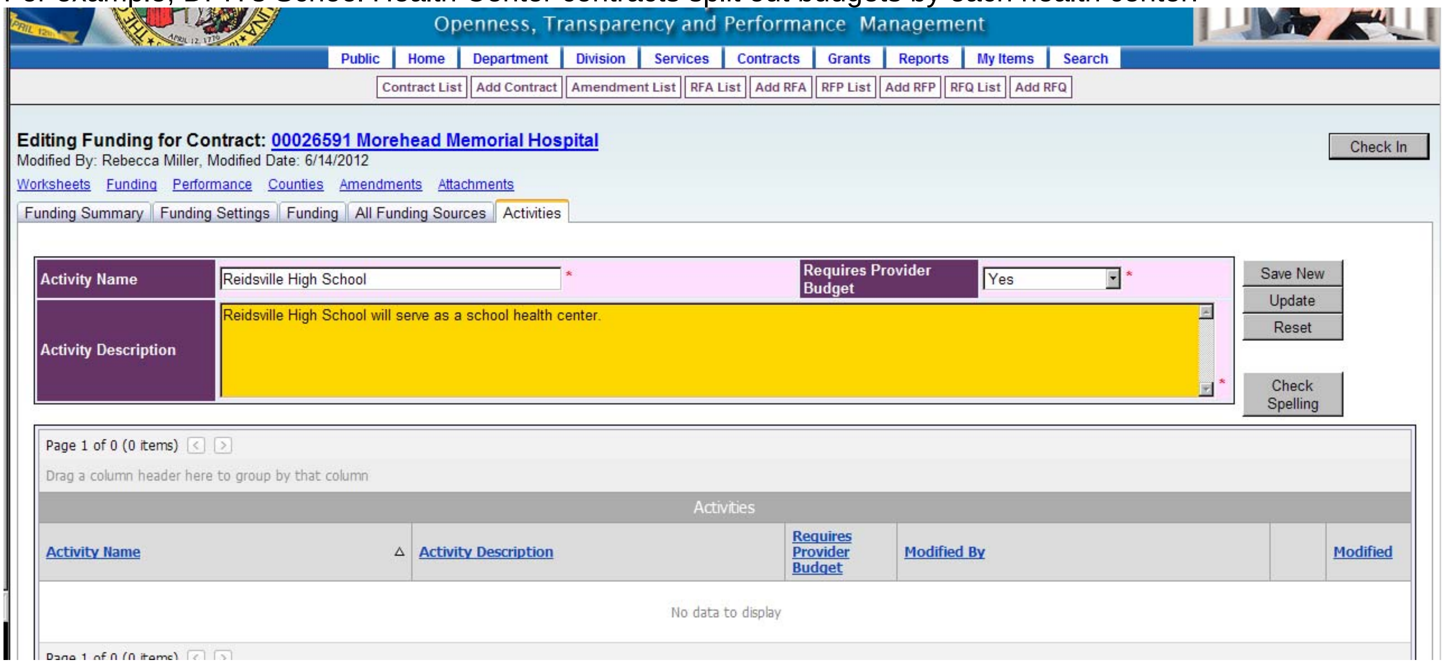
Activity Budgets are only applicable if activities are restricted by fund, which requires separate contractor budgets to track each activity by fund. Work with your Contracts Team Leader to determine if activities are restricted. (Note: DPH has already determined which of its existing contracts require Activity Budgets and Contract Administrators have been notified.)

If your contract has been approved for an Activity Budget, click the blue Funding Tab link.
Then, click the 2nd tab, Funding Settings. Answer YES to the item "Activity Based Contractor Budget" and Click Save.

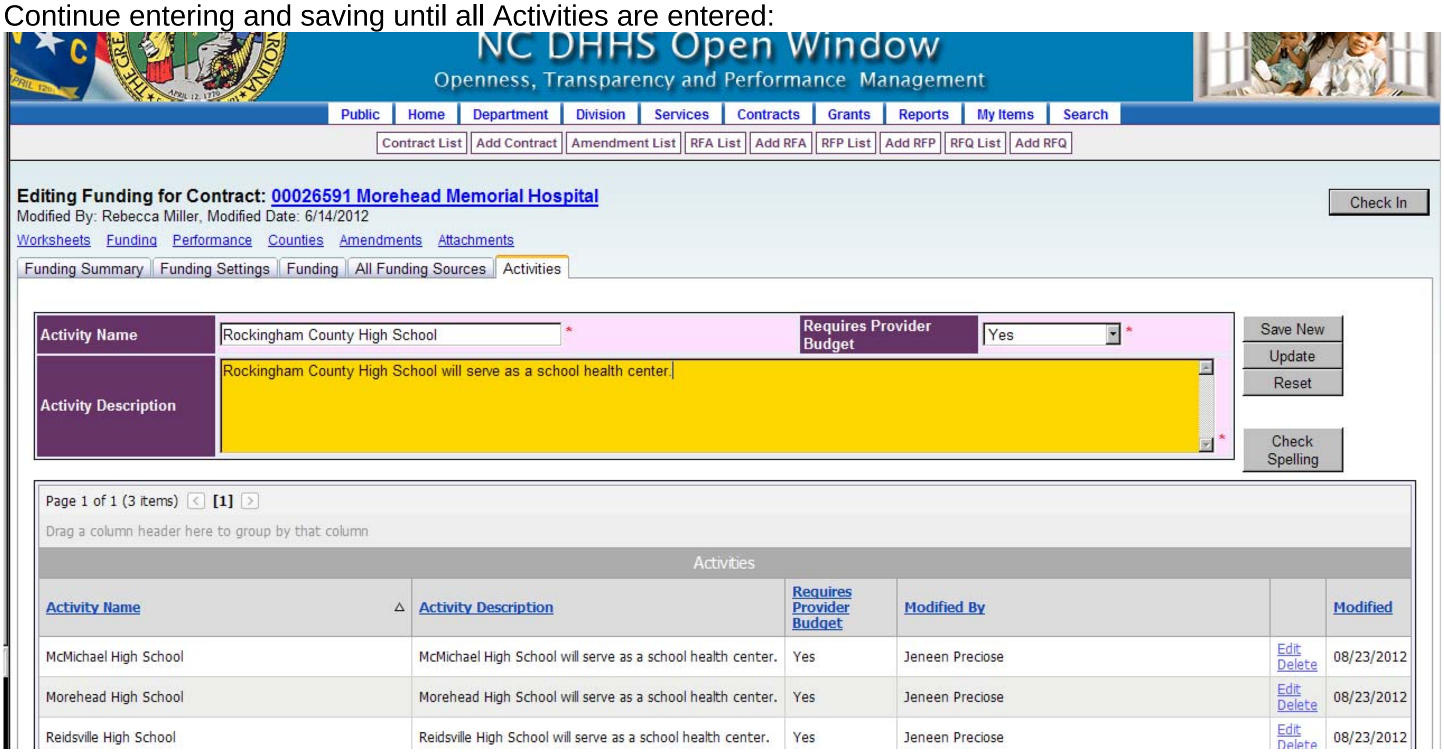

The screen will refresh with a new (5th tab) under Funding, named "Activities."

For each Activity, there will be a separate budget.
Click on the 5th funding tab, Activities
Enter the Activity Name,
Select YES for Requires Provider Budget,
Enter the Activity Description and
Save New.

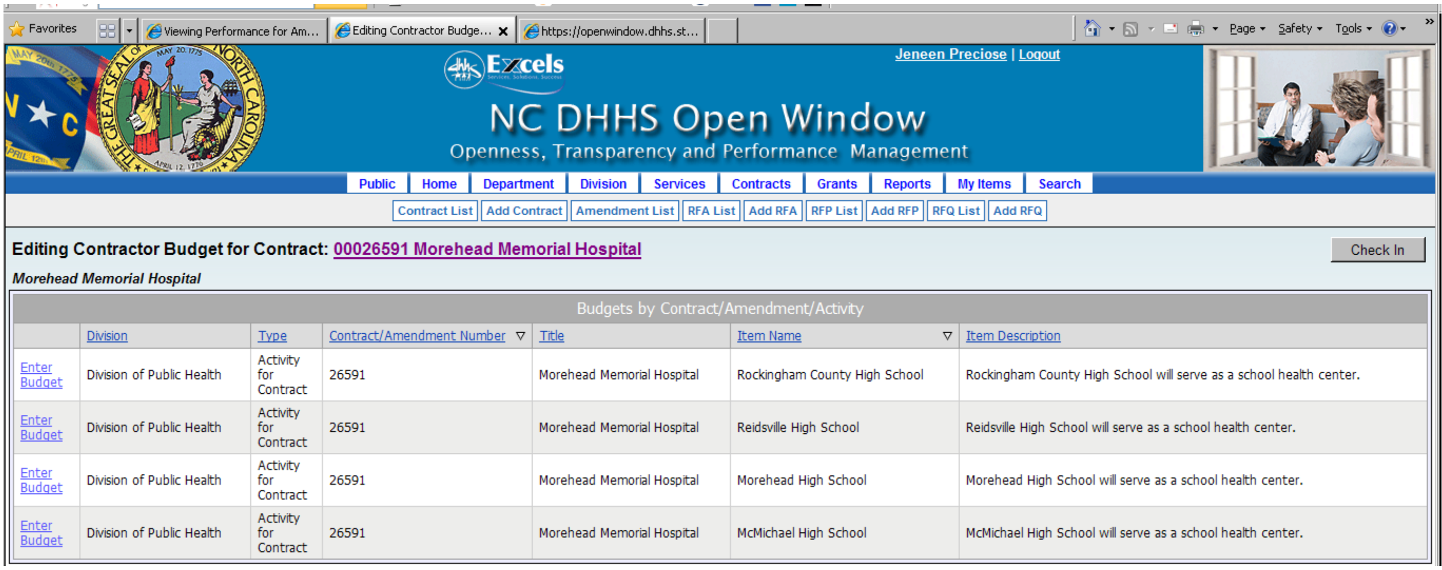
For example, DPH's School Health Center contracts split out budgets by each health center:




Continue entering and saving until all Activities are entered:




Then, follow the breadcrumb trail back to the contract Main Screen.
Click Manage Contractor Budget.
You will see that each Activity saved now has its own budget in the list which you will have to enter and save individually.



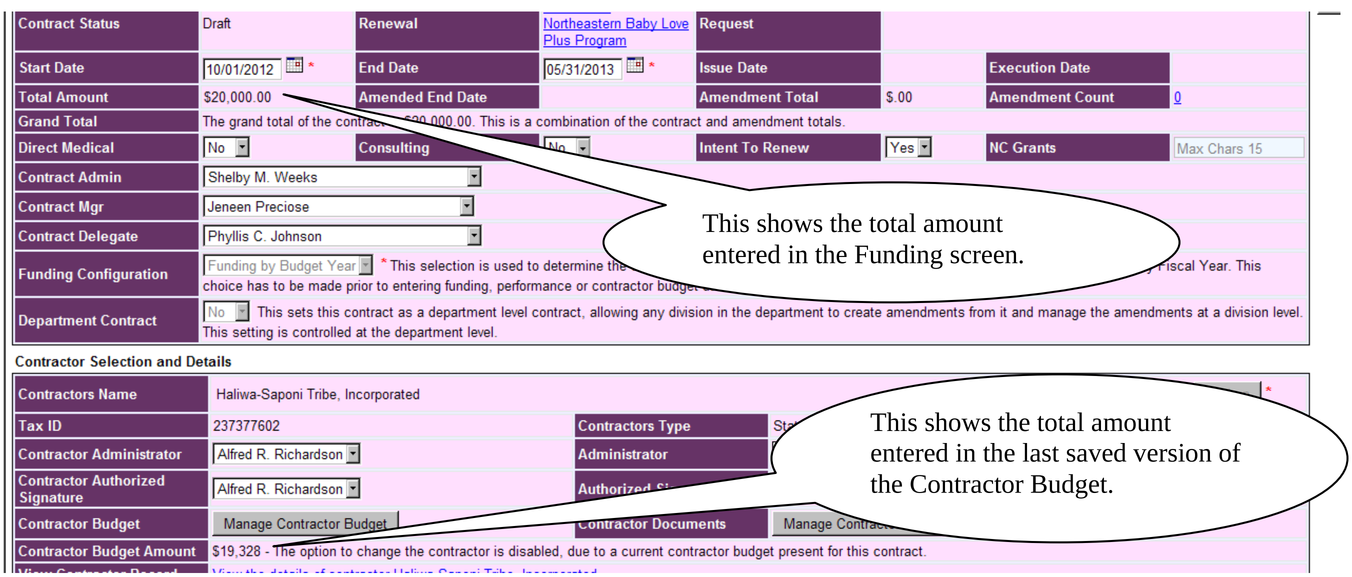

Click Enter Budget for the first Activity.
The Budget for each Activity is EXACTLY like a regular budget, with detail required for Salary & Fringe and Subcontractors; and line items that can be added or entered.

**Be sure you are familiar with how to enter budgets as detailed earlier in this guide.**

Enter and Save each budget, then click on the blue link (breadcrumb trail) to get back to the listing of Activity budgets to enter.
Work your way through the list until all Activity budgets are entered and saved. Then, follow the breadcrumb trail back to the Main Screen.

### Using the Main Screen to Verify Totals

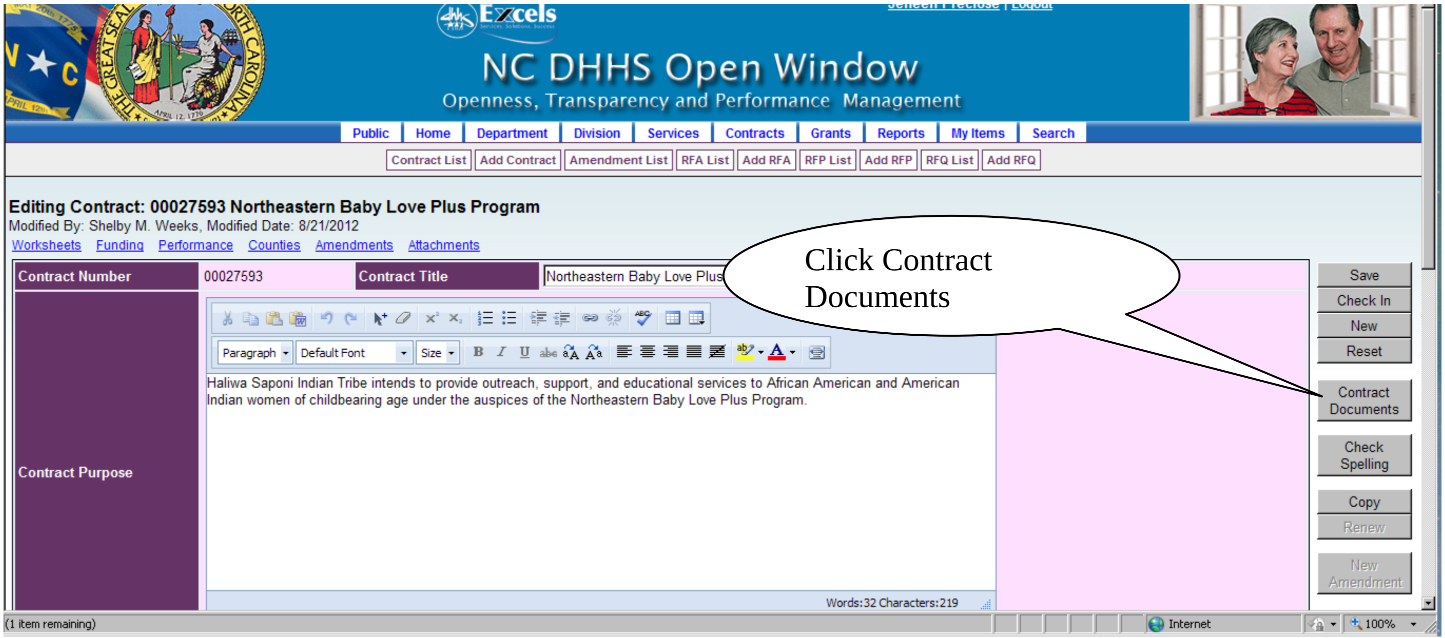
The Main Screen has been updated to now show both the amount entered in the Funding tab (award amount) and the total amount calculated in the last saved version of the Contractor Budget.
You can verify that the Contractor Budget saved in the system matches the award amount by looking here:




If either amount is incorrect OR if they don't match, then there are issues with the contract that need to be corrected before it can be submitted to the next step for approval.

## Building the Contract Document

From the Main Screen, click on Contract Documents.




Here, you will see all of the items that will go into your built document. It is split into two units: Documents and Required Contractor Documents. You must verify that all the documents are in place.

Documents:
General Contract Cover (system generated)
Terms & Conditions (system generated; exception: UNC)
Scope of Work (where words are a blue link – which means you've uploaded your SOW document)
Performance Measures Chart (you've entered measures)
The Line Item Budget
The Line Item Budget Narrative (uploading an override budget document is not mandatory)

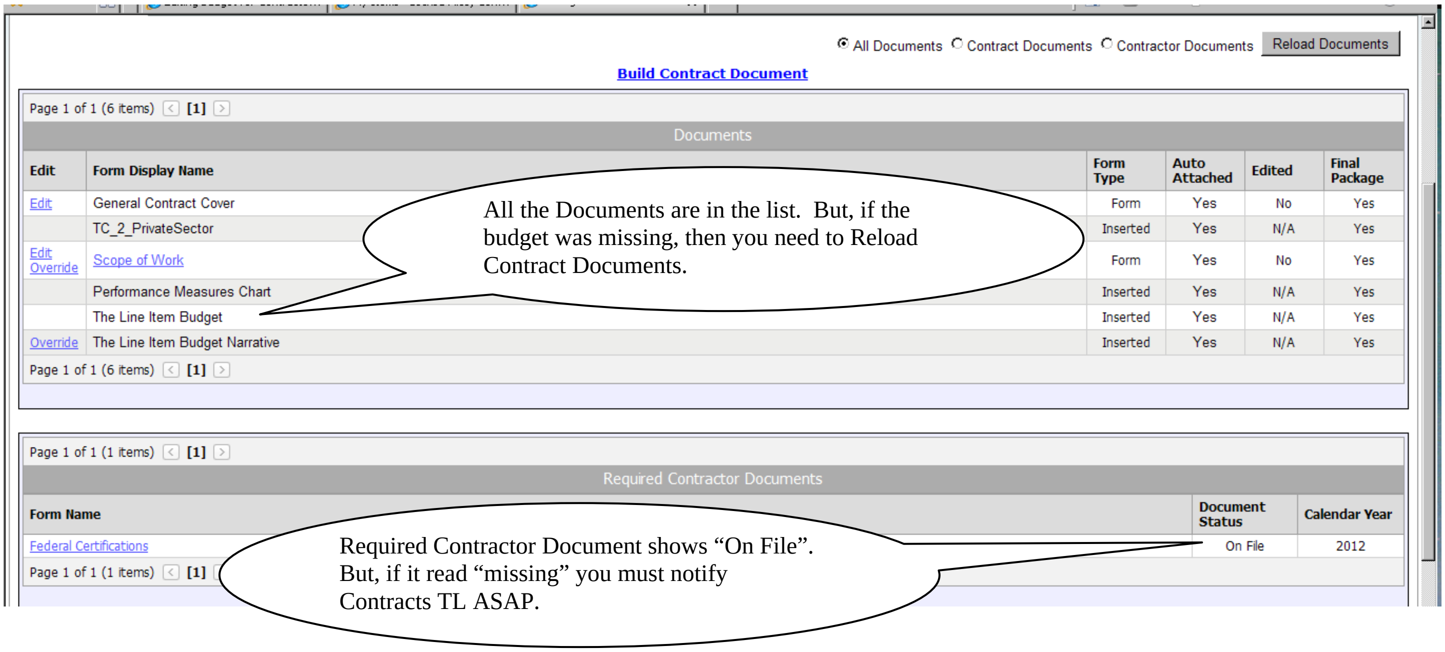
If The Line Item Budget is missing from the list, but, you know you've entered your budget, then you will have to Reload the Contract Documents (see section below).

OW does NOT stop you from building the contract if a Document element is missing. So, you must check this screen carefully and check your built document to ensure that all entries are complete.

Required Contractor Documents:
These are the forms that the Department requires for all Contractors, depending on their type and the elements of the contract, itself.
The Contracts Office gathers these documents from DPH Contractors annually and uploads them into Open Window. (Note: other Divisions are also uploading documents.)

If a Required Contractor Document shows "Missing" from the list, you must alert your Contracts Team Leader immediately so the document can be uploaded.

OW STOPS you from building the contract if one of the Required Contractor Documents is missing.




### Reload Documents

On the Contractor Documents Screen, there are choices on the right hand side and a button that reads "Reload Documents." These options give the users control to update the record with all the latest information entered and/or now applicable if changes were made to other areas of the contract that changes the nature (e.g. Audit Determination, the addition of Federal funds, etc.) of the contract.

- All Documents means all the documents (Documents and Required Contractor Documents) shown on this page.
- Contract Documents means all the documents under the heading Documents (SOW, Budget, etc.).
- Contractor Documents means all the documents under the heading Required Contractor Documents.

Click in the circle to the left of the option you want and Click Reload Documents.

**Note: Reloading All Documents and Reloading Contract Documents will delete all uploaded files (e.g. Scope of Work override).** Once you reload, you will need to click Override next to Scope of Work and upload the final version of the SOW again. So, before you click Reload, be sure you've got the latest version of all override documents saved on your computer/drive.

### Next Steps

At the time of writing this document, the Automatic Approval Process is not yet activated in Open Window. This means, that a paper CAF must be generated and routed in an orange folder. Please use the Contract Unit's revised Open Window CAF for this purpose. This document can be found on the Contracts website under the heading "Open Window Worksheets". Click the (+) sign next to Open Window Worksheets to expand the selection and open/save the appropriate form(s).

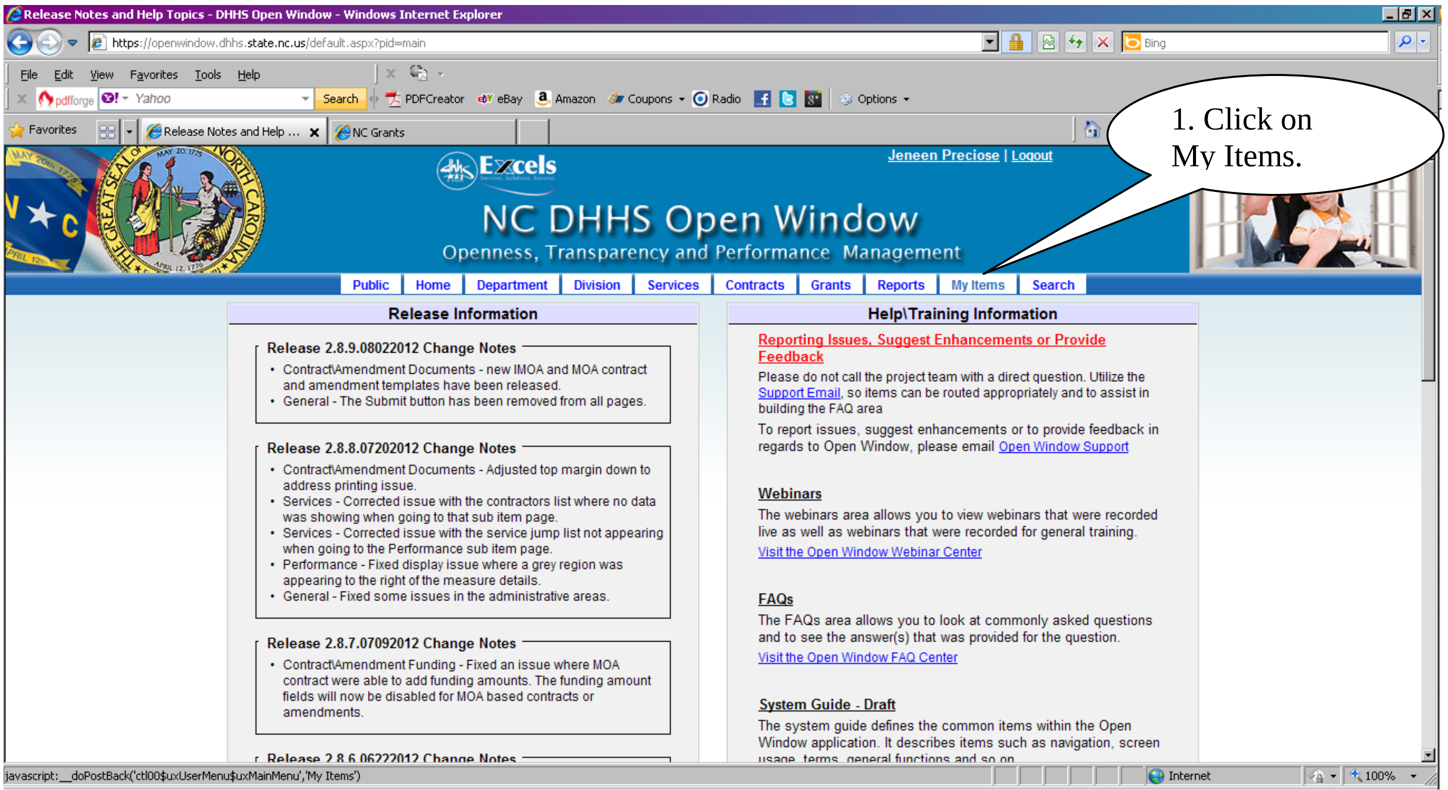
If your contract is funded with federal dollars, a Federal Award Worksheet, also found on the Contracts website under the heading "Open Window Worksheets".must also be routed in the orange folder.

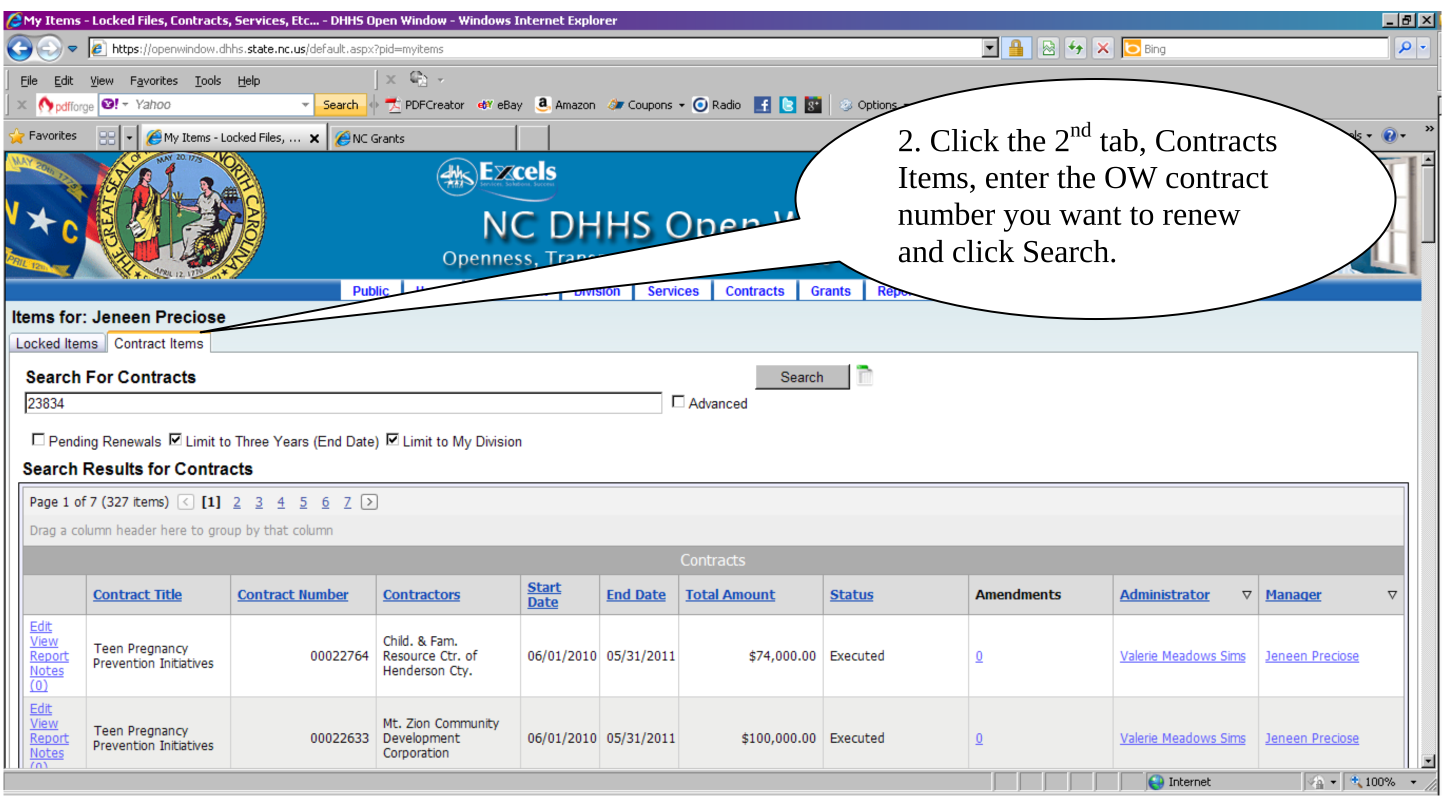
Soft copies of both the CAF, Federal Award Worksheet and Contractor's Budget (if applicable) must be emailed to your Contract Unit Team Leader.

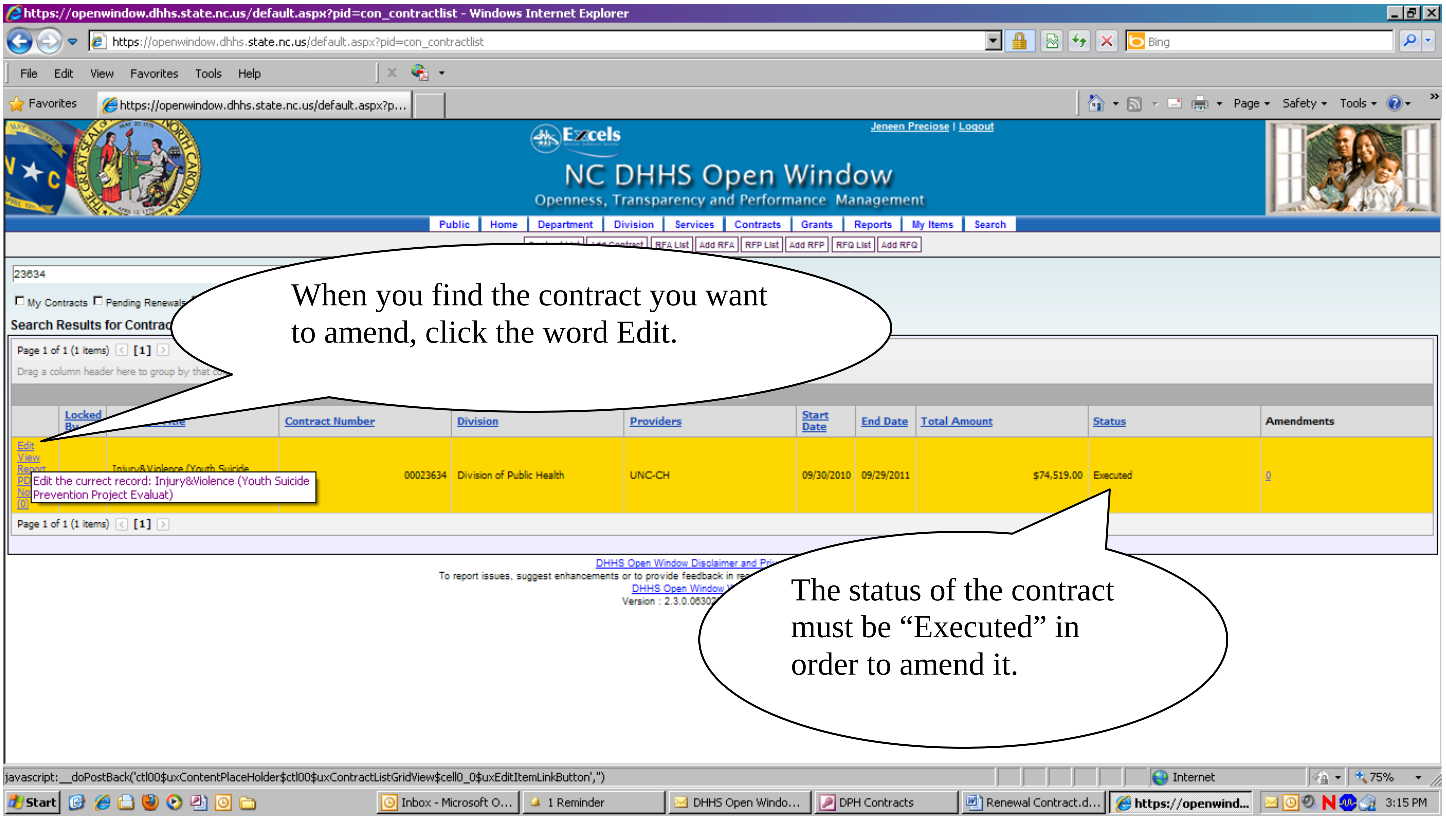
### AMENDING A CONTRACT

To amend a contract with the Contractor for a service, the contract you wish to amend must be Executed. Additionally, the amendment must have the same Audit Determination status (Financial Assistance (FA) or Purchase of Service (POS)) as the original contract.

To amend a contract:

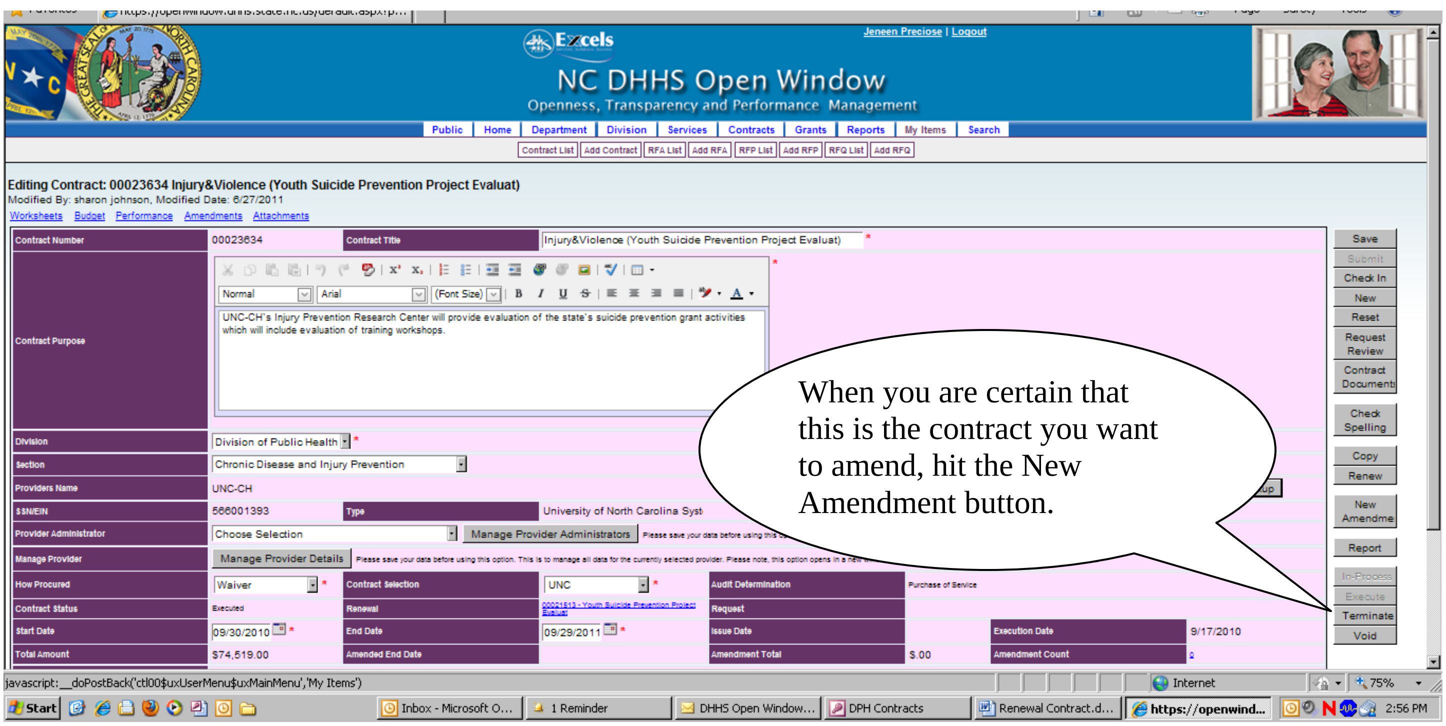





Once you click Edit, that means you have Checked Out the record. Before you logout of Open Window, you must Check In or Unlock (same thing) the old contract.

When the contract opens, check the data carefully and be certain that this is the contract you want to amend. Because once you hit New Amendment, there is no way to undo it.




This will take you to your amendment contract, where you must start entering required data.

## AMENDMENT MAIN SCREEN

Amendment Title: Carries over from the original contract. Do not change unless the amendment is for an entirely different purpose (in which case, you probably shouldn't be amending – talk to your Contracts TL).

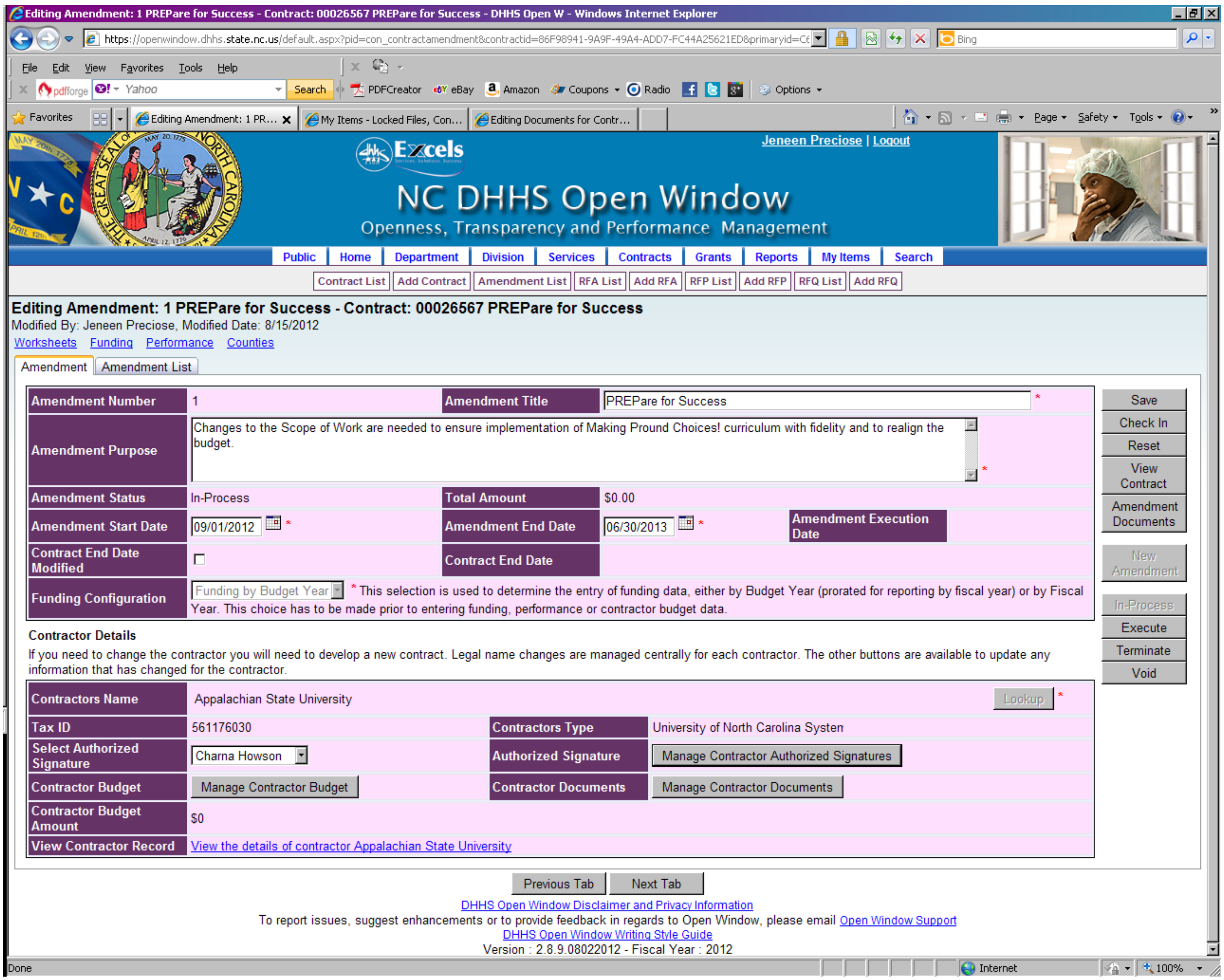
Enter the Amendment Purpose

Enter the Amendment Start Date

Enter the Amendment End Date.
Note: If you are extending the contract, you must check the box next to Contract End Date Modified.

The Contractor contact details will carry over from the original contract.

Click the Save button.




From here, you can enter the data using the regular contract entry guide, noting that this record is called "Amendment" instead of "Contract." E.g., instead of clicking the "Contract" Documents button to get to the Scope of Work, you will click on the "Amendment" Documents button.

Note:  In the Worksheets tab, there is no Audit Determination Questionnaire tab.  This is because the amendment must have the same FA/POS status as the original contract.

### AMENDMENT PERFORMANCE MEASURES

Entering measures for the amendment can be tricky.  Only enter/update/copy measures into the amendment that are changed by the amendment.  In addition to the original measure definition that was given, a full statement must be added so that the original and amended requirement and expectation are clear to the contractor and the measures chart can stand alone.  For the target value, only the amount related to the amendment should be entered (not the total).

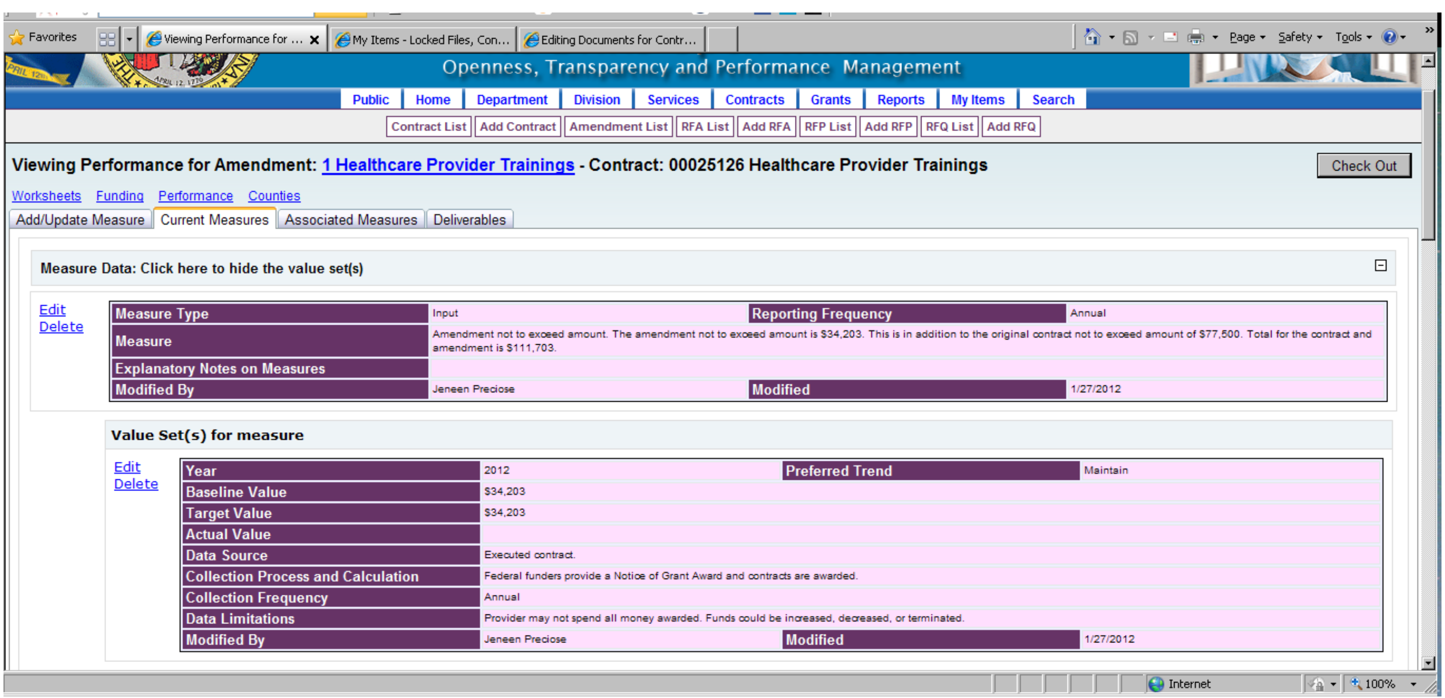
Similar to when you Renew a contract, the measures from the original contract are brought over and appear under the “Associated Measures” tab.  Follow the directions earlier in this guide for Updating and Copying Measures.

**Be sure you are familiar with how to enter, save and edit measures, as outlined earlier in this guide.**

In the example below, the original contract was for $77,500 and the amendment was for $34,203.  It also has additional requirements.  Several measures must be entered and updated (Input, Outputs, Efficiency).  If the new Outputs lead to an Outcome that was different than the ones entered in the original, then a new Outcome measure should be added for the amendment.

For example, Input:
Copy the input measure over from the original.  Change the word “Contract” in “Contract not to exceed amount” to “Amendment” and add the language needed to make it clear to the Contractor and anyone else who reads it what the expectation is.  Be sure to use the word “Contractor” and not provider in the future.

The original measure was: *Contract not to exceed amount.*
For the amendment, it was changed to : *<u>Amendment</u> not to exceed amount.*
And the following language was added to make it clear what the expectation and results are:
*The amendment not to exceed amount is $34,203. This is in addition to the original contract not to exceed amount of $77,500. Total for the contract and amendment is $111,703.*
Note that the Target Value shows ONLY the amount of the amendment.




Follow the same process for all the remaining measures to be changed/added for the amendment.

If you are adding a brand new measure for an amendment, please add the language, *This is a new XXX measure for the amendment*. in the Measure Definition.

Be sure to go to My Items and unlock both the original contract and the amendment when you are finished with them.

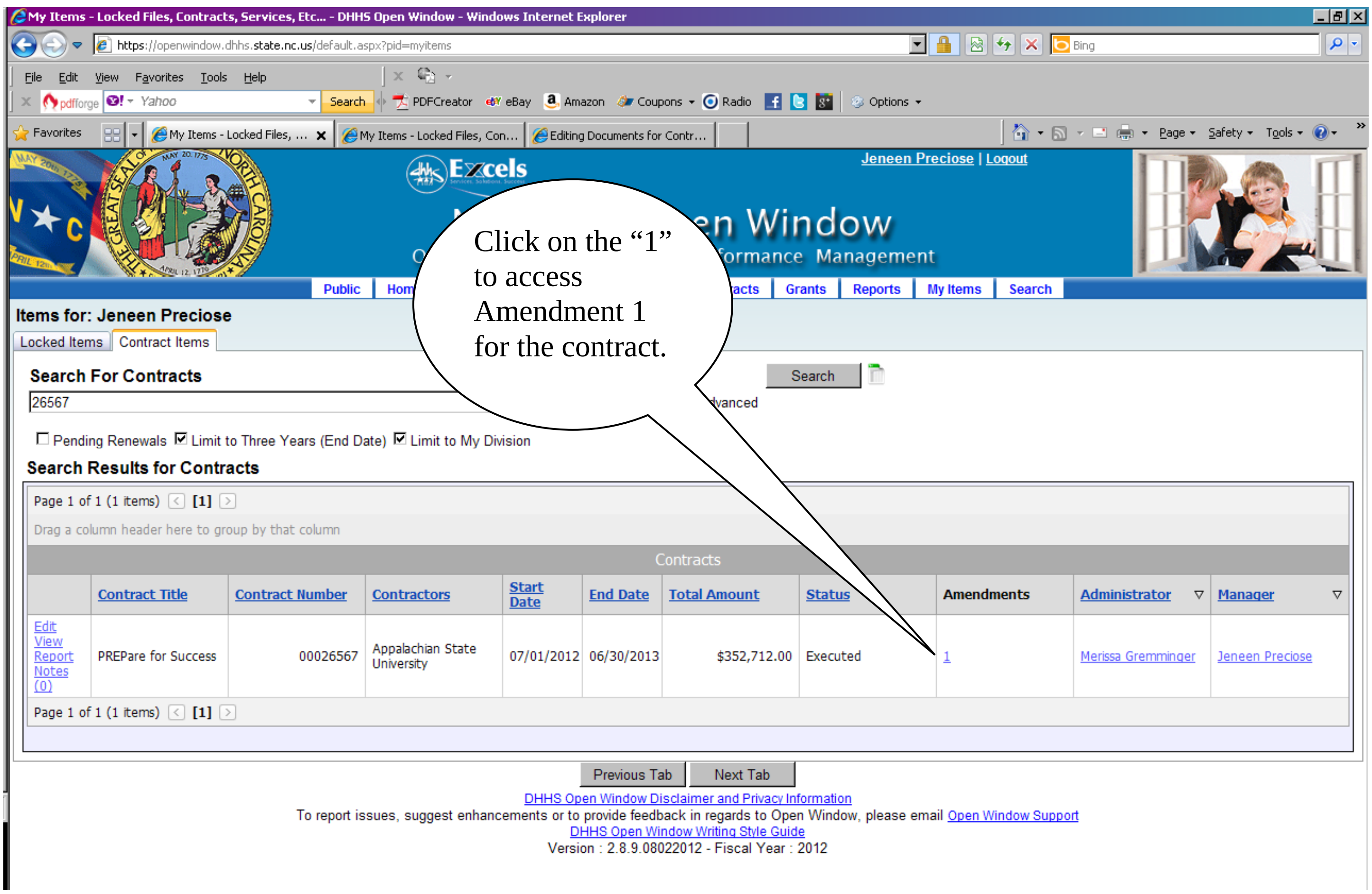
## ACCESSING AN AMENDMENT

To access an amendment once it's been checked back in or unlocked, the process is a bit different than for a regular contract.

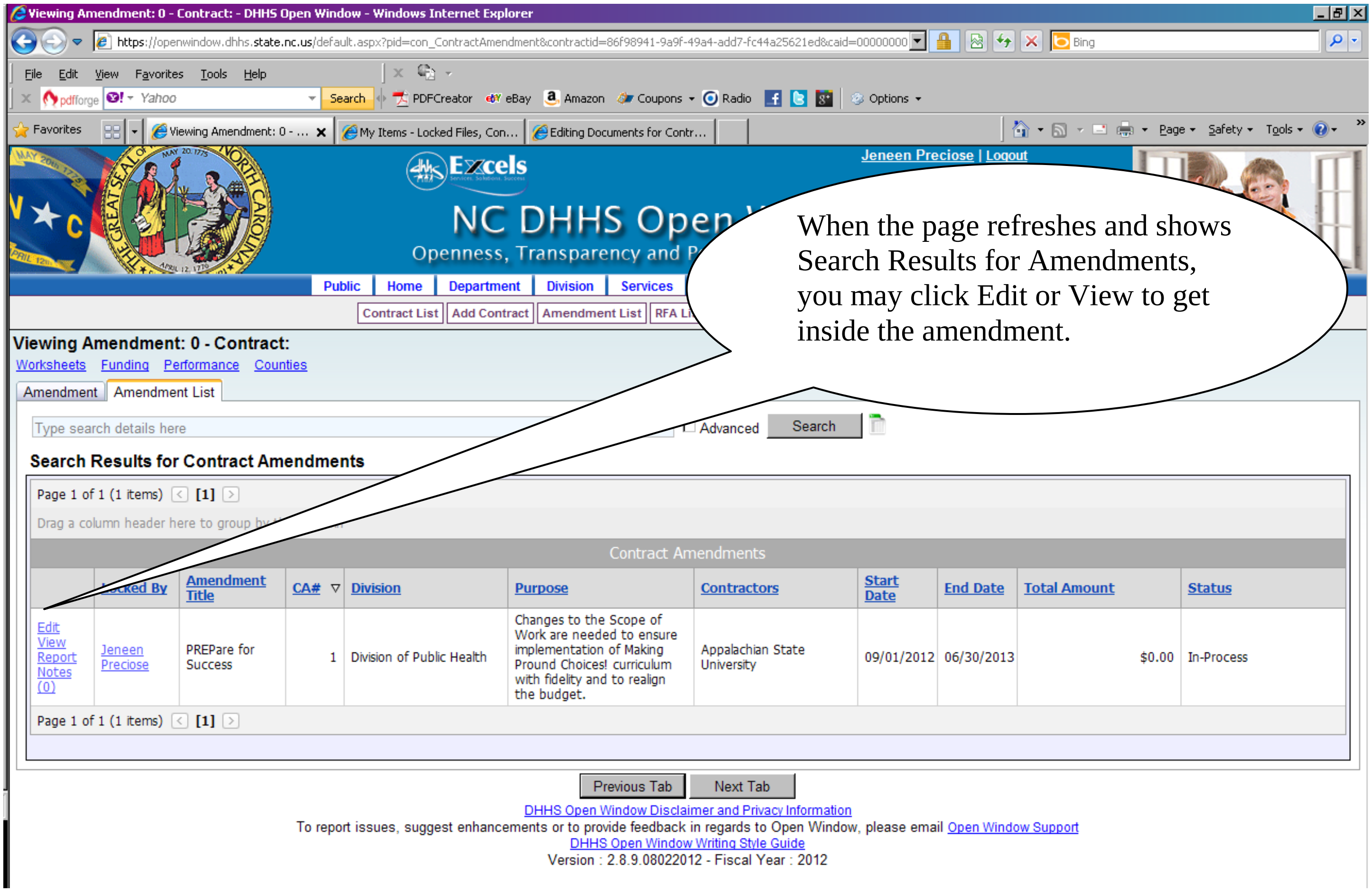
Click My Items, then Click the 2nd tab Contract Items and enter the OW Contract number and click Search.

Do NOT click on "Edit" or "View" at this point – as they will take you to the original contract – not the amendment.

To access the Amendment, click the Amendment Number (e.g. 1, 2, etc.) in the list:




The page will refresh to display the Amendment only.  Then, you may click on Edit or View.




When the page refreshes and shows Search Results for Amendments, you may click Edit or View to get inside the amendment.

## How to find "Missing" Contracts

If you have created a contract in Open Window and you cannot find it, it may be a result of the Division not having been entered, your name not being entered as either the Contract Administrator or the Contract Delegate of the End Date not having been entered or entered incorrectly. It can also happen as a result of a known glitch in Open Window (see last page of this document for details).

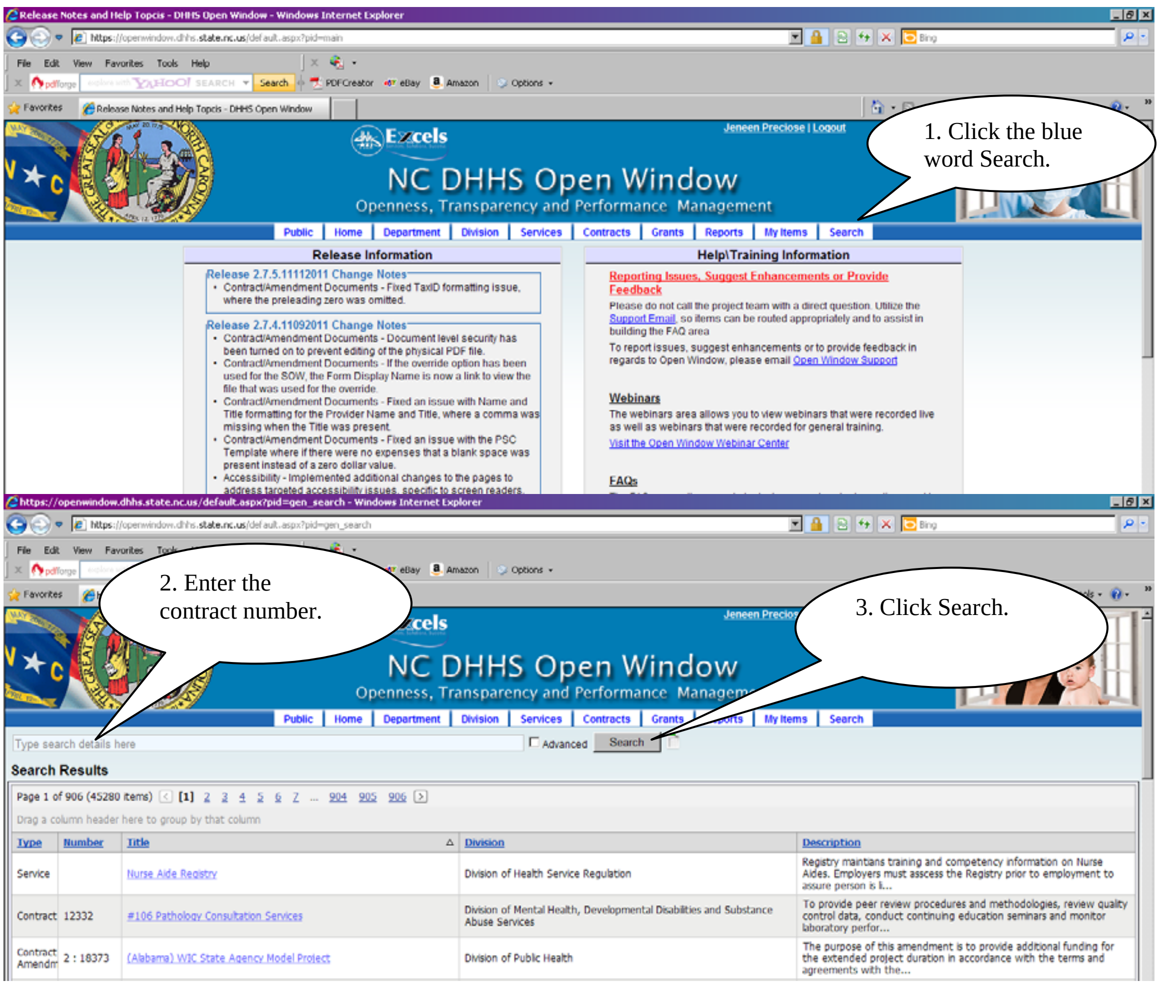
If you cannot find your missing contract, it does not mean that it doesn't exist. Please contact your Contracts Team Leader BEFORE you create another one.

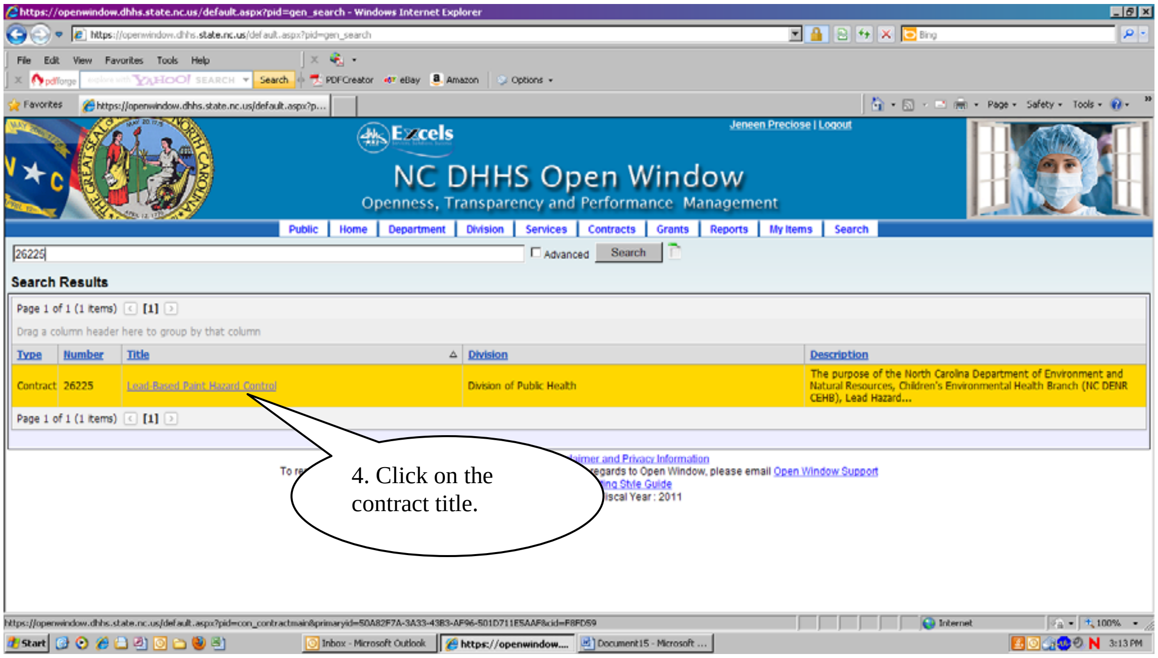
Contracts created in error in Open Window in error CANNOT be deleted. The only alternative is to give them a "Void" status. Please contact your Contracts Team Leader to alert him/her of any contracts that were created in error and need to be voided in the system.

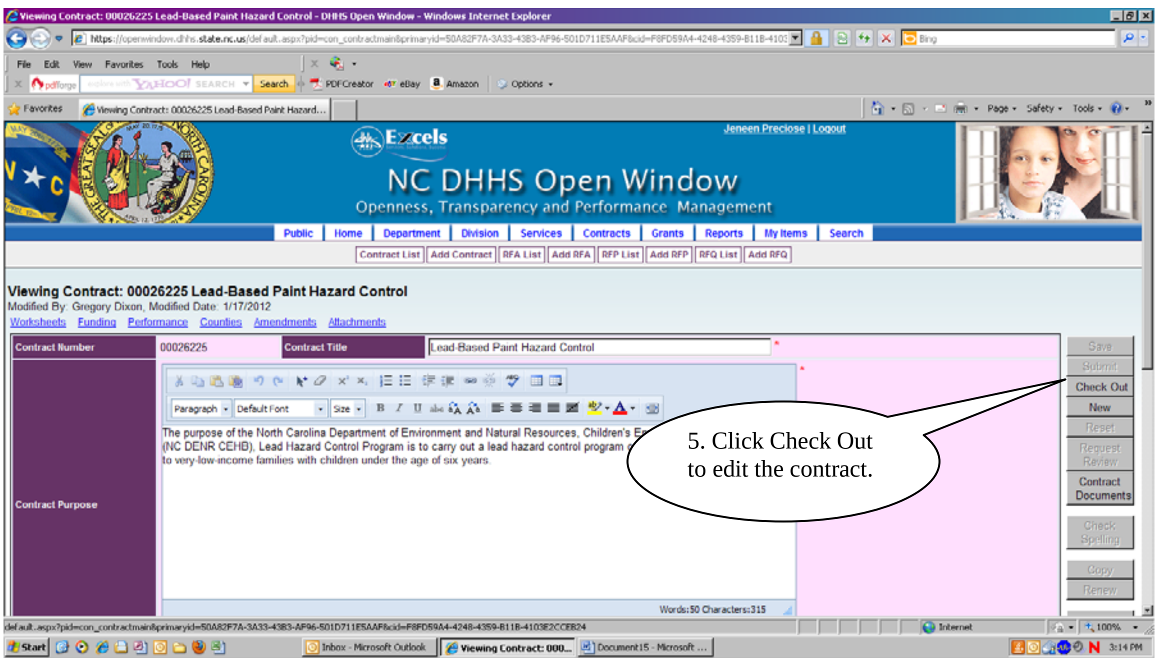
### Using the SEARCH feature to find "Missing" Contracts

Use the Search feature to find your missing contract BEFORE you create another one.

Clicking on a contract through the Search feature automatically enters you in "View" mode. Once you're in the contract, you must click the Check Out button to Edit and Save information.





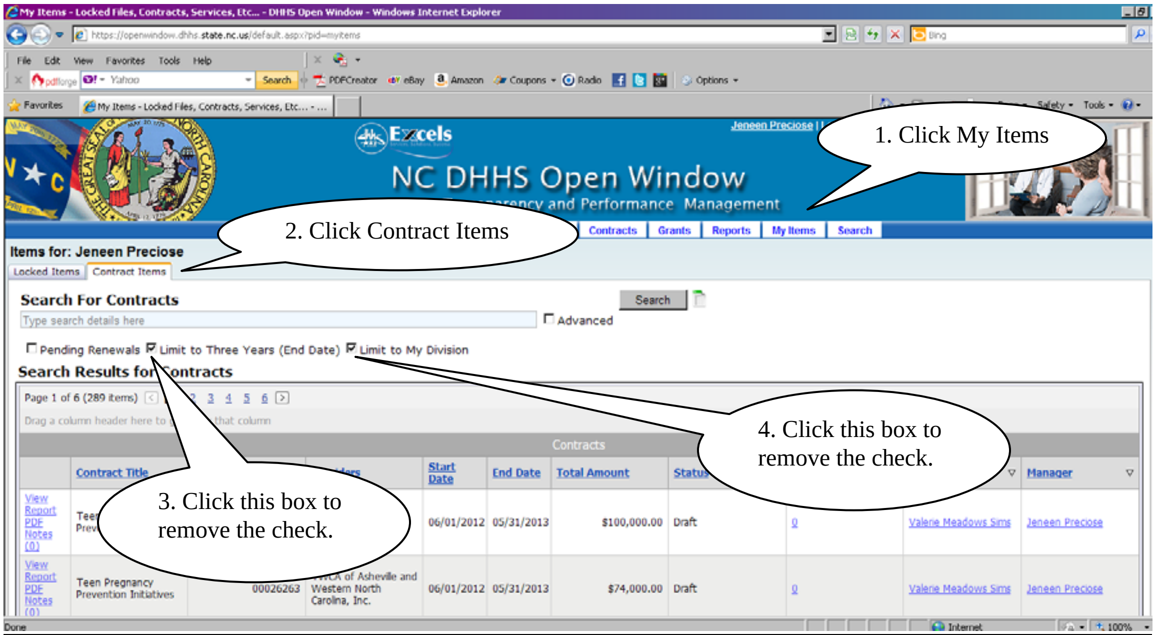



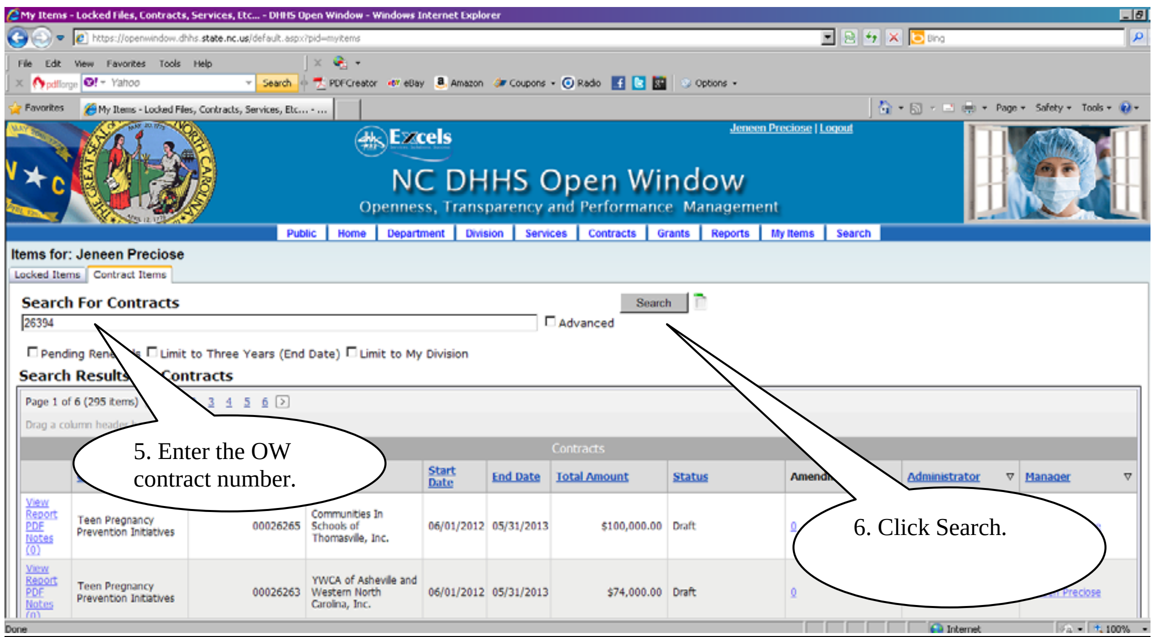

There are also Advanced Search options under this feature, but the field is much more limited than the one under the My Items page. See instructions below for using Advanced Search as the steps are the same.

## USING MY ITEMS TO FIND "MISSING" CONTRACTS

This method will only work if the contract has been saved with your name entered as the Contract Administrator/Manager/Delegate.

Click My Items.
Click on the 2nd tab Contract Items.
Click on the checked box that reads Limit to Three Years (End Date) to uncheck it.
Wait for screen to refresh.
Click on the checked box that reads Limit to My Division to uncheck it.
Wait for screen to refresh.
Enter the OW contract number.
Click Search.

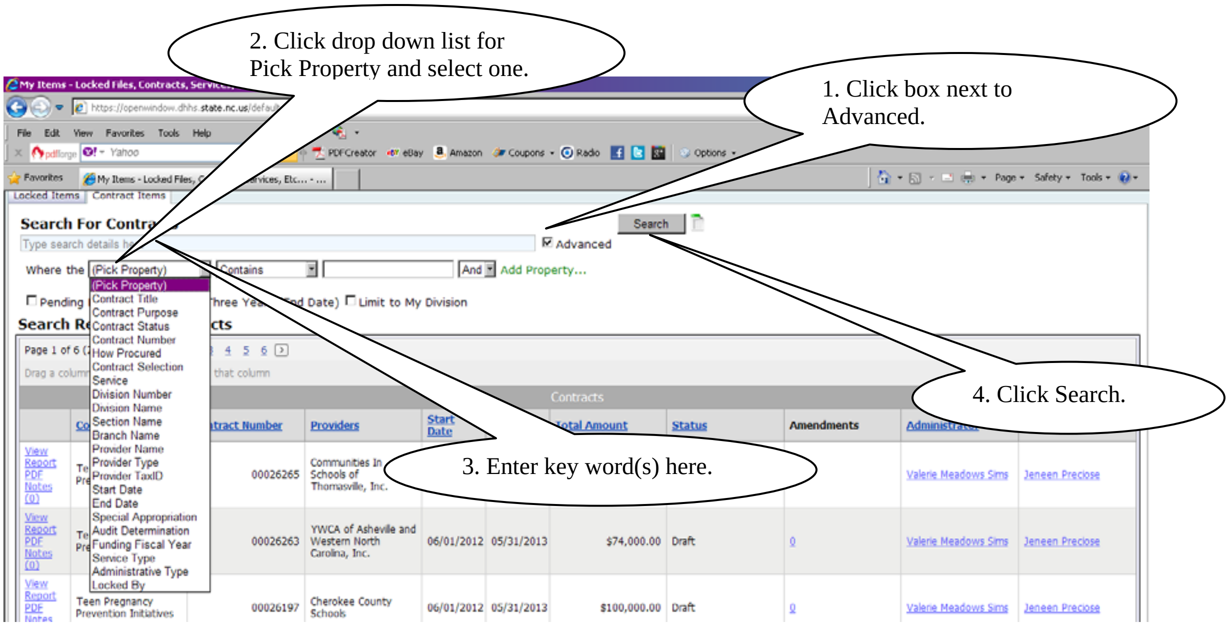



If you don’t know the OW contract number, you can use the Advanced Search option to track it down using an element that you do know.

To use the Advanced Search, click the box next to Advanced (puts a check in the box) and click Pick Property to get a list of elements to choose from. E.g. Provider Name, Provider Tax ID, Contract Title.

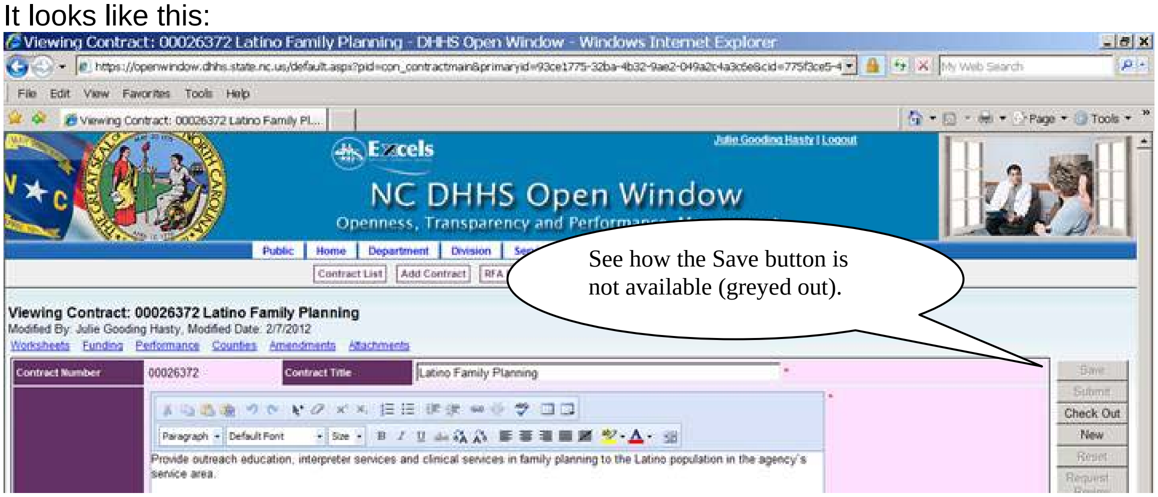
Click the element you want, then enter the key word(s) in the empty box after “Contains”.
Click Search.




### SAVE BUTTON NOT WORKING WHEN RENEWING A CONTRACT

Sometimes when a contract is renewed, the Save buitton is not available to the user. This is a known glitch and has been reported to OW.

It looks like this:




When renewing a contract, please look to see if the Save button is available (i.e. text is black and button can be clicked).

If it is not, do the following steps:

1. Click the Check In button and wait for screen to refresh.
2. Click the Check Out button and wait for screen to refresh.
3. At this point, the Save button should be available for you to click.
4. If it is not, please report it immediately to your Team Leader so it can be reported to the Open Window Service Team.