

OPERATIONS MANUAL FOR TRAINING VENDORS

DECEMBER 2013



**NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES
BUREAU OF TRAINING**

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Capital View Office Park
52 Washington Avenue
Rensselaer, NY 12144-2796
(518) 474-9645

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PREFACE

Welcome to the Operations Manual for Training Vendors (OMTV).

This document is an essential tool for vendor personnel involved with delivery and administration of training agreements with the Office of Children and Family Services (OCFS) Bureau of Training (BT). It reflects BT's commitment to working effectively with vendors through the use of established, consistent process and project management methods.

The OMTV replaces the former Project Operations Manual (POM) that was in place for many years. It reflects a complete redesign and rewrite of its predecessor. The aim is to help vendor management, staff members, and third-party consultants understand the New York State human services training environment, find needed information relating to any particular aspect of contract/work plan operations, and comply with specific requirements. While the document has a new look and format, the vast majority of the underlying policies and procedures are not new.

In consideration of varying needs of manual users – and to enable critical policies and procedures to be easily discernible from background information – the OMTV is organized into three parts as follows:

■ PART ONE: BACKGROUND INFORMATION (Chapters 1 – 9)

- Provides an orientation to the manual and the context in which BT operates.
- Describes the systems that are part of the operating environment for New York State's human services training activities.
- Indicates how to reach BT personnel and other resources.

■ PART TWO: OPERATIONAL REQUIREMENTS (Chapters 10 – 20)

- Identifies critical responsibilities of vendors during and after the Delivery Year.
- Spells out operational policies and procedures regarding each identified process area.
- Reflects the use of the disciplines of process and project management to manage contracts/work plans to get desired results.

QUICK TIP

Vendors are obligated by their contract or memorandum of understanding to comply with the policies and procedures as set forth in Part Two. Whereas Part One provides “good to know” descriptive information, Part Two addresses the “nuts and bolts” of operations and is prescriptive for vendors with active contracts/work plans.

- Indicates when policies/procedures differ depending on the status of the vendor and other variables. Users are responsible for knowing how their organization is classified and for following the applicable policies and procedures.

■ **PART THREE: APPENDICES**

- Contains a glossary, vendor forms and instructions, a staff directory, and the OCFS Copyright Policy.

The Bureau of Training maintains and publishes the OMTV on the OCFS public website. This document supersedes all previous editions of the Project Operations Manual. Part Two (along with **APPENDIX 4**) represent the formal “policy and procedures” equivalent of the Project Operations Manual as may be referenced in existing vendor contracts, MOUs, and agreements.

PART ONE: BACKGROUND INFORMATION

Chapters 1-9 offer foundational information to orient all vendors and individual users.

Vendor personnel involved with contracts/work plans for the Bureau of Training – regardless of their assigned role – will better understand and appreciate specific requirements and procedures when they are briefed on essential background matters and can envision the bigger picture. This part of the manual is intended to serve that purpose.

Chapter content is intended to be, by and large, descriptive in nature. Policy direction is reserved for Part Two. That said, Part Two's content assumes the user is already acquainted with the information presented in Part One. Accordingly, when implementing the operational guidance provided on specific topics, the user may find it helpful to refer back to this part of the manual for a refresher.

1. INTRODUCTION

The purpose of this chapter is to orient users to the manual and help them use it effectively.

1.1 PURPOSE OF THE MANUAL

- This document is designed to set forth policy guidance and explicit procedural instructions for training vendors (entities and individuals) who provide training and training-related administrative activities for the Office of Children and Family Services (OCFS) through formal agreements with the Bureau of Training (BT). The policies and procedures apply not only to primary vendors but also, where relevant, to subcontractors and consultants hired by those vendors for performance of services.
- OCFS establishes “contracts” (with private training providers) and “work plans” (administered under “memoranda of understanding” [MOUs] with public training providers). These vehicles cover a major portion of training for the public human services system in New York State. They address the learning needs of the staff of the 58 county departments of social services; employees of child caring agencies, day care centers, family day care homes and other human services providers; as well as foster and adoptive parents. In addition, employees of New York City are occasionally served by this program.
- The success of the overall program requires that vendors work closely with OCFS throughout the life of the contract or work plan. Each agreement is assigned a BT Training Manager (TM) who will guide and assist vendors throughout the BT business process cycle.
- Management, administrative and training personnel working directly for, or on behalf of, the vendor organization and assigned to the contract/work plan constitute the primary audience for this manual. OCFS holds vendors responsible for understanding and complying with the specified policies and procedures. In turn, it is the vendor’s responsibility to ensure that their program and administrative staff, as well as any subcontractors and consultants, understand and follow the direction provided, to the best of their ability.
- The manual’s second audience consists of BT Training Managers and Financial and Administration Unit staff. They need to know the requirements for vendors (including those mandated by federal and state funding guidelines), as specified in the OMTV. OCFS staff are obliged to provide sound and helpful guidance on the application of the policies and procedures, represent OCFS interests, and facilitate and monitor progress from beginning to end of

QUICK TIP

OCFS encourages training vendors to use the assigned BT Training Manager as their first point of contact for any questions concerning the information presented in this manual. She or he will answer the question directly or work to obtain and convey the necessary information.

a given contract/work plan. BT Training Managers also have at their disposal an internal job guide that is aligned with this document.

- Other anticipated manual users include:
 - OCFS staff in other parts of the agency;
 - Staff in other state agencies that are partners with and/or have a direct stake in the deliverables;
 - Subcontractors;
 - Funding agents (such as those in federal departments); and
 - Auditors.

1.2 SCOPE OF THE MANUAL

- This manual seeks to provide sufficient background and a full range of guidance points concerning key activities required of training vendors with active contracts/work plans. The heart of the manual is Part Two, which drills into the specifics of implementation and accountability (i.e., Years Two and Three of BT’s business cycle. **SEE ALSO:** 7 Bureau of Training Contracting Business Cycle.)
- The manual does not go into detail about the processes and requirements associated with proposal development (i.e., Year One of BT’s business cycle). These are provided in a separate packet that is updated and issued yearly at the time of solicitation.
- The manual does not cover, nor is it intended to be a substitute for, requisite professional skills on the part of vendor staff, consultants, and subcontractors.

1.3 HOW THE MANUAL IS CONSTRUCTED

- Effort has been made to present information logically. The presentation of material typically proceeds from general to specific. Information is also sequenced as a series of chronological phases, activities, or steps where appropriate.
- Many topics and processes overlap. As such, frequent cross references have been included to point the user to related sections. While effort was made to minimize redundant information, on occasion a policy may be repeated in two sections to maintain clarity and coherence.
- Tables and diagrams are provided to help users distill the essentials, see the relationship among elements, and translate the stated policies and procedures into practice. “Quick Tips” and “Notes” are also included to reinforce or build on points made in the text.
- Throughout Part Two, the syntax used for “Procedures” assumes that the agent for the stated action is the vendor (more specifically, an individual who is working on behalf of the vendor and is authorized for the task). Thus, if a procedure reads “Complete form x,” the instruction is intended for the vendor. The syntax will change for exceptions to this pattern.

1.4 TERMINOLOGY

- The Bureau of Training applies a specific meaning to a number of key terms. **EXHIBIT 1** highlights selected key terms to aid the user. Further, a more extensive Glossary is provided in **APPENDIX 1**.
- Situations will inevitably arise when the same word or phrase carries a different meaning in two different contexts. While effort has been made to help users properly interpret word usage and avoid possible ambiguities or misunderstandings, users should be alert to this issue and seek clarification when communicating with BT staff, if needed.

1.5 FORMS

- Throughout this manual reference is made to various forms to be completed and submitted by vendors. A directory of forms is provided in **APPENDIX 2**.

1.6 PRECEDENCE OF REQUIREMENTS

- Because the manual sets forth BT policies and procedures relating to the contract/work plan Delivery Year, it addresses many topics also touched on by formal terms and conditions included in the unique contract, memorandum of understanding, and/or training agreement between a given vendor and OCFS. In the event of any conflict between: 1) the information provided herein, and 2) the formal terms and conditions of the vendor's contract, MOU or agreement, the latter takes precedence.

1.7 CONTINUOUS IMPROVEMENT OF THE MANUAL

- The Bureau of Training intends to keep the vendor manual as up-to-date as possible to reflect any changes in context, specific policies and/or procedures.
- Under the terms of existing memorandums of understanding between certain public vendors and OCFS, the *Project Operations Manual* (POM) – henceforth to be called the *Operations Manual for Training Vendors* (OMTV) – shall be revised only after those public vendors are offered a 60-day opportunity to comment on proposed revisions.
- BT anticipates that end-to-end updating will occur no more frequently than once a year. If BT determines that, in the best interests of the state and its training vendors, a targeted correction to the manual cannot be put off until the next version release, it will notify current training vendors about the specifics of the change.
- Constructive input from users about possible ambiguities, discrepancies, or inaccuracies is welcome. Please direct such comments to the Assistant Director for BT Finance and Administration.

EXHIBIT 1: KEY TERMS AND DEFINITIONS USED IN THE MANUAL

TERM	DEFINITION
Training	Includes both training and related administrative services, unless a more specific definition is indicated.
Vendor	Refers to private and public entities who formally agree to provide services on behalf of OCFS. In this and related documents, “vendor” may also be called “trainer,” “provider” or “contractor.” Vendor is the state’s preferred terminology.
Contract/ Work Plan	<p>A contract is a written agreement established between OCFS and a private vendor, and is enforceable by law. An annual agreement, including a work plan, may be established based on a multi-year contract, to define the deliverables for a given year.</p> <p>When the vendor is a state entity, typically an ongoing written memorandum of understanding substitutes for a contract. An annual agreement, including a work plan, is established to define the deliverables, terms and conditions that the vendor is expected to meet during a given year.</p> <p>For the purposes of this manual, “contract/work plan” refers to the approved document that specifies the work to be performed and delivered during the Delivery Year and the approved budget and funding for that work.</p>
Project	<p>Refers to a specific undertaking that meets the following criteria:</p> <ul style="list-style-type: none"> • Free-standing temporary effort consisting of a set of related activities designed to achieve a specific outcome or result; • Has a defined start and finish; and • Creates a unique product or service. <p>In the BT environment, the contract/work plan may include one or more specific projects to be accomplished within the total scope. NOTE: The previous POM used “project” synonymously with contract/work plan. This is no longer the case.</p>
Deliverable	Refers to a specific product or service (including quality and quantity) that the vendor is responsible to provide during the year covered by a contract/work plan. A contract/work plan may have multiple deliverables. Some of the deliverables may require a project. Others may be transactional or process driven.
Days	Refers to calendar days unless otherwise indicated. The usual reference is in relation to required due dates or time frames.

2. ORGANIZATIONAL ENVIRONMENT

The purpose of this chapter is to orient users to: 1) the key organizations that make up the human services training delivery system on behalf of New York State; and 2) the training audience for this system.

2.1 NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES

- **Mission:** “The Office of Children and Family Services (OCFS) serves New York’s public by promoting the safety, permanency and well-being of our children, families and communities. We will achieve results by setting and enforcing policies, building partnerships, and funding and providing quality services.”
- OCFS is dedicated to improving the integration of services for New York’s children, youth, families, and vulnerable populations; promoting their development; and protecting them from violence, neglect, abuse, and abandonment. The agency provides a system of family support, juvenile justice, child care, and child welfare services that promote the safety and well-being of children and adults.
- The agency’s operating principles state that across all program areas, services should be:
 - Developmentally appropriate;
 - Family-centered and family-driven;
 - Community-based;
 - Locally responsive; and
 - Evidence- and outcome-based.
- OCFS is responsible for programs and services involving foster care, adoption and adoption assistance, child protective services (including operating the Statewide Central Register for Child Abuse and Maltreatment), preventive services for children and families, services for pregnant adolescents, and protective programs for vulnerable adults. OCFS is also responsible for the functions performed by the Commission for the Blind and Visually Handicapped (CBVH) and coordinates state government’s response to the needs of Native Americans on reservations and in communities.
- The agency provides oversight and monitoring of regulated child care (family day care, group family day care, school-age child care, and day care centers outside of New York City), legally exempt child care, child care subsidies, child care resource and referrals, and the Advantage After School Program, and also provides services and programs for infants, toddlers, preschoolers, and school-age children and their families.
- OCFS is currently responsible for all elements of the state’s juvenile justice programs, including transformation of the juvenile justice system, and managing and monitoring a system of residential facilities and reception center programs for juvenile delinquents and juvenile offenders placed in the custody of the Commissioner by family and criminal courts. The agency works closely with municipalities such as local social services districts and county youth bureaus so that adequate youth development services and programs are available at the local level.

- The agency’s Executive Office encompasses the Office of the Commissioner, the Office of the Executive Deputy Commissioner, the New York City Executive Office, the Office of the Ombudsman, the Office of Equal Opportunity and Diversity Development (EODD), and Executive Services. It provides overall leadership, management, coordination, and administration of agency operations and mission-driven priorities.
- OCFS divides its responsibilities into two main areas: program and support. The program divisions/offices include:
 - Division of Child Care Services (DCCS);
 - Division of Child Welfare and Community Services (DCWCS),
 - Division of Juvenile Justice and Opportunities for Youth (DJJOY); and
 - The Commission for the Blind and Visually Handicapped (CBVH).
- The support divisions/offices include:
 - Division of Administration (Admin);
 - Division of Legal Affairs (Legal);
 - Office of Communications (Communications);
 - Office of Strategic Planning and Policy Development (SPPD); and
 - Office of Special Investigations (SI).
- OCFS maintains regional offices in Albany, Buffalo, Long Island, New York City, Rochester, Spring Valley, and Syracuse and to support agency programs and partnerships with stakeholders and providers.
- For additional information about the agency, go to the OCFS website at: ocfs.ny.gov

2.2 BUREAU OF TRAINING

- **Mission:** “Develop, implement, and manage work force and professional development learning programs and strategies for the staff of the Office of Children and Family Services, local social services districts, voluntary provider agencies, and child care service providers. The Bureau of Training accomplishes this by providing them with knowledge, skills, and abilities to develop competencies to effectively and efficiently serve the children, families, and vulnerable adults of New York State.”
- The Bureau of Training (BT) is part of OCFS Human Resources within the Division of Administration. The Division also includes Financial Management, Budget Management, Contract Management, Management Support, and Audit and Quality Control.
- Mandates for the Bureau of Training’s functions and activities are found in various provisions of the state Executive Law, Social Services Law, New York State Code of Rules and Regulations (NYCRR), Public Health Law, OCFS regulations, and American Correctional Association standards (ACA).
- Training provided through the Bureau is a vital component to support the implementation of several OCFS priorities, in particular:

- Mandated training for staff of residential facilities;
 - Enhanced training and best practice models for child protective service workers and supervisors;
 - Training for the prevention of domestic violence;
 - Training and information for mandated reporters and the general public on child abuse and neglect;
 - Expansion of adult protective services training; and
 - Foster and adoptive caregivers training.
- BT facilitates collaboration between juvenile justice and child welfare operations to: support the alignment of services for adolescents by combining training services; provide cost-effective distance learning opportunities for local district and voluntary agency staff; and align training of state staff with operational priorities developed by agency program divisions including new employee orientation, supervisory, management, and systems training.
 - BT provides for the delivery of training to more than 100,000 (estimated) local staff in social services districts and provider agencies, including child welfare staff, day care providers, mandated reporters (as defined by statute) of suspected abuse or neglect, and foster and adoptive parents. As a means to this end, BT staff manage multiple training contracts and agreements that support local district staff development in operations and systems.
 - The Bureau is comprised of the following six units:
 - **Local District/Child Care/Child Welfare Unit:** Consists of Training Managers and supervisors who directly manage the training contracts and agreements. Staff members interact with vendors, state agency programs, local districts, and other stakeholders on the identification of training needs, planning for and procurement of training services, implementation of contracts/work plans, review and approval of work products, and evaluation of outputs and outcomes.
 - **Finance and Administration Unit:** Administers the training financial and contract accounts and records, fiscal training plan, claims, and reimbursement. Liaison to other agency, federal, state, and local fiscal/contract management entities outside of BT.
 - **Training Technology Unit:** Delivers and supports customized training technology systems used for tracking participation of state, local district, and provider agency staff in training and administrative activities. These systems maintain the information critical to the fiscal and programmatic management of training contracts and agreements.
 - **Distance Learning and Media Development Unit:** Develops, supports, set standards for, and consults on a variety of technology-supported learning products. Offers a variety of techniques and modalities to expand the reach of learning opportunities.
 - **Management and Professional Development Unit:** Plans, designs, develops and delivers training in-house for OCFS staff and others as requested.

- **Parker Training Academy and Mid-Hudson Training Center:** Regionally based training centers that host training delivery for state OCFS staff and others.

2.3 TRAINING VENDORS

- The Bureau of Training works with a number of primary vendors (also sometimes referred to as contractors or training providers) in order to accomplish its mission. These vendors fall into two general categories:
 - **PRIVATE VENDORS:** Non-governmental, non-profit or for-profit entities; and
 - **PUBLIC VENDORS:** Public universities and other governmental entities.
- With the private entities, OCFS typically establishes multi-year contracts for delivery of training products and services. Annual work plan agreements (inclusive of work plans) are created based on the multi-year contract, pursuant to specifications issued by BT that are responded to in proposals written by the vendors. Occasionally, contract amendments are made in response to newly identified or changing needs. **SEE ALSO:** 19.4 Making Contract Amendments.
- In the case of the public entities, in lieu of a contract, the base agreement typically takes the form of a Memorandum of Understanding (MOU). MOUs have remained in place for several years. Annual work plan agreements are created based on the MOU, the BT specifications, and the vendor’s proposals.
- In the context of these business relationships, the term “vendor” can refer to: 1) the organization holistically; 2) the principal person representing that entity, or 3) the individual staff or teams of staff who perform the work. Bureau of Training managers typically interact with the vendor principals, while Training Managers may interact with both principals and staff.
- Vendors often engage “consultants” and “subcontractors” (also referred to as “third-party vendors”) to work on their deliverables, subject to certain conditions. **SEE ALSO:** 15.6 Establishing a Subcontract under a Contract/Work Plan.

QUICK TIP

Specific processes, policies, and procedures the vendor must follow during the Delivery Year can vary depending on the classification of the vendor organization and the terms of its agreement(s) with BT. Thus, it is important for vendor personnel and consultants to know how BT classifies the vendor.

2.4 HUMAN SERVICES TRAINING AUDIENCE

2.4.1 Training Populations and Eligibility

- The Bureau of Training’s external training initiatives are targeted for a variety of trainee populations. Altogether, the estimated number of trainees served is approximately 100,000. The primary focus is on local social services district staff, the staff of voluntary provider agencies, child welfare stakeholders, child day care providers, and foster and adoptive parents.
- BT also provides training programs for OCFS staff (such as staff in the Division of Juvenile Justice and Opportunities for Youth facilities), as well as staff in other state agencies such as the Office of Temporary and Disability Assistance (OTDA) and the Department of Health (DOH). However, under most circumstances these are not the main audience for the training vendors.
- Due to requirements associated with federal funding streams, the training population for selected OCFS-sponsored training contracts/work plans and deliverables is limited to certain eligible groups. OCFS BT and the training vendors with whom it partners work together to maintain compliance with those requirements.

2.4.2 Local Districts of Social Services

- In planning for the delivery of training to human services staff statewide, BT works extensively with local district of social services offices (LDSSs) covering every county of the state. LDSSs range from small/rural to large/urban areas including New York City. Each district serves a variety of constituencies. (See **EXHIBIT 2** for a map of OCFS local/regional operations.)
- Districts provide services through several major federal and state programs. These include but are not limited to:
 - Temporary Assistance for Needy Families (TANF);
 - Supplemental Nutrition Assistance Program (SNAP);
 - Medicaid;
 - Foster and Adoptive Families;
 - Child Protective Services;
 - Adult Protective Services;
 - Child Day Care Subsidy;
 - Residential Child Care; and
 - Welfare to Work programs.
- Many districts face severe fiscal challenges that constrain staffing levels, human resources development efforts, and service delivery. Constant effort is made to prioritize resources and training offerings to meet the most pressing needs as economically and equitably as possible.
- “Staff Development Coordinators” (SDCs) are important local-level players in the total system for delivering human services training and development programs statewide. Each district has at least one SDC on staff responsible for arranging for training of DSS staff employed in their county. SDCs

are expected to understand the training needs of their individual county and, working in conjunction with state and county personnel, to develop local training plans to meet those needs.

- SDCs may participate in annual needs assessment and planning meetings, adding the district perspective, and may also be invited to play a role in reviewing proposals and participating in selection meetings for advertised projects.

2.4.3 Provider Agencies (Voluntaries)

- Many participants in BT-sponsored training are employed by private human services agencies – often referred to as “voluntaries.” These agencies provide a wide range of human services, often operating under a contract with an LDSS or OCFS. Provider agencies may be licensed, certified, regulated, or monitored by OCFS (and/or other state agencies). They range in size from large, multi-site organizations serving a large geographic area to small organizations serving a local neighborhood.
- For child welfare-related training, these contractual providers include foster care, adoption, prevention, independent living service providers, and residential child care providers. Private sector human services organizations that do not meet this definition, even if they provide other services to children and families, are generally not eligible to receive child welfare training under BT contracts/work plans unless funding arrangements are in place for that express purpose.
- With respect to provider agencies, a distinction is sometimes made between direct child care workers (for residential child care) and case workers/case managers/social workers (non-direct care staff in residential care). Some federal training funding sources differentiate between these two groups for purposes of trainee eligibility. For this reason, trainees, vendors, and OCFS are obligated to pay close attention to coding accurately the status of individual trainees (i.e., direct versus non-direct care workers) in training enrollment rosters and records.
- **SEE ALSO:** 17.3 Registering Participants / Verifying Eligibility / Recording Attendance.

QUICK TIP

Vendors are not responsible for determining target populations/eligibility for training programs, but they do become involved with controlling implementation of trainee eligibility.

2.4.4 Child Welfare Stakeholders

- For some human services training initiatives, additional eligible trainees may be “child welfare stakeholders” – individuals who play key roles in the public welfare system. These groups are also sometimes referred to as “non-traditional” or “non-Title IV-E eligible” trainees because they fall outside the populations identified as appropriate for training under Title IV-E funding.
- Examples include family court staff, court-appointed special advocates, county attorneys, law guardians, county probation officers, county mental health staff, county public health staff, county youth bureau staff, and other community services providers as long as they have a role in public child welfare services. Stakeholders may also include staff providing post-residential services for youth (e.g., OCFS aftercare services) and other state staff.

- **SEE ALSO:** 3.3 Special Characteristics of Title IV-E Funding.

EXHIBIT 2: NEW YORK STATE OCFS LOCAL/REGIONAL OPERATIONS MAP



3. BUDGETING ENVIRONMENT

The purpose of this chapter is to orient users to the key budgeting entities, systems, funds, and concepts related to training contracts/work plans.

3.1 BUDGETING ENTITIES

- On fiscal matters relating to the contracts/work plans, vendors interact regularly with the BT Finance and Administration Unit (F&A).
- BT in general, and F&A specifically, operate in the context of a larger budgeting system. They work in concert with, take direction from, and are in many ways accountable to several other entities, which include but are not limited to:
 - **OCFS Commissioner’s Office and program offices:** Working in conjunction with the Executive Chamber, provide policy/program direction regarding priorities for use of funds.
 - **OCFS Division of Administration, Bureau of Budget Management (BBM)/Bureau of Financial Management (BFM)/Bureau of Contract Management (BCM):** Work together to manage OCFS budget and accounts, and process and approve claims. Establish the Training Fiscal Plan, based on input from BT F&A, subject to approval by the Division of the Budget. Review and approve contracts (subject to final approval by the Attorney General’s Office and the Office of the State Comptroller) and work plans.
 - **New York State Division of the Budget (DOB):** An executive branch agency of New York State Government, reporting to the Governor. Oversees the agency’s budget, cash ceiling, and spending. Approves the Training Fiscal Plan.
 - **New York State Office of the State Comptroller (OCS):** Headed by an independently elected official. Functions as the state’s treasurer. Issues payments for properly submitted and approved vouchers, and may conduct audits of state and local agency expenditures (among its many key roles).
 - **The New York State Legislature:** Must appropriate the funds, including federal funds, based on the Governor’s recommended budget.
 - **US Department of Health and Human Services (DHHS):** Functions as the United States government’s principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves. Represents almost a quarter of all federal outlays. Works closely with state and local governments. Many DHHS-funded services are provided at the local level by state or county agencies, or through private sector grantees.

3.2 SOURCES OF FUNDING

- OCFS BT uses numerous federal and state sources of funds to support its contractual training program. OCFS serves as a federal “pass-through” agency for child welfare funding and receives funds in the form of up-front grants or through the cost reimbursement and claiming process. The commonly used federal funding sources are from the federal Social Security Act as follows:
 - **Title II** – Federal Old-Age, Survivors, and Disability Insurance Benefits (also known as Disability Determinations)
 - **Title IV** – Grants to States for Aid and Services to Needy Families with Children and for Child Welfare Services. Includes:
 - Title IV-A – Temporary Assistance for Needy Families (TANF)
 - Title IV-B – Child and Family Services (Child Welfare)
 - Title IV-D – Child Support Enforcement
 - Title IV-E – Foster Care and Adoption
 - **Title XIX** – Health and Long Term Care (HLTC) Medical Assistance Programs
 - **Title XX** – Block Grants to States for Social Services (e.g., Child Protective Services) and Elder Justice (e.g., Adult Protective Services)
- Title IV-E funds for training carry special requirements regarding their use and can necessitate extra administrative effort by vendors and BT. **SEE ALSO:** 18.7 Preparing Claims Involving Federal Title IV-E Funds.
- Some federal funds (e.g., Title XX funds) are capped by the federal and/or state government and alternate, additional resources (such as grants) may need to be sought to support an initiative.
- In addition to federal funds, state funds are used. These funds fall into two general categories:
 - **Federally non-participating (FNP):** These are state dollars that are required as cost-sharing funds in order to draw down federal dollars.
 - **Other state dollars:** Additional state investment needed to reach the reimbursement level established by a vendor for a contract/work plan.
- The OCFS Bureau of Training and its training vendors apply standard accounting principles promulgated by various federal and state regulations. The United States Office of Management and Budget (OMB) establishes principles and standards for determining costs for federal awards carried out through grants, cost reimbursement contracts, and other agreements with state and local governments and federally recognized Indian tribal governments (governmental units). The general administration of federal Public Welfare funding is governed by Title 45 – Public Welfare of the United States Code of Federal Regulations (CFR).

- OCFS must comply with the OMB Circular A-87; educational institutions such as SUNY or CUNY must comply with OMB Circular A-21 and OMB A-87; and private, non-profit organizations must comply with A-87 and A-122. OCFS, public vendors, and private vendors must all comply with OMB Circular A-133. These circulars are found at: <http://www.whitehouse.gov/omb/circulars>
- Requirements for the funding streams used to fund contractual human services training programs are complex. Contributing to this complexity is the fact that different federal programs stipulate specific training populations. In addition, different funding sources have different federal financial participation (FFP) reimbursement levels. Throughout the year, the Bureau of Training, Training Managers, and training vendors all direct considerable effort toward collecting and keeping the requisite data for accountability purposes. Many of the policies and procedures in this manual are designed to support this objective.

QUICK TIP

Given the differences in requirements for reimbursement tied to various funding sources, the Bureau of Training works closely with its vendors to verify that only eligible target groups are included in the training activities. The contracts/work plans provide important data to support this process.

3.3 SPECIAL CHARACTERISTICS OF TITLE IV-E FUNDING

- Use of funds under Title IV-E of the Social Security Act adds to the complexity of budgeting, accounting, claiming, and reporting requirements for OCFS and vendors. Title IV-E is the most restrictive of the federal funding sources. It provides for different rates of federal reimbursement for different types of activities (training versus administrative activities) as well as for different types of training participants (voluntary agency staff and court personnel versus other trainee populations).
- Staff eligible for Title IV-E funded training include caseworkers and supervisors employed by county departments of social services who handle foster care or adoption cases as case planners or case managers, social workers and caseworkers in approved agencies (also referred to as provider agencies) who handle foster care or adoption cases, and foster and adoptive parents.
- Vendors whose contract/work plan budgets include Title IV-E funding will be instructed regarding special recordkeeping on training participants and eligibility, and will also be instructed to break out (i.e., separately identify, track, and report) the administrative activities costs (both at the budgeting and claiming stages) from the total contract/work plan budget and expenditures, respectively.
- **SEE ALSO:** 2.4.4 Child Welfare Stakeholders and 18.7 Preparing Claims Involving Federal Title IV-E Funds.

3.4 VENDOR SHARE AND MATCH PRODUCTS

- Training agreements with *public* vendors (and New York State land grant institutions) may include “Vendor Share” and related “Match Products” in their budgets.
- **Vendor Share** is another term for cost-sharing. Federal guidelines dictate what can and cannot be applied for cost-sharing. The 45 CFR Section 92.24 states that:

A matching or cost sharing requirement may be satisfied by either or both of the following: (1) Allowable costs incurred by the grantee, sub-grantee, or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-Federal grants or by other cash donations from non-Federal third parties. (2) The value of third party in-kind contributions applicable to the period to which the cost-sharing or matching requirements apply.

- **“Match Products”** are training materials the vendor contributes to the work plan without compensation as part of the “match” contribution to the total budget.
- As further background, federal funds typically may constitute 50 to 75 percent of the total cost of a particular contract/work plan, depending on the funding source. The remaining costs must be paid with state or local monies. Since OCFS does not have sufficient funds available to cover the entire state/local share, a portion is usually contributed by other public agencies providing training and administrative services through the MOU agreements. Thus, public vendors share the costs of the human services training they deliver.
- Vendor-contributed costs must directly relate to services provided under the vendor’s contract/work plan. Contributed funds must be state or local in nature. No private funds can be used for cost-sharing.
- The vendor develops the cost-sharing budget plan at the proposal stage, detailing the composition of the costs that will be contributed by the vendor. The plan is finalized in the agreement approval stage. The amount of cost sharing that a public vendor will contribute toward the total budget is a determining factor on what the reimbursement rate becomes.
- Public universities sometimes contribute faculty staff time to deliver match products. Costs associated with this type of cost-sharing contribution include the proportion of salary, fringe and applicable indirect costs. In this example, the costs associated with the faculty contribution are paid by the university with non-federal funding and are not reimbursed by OCFS. Public universities may also “waive” a portion of the applicable indirect costs to contribute towards cost sharing in the work plan budget. In this instance, waived indirect becomes a non-collected cost.
- As noted, cost-sharing is *estimated* prior to the Delivery Year. The estimates are used to establish a “vendor share percentage” to apply to the gross work plan costs downstream, when vendors prepare and submit reimbursement claims. The eventual reconciliation of cost-sharing claims is performed under the terms and conditions of the MOU.
- **SEE ALSO:** 18.2 Maintaining Cost Accounts and 18.5 Preparing Claims for Reimbursement – Specific Requirements for Public Vendors.

3.5 VENDOR COST REIMBURSEMENT RATES

- OCFS reimburses vendors for the majority of the costs of their services and products under BT training agreements.
- Reimbursement is based on actual deliverables and satisfactory claims filed by vendors (e.g., vouchers). The reimbursement rate is set as a percentage of the total costs and can be found in the vendor's approved contract/work plan.
 - **PRIVATE VENDORS ONLY:** The reimbursement rate for a private vendor is typically set at 95% because no private non-profit funds may be used towards match or cost sharing. The remaining 5% is the administrative fee assessed by OCFS (see the subsection "Administrative Fee," below, for an explanation).
 - **PUBLIC VENDORS ONLY:** The reimbursement rate for a public vendor is determined by the vendor when determining the costs for their work plan budget and reflects an adjustment for cost sharing.

3.6 FEE TO TRAINING MANAGEMENT AND EVALUATION FUND

- All vendor budgets for training include an administrative fee that will be deposited to the OCFS Training Management and Evaluation Fund (TMEF). The federal government allows OCFS to charge vendors this fee for the state's role in administering the human services training initiatives. It is non-reimbursable to vendors. In rare instances, the fee may be waived and only at the discretion of the BT Director.
- As additional background, in 1979 the New York State Department of Social Services (predecessor of OCFS) was approved by the federal Bureau of Budget Management and Administration to assess its training providers (vendors) a percentage of gross contract costs and to use those funds for training contract management and administration. The rate is currently set at 5%. This percentage is an administrative charge levied by the state against the vendor as a deduction to their monthly expenditure claims.
- The Training Management and Evaluation Fund (TMEF) is used for cost allocation plan (CAP) purposes. The TMEF serves two purposes. First, it is considered state funding that can be used as cost-sharing funds when the state draws down federal funds. Second, these assessed fees are deposited into a revenue account. OCFS uses the account to offset its cost for monitoring, administration, and evaluation of training contracts.

3.7 BASIC BUDGETING CONCEPTS

This section is included for the benefit of vendor staff lacking in basic budgeting background.

3.7.1 Personal Services and Non-Personal Services Costs

- In a general budgeting context, budgets are built by identifying costs in two main categories: “Personal Service Costs” (PS) and “Non-Personal Services Costs” (NPS), also referred to as “Other than Personal Services” (OTPS).
- **Personal Services Costs** equate to compensation for personnel including all remuneration, paid currently or accrued, for services rendered during the period of performance, including but not necessarily limited to wages, salaries, and fringe benefits. **Fringe benefits** are allowances and services provided by employers to their employees as compensation in addition to regular salaries and wages. Fringe benefits include, but are not limited to, the costs of leave, employee insurance, pensions, and unemployment benefit plans. With some exceptions, the costs of fringe benefits are allowable to the extent that the benefits are reasonable or are required by law, governmental unit-employee agreement, or an established policy of the governmental unit.
- **Non-Personal Services costs** include such major expenditure categories as: Consultant Travel; Trainee Travel; Equipment; Supplies; and Contractual Services.

3.7.2 Direct Cost and Indirect Costs

- Due to the type of federal and state funding received under the approved OCFS Cost Allocation Plan, the two cost categories generally applied in contractual training agreements are: “Direct Costs” and “Indirect Costs.”
- **Direct costs** are expenditures made specifically for the purpose of carrying out the process or project. They include such categories as: compensation of assigned personnel; cost of materials acquired and consumed; equipment and other approved capital expenditures for the project; and travel expenses incurred specifically to carry out the contract.
- **Indirect costs** are expenses that are not directly accountable to a particular project, facility, function, or product. Indirect costs may be either fixed or variable. Indirect costs include such expenditures as: administration; ancillary personnel not directly applied to the contract/work plan; and security costs. Some indirect costs may be covered in an overhead figure. The indirect cost rate used in a contract/work plan budget is a percentage applied to the direct costs to calculate a budget dollar value.
- The indirect cost rate used in BT contract/work plan budgets may only be established by the federal government, not the vendor. There are a number of specific allowable and unallowable costs associated with direct and indirect costs.

3.7.3 Line Item Budgeting

- BT typically uses line item budgeting. Most contracts/work plans are established utilizing a line item budget methodology due to the nature of the funding stream(s); related regulations and

method of procurement. BT typically utilizes qualitative and cost factoring in determining best value for an award. Cost reimbursement on the BT contracts/work plans is based on actual expenditures incurred in alignment with Generally Accepted Accounting Practices.

3.7.4 Fee for Service Contracting

- Fee for Service or Unit Price contracting is another methodology that BT uses only on rare occasions when establishing a contract/work plan. These fall into the general category of performance based contracting. It may be used when a funding source is non-restrictive and the method of payment is determined based on a fee schedule, with quantifiable performance measures or a specific unit cost corresponding to an item of delivery.

4. CONTRACTING ENVIRONMENT

The purpose of this chapter is to orient users to the contracting entities, systems, types of agreements, and other concepts at the heart of BT contracting.

4.1 CONTRACTING OFFICES

- In addition to the BT Training Managers and BT Finance and Administrative Unit, the following entities also play a role in the contracting process:
 - **OCFS Division of Administration, Bureau of Contract Management (BCM):** Oversees the bidding, processing, payment, and monitoring of all OCFS contracts and work plans. Prepares contracts for Attorney General’s Office and Office of the State Comptroller review and final approval, and responds to any questions.
 - **New York State Attorney General’s Office (AG)** – Among its many responsibilities, the Attorney General’s Office safeguards the legal interests of the state. Under State Law, it must approve most contracts with New York State valued over \$50,000.
 - **New York State Office of the State Comptroller (OSC)** – As the state’s chief fiscal officer, the State Comptroller is responsible for ensuring that the taxpayers’ money is being used effectively and efficiently to promote the common good. Among its many roles, OSC reviews state contracts and payments before they are issued and conducting audits of state agencies. If a formal agreement is over a certain dollar threshold (generally \$50,000 or more) the contract requires OSC approval before it becomes an effective contract.
- Before OCFS can enter into or amend a formal contract with a private training vendor, BCM, AG, and OSC must review and approve the action. Also, the contract/work plan cannot be executed unless the Annual Training Fiscal Plan has been approved by DOB.

4.2 TYPES OF CONTRACTS AND AGREEMENTS

- OCFS establishes **contracts** (legally enforceable agreements) with private entities and **memorandums of understanding** (MOUs) with public entities to provide for the delivery of human services training statewide.
- A memorandum of understanding is a document describing a bilateral or multilateral agreement between parties. It expresses a convergence of will between the parties, indicating a common line of action. (Wikipedia) It is used in the Bureau when the parties cannot create a legally enforceable agreement, i.e., a contract, because of their public nature.

- The contracts and MOUs typically have a multiyear duration. Each year, a new training agreement for the coming year is developed as a result of a process that includes **proposals** from vendors prepared in response to **specifications** prepared by the OCFS Bureau of Training. (This process will be discussed in greater detail in subsequent chapters but is mentioned here for context.)

4.3 COST-REIMBURSABLE CONTRACTING

- It will be noted that BT generally uses a cost-reimbursable contracting model. The contract or agreement is designed to pay for services rendered *after* a bill (or claim) is submitted for those services. It is a reimbursement methodology whereby the contractor outlays labor and money necessary to accomplish the work and is then reimbursed based on allowable costs. Typically, the vendor must provide or make evidence available that the service was provided consistent with the services and terms stipulated in the agreement. Some contracts/work plans do allow for advance payments. **SEE ALSO:** 18.3. Obtaining Advance Payments.

4.4 DOING BUSINESS AS A VENDOR WITH NEW YORK STATE

- Vendors who plan to do business with New York State for the first time will need to follow certain procedures. The following websites are essential first stops for vendors who need to learn more about this:
 - <http://www.nyfirst.ny.gov/ResourceCenter/Data/DoingBusinessWithNY.pdf>
 - <http://www.osc.state.ny.us/vendors/vendorsguide/guide.htm>
- Among other things, vendors will need to obtain a Vendor Identification Number, maintain vendor information, demonstrate vendor responsibility through completion of a vendor responsibility questionnaire (private vendors), and learn how to navigate the Statewide Financial System.
- The New York State Vendor Responsibility System (VendRep) allows business entities (vendors) to enter and maintain their Vendor Responsibility Questionnaire information in a secure, centralized database. A vendor must have a standard web browser and an e-mail account to use the System.
- A vendor must begin the online enrollment process, which requires the vendor to provide its New York State Vendor Identification Number (Vendor ID) and legal business name. A vendor will receive e-mails from the Office of the State Comptroller (OSC) to establish the account. A Welcome Packet is available on OSC's website to provide the vendor with an overview of the VendRep System and what is needed to get started.
- New York State policy requires vendors with state contracts, grants or purchase orders to accept electronic payment unless otherwise exempted. The vendor must work through OSC to establish the electronic funds transfer ability.

4.5 STATEWIDE FINANCIAL MANAGEMENT SYSTEM

- The Statewide Financial System (SFS) Program is an ongoing New York State government –wide initiative that replaces the state’s former Central Accounting System and several agency-specific financial management systems with one integrated, statewide system. An enterprise resource planning (ERP) system was planned and built to perform the state’s primary fiscal and business management tasks more proficiently.
- Individuals and firms doing business with state agencies, including OCFS, have been or will in the future be set up for self-service within the SFS vendor portal environment. SFS enables vendors to maintain vendor information, access certain vendor forms, receive electronic payments, and review invoice and payment status, among other transactions.
- Vendors new to the state and unfamiliar with SFS should begin by reviewing Section 4.4 above and the SFS introductory material directed at vendors, found at: www.sfs.ny.gov

4.6 OCFS CONTRACT MANAGEMENT SYSTEM

PRIVATE VENDORS ONLY:

- OCFS maintains a comprehensive, web-based Contract Management System (CMS) providing technology that standardizes and streamlines the contract development process, facilitating prompt contracting and prompt payment. CMS features enable private vendors to: develop, manage and electronically sign a contract online; receive alerts and notifications regarding the status of contracts; upload and download contract documents; process online budget modifications; check the status of contracts and payments; and correspond with OCFS.
- A CMS User’s Manual and a Frequently Asked Questions Page for contractors are available for account holders on the CMS website.
- To access CMS, vendors will need to fill in a OCFS Bureau of Contract Management form entitled “Contract Management System Authorization Form.” (The form does not have an identifying number.) Vendors with a CMS account will also need to complete and submit a Form OCFS-4895, Vendor and Contract Contact Update Request Form each time there is a change in their organizational or contract contacts. This form, which includes instructions for completion, is available on the OCFS website at: <http://ocfs.ny.gov/main/forms/contracts>.

5. TECHNOLOGY / INFORMATION SYSTEMS ENVIRONMENT

The purpose of this chapter is to orient users to the primary information management systems that vendors will encounter in the BT environment.

5.1 INTRODUCTION

- All vendor initiatives are tracked using two key databases: Statewide Training Automated Registration System / Human Services Learning Center (STARS/HSLC) and Virtual Information and Statistics Tracking Application (VISTA). These two systems are described and distinguished below.
- Private vendors will also interact with the OCFS web-based Contract Management System. **SEE ALSO:** 4.6 OCFS Contract Management System.
- BT's internal information systems support is provided through its Training Technology Unit.
- As of 2013, information technology services and systems throughout state government are undergoing a streamlining through centralization. This could impact operations in the future.

5.2 STATEWIDE TRAINING AUTOMATED REGISTRATION SYSTEM (STARS/HSLC)

- The "Statewide Training Automated Registration System" (STARS) has been the agency's training database of record for almost 20 years. As a result of a major upgrade in 2013, it will henceforth be known as the "STARS/Human Services Learning Center" (HSLC).
- STARS/HSLC connects four state agencies (i.e., OCFS, Office of Temporary and Disability Assistance, Office for the Prevention of Domestic Violence, and Department of Health), as well as more than 40 university and private training vendors, and thousands of voluntary provider agencies. It is the primary information system interface for training providers (vendors) and trainees.
- STARS/HSLC has four main components: federal fiscal management; training registration; a learning management system; and a content management system. It is used to enroll trainees, manage class size, manage rooming assignments, confirm registration, identify local district training fees, capture course evaluations, ensure compliance with mandated training, and report information on training contracts.
- In addition to being an operational tool, the system serves an important accountability purpose. Human services training programs and services statewide are supported in significant part with funds from several federal and state funding streams. Each funding stream carries its own requirements regarding trainee population, reimbursement rate, accounting, and other variables. As a user of these funds, OCFS is subject to regular federal and state audits of its training contracts and operations. OCFS and its vendors must keep accurate records to avoid jeopardizing continued access to these funds.

- The target group for the training or services to be provided under a given contract is a key factor in establishing that federal and state funds are properly claimed. STARS/HSLC was specifically designed to ascertain this type of compliance. **SEE ALSO:** 17.3 Registering Participants / Verifying Eligibility / Recording Attendance.
- BT Training Managers do not log into STARS/HLSC for training reports. Their primary resource is a separate computer application, the VISTA system (described below), which draws data from STARS/HSLC and other systems to provide the specialized reports that Training Managers need.

5.3 VIRTUAL INFORMATION AND STATISTICS TRACKING APPLICATION

- The Virtual Information and Statistics Tracking Application (VISTA) was designed to offer a seamless interface for BT personnel to view operational data including training, fiscal, and contract data. VISTA accesses, organizes and presents information from several external database systems – including STARS/HSLC – into online reports that assist BT staff in managing/monitoring vendor performance. Examples of available reports include course deliveries, course attendance, voucher submissions, and unspent funds by type, among others. VISTA offers BT managers, supervisors, Training Managers, and fiscal analysts a window on the status and trends relating to training contracts and agreements. Vendors do not have access.
- VISTA reflects evaluation data submitted in STARS/HSLC for both onsite and online courses, and sends automatic e-mail notifications (“alerts”) to Training Managers of late or missing evaluations and of delivered courses that fall below the overall 3.5 mean rating on a 5-point evaluation scale.
- Information from the Training and Administrative Activities List (TAAL), an integral part of the specification, proposal and training agreement, is also visible in VISTA. VISTA compares data entered by the vendor into STARS/HSLC concerning actual deliverables with what was recorded in the TAAL to ensure the deliverables are being met as planned.

QUICK TIP

While VISTA is an in-house tool and is not available to vendors, it is an integral part of how BT Training Managers do their job and will often be referred to in their communications with vendors.

VISTA extracts data directly from STARS/HLSC, so the accuracy of the data vendors and others enter into STARS/HSLC directly affects the accuracy of VISTA reports.

6. TRAINING AND ADMINISTRATIVE ACTIVITIES

The purpose of this chapter is to inform users about the range of deliverables that can be provided through training contracts/work plans.

- The “TAAL” ([Form OCFS-3102, Training and Administrative Activities List](#)) is the cornerstone for each specification document issued by BT. The specification leads to a proposal from a vendor, which, in turn, leads to the vendor’s Contract/Work Plan for the Delivery Year. It is critical for vendors to understand the rubrics presented here, since they define and bound the activities under the entire program.
- Training and Administrative Activities fall into the following six categories:
 - Training (including Classroom, Workshops, Courses, Coaching, and Special Topics);
 - Distance Learning (including Virtual Classroom, Videoconference, Teleconference, and Computer-Based Training);
 - Seminars, Symposiums, Conferences, Forums, Institutes, and Meetings;
 - Curriculum, Materials, Public Service Campaigns, and Multimedia Development;
 - Technical Assistance; and
 - Other Activities.
- **EXHIBIT 3** offers additional descriptive information about these categories.
- A distinction is made between “Training Activities” and “Administrative Activities.” **Training Activities** (as a class of deliverables) may include any of the following:
 - Instruction;
 - Curriculum development;
 - Developing and modifying computer system programs directly related to training; and
 - Other tasks related to training objectives.
- **Administrative Activities** (as a separate class of deliverables) may include any of the following:
 - Planning and organizing regional meetings or forums;
 - Developing, writing, assessing, and evaluating policies and procedures;
 - Developing policy or procedure manuals;
 - Assessing local district organizational and programmatic needs;

QUICK TIP

The various training and administrative activities that can be funded and delivered through a contract/work plan with the Bureau of Training constitute a *fixed list* established by the federal government. BT’s contracting program does not sponsor activities that fall outside of this rubric.

- Developing and modifying computer system programs (not directly related to training); and
 - Clerical support for the above.
- **EXHIBIT 4** offers non-inclusive examples to help users further distinguish between Training Activities and Administrative Activities. The final arbiter for classification purposes is the Bureau of Training.
 - **Training Day** – BT defines a full-day of training as having a duration of more than 3.5 hours up to 7 hours. A "half-day of training" has a duration of up to 3.5 hours.
 - **Training Products** for use in trainer-delivered course instruction or in self-guided instruction may be something the vendor: a) already owns; b) purchases ready-made for use; or c) develops in the course of the contract/work plan, to meet the objectives. Vendors may also use previously developed products owned by OCFS. **SEE ALSO:** 16.5 Maintaining Compliance with OCFS Copyright Policy.

EXHIBIT 3: DESCRIPTIVE OVERVIEW OF TRAINING AND ADMINISTRATIVE ACTIVITIES

CATEGORY	DEFINITION	EXAMPLES OF COVERABLE COSTS (May include but are not limited to...)
Training Programs:		
Classroom Training Programs Workshops Courses	Face-to-face sessions in a classroom with an instructor(s) teaching a specified curriculum to a group of participants.	<ul style="list-style-type: none"> • Scheduling, announcing, and delivering training • Production and distribution of materials • Securing training space • Use of audio/visual equipment • Staff travel and per diems • Trainee travel and per diems when applicable • Minor updates to an existing curriculum
Coaching	Coaching, including on-the-job support remediation and on-site consultation training. Includes performance support (not to be confused with performance programs)	
Special Topics	Training designed for a particular need related to the contract/work plan objectives.	
Distance Learning:		
Virtual Classrooms	Synchronous (real-time), online or web-based learning programs accessed on personal computers using software such as iLinc.	<ul style="list-style-type: none"> • Scheduling, announcing, and delivering training • Production and distribution of materials • Securing training space • Use of audio/visual equipment • Staff travel and per diems • Trainee travel and per diems when applicable • Minor updates to an existing curriculum • Instructor and trainee license fees associated
Videoconferences	Synchronous (real-time) interactive training delivered between two or more geographically-dispersed classroom sites.	
Teleconferences	Conferences or workshops transmitted live to multiple geographically-dispersed downlink sites with one-way audio-visual feed from the home site.	

CATEGORY	DEFINITION	EXAMPLES OF COVERABLE COSTS (May include but are not limited to...)
Computer-Based Training (CBT)/Web-Based Training (WBT)	Asynchronous or web-based computer training programs that can be accessed by the trainee without the presence of a live instructor and used at the trainee’s convenience in terms of time and location.	with the use of iLinc or a similar tool
Training Events:		
Seminars Symposiums Conferences Forums Institutes	Structured events that bring together participants and content experts for an exchange of ideas and/or to enhance the professional skills of participant	<ul style="list-style-type: none"> • Event announcements • Participant pre-registration • procurement of event site/facility • Arrangements for participant meals and lodging • Arrangements for eligible participant travel reimbursement • Arrangements for event speakers, panel members, and presenters • Preparation, graphic design, and reproduction of event materials • Coordination of audio-visual equipment; onsite event coordination • onsite participant registration • Coordination of vendor payment • Event evaluation
Meetings	Events that bring individuals together around a specific training related deliverable to facilitate learning of job-related knowledge, skills, or abilities. Advisory groups and work groups with external stakeholders may be included if activities facilitate learning as defined above.	
Training Products Development:		
Curriculum Materials	Developing new or substantially revised curricula or materials required for the presentation of a specific training program.	<ul style="list-style-type: none"> • Program objectives / outlines • Project plans • Research topics • Script development • Handouts • Video • Presenter/panel member fees
Public Service Campaigns	Developing materials to promote a statewide initiative. Materials can include brochures, posters, or announcements for video, television, radio, web-based, or print media.	

CATEGORY	DEFINITION	EXAMPLES OF COVERABLE COSTS (May include but are not limited to...)
Multimedia Development	Developing instructional materials to enhance a training program, or those requested to promote a specific statewide initiative. This can include media distributed by DVD, web or mobile platform.	
Technical Assistance:		
	Provision of consultation, facilitation, or assistance with an operational process that may be related to a broad scope of work or initiative; conducting a gap analysis; facilitation of a focus group and/or an executive briefing related to a training program.	<ul style="list-style-type: none"> • Assistance requested to perform a skill/job • Provision of knowledge in response to a particular need
Other Activities:		
	Activities that do not easily fit into the preceding categories.	<ul style="list-style-type: none"> • Provision of support on various subcommittees (i.e., attend meetings, provide materials, logistical arrangements) • Maintenance / updating of printed or electronic material such as an on-line directory or website • Phone contact • Report writing

EXHIBIT 4: DIFFERENTIATING ADMINISTRATIVE ACTIVITIES FROM TRAINING ACTIVITIES

CATEGORY	EXAMPLES OF TRAINING ACTIVITIES	EXAMPLES OF ADMINISTRATIVE ACTIVITIES
Training	<ul style="list-style-type: none"> – Stand-up training – Training needs assessment – One-on-one training in person or telephone by a hired training specialist for the express purpose of training 	<ul style="list-style-type: none"> – NA
Distance Learning	<ul style="list-style-type: none"> – Computer-based training – Teleconferences that provide training 	<ul style="list-style-type: none"> – NA
Seminars, Symposiums, Conferences, Forums, Institutes, and Meetings	<ul style="list-style-type: none"> – Delivery of training conferences – Planning and organizing training conferences – Planning and organizing forums to provide information on best practices 	<ul style="list-style-type: none"> – Planning, organizing regional meetings of OCFS agency staff – Planning and organizing forums to provide information on new policies
Curriculum, Materials, Public Service Campaigns, and Multimedia Development	<ul style="list-style-type: none"> – Development, production, and distribution of curricula – Development, production and distribution of training manuals and materials – Development of computer-based training – Development and publication of newsletters that provide training that provide training information only 	<ul style="list-style-type: none"> – Development of policy or procedure manuals
Technical Assistance	<ul style="list-style-type: none"> – Meeting facilitation – Assessment of local district organizational and programmatic needs 	<ul style="list-style-type: none"> – Meeting facilitation – Assessment of local district organizational and programmatic needs
Other Activities	<ul style="list-style-type: none"> – Training technical assistance following a training presentation – Monitoring training deliverables 	<ul style="list-style-type: none"> – Developing, writing assessing, and evaluating policies and procedures
Legitimately Related Tasks	<ul style="list-style-type: none"> – Announcement, recruitment, and scheduling programs – Equipment used solely for training such as for development/delivery of computer based or web-based training – Clerical support for any of the above 	<ul style="list-style-type: none"> – Appropriate equipment and support used for Administrative Activities

7. BUREAU OF TRAINING CONTRACTING BUSINESS CYCLE

The purpose of this chapter is to orient users to the three-year business cycle within which the BT operates. This will help users visualize the major processes and activities as they occur on a time-based roadmap.

- A “**Core Business Process**” is generally defined as the primary chain of interrelated activities or tasks that accomplish the critical work within an organization. Business processes that are clearly understood, managed, and continuously improved are hallmarks of effective organizations.
- A diagram showing the Bureau of Training’s business cycle is included as **EXHIBIT 5**. A complete cycle comprises six major phases:
 - Planning;
 - Specifications / Solicitations;
 - Proposals;
 - Agreements;
 - Delivery / Project Management; and
 - Closeout
- As shown, the overall cycle spans two full years plus an additional quarter of a third year. The first year corresponds to procurement; year two corresponds to delivery, with closeout at the beginning of year three.
- A new procurement phase starts each year and overlays with the delivery phase of the still-ongoing prior cycle.
- The columns in **EXHIBIT 5** provide a summary of major activities during each phase. The blue-colored rows on the bottom half of the diagram correspond to key participants in the business process cycle and highlight their respective roles during each phase. Synopses of each phase are provided in the table presented as **EXHIBIT 6**.

QUICK TIP

Users will note that this manual concentrates on the implementation aspects of the overall cycle, that is, "Delivery" and "Closeout."

EXHIBIT 5: DIAGRAM OF BUREAU OF TRAINING THREE-YEAR BUSINESS CYCLE

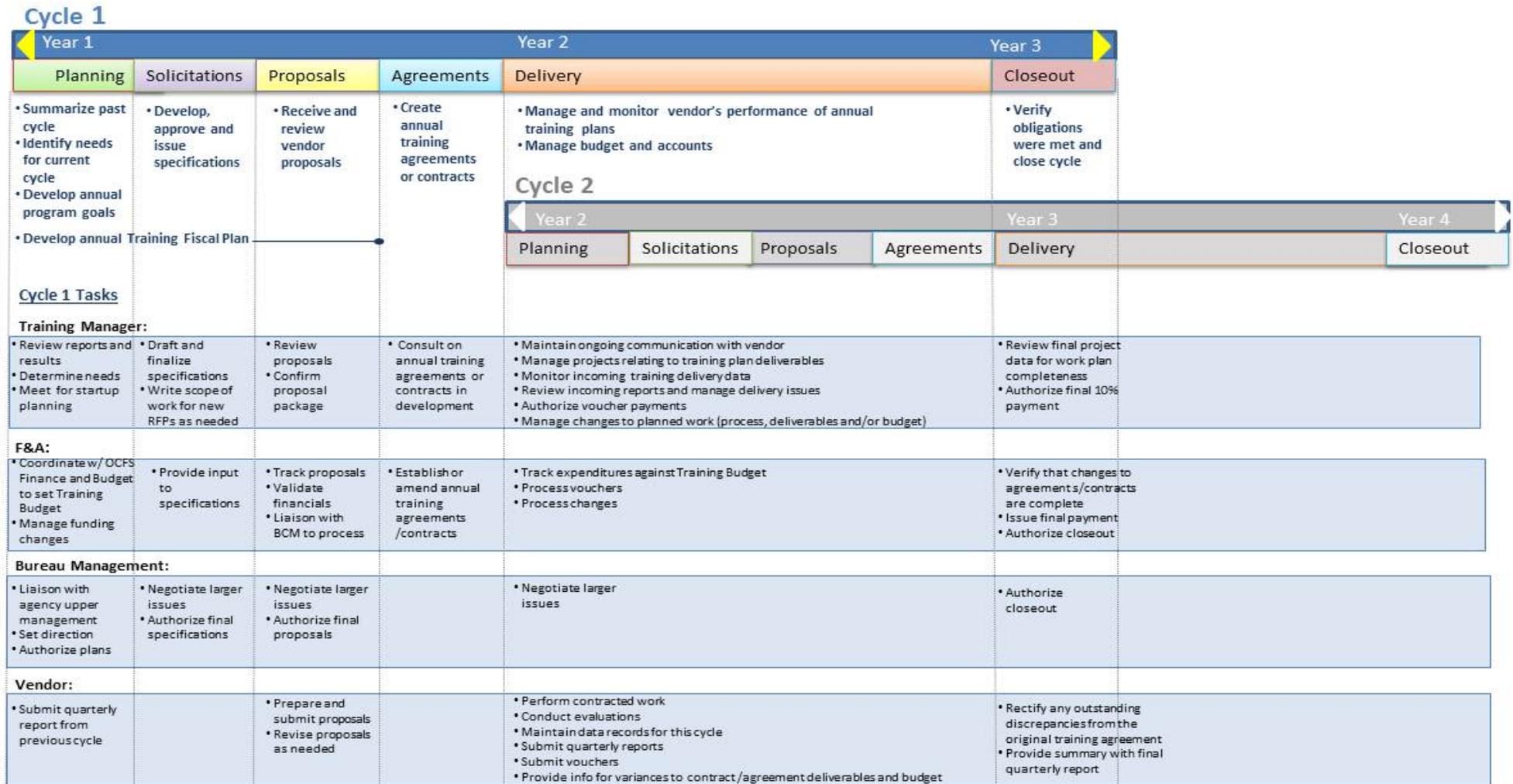


EXHIBIT 6: DESCRIPTION OF BUREAU OF TRAINING BUSINESS CYCLE PHASES

PHASE	TIMING	DESCRIPTION
NEEDS PLANNING	Year 1, first quarter	<p>Determining needs and budgeting for various training initiatives to be undertaken in the following year.</p> <ul style="list-style-type: none"> ▪ Needs Assessment – This process determines the training priorities of a specific program area and target population at the state and/or local level. It provides a way to assess the needs on a continual basis and seeks as much participation as possible. The desired scope of future work plans, the appropriateness of the targeted vendor(s), eligible trainee populations, and proposed funding levels are developed through a series of internal meetings. ▪ This phase also entails overall Strategic Direction Setting and Development of the Annual Training Fiscal Plan.
SPECIFICATIONS / SOLICITATIONS	Year 1, first and second quarters	<p>Preparation of Specifications [including Training and Administrative Activities Lists (TAALs)] as the basis for vendor proposals.</p> <ul style="list-style-type: none"> ▪ Preparation – Each year, BT prepares for the specification development process. ▪ Specification Development – BT Training Managers write the specification for training and administrative activities deliverables. The previous year’s specification document for the same vendor may offer a point of reference but is not sufficient. A new specification document is written that projects ahead to address training needs anticipated for the <i>following</i> calendar year. ▪ Specification Review and Finalization – Before specification documents are transmitted to vendors, they undergo internal review to ensure clarity, accuracy, and consistency with the overall program objectives.

PHASE	TIMING	DESCRIPTION
PROPOSALS	Year 1, second and third quarters	<p>Achieving acceptable Proposals upon which annual training agreements can be established.</p> <ul style="list-style-type: none"> ▪ Preparation – Preparation involves the BT Training Manager communicating with vendors as proposals are being developed and organizing to review proposals. A review schedule is established. ▪ Proposal Receipt and Review – OCFS receives and processes incoming proposals. Proposals describe the plans for producing specified deliverables (training, administrative, or both). • Provision of Feedback on Proposals (aka “Proposal Comments Letters”) – TM combines feedback from various reviewers and composes a comprehensive set of comments to be sent back to the vendor. • Proposal Finalization – The vendor revises the proposal in response to the Comments Letter, and those changes must undergo review. A series of steps are taken to bring the proposal into a final form acceptable to OCFS.
TRAINING CONTRACTS / ANNUAL TRAINING AGREEMENTS	Year 1, fourth quarter	<p>Formalization of training agreements for the coming year, inclusive of the annual budget, agreement terms and conditions, and other elements.</p> <ul style="list-style-type: none"> ▪ Establishment of New Annual Agreements – After all approvers have accepted the vendor’s proposal, the Finance and Administration Unit shepherds the process of formalizing the agreement that will be put in place with the vendor for the coming year.
DELIVERY (PROCESS AND PROJECT MANAGEMENT)	Year 2	<p>Vendor performance of the Contracts/Work Plans as specified in the annual training agreements, with continuous management and monitoring by the TM.</p> <ul style="list-style-type: none"> ▪ Contract Delivery Monitoring – The TM tracks vendor efforts and progress in fulfilling obligations made in the Contract/Work Plan. In broad terms, this means using tools and techniques to determine whether the scope, schedule, and cost commitments of the vendor are being met as the year transpires. • Project Management – Where applicable, the TM acts in role of coordinator of specific projects called for in the Work Plan. Project management principles and techniques should be employed for these projects to go smoothly.

PHASE	TIMING	DESCRIPTION
		<ul style="list-style-type: none"> • Oversight of Training Data – The TM monitors submittal of training program delivery data by vendors, and corrects errors as needed. • Oversight of Training Evaluations – Vendors are required to conduct course evaluations. BT has set parameters for planning and carrying out these evaluations. Training Managers and vendors interact concerning evaluation design. The TM approves any customized approaches and evaluation instruments, reviews results, and works with the vendor to remedy situations when evaluations do not meet standards. • Voucher Review, Approval and Payment – Vendors submit vouchers on a monthly basis for work performed. The Finance and Administration Unit administers the review and payment process, and the Training Manager is responsible for confirming authorizing payment. Approval for payment may be made when the TM knows, based on tracking the activities, that the contractor is delivering the training services, as specified in the TAAL and TAAS, at an acceptable level of quality, reasonably on time, and with the required reports submitted on time. • Changes to Annual Training Agreements, Work Plans, and Budgets –The need may arise to make programmatic changes and/or budgetary changes in what was agreed to initially. Formal procedures ensure that changes are processed in an orderly way. BT Training Managers and Finance and Administration staff work closely with vendors through the critical steps. • Receipt, Review and Feedback on Vendor Quarterly Reports –Vendors submit status reports at the completion of each quarter during the Delivery Year. The BT Training Manager reviews incoming reports and complete a form to record observations. The vendor’s fourth quarter report is a summary report. Until it has been submitted and reviewed, the annual contract/work plan cannot be closed out.
CLOSEOUT	Year 3, first quarter	<p>Verification of the satisfactory completion of deliverables, followed by budgetary closeout, which involves reconciling the budget, expenditures, and final payment(s).</p> <ul style="list-style-type: none"> • Review of Vendor’s Final Quarterly Report – The last quarterly report serves as a recapitulation of the vendor’s performance in relation to the Annual Work Plan. The Training Manager reviews, completes a form, and signs off on the report. The TM and vendor work together to resolve any outstanding issues.

PHASE	TIMING	DESCRIPTION
		<ul style="list-style-type: none"> • Confirmation of Training and Activities List / Contract/Work Plan Completion and Reconciliation – Before administrative and fiscal closeout can occur, the TAAL and work delivered must be reconciled. • Authorization and Release of Final Payment(s) – The agency’s standard practice is to withhold 10% of the contracted budget (for the Delivery Year) until the vendor has fulfilled obligations and the TM has confirmed OCFS satisfaction with these items.

8. PROJECT MANAGEMENT CONCEPTS

The purpose of this chapter is to provide users with a brief introduction to the discipline of project management and its relevance to performance of contracts/work plans.

- The Bureau of Training encourages its Training Managers and vendors to employ project management tools and techniques *for discrete project-based efforts* that may be called for in the context of implementing a contract/work plan or special initiative. Many principles and techniques associated with project management are transferrable to operational work as well.

8.1 KEY CONCEPTS

- **Definitions:** The field of project management defines a “project” as temporary work that has a specific scope, schedule, and cost, and is directed toward producing a unique output, such as a new product, service, or result. “Project management” is the application of a body of knowledge, skills, tools, and techniques to meet the unique objectives and requirements of a distinct project. **EXHIBIT 7** shows how projects can be distinguished from operational processes. It is important to note that projects and operational work do have many things in common. They both need to be planned, executed, and controlled; they are both performed by people; and they both consume and are limited by available resources. Many projects yield products or services that, once completed, are introduced into ongoing processes and systems. For example, constructing a building is a project, whereas operating the completed building is a process. In the training arena, developing a new curriculum should be framed as a project, while delivering an existing curriculum on a regular basis would constitute a process.

EXHIBIT 7: KEY DIFFERENCES BETWEEN PROJECTS AND OPERATIONAL PROCESSES

PROJECTS:	OPERATIONAL PROCESSES:
<ul style="list-style-type: none"> – Are finite and temporary – Have a definite start and finish – Create unique deliverable(s) (product, service or result) – Use a non-permanent team assembled for the sole purpose of planning and implementing the project 	<ul style="list-style-type: none"> – Are ongoing – Consist of repeated activities – Generate non-unique deliverables or products – Typically, production or transaction-based – Use staff resources on an ongoing basis

- **Life Cycle / Phases** – All projects have life cycles composed of phases. The generic project life cycle includes: initiation; planning; execution; monitoring and control; and closeout. Certain industries or professions (such as design and construction or information technology) may also use a specific variation of this life cycle suitable for projects in that particular industry. In the BT environment, curriculum development projects have a customary life cycle. **SEE ALSO:** 16.3 Developing Training Curricula – All Types.
- **Planning and Prevention** – Planning is crucial to project success. Project planning and risk prevention activities are less costly than remediation to fix problems that occur downstream in projects, possibly because of a failure to plan adequately.
- **Communication** – This principle states that the most important role of a project manager is to manage communications. The communication needs of project stakeholders are identified and a viable plan is developed for meeting those needs throughout the project. The project manager must work to keep information flowing among team members at all times. Large projects may even assign a dedicated staff resource to communication.
- **Triple Constraint** – Managing a project requires balancing its scope, cost, and schedule. Each element constrains the other two. That is, changing one element without adjusting one or both of the others may impact the quality of the outputs. For example, a fixed budget can only accommodate so much scope. Efforts to accomplish scope with too few resources may compromise quality. Similarly, if the schedule is shortened, more resources may be needed to accomplish a defined scope of work. The triple constraint concept is a helpful framework for evaluating competing demands within or across projects.
- **Integration** – All aspects of a project must be coordinated and unified to achieve project success. The project manager devotes much time and attention to integrative activities to coordinate and balance scope, budget, schedule, human resources, procurement, communications, risk, and quality. Not all project work is linear; project integration requires the manager to think and work in multiple dimensions.
- **Work Breakdown** – The work to be done is broken down into specific activities, tasks and subtasks. This makes it possible to establish logical relationships; assign time, dollars, and personnel; and keep accurate track of progress. A “work breakdown structure” organizes the activities in a drill-down or tree structure that makes it possible to visualize the entire project effort. It reduces the chance of leaving important project work unplanned and unaddressed, a scenario that could impede timely and thorough project completion.
- **Roles / Staff Resources Allocation** – Projects operate best when roles and responsibilities are specified. Typically, there will be a project manager and a project sponsor. The project team often includes other individuals who will be assigned to perform roles and tasks on a full- or part-time basis until the project is completed or their role is no longer needed. Allocating staff resources and clarifying and monitoring their tasks relative to the plan helps ensure a project stays on schedule.
- **Project Control** – The progress of a project in relation to its plan should be closely monitored. Projects are often described as “in control” or “out of control.” An in-control project is on schedule and on budget. It is meeting its milestones. Deliverables are being provided on time. An example

of an out-of-control project is when the project's funds are being expended too fast and the project is in jeopardy of running out of resources before the expected deliverables are complete. Another example is when a project has missed its milestone dates and there is no viable plan in place to catch up before the scheduled project completion date. "Out of control" is a subjective term but quantifiers (project performance measures) are often used to provide warning signals and a threshold point for intervention.

8.2 APPLICATION OF PROJECT MANAGEMENT IN THE BUREAU OF TRAINING

- BT Training Managers manage specific projects that OCFS and BT have determined are critical to accomplish during a given year or multiple years.
- Common examples of projects undertaken by BT include the development of a new training curriculum, the production of a large training event, and the design and implementation of a formal survey for needs assessment purposes.
- A vendor's contract/work plan may include deliverables that are best produced in a project modality. Vendor personnel are critical human resources to accomplish project work.
- BT Training Managers, vendor personnel, and other parties such as OCFS program staff are often called upon to form a collaborative *team* to accomplish a defined project.

QUICK TIP

Previous editions of the Operations Manual used "project" synonymously with "contract/work plan." This edition makes a distinction.

9. KEY CONTACTS AND INFORMATION RESOURCES

9.1 BUREAU OF TRAINING DIRECTORY

A staff directory is provided in **APPENDIX 3**.

- Vendors are asked to use the BT Training Manager as their main point of contact for all matters pertaining to contract/work plan delivery. Occasionally, however, vendors will need to reach out directly to the Assistant Director of Finance and Administration or another OCFS specialist. Vendors are required to keep the BT Training Manager informed about all such communications.
- **SEE ALSO:** 11.2 Establishing Communications Between Vendor and Bureau of Training.

9.2 KEY ADDRESSES

The following are important addresses and other contact information vendors will need when sending information as directed in this manual.

BT Mailing Addresses

[Name of BT Training Manager]
 Bureau of Training
 New York State Office of Children and
 Family Services
 Capital View Office Park
 North Building Room [###]
 52 Washington Street
 Rensselaer, NY 12144-2796

Finance and Administration Unit
 Bureau of Training
 New York State Office of Children and Family
 Services
 Capital View Office Park
 North Building Room 236
 52 Washington Street
 Rensselaer, NY 12144-2796

BT Electronic Mailboxes

btproposals@ocfs.ny.gov – Use for submittal of all contract/work plan proposals, amendments, budgetary documents, or other “changes” as described in Chapter 19, Changes to Contracts/Work Plans.

btquarterlyreports@ocfs.ny.gov – Use for submittal of all quarterly reports.

ocfs.sm.bt.equipment.requests@ocfs.ny.gov – Use for submittal of prior approval of equipment purchase requests.

Other Mailing Addresses

New York State Office of the State Comptroller
Bureau of Contracts
110 State Street, 11th Floor
Albany, NY 12236
Attn: [name]

New York State Department of Civil Service
Alfred E. Smith State Office Building
80 South Swan Building
Albany, NY 12239
Attn: [name]

9.3 HELPFUL WEBSITES

The following quick Internet links should be handy for users.

<http://ocfs.ny.gov/ohrd/>

This is the home page for the Bureau of Training. The Operations Manual and vendor forms are located here.

<https://www.hslcnys.org>

This link takes the user to the home page of the Statewide Training Automated Registration System/Human Services Learning System (STARS/HSLC).

www.sfs.ny.gov

This is the home page for New York's Statewide Financial Management System. Includes both agency and vendor portals. Also includes travel reimbursement guidelines.

www.hhs.gov

This is the home page for the U.S. Department of Health and Human Services, the source of the majority of federal funds supporting the human services training program. Information about the funding streams can be found on this site as well as useful information about departmental program areas.

PART TWO: OPERATIONAL PROCESSES, POLICIES AND PROCEDURES

Chapters 10-20 provide explicit guidance for vendors and individual users to follow during the Delivery Year and beyond.

First, an overall framework is presented to show the various aspects of operations in juxtaposition with one another. Then, in successive chapters, discrete processes, policies, and procedures are articulated. In addition, if the procedure involves the completion and submittal of forms, the user is advised to review the instructions provided with the form itself to gain a fuller understanding of how to proceed. Users should also review all accompanying notes, which offer additional context, clarifying information, and special cases.

Various processes, policies, and procedures interrelate. Users are advised to take advantage of the cross-references provided in the text to help in making important connections.

10. OVERVIEW OF DELIVERY YEAR OPERATIONS

Training vendors are responsible for many different operational processes during the Delivery Year. EXHIBIT 8 provides a listing of these processes which are expanded upon in the following chapters. Vendors are encouraged to use this framework to gain an initial understanding of their responsibilities from the perspective of OCFS and to organize their efforts to comply.

EXHIBIT 8: KEY OPERATIONAL COMPONENTS OF CONTRACT/WORK PLAN EXECUTION

PLANNING AND COMMUNICATION <ul style="list-style-type: none"> Establishing Communications between Vendor and Bureau of Training Launching Annual Contracts/Work Plans 		OVERSIGHT AND CONTROLS <ul style="list-style-type: none"> Obtaining Approvals for Selected Actions Cooperating with OCFS' Monitoring Efforts 			
INFORMATION <ul style="list-style-type: none"> Maintaining Contract/Work Plan Data Retaining Data for Future Access 		HUMAN RESOURCES <ul style="list-style-type: none"> Establishing the Operational Culture Hiring and Deploying Staff Complying with Key Laws and Protections for Workers Making Organizational Changes Developing Staff via Conference Attendance Handling Unsatisfactory Staff 		PROCUREMENT <ul style="list-style-type: none"> Purchasing - General Purchasing Equipment Purchasing Printing Purchasing Travel Establishing a Subcontract Utilizing Minority- and Women-Owned Business Enterprises 	
DELIVERABLES					
Creation of Training Products <ul style="list-style-type: none"> Developing Training and Administrative Products—General Requirements Developing Training Curricula – All Types Developing Curricula and Other Materials for Use in e-Learning Modalities Maintaining Compliance with OCFS Copyright Policy Submitting Final Training Work Products Sharing/Selling Training Materials Produced for a Contract/Work Plan 			Provision and Evaluation of Training Events <ul style="list-style-type: none"> Conducting Training Programs and Events Registering Participants / Verifying Eligibility / Recording Attendance Collecting Training Participant Fees Evaluating Training Program Deliveries 		
COSTS MANAGEMENT AND REIMBURSEMENT <ul style="list-style-type: none"> Maintaining Cost Accounts Obtaining Advance Payments Preparing Claims for Reimbursement – All Vendors Preparing Claims – Public Vendors Preparing Claims – Private Vendors Preparing Claims Involving Federal Title IV-E Funds Preparing Supporting Documentation for Claims Submitting Claims Resubmitting Claims When Required Receiving Payments 		CHANGES <ul style="list-style-type: none"> Making Budget Changes Making Programmatic Changes Making Contract Amendments Terminating a Contract/Work Plan 		REPORTING <ul style="list-style-type: none"> Reporting Quarterly on Activities and Deliverables Reporting on Training Program Evaluations Reporting Field Staff Activities (Public Vendors) Reporting on M/WBE Utilization and Work Force Diversity Disclosing Contractors to New York State Government 	

11. PLANNING AND COMMUNICATION

11.1 INTRODUCTION

At the outset of the Delivery Year, it is critical for the vendor personnel and the BT Training Manager to launch the work efforts effectively. Front-end planning and good communication practices enhance the likelihood of a productive year.

11.2 ESTABLISHING COMMUNICATIONS BETWEEN VENDOR AND BUREAU OF TRAINING

Process Objective

To ensure that needed information is available to and exchanged among OCFS, vendors, and other stakeholders in an appropriate and timely manner; foster effective working relationships, and minimize issues resulting from communication gaps.

Policies

- The BT Training Manager assigned to the contract/work plan shall be regarded as the primary point of contact for vendor personnel.
- Vendors shall be responsible for maintaining regular contact with the assigned BT Training Manager to promote effective working relationships and to obtain advance approvals for certain actions. **SEE ALSO:** 12.2 Obtaining Approvals for Selected Actions.
- Vendor personnel shall work in a cooperative and collaborative manner with the BT Training Manager.
- Topic areas in which open, active communication should be maintained include, but are not limited to, the following topics:
 - Initiation and planning of contract/work plan activities;
 - Development and review of curricula and materials;
 - Scheduling and cancellation of contract/work plan activities;
 - Training activities delivery;
 - Planning and implementation of training evaluation; and follow-up actions;
 - Problems encountered in the delivery of training and follow-up actions;
 - Meetings with local social services district personnel to discuss training needs or training delivery;
 - Meetings and consultations with other OCFS staff, other vendors, and other agencies;

- Budget and programmatic changes;
 - Report preparation, content, and follow-up; and
 - Significant organizational changes or actions.
- Communication about programmatic issues is essential. Vendors shall notify the BT Training Manager in writing of any significant problems or administrative difficulties within 10 days of occurrence. Some problems are appropriately dealt with through contract/work plan changes. **SEE ALSO:** 19 Changes to Contracts/Work Plans.
 - Vendors shall keep key contact information up to date for all aspects of managing and administering their OCFS contract/work plan.

Procedures

- Procedural suggestions for communicating with BT Training Managers include:
 - Discuss and establish the methods for maintaining communication that will work best for the individuals involved.
 - Actively work to close communication loops in a timely way.
 - Bring problems or issues to the attention of the TM as soon as possible so a resolution can be identified that best satisfies the interests of both parties.
- To help maintain communication, complete OCFS-4895, Vendor and Contract Contact Update Request Form when there is a change in their organizational or contract contact person(s). Submit it to the BT Finance and Administration Unit, who will forward it to the OCFS Bureau of Contracts Management as needed for processing. This form, which includes instructions for completion, is available on the OCFS website at: ocfs.ny.gov/main/forms/contracts. (Depending on the change, the vendor may also need to change the authorized user on their CMS user account. **SEE ALSO:** 4.6 OCFS Contract Management System.)

Notes

11.3 LAUNCHING ANNUAL CONTRACTS/WORK PLANS

Process Objective

To ensure the annual contract/work plan gets underway promptly, with clear understandings between the BT Training Manager and assigned vendor personnel about how the work will be conducted, with projects, roles and responsibilities, milestones, and other planning elements spelled out and confirmed.

Background

- The contract/work plan delineates a set of deliverables along with the resources and people to be deployed to accomplish the deliverables. As such, a “high level” plan is in place as the year commences. However, a tactical-level plan is also needed. This planning will ensure that all parties understand their roles in keeping production and delivery on schedule through the balance of the year. It is best developed as a joint exercise with the BT Training Manager and other OCFS staff as may be appropriate.

Policy

- The vendor’s assigned staff shall participate in a contract/work plan launch meeting, otherwise known as the “start-up meeting.” BT organizes the meeting and the BT Training Manager facilitates the meeting.
- The start-up meeting should occur by the end of the first month of the Delivery Year.
- The start-up meeting may identify a need for immediate changes (e.g., scope, deliverables, budget, personnel) to the contract/work plan. The vendor shall work with the BT Training Manager and BT Finance and Administration to make the changes using the appropriate method. **SEE ALSO:** 19 Changes to Contracts/Work Plans.

Procedures

- Review the agenda sent out by BT and prepare accordingly. Discuss with BT Training Manager if the agenda needs additional items.
- Review the status of previous Delivery Year deliverables and be prepared to discuss as needed at the meeting.
- Participate, with appropriate vendor representation, in the meeting.
- Review any meeting notes that result from the session and follow up on action items.

Notes

12. OVERSIGHT AND CONTROLS

12.1 INTRODUCTION

This chapter informs vendors about processes the Bureau of Training uses to oversee and monitor vendor work efforts.

- Due to the complexity of the overall training program and the significant investment of funds, OCFS BT has a substantial duty as a fiscal steward while also conceiving and pursuing the program side of training. Consequently, a number of checks and balances are in place. Taken together, they represent a fair amount of oversight and control over vendor actions.
- Open communications and responsive follow-up can go a long way toward making this process collegial and keeping the level of oversight from seeming too onerous.

12.2 OBTAINING APPROVALS FOR SELECTED ACTIONS

Process Objective

To ensure that OCFS' interests are appropriately and adequately supported, satisfied, and protected before a critical action or decision takes place.

Policies

- Vendors shall request and obtain written approval from BT before executing certain contract/work plan related actions.
- **EXHIBIT 9** summarizes several conditions when, and from whom, the vendor must obtain written approvals before proceeding. These are identified and detailed further in appropriate chapters and sections throughout the balance of this manual.

Procedures

- Users should consult the relevant chapter or section noted to learn more about the type of approval required, the conditions or thresholds determining when the need for approval applies, and the means for obtaining it.

Notes

- Vendors are advised not to rely on verbal approvals. A written request answered with a written response is better practice.

EXHIBIT 9: BUREAU OF TRAINING FORMAL APPROVAL REQUIREMENTS AT A GLANCE

ACTION AREA REQUIRING APPROVAL	APPROVER	SECTION
1. Project plans derived from the contract/work plan	BT Training Manager	11.1
2. Filling contract/work plan staff positions or transferring contract/work plan staff	BT Training Manager	14.3
3. Changing the role and assignments of field staff	BT Training Manager (and OCFS Program Staff in certain instances)	14.3
4. Allowing certain vendor staff to attend out-of-state training conferences and claim reimbursement for costs	BT Training Manager	14.6
5. Making purchases of equipment items with purchase price of \$,1000 or more (per item)	BT Training Manager	15.3
6. Disposing of unneeded equipment	BT Training Manager	15.3
7. Making travel purchases where rates exceed OSC travel guidelines or where other special needs exist	BT Training Manager	15.5
8. Establishing certain subcontract/consultant (third-party) agreements	BT Training Manager	15.6
9. Finalizing and submitting training and administrative work products	BT Training Manager (and BT	16.2, 16.6
10. Requesting license for use of OCFS copyrighted material (work products) produced under the contract/work plan	BT Director	16.2, 16.5
11. Initiating, creating, revising and/or implementing a curriculum and material, either as a pilot or a full deployment.	BT Training Manager as well as OCFS Program Staff or other state staff in certain situations	16.3
12. Changing (e.g., cancelling, adding, rescheduling) scheduled training deliveries	BT Training Manager	17.2
13. Supplying or selling training materials to others.	BT Training Manager	16.7
14. Accepting enrollees for training who are non-eligible for participation based on the TAAL.	BT Training Manager	17.3
15. Deploying certain evaluation tools and methods or deviating from the standard required evaluation methodology and instruments	BT Training Manager (and OCFS Program Staff in certain situations)	17.5
16. Making changes to budget categories /reallocating funds within the project budget	BT Training Manager, BT Assistant Director, F&A, OCFS BCM	19.2
17. Dividing a claim for an equipment purchase over more than one claim period	BT Training Management and F&A	18.4
18. Making changes to contracts/work plans and/or to training deliverables	BT Training Manager, Assistant Director, F&A, OCFS BCM. Also Attorney General's Office and Office of the State Comptroller when applicable	19.3

12.3 COOPERATING WITH OCFS' MONITORING EFFORTS

Process Objective

To provide quality assurance and maintain ongoing accountability for the work being performed under training contracts/work plans during the Delivery Year.

Policies

- The vendor shall cooperate with the efforts of OCFS staff and the staff of other state and local agencies to monitor and assess the vendor's contract/work plan performance measured against applicable rules and programmatic, administrative and fiscal criteria.
- Programmatic monitoring shall include but not be limited to communication by telephone calls, meetings, or e-mail; on-site monitoring of training activities; and clearance of training materials by the BT Training Manager.
- Administrative monitoring shall include but not be limited to communication by telephone calls, meetings, or e-mail; and hands-on reviews of training deliveries data, quarterly reports, and budget modification requests; contract/work plan changes; and, vouchers where necessary.
- OCFS shall have the right to inspect supporting documentation for expenditures either through fiscal monitoring or a fiscal audit.
 - Fiscal monitoring shall be a limited scope review of an organization's transactions, accounts, and records made for the purpose of rendering a judgment whether the limited sample of transactions reviewed are consistent with the contract/work plan terms, and represent actual costs, as supported by the books and records of the organization. Contract fiscal monitoring is a risk assessment function that can help determine whether a fiscal audit is necessary.
 - A fiscal audit is a comprehensive and independent examination of the organization's transactions, accounts, and records for the purpose of obtaining reasonable assurance that all material expenditures claimed for reimbursement were consistent with the contract/work plan and represent actual costs.
- OCFS encourages vendors to include an assessment of the vendor's compliance with OCFS' policies in the vendor's annual audit, performed by independent auditors and compliant with generally accepted audit standards.
- Vendors shall provide the BT Finance and Administration Unit with copies of all audits performed by independent auditors.
- Vendors shall also provide the BT Finance and Administration Unit with copies of any audits performed in accordance with all state and federal requirements, such as but not limited to OMB Circular A-133.

- If OCFS monitoring and review of vendor performance indicates that the vendor has violated or failed to comply with any terms of the agreement or has abused or misused funds paid, OCFS has the right to:
 - Recover funds;
 - Suspend payments;
 - Place the vendor on OCFS’s Fiscal Sanction List;
 - Terminate the agreement; and/or
 - Employ another entity to fulfill the requirements.

- When warranted, the vendor is expected to assist OCFS in transferring the operation of the contract/work plan to any other entity selected by OCFS in a manner that will enable OCFS or clients to receive ongoing services.

- The vendor shall allow the State Comptroller, the New York State Attorney General, and OCFS to take possession of all books, records, and documents relating to the contract/work plan without prior notice. OCFS shall return all such items to the vendor upon completing the purpose for which they were taken.

Procedures

- Mail a copy of any completed independent audits to the BT Finance and Administration Unit.

Notes

- **SEE ALSO:** 13 Information, Data and Recordkeeping and 18 Costs Management and Reimbursement.

13. INFORMATION, DATA AND RECORDKEEPING

13.1 INTRODUCTION

This chapter covers policies related to data management, retention, and accessibility during and following the contract/work plan Delivery Year.

13.2 MAINTAINING CONTRACT/WORK PLAN DATA

Process Objective

To provide vendors with a systematic means and process for maintaining data on training and administrative deliverables, including trainee participation, and evaluation data.

Policies

- Vendors shall have a record keeping system that maintains a separate identity for each annual contract/work plan.
- Vendors shall use the Statewide Training Automated Registration System/Human Services Learning Center (STARS/HSLC) as the system of record for documenting training data, deliverables, and deliveries.
- Vendors shall maintain records for each contract/work plan in a manner consistent with Generally Accepted Accounting Practices.
- Vendors shall keep detailed activity and expenditure records in order for OCFS to be able to properly claim funds from the federal government. Records must adequately identify the use of funds for contract/work plan activities.
- Vendors shall maintain an accurate, complete and current record of equipment purchased with contract/work plan funds. Adjustments to the inventory must be reconciled at least once a year, at the end of the Delivery Year. Missing items will be deducted from the final invoice after being depreciated using a straight line amortization method based on the remaining useful life as defined by the Internal Revenue Service Manual, Part 1, Chapter 35, Section 6. Vendors may request relief from this penalty under special circumstances (such as theft documented by a police report). **SEE ALSO:** 15.3. Purchasing Equipment.
- Vendors shall maintain accurate time records for all employees paid under the contract/work plan. Acceptable records must note the time period covered and full signatures of both the employee and supervisor. Timesheets for employees whose salaries are charged to more than one contract/work plan program must reflect an after-the-fact distribution (comparing records for projects for each employee assigned to multiple projects to verify they each did not work over 100 percent on the combined projects) of the actual activities of the employee. **SEE ALSO:** 14.3 Hiring and Deploying Employees to Work on Contracts/Work Plans

Procedures

- Establish records and accounts as needed to be in compliance.

Notes

- Maintenance of information in STARS/HSLC is essential because: a) BT Training Managers rely on up-to-date data to monitor the progress of training programs and evaluation results; and b) the data also constitute the deliverables record for auditing purposes.
- **SEE ALSO:** 5.2 Statewide Training Automated Registration System (STARS/HSLC)

13.3 RETAINING DATA FOR FUTURE ACCESS

Process Objective

To ensure that contract/work plan records are available for review sufficiently far into the future to support accountability of the vendor and the overall BT training program.

Policies

- Vendors shall maintain complete and accurate documentation to support revenue and expenses (for example, cancelled checks, bank statements and deposit slips, invoices and time sheets) for six years after the end of the contract/work plan period, or as further required by contract/work plan provisions. OCFS prefers that vendors retain these records for 10 years.
- Vendors shall keep evaluation data on file and available to OCFS for six years after the end of the contract/work plan. OCFS shall have the right to require vendors to retain records for a longer period of time.
- Consistent with the State Administrative Procedures Act (SAPA), at the completion of any scientific or statistical study, report or analysis prepared pursuant to a contract /work plan, vendors shall provide to OCFS a copy of any and all supporting data.
- OCFS has the right to audit and review vendor performance and operations as related to the contract/work plan and to retain the services of auditors or investigators to perform such audit and review of OFCS's behalf.

Procedures

- Package and send the data files (preferably in electronic format) together with the names and business addresses of the principals(s) producing the scientific or statistical study, report or analysis to the attention of the BT Training Manager.

Notes

14. HUMAN RESOURCES

14.1 INTRODUCTION

This chapter covers requirements regarding contract/work plan personnel. Human resources include both vendor employees and subcontractor/consultants.

- The performance of contract/work plan activities and tasks calls for assignment of people with suitable knowledge, skills and abilities. While contract/work plan staffing is developed during Year One of the BT Business Cycle discussed in Part One, during the Delivery Year vendors have ongoing responsibility to manage human resources in support of the contract/work plan.
- Vendors and training managers should communicate regularly about various personnel matters, and especially about those personnel actions requiring BT authorization.
- This chapter explains that contract/work plan personnel are typically a composite of vendor employees and subcontractors/consultants, with different human resource management implications. Regardless of their technical status, however, their engagement, involvement, and performance are of equal importance to BT. In all cases, the vendor is responsible for keeping contract/work plan staff accountable.

14.2 ESTABLISHING THE OPERATIONAL CULTURE

Process Objective

To promote an operational culture for contract/work plan personnel that will support the best results.

Policies

- OCFS Bureau of Training's philosophy is that the human services training environment of New York State will function most effectively if BT and vendors share a common culture that is mission driven, responsible, objective, collaborative and improvement-oriented.
- As such, the Bureau of Training expects that all training vendors, including their employees, consultants, and subcontractors, will adhere to the following important statements as they develop, deliver, account for, and report on the training and administrative activities contained in their contract/work plan:
 - Support the mission of OCFS in promoting the well-being and safety of New York State's children, families and communities.
 - Be fiscally and ethically responsible.

- Be responsible for communicating directly with BT staff as the primary contact for OCFS, while working collaboratively with the BT's partners and training stakeholders.
- Maintain a tight match between planned and actual deliverables.
- Evaluate training services objectively.
- Back up a strong program focus with an equally strong administrative function.
- Strive for continual growth and improvement.

Procedures

- Take appropriate actions to ensure that employees, consultants, and subcontractors become familiar with and carry out the processes, policies and procedures set forth in this manual.
- Advise staff of any obligations under the New York State Public Officers Law, Section 74, as applicable.

Notes

- BT staff continuously attend to signals of a positive (or negative) working environment maintained by the vendor and the sense that the vendor is (or is not) succeeding in living up to the expectations stated above. While organizational culture is not easily controlled and measured, the results of culture are evident in training and administrative outputs and outcomes.

14.3 HIRING AND DEPLOYING EMPLOYEES TO WORK ON CONTRACTS/WORK PLANS

Process Objective

To enable vendors to bring staff onto contract/work plans in a manner that is both suitable to contract/work plan needs (as perceived by both vendor and OCFS) and cost effective.

Background

- Training contracts/work plan budgets include employees under the Personal Services budget and, in some instances, subcontractors/consultants under the Non Personal Services budget. When implementing contracts/work plans, in particular when hiring and deploying staff, it is important to understand and make the definitional distinction.
- **SEE ALSO:** 15.6 Establishing a Subcontract under a Contract/Work Plan.

Policies

- **Distinguishing Employees from Consultants** – Vendors shall recognize a distinction between “employee” and “consultant” for purposes of implementing the contract/work plan. Key aspects of this distinction, from a policy and practice perspective include, but are not limited to:
 - In most situations, a staff resource should be hired as an employee (rather than a consultant) if the need for their services is ongoing and their work schedule will be fixed. By contrast, hiring the staff resource on a consultant basis is appropriate when the need for their services is one-time or variable, the person’s work schedule will not be fixed, and they can perform their work within contract/work plan requirement time frames.
 - The vendor typically pays for the training, staff and supplies of its employees but not for subcontractors/consultants.
 - An employee typically works for one employer (i.e., the vendor), whereas the consultant may work for several different organizations.
 - The vendor covers unemployment and workers compensation benefits for their employees but not for consultants. The distinction between employee and consultant for unemployment and workers compensation is complex. Vendors should consult the New York State Department of Labor, New York State Workers’ Compensation Board; and/or private legal counsel if they have questions in this regard.
 - If a person is being paid as an employee, that person shall not also be paid as a consultant.
 - Consultants shall not be construed as employees, and the distinction must be upheld.

- **Changing or Adding Staff** – Vendors shall request and receive prior approval from the BT Training Manager before filling or adding a staff position – whether with an employee or consultant – to work on the contract/work plan or before changing the percentage of a staff member’s time allocated to the contract/work plan by more than 20 percentage points.
- Vendors shall make their best efforts to employ, where possible, recipients of public assistance and care, as that term is defined in New York Social Services Law, Section 2 (18), to work on the contract/work plan.
- Vendors shall be familiar with New York State hiring practices and should consult with the New York State Commission on Public Integrity and/or private legal counsel if they have any questions in this regard.
- Any new contract/work plan staff shall be required to complete a Form OCFS-4715, Confidentiality Non-Disclosure Agreement. If applicable, a Form OCFS-4716, Contractor Employee and Volunteer Background Certification is also required. (Check with BT Finance and Administration if unsure whether a previous OCFS-4715 and/or OCFS-4716 are on file with OCFS.) These forms are also required for all subcontractors/consultants. **SEE ALSO: 15.6** Establishing a Subcontract under a Contract/Work Plan.

Procedures

- Review each position to determine whether it should be considered for employee status (as opposed to consultant status) based on the type of service and work schedule anticipated.
- When seeking to bring a new employee onto the contract/work plan, or when changing the percentage of an individual staff person’s time allocated to the contract/work plan by 20 percentage points or more, write a cover letter to request approval from BT Training Manager and complete and submit Form OCFS-4789, Revised Personnel Cost with the request. (This action is for when bringing an existing vendor employee or a new employee onto the contract/work.)
- If approved, proceed to hire, deploy, or change the assignment of the staff member.
- Collect a signed Form OCFS-4715 and, if applicable, Form OCFS 4716 from new employees and consultants.

Notes

- **SEE ALSO:** 19.2 Making Budget Changes.

14.4 COMPLYING WITH KEY LAWS AND PROTECTIONS FOR WORKERS

Process Objective

To ensure contract/work plan staff are treated fairly, consistent with protections granted under federal and state law, rule, and regulation.

Policies

- As employers, vendors shall not discriminate on the basis of age, race, creed, color, national origin, sexual orientation, military status, sex, disability, or marital status.
- Vendors' practices regarding personnel management for contract/work plans shall be compliant with the provisions and requirements of all federal and state equal opportunity, human rights, and anti-discrimination laws. Further, vendors shall comply with the provisions and requirements of:
 - Civil Rights Act of 1964 (as subsequently amended)
 - Rehabilitation Act of 1973 (as subsequently amended)
 - Americans with Disabilities Act – Title II, Section 4.3100, Nondiscriminatory Practices and Policies
 - Americans with Disabilities Act – Title II, Section 4.3200, Reasonable Accommodations
- “Reasonable Accommodation” means any change or adjustment to a job or work environment that permits a qualified applicant or employee with a disability to participate in the job application process, to perform the essential functions of a job, or to enjoy the benefits and privileges of employment equal to those enjoyed by employees without disabilities. Vendors are obligated to make reasonable accommodations unless they can show that the accommodation would impose an “undue hardship” on the operation of its program.

Procedures

- Designate an executive-level individual to develop and implement an affirmative action plan acceptable to OCFS.

Notes

14.5 MAKING ORGANIZATIONAL CHANGES

Process Objective

To allow the vendor to adapt its organizational structure, if circumstances necessitate, during the Delivery Year while permitting OCFS to have a voice in the selection, replacement, and assignment of personnel who will have oversight and direction on the contracts/work plans.

Policies

- Vendors shall notify BT in writing at least 45 days in advance of implementing any significant organizational changes, especially those which might affect the timely provision of contract/work plan deliverables. Such changes include but are not limited to changes in directors, staff, business address, as well as organization mergers, acquisitions, legal actions, and bankruptcies. Under special circumstances, the 45-day advance notice may not be feasible. In this case, the vendor shall provide BT with as much advance notice as possible.
- In accordance with State Finance Law, Section 138, and the language included in OCFS contract/work plans, vendors shall not assign their contract/work plan to another entity without requesting and receiving prior written consent from OCFS.

Procedures

- Notify OCFS of such planned organizational changes/actions by letter from an authorized representative, on vendor letterhead, directed to the Director of the Bureau of Training.
- Complete [OCFS-4895, Vendor and Contract Contact Update Request Form](#). Submit form to the BT Finance and Administration Unit, who will forward it to the OCFS Bureau of Contracts Management for processing.
- If the individual(s) who are authorized to receive or sign contracts online on behalf of private vendor are changing, also obtain new user account(s) for CMS through the OCFS Bureau of Contract Management. **SEE ALSO:** 4.6 OCFS Contract Management System.

Notes

- **SEE ALSO:** 11.2 Establishing Communications Between Vendor and Bureau of Training

14.6 DEVELOPING VENDOR STAFF VIA CONFERENCE ATTENDANCE

Process Objective

To enable training vendors to maintain or enhance expertise, while controlling the impact on work plan deliverables, schedule, and budget.

Policies

- Anticipated staff development should be explicitly planned for and included in the vendor's proposal and approved budget.
- Vendors shall be reimbursed for the costs of sending their employees and consultants to professional conferences, in and out of state, for development purposes only on a limited basis and under certain conditions as follows:
 - The vendor's contract/work plan includes a budget for staff development.
 - Attendance is demonstrated to be necessary for successful completion of contract/work plan activities;
 - Attendance does not interfere with staff's ability to complete regular work plan activities;
 - Vendors maintain records as to how staff attendance benefited the work plan and how the information learned will be disseminated to other staff; and
 - The work plan budget contains sufficient funds in the staff travel category.
- In order to be reimbursable, all registration and travel costs for staff attendance shall first have been approved in writing by the vendor's principal investigator or other lead administrator for a contract/work plan in advance of the event.
- In order to be reimbursable, all registration and travel fees for staff attendance at conferences or training events shall also have been approved in writing by the Bureau of Training Director or Assistant Director in advance of the event.

Procedures

- At least three weeks in advance of the event, complete a request for attendance at a conference using Form OCFS-3108, Contractor Request to Attend Conference.
- Submit the signed, completed request form to the BT Training Manager, who will review it, advise the appropriate OCFS manager, and seek approval if recommended.
- Inform affected staff of BT's decision, once written approval or disapproval has been received.
- Prepare and submit paperwork to claim reimbursement as part of the monthly vouchering process.

Notes

- Vendor principals are expected to use careful, professional judgment regarding the use of contract/work plan funds to allow staff to attend conferences.
- Due to ongoing state government-wide restrictions on out-of-state travel, OCSF has only rarely been able to approve out-of-state conference attendance requests in recent years.
- **SEE ALSO:** 15.5 Purchasing Travel Services, and 18.8 Preparing Supporting Documentation for Claims.

14.7 HANDLING UNSATISFACTORY STAFF

Process Objective

To expeditiously, fairly, and judiciously address and resolve situations in which an individual deployed to work on a contract/work plan fails to meet vendor and/or OCFS' expectation for satisfactory performance.

Policies

- Vendors shall continuously monitor performance of employees and consultants deployed to work on OCFS contract/work plans.
- Vendors, after appropriate attempts to correct an employee's behavior, shall promptly reassign or remove any individual from duties and tasks on which performance is demonstrated to fall below performance standards in the assessment of the vendor or OCFS.
- Vendors shall identify alternative staffing options to fill any gaps due to reassignment/removal of an individual from duties and tasks and shall consult with the BT Training Manager before implementing the changes.

Procedures

- Respond promptly to any concerns raised by a BT staff member about an individual's performance.
- Bring any concerns to the attention of the BT Training Manager when the individual's performance has the potential to negatively impact the deliverables.
- Implement the agreed upon tactic to ensure deliverables are done on time.

Notes

15. PROCUREMENT OF GOODS AND SERVICES

15.1 INTRODUCTION

This chapter will cover key requirements for vendors when procuring goods and services needed to fulfill the deliverables of the contract/work plan.

15.2 PURCHASING – GENERAL

Process Objective

To enable vendors to make purchases in compliance with specific state policies.

Policies

- Under State purchasing policies, OCFS cannot reimburse these vendors for New York or municipal sales taxes. Accordingly, vendors who are eligible to receive a New York State and/or Municipal Sales Tax exemption (i.e., public and certain non-profits) shall use exemption forms when making purchases for the contract/work plan whenever possible.
- OCFS strongly encourages vendors to use the services of Minority-Owned Business Enterprises and Women-Owned Business Enterprises whenever applicable for the procurement of goods and services in carrying out the contract/work plan. **SEE ALSO:** 15.7 Utilizing Minority- and Women-Owned Business Enterprises, for more background, definitions and specifics.
- OCFS requires that vendors with approved contracts/work plans as well as all subcontractors hired by the vendor maintain in effect a general policy of liability insurance of an appropriate amount during the Delivery Year.

Procedures

- NA

Notes

15.3 PURCHASING EQUIPMENT

Process Objective

To enable vendors to make appropriate, timely and cost-effective purchases of equipment in support of their contract/work plan efforts while ensuring the state's interests in financial controls are met.

Background

- At the proposal stage, public vendors are required to provide an Equipment Inventory Plan. This plan will be followed unless needs change.

Policies

- Tangible, non-expendable personal property items with a useful life of one year and an acquisition cost of **\$500 or more** per unit shall be considered equipment. (By contrast, consumables are disposable personal property not meeting this definition of equipment.) If BT determines that a series of smaller valued items taken together form one operational piece of equipment, BT shall have the right to classify them as equipment.
- The existing approved budget must include a line item for equipment if any equipment purchases are anticipated. Otherwise, a budget modification will be needed before the vendor makes an equipment purchase for the contract/plan.
- Vendors seeking to make equipment purchases using contract/work plan funding must obtain written approval from BT before making the purchase if the purchase price of the item of equipment is **\$1,000 or more** (unless the item was cost-itemized in the budget and the purchase price does not exceed that itemized cost.) For purchases of equipment costing between **\$500 and \$999.99**, vendors must notify BT of the purchase through an e-mail to the BT Equipment mailbox, ocfs.bt.equipment.requests@ocfs.ny.gov.
- Vendors shall keep their inventory of purchased equipment up to date as new equipment is acquired using contract/work plan funds. This includes equipment purchased by subcontractors. OCFS may request a periodic update of the inventory.
- Equipment purchased with contract/work plan funds shall be used solely for work described in the contract/work plan.
- As indicated in all contract/work plans, any equipment purchased with contract/work plan funds is and remains the property of OCFS.
- Vendors shall be responsible for maintaining the equipment purchased. Vendors shall take adequate precautions to keep items in good repair (e.g., equipment preventive maintenance and service plans) and to prevent damage or theft. Vendors should carry adequate insurance to cover damages or losses.
- Vendors shall be responsible for proper disposal of equipment that is no longer needed for the contract/work plan. If there is no renewal agreement or if the equipment is broken and

not repairable, has no residual value, or is beyond its useful life as determined under the vendor's own equipment policies, the vendor must account for the equipment and seek determination for the disposition from BT. BT will seek to respond within 30 days to any and all disposal requests.

- All adjustments to the inventory shall be reconciled following the completion of the work plan.

VENDORS WITH MULTIPLE WORK PLANS:

- Vendors with multiple work plans are required to compile a single listing of all equipment spanning multiple work plans as the "Equipment Inventory Plan" at the time of proposal. **If an equipment item will be used by more than one work plan, the planned and actual expense shall be prorated among the plans.** This allows BT to maintain an equipment inventory pertaining to the public vendor that includes all the OCFS-sponsored work plans. If there are revisions to the Equipment Plan after the proposal stage, vendors should provide BT with a revised plan.

Procedures

- If an intended equipment purchase exceeds the established threshold, write a request and justification. Include the model number and specifications, if available.
- Forward the request to: ocfs.sm.bt.equipment.requests@ocfs.ny.gov.
- Upon receipt of an approval, proceed with purchase. Retain the documentation.
- In preparation for claiming, prepare Form OCFS-4795, Equipment Purchase Record, and also update the Equipment Plan developed at the proposal stage, when new items valued at \$500 or more are acquired.
- At the end of each contract period/work plan term, reconcile the equipment purchase plan with actual equipment purchases made during the year.
- Carry adequate insurance to cover any equipment damage or loss.
- Report any damaged or lost equipment to the BT Training Manager as soon as possible.
- When planning to dispose of equipment, seek determination on its disposition through an e-mail to: ocfs.sm.bt.equipment.requests@ocfs.ny.gov.

Notes

- **SEE ALSO:** 18 Costs Management and Reimbursement and 20.2 Reporting Quarterly on Activities and Deliverables.

15.4 PURCHASING PRINTING

Process Objective

To enable vendors to make appropriate, timely and cost-effective purchases of printing services in support of their contract/work plan efforts while ensuring the state's interests in financial controls are met.

Policies

- Purchase of printing services shall be economical and reasonable. Vendors and subcontractors shall make reasonable efforts to secure the lowest cost source for printing services.
- Public vendors shall follow the OCFS and OSC rules regarding the purchase of printing services.
- Private vendors shall use their own discretion for purchase of printing services. Prices and rates should be reasonable.
- For printing jobs costing \$50,000 or more, vendors shall keep documentation that the lowest cost source was used and provide this documentation with the reimbursement claim.
- OCFS strongly encourages vendors to obtain printing services through a certified Minority or Women Owned Business Enterprise (M/WBE) wherever feasible. **SEE ALSO:** <http://www.esd.ny.gov/mwbe.html>.

Procedures

- For printing purchases subject to OCFS and OSC guidelines for multiple quotes or bids, retain documentation to be available upon request.
- When documenting in the procurement record for a printing expense of \$50,000 or more, include a brief description of the service provided, date of service, listing of all responding bidders, price quoted by each bidder, and a rationale for the selection/rejection. If the lowest price bidder was not selected, include a justification for accepting another bid.

Notes

- This requirement applies to printing of training and training related activities such as training manuals and brochures. Requirements do not apply to photocopying services for daily office activities.

15.5 PURCHASING TRAVEL SERVICES

Process Objective

To enable vendors to make appropriate, timely and cost-effective purchases of travel services for staff in support of their contract/work plan efforts while ensuring the state's interests in financial controls are met.

Policies

- Vendors making travel purchases/expenditures for staff shall be aware that travel costs are only reimbursable when they conform to the policies and latest approved rates set by the Office of the State Comptroller. See: <http://www.osc.state.ny.us/agencies/travel/manual.pdf>.
- Under very limited circumstances, OCFS may allow travel purchases that exceed the OSC travel guidelines in effect at the time of travel. To be considered, vendors shall submit a travel rate waiver request in writing one month in advance of the anticipated use of the waiver in order to provide OCFS sufficient time to consider it. (If the waiver is granted, the vendor will be required to submit the name of the BT Training Manager and date of approval for the new travel rate when submitting a claim.)
- Vendors are encouraged to use tax exempt certificates for both state and city hotel stays. (As a matter of statewide policy, work performed under state contracts is exempt from state and municipal sales tax and, as such, these taxes cannot be claimed and are not reimbursable.)

Procedures

- For travel rate waiver requests, specify in writing to the BT Training Manager the revised rates to be used in lieu of OSC rates; justify the need for the revised rates; and define when and where they will be applicable. The documentation must demonstrate that reasonable effort was made to adhere to state rates but was unsuccessful.
- Upon receipt of the approval, notify travelers and proceed. Retain the documentation.

Notes

- **SEE ALSO:** Policies concerning *trainee travel* (as opposed to *staff travel*) are found in Section 18.4 Preparing Claims for Reimbursement – All Vendors.

15.6 ESTABLISHING A SUBCONTRACT UNDER A CONTRACT/WORK PLAN

Process Objective

To enable vendors to hire qualified third parties to perform specified work (to help fulfill the contract/work plan agreement) under terms and conditions that are consistent with Bureau of Training's interests and requirements.

Background/Definitions

- A subcontract, by standard definition, is “a contract between a party to an original contract and a third party; *especially*: one to provide all or a specified part of the work or materials required in the original contract.” [citation: merriam-webster.com/dictionary]
- Subcontracts, for the purposes of this manual, can include, but are not limited to: purchase requests, requisitions, independent consultant agreements, subcontracts, or another form of a legal agreement. For the purposes of subcontracting requirements, copies of invoices or post-payment documents do not qualify as or constitute a “subcontract.”
- For the purposes of this manual, a subcontractor is an institution, individual or organization external to the vendor that has entered into a written agreement with the vendor to provide a service outlined in the contract/work plan and whose services are to be funded under the contract/work plan budget. The term subcontractor includes consultants.

Policies

- **STATE GOVERNMENT ENTITIES/PUBLIC VENDORS ONLY:** Selection of subcontractors and development of subcontracts must be conducted in accordance with the New York State Finance Law, Article 11 (State Purchasing), Economic Development Law, Education Law (where relevant), and the Office of the State Comptroller's "Guide to Financial Operations," Chapter XI, Part 13. Procurement and Overview Policies, found at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>.
- OCFS encourages vendors to use the services of qualified Minority and Women Owned Business Enterprises (M/WBEs) in their subcontracting activities. In addition, vendors shall identify any subcontracts with M/WBEs during the contract/work plan term (period).
- All subcontract agreements shall include:
 - Clearly defined and measurable work objectives;
 - Scope of work to be performed by the subcontractor, identifying all major tasks;
 - Curricula, instructional plans and/or other materials to be developed in accordance with the contract/work plan;
 - Delivery method;
 - Total number of hours or days of service to be provided;
 - Rate of payment;
 - Dates of anticipated service within the term/period of the contract/work plan;

- Description of anticipated travel and estimated total travel costs (as the ceiling), if applicable; and
 - Other terms and conditions as applicable.
- The vendor shall be responsible for ensuring that all work to be performed under a subcontract is within the scope, and consistent with the terms, of the contract/work plan agreement between the OCFS and the vendor.
 - If the value of an anticipated agreement (or series of agreements) with a subcontractor is equal to or exceeds \$15,000, written approval from BT is required *before* the agreement is finalized. Prior written approval from BT is also required if the daily rate to be charged by a subcontractor or consultant is \$750 or more. Vendors shall identify to OCFS the services to be provided by, and fully explain and justify the use of, such subcontracts and consultants.
 - *Regardless* of the dollar value of the agreement or whether or not prior approval is required, BT shall require copies of *all* finalized third-party agreements (subcontracts) for the contract record.
 - The vendor’s subcontracts relating to the contract/work plan shall not be construed as a direct legal and fiscal relationship between the subcontractor and OCFS.
 - The vendor must ensure that all subcontractors comply with all applicable federal, state and local laws including but not limited to non-discrimination policies.
 - **Fee-only Reimbursable Subcontracts** – In Fee-only Reimbursable subcontracts, the subcontract shall identify both: a) the Daily Rate; and b) the *estimated* Travel Expenses that constitute the total Fee (see definitions below). BT will *not* accept a fee-only third party agreement with only the fee dollar value identified. Third party agreements where no travel expenses are planned for reimbursement should clearly state this.

Definitions:

- **Daily Rate** = Service charge (includes delivery of service, development of curricula, training prep time, and materials)
 - **Travel Expenses** = the travel Per Diem Cost (Hotel and/or meals. Lunch is non-reimbursable) *and* the estimated Transportation Costs (using lowest cost means of travel, mode, mileage, tolls, rental cost, train ticket, etc.)
 - **Fee** = (Daily Rate X Number of Days) + Estimated Travel Expenses
- **Performance-Based Subcontracts** – Some subcontracts will be established as performance-based rather than fee-based. In these cases, the agreement must include a payment schedule based upon deliverable(s) that include a clearly defined scope and distinct measurable goals for completion. The performance goal(s) may be, for example, a specified number of course deliveries, a specified number of participants/attendees, satisfactory completion of a curriculum or part of a curriculum, and so forth. For performance-based subcontracts, the cost per deliverable that is established in the subcontract may in some instances require a basis, such as the number of hours or days (at a stated rate) required in order to complete the required deliverable.

PRIVATE VENDORS ONLY:

- Consistent with statewide policy, all vendors shall report annually on use of consultant services. **SEE ALSO:** 20.6 Disclosing Contractors to New York State Government.

Procedures

- Select the subcontractor by your organization's approved procurement method. Consult with BT Training Manager as needed.
- If the proposed subcontract value exceeds \$15,000 and/or any consultant daily rate will exceed \$750 or more, complete Form OCFS-2147, Request for Prior Approval of Subcontractor Agreement, following the instructions provided with the form.
- Write a cover letter summarizing the need and purposes for the subcontract. Include a justification for the contract total as well as for consultant daily rates in excess of \$750.
- When using the services of an M/WBE (certified or not) on the subcontract, complete and include Form OCFS-4630, M/WBE Subcontractors and Suppliers Letter of Intent to Participate.
- Have the subcontractor provide a completed Form OCFS-4715, Confidentiality Non-Disclosure Agreement for staff who will be working on the subcontract and, if applicable, a Form OCFS-4716, Contractor Employee and Volunteer Background Certification. (Check with BT Finance and Administration if unsure whether a previous OCFS-4715 and/or OCFS-4716 are on file with OCFS.)
- At least 21 days prior to the effective start date of the subcontract, send the cover letter, OCFS-2147, Request for Prior Approval of Subcontractor Agreement, a copy of the draft subcontractor agreement including any associated appendices and exhibits, and the additional completed forms listed above, as appropriate, to the BT Finance and Administration Unit (see Chapter 9 of this manual for the mailing address). Submit the package by US Mail or scan the entire package and submit it by e-mail to: btproposals@ocfs.ny.gov
- Respond promptly to any questions and provide additional clarifying information if requested.
- Upon receipt of BT approval, finalize agreement and deploy the subcontractor.
- Upon finalization of the subcontract agreement (whether or not approval was required), send a copy of the signed agreement to btproposals@ocfs.ny.gov for BT's records.
- Report on Subcontractor Utilization (M/WBE) as required. **SEE ALSO:** 20.5 Reporting on M/WBE Utilization, for further guidance.

Notes

- Vendors are advised that subcontractors should not commence work until their agreement has been approved (if applicable) and executed.
- Subcontractors sometimes use an hourly rate. If the hourly rate multiplied by 7 equates to \$750 or more, the same policy threshold applies even if the individual might not be working whole days. (Seven is used as the multiplier because the *standard* training day for BT contracts/work plans equals 7 hours.)
- Consultants can and may have a different daily rate for different types of deliverables. For example, curriculum development could cost \$X per day while a classroom delivery could cost \$Y per day. This would require the two (or more) different daily rates to be presented and identified separately in the subcontract if the two (or more) services are to be addressed under the same subcontract. In each case, the daily rate and travel expenses should be identified as components of the total fee.
- **SEE ALSO:** 18.8 Preparing Supporting Documentation for Claims.

15.7 UTILIZING MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES (M/WBES)

Process Objective

To promote the vendor affirmative action and accountability in making effective use of M/WBES as subcontractors on training contract/work plans, consistent with state policy.

Background

- OCFS fully supports the efforts of the State of New York to promote equal opportunity for all persons, promote equality of economic opportunity for minority group members, and women who own business enterprises, and ensure, through active programs, that there are no barriers that unreasonably impair access by M/WBES state contracting opportunities.
- **Minority Business Enterprise (MBE)** – New York State Executive Law Article 15-A defines a MBE as any business enterprise or non-profit organization that is at least 51 percent owned by, directed by, or in the case of a publicly owned business, at least 51 percent of the stock of which is owned by, citizens or permanent resident aliens who are Black, Hispanic, Asian, or Pacific Islander, or American Indian or Alaskan Native, and such ownership interest is real, substantial, or continuing. The minority ownership must have and exercise the authority to independently control the business decisions of the entity.
- **Woman-Owned Business Enterprise (WBE)** – State law defines a WBE as any business enterprise or non-profit organization that is at least 51 percent owned by, directed by, or in the case of a publicly owned business, at least 51 percent of the stock of which is owned by citizens or permanent aliens who are women, and such ownership is real, substantial, and continuing. The woman ownership must have and exercise the authority to independently control the business decisions of the entity.
- At the proposal phase, vendors are required to provide a description of how they propose to identify and use New York State certified M/WBES. This use may be as subcontractors and as suppliers of equipment and commodities for their contract/work plan. The description also identifies the associated dollar amount(s), if known, of such subcontracting or purchases. With their proposal package, the vendor completes and submits Form OCFS-4631, Subcontracting Utilization Form and Form OCFS-4630, M/WBE Subcontracts and Suppliers Letter of Intent for themselves and for the subcontractors or suppliers of equipment and goods they intend to use. There may be unknowns at the proposal stage. (As a related part of the overall Affirmative Action program, the vendor also completes and submits OCFS-4629, Project [Contract/Work Plan] Staffing Form, identifying the participation of protected classes/race/ethnicity distribution in the staffing, at that time and with the quarterly report if staffing changes were made during the quarter.)
- The following policies and procedures carry these expectations forward into the Delivery Year.

Policies

- During the Delivery Year, vendors shall sustain their efforts to use certified M/WBEs as subcontractors and suppliers. Suggested actions are offered under Procedures, however vendors may propose a course of action of their own that is reasonable and accomplishes the aim of M/WBE utilization.
- For all contract/work plans, OCFS requires that the combined utilization goal (i.e., percentage of all expenditures) for subcontracting with and purchases from certified M/WBEs must be consistent with percentage goals (and any updates thereto) identified by New York State Executive Law, Article 15-A and its implementing regulations.
- Vendors shall report results four times a year, including at the closeout of the contract/work plan. **SEE ALSO:** 20.5 Reporting on M/WBE Utilization.

Procedures

- To maximize success in M/WBE utilization, consider the following actions:
 - Consult DMWBD’s online directory of M/WBE certified businesses at <http://www.esd.ny.gov/mwbe.html>.
 - Contact multiple M/WBEs that may appropriately serve as a subcontractor or sub-vendor under the contract/work plan;
 - Keeping a contact list of M/WBEs contacted along with the name of the contract work plan and the results of the contacts;
 - Use the M/WBEs contacts list as a possible resource for additional contacts;
 - Contact area minority business associations, contractors associations, purchase councils, or professional organizations serving the area in which the contract/work plan will be performed.
 - Contact the Division of Minority and Women’s Business Development (DMWBD), part of New York State Empire State Development at (518) 292-5250; (212) 803-2414; or (716) 646-8200.
- Using records of efforts and results, report to OCFS as indicated in Section 20.5, Reporting on M/WBE Utilization, in this manual.

Notes

- The creation and maintenance of forms and instructions for M/WBE subcontracting, M/WBE purchases, and associated reporting is outside the purview of the Bureau of Training.
- For additional information, vendors may contact the OCFS Equal Opportunity and Diversity Development Office (EODD) at (518) 474-3715.

16. DELIVERABLES – CREATION OF TRAINING PRODUCTS

16.1 INTRODUCTION

Two chapters of this manual are dedicated to addressing operational requirements concerning Deliverables. This chapter informs vendors in regard to producing training and administrative work products. The next chapter informs vendors about preparing for, conducting, and evaluating training programs.

- For the purposes of this manual, “work products” are those materials developed by the vendor using contract/work plan funding. They include but are not limited to curricula, manuals, audio/video materials, software, and publications for use in classroom training, distance learning, seminars, conferences, forums, meetings, technical assistance or other training and administrative activities.
- Users should note that Deliverables are governed by both general and specific requirements. Some requirements apply across the range of vendors, deliverables, and funding sources, whereas others apply only to some types of vendors, deliverables, and/or funding sources.
- Vendors are responsible for understanding the nature and scope of the training deliverables presented in their contract/work plan’s Form OCFS-3102, Training and Administrative Activities List and for successfully completing all those deliverables during the term of the contract/work plan. The BT Training Manager is the vendor’s primary contact for any questions regarding expected deliverables. Vendors are also responsible for informing the assigned BT Training Manager of any problems encountered in completing deliverables.
- **SEE ALSO:** 11.2 Establishing Communications Between Vendor and Bureau of Training, and 20.2 Reporting Quarterly on Activities and Deliverables.

16.2 DEVELOPING TRAINING AND ADMINISTRATIVE PRODUCTS – GENERAL REQUIREMENTS

Process Objective

To enable and ensure that vendors create effective work products, regardless of format, that contain required common features and are acceptable to OCFS.

Policies

The following guidelines apply to all work products unless BT grants the vendor an exception in writing.

- **Required Acknowledgement:** In all work products resulting from a contract/work plan agreement with OCFS, vendors shall include a written notice that the item was produced under an agreement with OCFS. Specific required language is provided under **Procedures**, below.
- **Required Disclaimer:** Vendors shall also include a disclaimer in all such materials. Specific required language is provided under **Procedures**, below.
- **Copyright Policy:** Vendors shall ensure that their training and administrative deliverables comply with the OCF Bureau of Training Copyright Policy found in **APPENDIX 4** and also addressed in 16.5 of this manual. A notice of copyright must be included in every new work-for-hire work product.
- **Crediting Sources:** Vendors shall ensure that all contract/work plan deliverables properly credit any and all source material used. **SEE ALSO:** 16.5 Maintaining Compliance with OCFS Copyright Policy .
- **Permission to Use Source Material:** Vendors must obtain appropriate permission to use source material copyrighted to others and said permission shall provide rights to use the material in the present work product. **SEE ALSO:** 16.5 Maintaining Compliance with OCFS Copyright Policy .
- **Web Accessibility:** Any training product that includes web-based information or applications, and/or information or applications to be used on the Internet must comply with New York State Enterprise IT Policy NYS-P08-005, Accessibility of Web-Based Information and Applications, as such policy may be amended, modified, or superseded. The policy requires that state agency web-based information and applications are accessible to persons with disabilities. OCFS shall conduct quality assurance testing and the results of such testing must be satisfactory to OCFS before web-based information and applications will be considered a qualified deliverable under the contract/work plan. (A copy of the policy can be found on the New York State Office of Information Technology Services website at: its.ny.gov/policy/NYS-P08-005.pdf.)
- **Submittal Time Frame:** Vendors shall submit all curricula and materials developed or revised pursuant to a contract/work plan in draft at least five weeks in advance of their

anticipated use. (In rare instances this notice period may not be feasible. The vendor shall consult with the BT Training Manager to agree on a deviation from the required time frame.)

- **Review and Approval:** Vendors shall obtain written approval from the responsible BT Training Manager before implementing the work products for training offerings.
- **Collection of Work Products by OCFS:** Vendors shall ensure that OCFS has final copies of all curricula and materials at the conclusion of the contract/work plan. OCFS maintains a repository of these products and these products may be made available to other vendors for use in future contract/work plan activities and deliverables.
- **Requests from Others for Use of the Contract/Work Plan's Work Products:** The vendor shall refer any incoming requests from other parties to use or reproduce the work products, or any component of the work products, to the OCFS Bureau of Training. BT will make efforts to reply with a written answer within 30 days of receipt of the request.
- **Charging for Work Products:** Vendors are prohibited from selling curricula or other materials generated or used under the contract/work plan, or previous contracts/work plans, to produce income. **SEE ALSO:** 16.7 Sharing/Selling Training Materials Produced for a Contract/Work Plan.

Procedures

- Include the **Acknowledgement** and **Disclaimer** texts provided in the box below in *every* curriculum, material, or publication (including media products) produced or modified under the contract/work plan. Consult **APPENDIX 4**, OCFS Bureau of Training Copyright Policy, for full instructions.

Acknowledgement

This material was developed by [insert name of training vendor here] under a training and administrative services agreement with the New York State Office of Children and Family Services.

Disclaimer

While every effort has been made to provide accurate and complete information, the Office of Children and Family Services and the State of New York assume no responsibility for any errors or omissions in the information provided herein and make no representations or warranties about the suitability of the information contained here for any purpose. All information and documents are provided "as is," without a warranty of any kind.

- If an outside individual or organization requests permission to use or reproduce work products or materials produced for BT under a contract/work plan, refer them to OCFS BT.
- Seek guidance from your BT Training Manager if you are uncertain how to meet the expectations from a policy and administrative perspective. If necessary, the Training Manager will arrange for a consultation with BT Management and/or OCFS Counsel's Office.

Notes

- **SEE ALSO:** 16.5 Maintaining Compliance with OCFS Copyright Policy and 16.7 Sharing/Selling Training Materials Produced for a Contract/Work Plan.

16.3 DEVELOPING TRAINING CURRICULA – ALL TYPES

Process Objective

To ensure that all new or redesigned curricula produced under contract for OCFS are complete, consistent, and high quality and that the impact of the course, once delivered, can be measured.

Policies

In addition to the policies governing development of all training products covered in the previous section, the following policies apply to all *curriculum* projects (whether traditional print-based or e-learning based).

- Development or redesign of a curriculum shall constitute a defined project and the BT Training Manager will function as the project manager.
- The vendor shall only initiate a curriculum project when the BT Training Manager has provided prior approval.
- Vendor staff assigned to write or rewrite the curriculum shall work collaboratively with the assigned BT Training Manager and program staff toward a common goal of achieving a high quality curriculum meeting the identified need(s) for the course.
- The Bureau of Training requires vendors to follow the ADDIE model for instructional design as shown in **EXHIBIT 10**. The model begins with the establishment of measurable objectives based on identified needs. This approach makes it possible to evaluate the impact of the delivered training on the behavior of trainees in the workplace following training.
- A completed curriculum must be a fully developed written document that can be used and understood by other professionals. It must fully explain topical knowledge that the vendor or trainer will be communicating to trainees. (Curriculum outlines or meeting agendas are not sufficient as curriculum deliverables.)
- Each curriculum developed by project staff or project consultants must be presented in a prescribed format. This format is shown in **EXHIBIT 11**.
- The Bureau of Training works with target training populations that are culturally diverse. Each training curriculum developed for or utilized on behalf of OCFS must be effective for use with culturally diverse groups. In addition, all content (e.g., narrative, examples, training exercises, handouts) must be culturally sensitive and free of indications of bias, prejudice, and stereotypes.
- Each curriculum developed for OCFS BT must adhere to the OCFS Bureau of Training Copyright Policy (**APPENDIX 4**).
- Before implementing a new or revised curriculum, the vendor must obtain written approval from the BT Training Manager indicating that the curriculum meets OCFS's approval and is ready for use. This policy applies to all curricula regardless of the intended method of

delivery. This policy also includes all material and media to be used in conjunction with the course delivery.

- Curricula and materials under development are confidential work products unless and until the BT Training Manager has reviewed and approved them. Curricula and materials are not public information, and the vendor must not share or deploy them, until they have been approved. (Some curricula and materials may also require sign-off from OCFS program staff and/or staff from other state agencies.)

EXHIBIT 10: THE “ADDIE” INSTRUCTIONAL DESIGN MODEL

A	<p>Analysis</p> <ul style="list-style-type: none"> – What is the Need? – Ask Who? What? Why? – And most importantly, ask “Will training address the issue I am trying to resolve?” – Identify your objectives and express them in measurable (quantifiable or observable) terms. (For example, “Achieve 100 percent of local human services work force trained on xyz policy.” “Improve accuracy by xx percent.” “Reduce rejected claims by xx percent.” “Increase the number of certified personnel by xx percent.” “Reduce placement failure rate by xx percent.”)
D	<p>Design</p> <ul style="list-style-type: none"> – How should the training be offered? – Traditional, distance or blended learning? – Blueprint the learning structure around your objectives. – Use a modular design to enable reuse and re-sequencing as appropriate.
D	<p>Development</p> <ul style="list-style-type: none"> – Build the training. – Build job aids, projects, learning activities, based on how they will be delivered. – Ensure all elements of the training support the identified objectives.
I	<p>Implementation</p> <ul style="list-style-type: none"> – Prior to delivering the training, evaluate it based on the course objectives. – Present your training. – Have all course material available. – Follow the script you have designed to ensure coverage of all material.
E	<p>Evaluation</p> <ul style="list-style-type: none"> – Evaluate learners’ test scores. – Did learners meet all course objectives? – Observe and measure changes in the workplace. – Analyze evaluation data to guide plans for revising the instructional course.

http://en.wikipedia.org/wiki/ADDIE_Model

Procedures

- Obtain approval before starting work on the curriculum and/or related materials.
- Use the standard framework presented in **EXHIBIT 11** for the curriculum being developed.
- Make arrangements for and carry out appropriate field (pilot) testing of the curriculum.

- Obtain approval in writing from the BT Training Manager to use the draft curriculum in a pilot test environment.
- Work with the assigned BT Training Manager on designing, implementing, and following up on field testing.
- Make improvements as indicated.
- Obtain final approval from the BT Training Manager (and others if so advised by the BT Training Manager).
- Submit the completed Curriculum to BT Training Manager using a completed Form OCFS-4381, Cover Sheet – Final Product Submission.

Notes

- When the vendor will be using an existing curriculum "in whole" or "as is" obtained from another source, the format may deviate from the format requirements prescribed here.
- **SEE ALSO:** 16.4 Developing Curricula and Other Materials for Use in E-Learning Modalities; 16.6 Submitting Final Training Work Products; 17.5 Evaluating Training Program Deliveries; and **APPENDIX 4**, OCFS Bureau of Training Copyright Policy.

EXHIBIT 11: REQUIRED STANDARD FORMAT FOR A TRAINING CURRICULUM

CURRICULUM SEGMENT	CONTENTS REQUIREMENTS
Introduction/ Purpose/ Rationale	<ul style="list-style-type: none"> – Provide a clear explanation of the purpose and need for the training program. – Explain the course’s relationship to any other course or courses. – State the key concepts that will be taught.
Objectives	<ul style="list-style-type: none"> – Write measurable objectives for the course and each major segment of the course if applicable. The objectives should be specific, expressed in behavioral terms. – Objectives should spell out the new or enhanced skills, abilities and behaviors that trainees should acquire and apply as a result of participating in the training.
Materials/ Handouts	<ul style="list-style-type: none"> – Provide a list of materials needed by the trainer and trainees. – Title each item (specific handouts, videos, flip charts, PowerPoint Slide decks, and other electronic media such as CD-ROMs. – Include a copy of each item with the curriculum package. Samples of all materials to be distributed and used during the session (such as worksheets, exercises or reading material) should be provided in complete form. Formats should be neat and easy to follow.
Time	<ul style="list-style-type: none"> – Provide the total presentation time planned for each activity that is part of the curriculum. The time frames proposed for course segments should be reasonable for accommodating the content and activities designed for each segment. Sufficient time should be allowed for processing and transitioning activities with the trainee group. Reasonable times should also be set aside for breaks and lunch.
Methods/ Process	<ul style="list-style-type: none"> – Provide a detailed and complete description of the presentation process and methodology. This should be a step-by-step description of the tasks and activities that the trainer will take the class through (or the work the self-led trainee will go through). The methods described should be feasible and suitable for getting the learning points across in an efficient and engaging manner. The time allocated for each activity should be stated. A topic outline should be provided for any lecture components. If films, group discussions, or other exercises will be used, suggested focus questions for the trainer’s use should be provided. The content and methods should be suitable for the expected level of expertise of the target trainee group. Anticipated special needs of trainees should be accommodated. There should be opportunity built into the curriculum plan for trainee participation. – If lectures are used, provide a narrative of each entire lecture to be included in the course. Provide trainer’s notes to point out topics that should be highlighted. If videos, DVDs, PowerPoint presentations, or handouts are to be used in the course, provide focusing questions.

CURRICULUM SEGMENT	CONTENTS REQUIREMENTS
Conclusion	<ul style="list-style-type: none"> – Include a review of the entire course and its intent to occur at the end of the course.
Resources	<ul style="list-style-type: none"> – Include a bibliography of resources used during the course development. – Include the names of consultants when appropriate. – Include a bibliography of resources to be utilized during the session or to provide follow-up reading for participants. Names of consultants or speakers to be used should be included if appropriate. All sources must be properly credited. – Credit all materials appropriately.
Evaluation Instruments and Methods	<ul style="list-style-type: none"> – Provide a copy of the evaluation instruments to be used in conjunction with the training, following the BT evaluation guidelines. (See __.) Evaluation method(s) and instruments should be suitable to the objectives and design of the session. They must be consistent with Bureau of Training evaluation guidelines.
Other	<ul style="list-style-type: none"> – Direct the trainer who will be teaching the course to tell participants the name of the training provider organization they represent and that they are providing the training under agreement with OCFS.

16.4 DEVELOPING CURRICULA AND OTHER MATERIALS FOR USE IN E-LEARNING MODALITIES

Process Objective

To promote use of best practices for all e-learning-based curricula and other training and administrative products developed for OCFS, and ensure that all e-learning deliverables are supportable in the OCFS information technology environment.

Policies

- E-learning training products must be developed in such a manner as to make the content accessible to individuals with disabilities as required by New York State Enterprise IT Policy NYS-P08-005, Accessibility of Web-Based Information and Applications. **SEE ALSO:** 16.2 Developing Training and Administrative Products – General Requirements.
- All e-learning products shall be published in electronic format that is compatible with the OFCS and State of New York computing environments and the learning management systems used by OCFS BT.
- All e-learning training products must feature appropriate navigational controls and consistent design and style features.
- The Training Manager may specify additional requirements in consultation with the BT Project Team established for a particular e-learning project effort.
- Vendors shall not deploy any e-learning training products until the BT Training Manager has approved them for use.

Procedures

- Review the specifications provided at the time of proposal development and obtain guidance from BT Training Manager on how to proceed.
- Participate in a project team to be established by the BT Training Manager for the specific deliverable. (The project team will likely include individuals with expertise in e-learning best practices.)
- Work through the BT Training Manager to arrange for consultations with technical staff for guidance on specific requirements appropriate to the e-learning project/product objectives.

Notes

- The BT Training Manager will facilitate consultation and collaboration with internal resources concerning distance learning and media products under development, information technology systems compatibility, and other critical considerations for the successful development of computer-based/web-based training products for OCFS.

- **SEE ALSO:** 16.3 Developing Training Curricula – All Types, which applies to both e-learning based curricula and traditional print-based curricula.

16.5 MAINTAINING COMPLIANCE WITH OCFS COPYRIGHT POLICY

Process Objective

To establish the means for both vendors and OCFS to follow law and best practice with respect to copyrighting of materials produced through, or used in conjunction with, training contracts/work plans.

Policy

- All materials must comply with copyright laws, the OCFS Bureau of Training Copyright Policy (**APPENDIX 4**), and accepted practices.
- OCFS shall be the copyright holder for curricula and other types of deliverables produced through a contract/work plan agreement whereby the scope of the contract/work plan was "work made for hire."
- In cases where the work product is copyrightable to OCFS, OCFS shall decide whether to grant the vendor permission to use the material beyond the scope of the contract/work plan *on a product-by-product basis*. Vendors shall not use, reproduce, prepare derivative works, distribute copies, perform, display, or transmit the copyrighted material without such permission from OCFS.
- Vendors shall also adhere to the OCFS Bureau of Training Copyright Policy when using copyrighted materials produced by others.

Background

- The primary purpose of Copyright Law is to encourage the creation and production of original works of authorship, including literary, dramatic, musical, artistic, and other intellectual works. The law provides authors of such works or the owner of the copyright with exclusive rights to reproduce and distribute their work.
- Copyright protects the words, pictures and graphics chosen by the author to describe, explain, or illustrate an idea or system. However, it gives the copyright owner no exclusive rights in the idea, method, or system described or depicted. Copyright is not available for names, titles, and short phrases. (Such phrases as mottoes and slogans, however, may be protected by trademarks.)
- If a work is a "work made for hire," then the Copyright Law provides that the *employer or other person for whom the work was prepared* owns the copyright. If a work is created by an independent vendor, and fits within one of nine categories of works set forth in the law, and there is a written agreement between the parties specifying that the work is "work made for hire," then the person for whom the work was prepared owns the copyright. When OCFS contracts with an independent vendor to write a curriculum, OCFS shall own the copyright, as this would be a "work made for hire."

- The owner of the copyright has several specific rights delineated by law. When OCFS is the copyright owner, OCFS holds those rights.
- The Fair Use provisions of the Copyright Law permit limited copying of copyrighted material without the copyright owner's permission for purposes such as criticism, scholarship, research, or teaching. While the law does not establish specific limits of what constitutes fair, it does provide four factors that would be considered for a specific use:
 - 1) The purpose and character of the use, including whether such use is of a commercial nature or for non-profit educational purposes;
 - 2) The nature of the copyrighted work;
 - 3) The amount and substantiality of the portion used in relation to the work as a whole; and
 - 4) The effect of the use upon the potential market for or value of the copyrighted work.
- Because of the Fair Use provisions, what would otherwise be considered copyright infringement may be permitted. Authors may quote from or reproduce small amounts of material for purposes of criticism, comment, or to illustrate or support their own ideas.
- Copying of copyrighted materials for classroom use is permissible only under certain conditions and in accordance with guidelines specified in the policy. Photocopying shall not be done as a substitute for purchasing the material, particularly for multiple classroom use.
- Use of excerpts from copyrighted audiovisual materials is governed by the same rules as those governing any other copyrighted material or performance.
- The OCFS Bureau of Training Copyright Policy provides more detail about how to apply Fair Use considerations for such media as audiovisual works used in the classroom, broadcast programming, public broadcasting service/programs, audiovisual work distribution and duplication, and digital distance education.
- The policy also provides guidance concerning copyright registration, writing for permission to use copyrighted material, copyright requirements for Bureau of Training vendors, and related specifics.

Procedures

- When developing or purchasing materials, follow the guidance provided for vendors in **APPENDIX 4**, OCFS Bureau of Training Copyright Policy (see especially sections labelled "REQUIREMENTS FOR VENDORS" and "TEXT FOR VENDOR WORK PRODUCTS").

Notes

- **SEE ALSO:** 16.2 Developing Training and Administrative Products – General Requirements.

- Certain work products may require additional wording or require an alternative approach to the guidance provided above. Vendors are strongly advised to work with the BT Training Manager to determine the appropriate modified language if applicable.

16.6 SUBMITTING FINAL TRAINING WORK PRODUCTS

Process Objective

To establish consistent, convenient and efficient means for vendors to submit final curricula, training materials and other work products to OCFS.

Policies

- OCFS as well as the United States Department of Health and Human Services (DHHS) retain an exclusive, royalty-free right to use any original artwork, graphics or mechanicals created under the contract/work plan. All such materials must be made available to BT or DHHS in a copy-ready, reproducible format. **SEE ALSO:** 16.5 Maintaining Compliance with OCFS Copyright Policy.
- Vendors shall provide OCFS with a copy of all finalized curricula, trainee handouts, brochures, pamphlets, books, videos, CD-ROMS, slides and graphics, immediately following the approval of the materials by the BT Training Manager.
- Vendors shall submit final products in digital format where possible. The nature of the product may make this prohibitive in some instances.
- Contractual obligations shall not be considered discharged until all materials are delivered to OCFS.

Procedures

- Complete Form OCFS-4381, Cover Sheet – Final Product Submission.
- Discuss with Training Manager to establish the appropriate method if there is some question.
- Put text products (curricula, handouts and brochures) into both of the following formats:
 - Portable Document Format (.pdf) using Adobe Acrobat or a comparable application. This version will be used for storing, viewing and printing documents online.
 - Appropriate Microsoft Office product (e.g., MS Word). This version will be used by the vendor or OCFS when making future revisions and updates.
- Put computer-based/web-based training programs, videos, slides, and graphics into final electronic formats after consulting with the BT Training Manager regarding file format.
- If the curriculum or materials for a training activity contain videotapes or DVDs, these must be fully edited studio master originals.
- In addition to the finished files, include all raw (native, unpackaged, unlocked, and unfiltered) files so that BT will be able to edit them in the future.

- Submit a completed coversheet and work product files to the BT Training Manager at the training manager's mailing address. Due to the size of the digital files, both formats of the digital versions should most often be submitted on a DVD-ROM, CD-ROM, or flash drive/memory stick rather than through e-mail. Only use e-mail for smaller files.

Notes

- The BT Training Manager may permit the vendor to use alternate digital file formats depending on the material.
- Submission requirements for *subsequent revisions* of curricula and materials may vary depending on the training activity. The vendor should discuss the appropriate method with the BT Training Manager.

16.7 SHARING/SELLING TRAINING MATERIALS PRODUCED FOR A CONTRACT/WORK PLAN

Process Objective

To allow vendors to make materials produced under contract/work plans available to eligible trainee populations in a manner that is consistent with federal and state policy.

Background

- Vendors often are called upon to make training materials they have developed available to others. This raises the question of how to price these materials. Federal regulations require that any income (after expenses) derived from a federally funded project be credited to the original federal funding source(s). To avoid the complicated federal credit process, OCFS has established the following policies.

Policies

- Vendors shall not, under any circumstances, sell to others for a profit any training materials produced under a BT contract/work plan.
- Vendors shall be allowed to make copies of materials available to the eligible trainee populations. Other requests shall be referred to BT.
- The vendor's costs associated with printing, copying, postage, and staff time may be included in the cost the vendors incurs, provided that these costs are not already being paid for by OCFS under the contract/work plan.
- Vendors shall advise recipients of copies that they may not further reproduce, distribute, or sell the materials.

Procedures

- Seek official BT approval through the BT Training Manager using [Form OCFS-2148 Request for License to Use Work Product](#). **SEE ALSO: APPENDIX 4**, OCFS Bureau of Training Copyright Policy.
- Keep complete records of all distributions of materials, including item, quantity, and cost to provide.
- Maintain records for inspection by OCFS or auditors upon request.

Notes

17. DELIVERABLES – PROVISION AND EVALUATION OF TRAINING EVENTS

17.1 INTRODUCTION

This chapter addresses those deliverables that are provided as training events. It includes courses, seminars, symposia, and conferences for which individuals register and gather to receive the training. The scope of this chapter includes scheduling, announcing, registering participants, conducting the training event, and evaluating the event.

17.2 CONDUCTING TRAINING PROGRAMS AND EVENTS

Process Objective

To ensure that training programs are administered and conducted efficiently and cost-effectively, providing a consistent quality of learning experience.

Policies

- Vendors shall be responsible for obtaining and making arrangements for any training space needed to deliver contracted training programs. Vendors shall work with BT and local districts to secure space at no cost if possible. If no-cost space is not available, vendors shall make arrangements for the use or rental of other facilities at a reasonable cost.
- Vendors shall be responsible for securing and operating (or arranging for operators of) the appropriate equipment necessary for delivering the training program or event as designed.
- Vendors shall be responsible for registering participants for training offerings. **SEE ALSO:** 17.3 Registering Participants / Verifying Eligibility / Recording Attendance.
- Vendors shall use STARS/HSLC as the system of record for documenting training deliveries.
- BT defines a "full-day of training" as having a duration of more than 3.5 hours up to 7 hours. A "half-day of training" has a duration of up to 3.5 hours. Note, however, that for the purposes of STARS/HSLC, vendors shall report the actual number of hours.
- Vendors shall close out each training offering in STARS/HSLC, following procedures below, within 14 calendar days of delivery.

Procedures

- Book training space consistent with anticipated needs.
- Arrange for special equipment needed to deliver the course as designed.

- Keep records to demonstrate the reasonableness of cost of any rented space and/or equipment.
- Announce offerings (in STARS/HSLC and other means as appropriate) with adequate lead time and complete information about the location and access to the training site. Indicate on every training program announcement whether a fee will be charged. **SEE ALSO:** 17.4 Collecting Training Participant Fees.
- Register participants in the system of record (STARS/HSLC).
- At the training event, take attendance as directed. **SEE ALSO:** 17.3 Registering Participants / Verifying Eligibility / Recording Attendance.
- Deliver the training course or event as directed in the curriculum or program.
- Instruct trainees to complete the Level 1 and Level 2 (if applicable) evaluations as planned for the training offering. **SEE ALSO:** 17.5 Evaluating Training Program Deliveries.
- Close-out the training event in STARS/HSLC.
- Submit the completed Participant Reaction Questionnaire results as directed for entry into STARS/HSLC.

Notes

- BT Training Managers may be able to assist in securing appropriate space for training classes and events at state-owned and county-owned facilities.

17.3 REGISTERING PARTICIPANTS / VERIFYING ELIGIBILITY / RECORDING ATTENDANCE

Process Objective

To fill seats in training events with eligible trainees, efficiently and effectively, and avoid complications downstream due to registration issues.

Policies

- OCFS BT shall be the determiner of eligibility for training programs. Vendors shall function as controllers for the eligibility direction provided by BT.
- Vendors shall be responsible for registering participants and for doing so in such a way that enables eligibility status of trainees (i.e., eligibility in terms of available federal funding reimbursement for the costs of their training) to be determined.
- Vendors shall only accept individuals into training programs from those groups that are identified in the Training and Administrative Activities List (TAAL) as eligible for that deliverable. Any deviation requires prior approval from the BT Training Manager.
- Vendors shall close out course participation in the STARS/HSLC system within 14 days of the completion of the training event. **SEE ALSO:** 17.2 Conducting Training Programs and Events.

Procedures

- Proactively register participants for training classes or events, using the STARS/HSLC system of record. (This can be done by the vendor or the individual registrant, but ultimately the vendor is responsible for the registration record. Not all eligible enrollees have direct access to STARS/HSLC.)
- At the beginning of a training session or event, use the STARS/HSLC OCFS-4448 Training Roster, which lists individuals who have pre-enrolled, to verify actual attendance of pre-enrolled trainees. Instruct all trainees (pre-enrolled and walk-ins) to sign the Enrollee Roster
- If the class is a non-pre-registered course, use Form OCFS-4448, Training Roster to collect attendance.
- Review the signed Training Rosters to verify that trainees have completed the rosters accurately.
- After the course, used the filled in, signed STARS/HSLC Form OCFS-4448, Training Roster to update trainee status in STARS/HSLC to indicate actual attendance.
- Investigate and respond promptly to BT Training Manager or BT Finance and Administration questions concerning any eligibility and attendance data appearing in STARS/HSLC.

Notes

- The STARS/HSLC data is used in calculating training fees charged to local districts. Further information can be found at: <https://www.hslcnys.org>
- **Exceptions:** Some registration and attendance-taking procedures may not apply to all delivery methods. For non-standard situations, the vendor is advised to consult with the BT Training Manager. However, STARS/HSLC must be maintained with accurate attendance data regardless of the procedure used.
- **Registration of Non-FFP Eligible Participants:** OCFS, through its specification documents, may call for the training of a limited number of persons who fall outside the typical eligible populations. Federal funding reimbursement may not be available for the costs of training provided to these persons. Therefore, their status must be separately identified on training rosters.
- **Verification of Trainee Eligibility:** The eligible trainee population for OCFS-sponsored training deliverables is constrained by funding source requirements. BT Training Managers are responsible for regularly reviewing training participant data placed in STARS/HSLC and may contact the vendor if any discrepancies are noted.

17.4 COLLECTING TRAINING PARTICIPANT FEES

Process Objective

To enable OCFS to correctly assess and collect fees for the participation of local social services district staff in training programs, thus holding the districts accountable for a portion of the costs involved in development of their staff.

Policies

- The OCFS Bureau of Training shall charge local social services districts (LSSDs) a small per-person fee for participation of LSSD staff in selected OCFS-sponsored training activities.
- Trainee fees shall apply only to participation in live, face-to-face classroom instruction conducted by the training vendors. Fees shall not apply to participation in:
 - Pilot offerings of new training programs;
 - Teleconferences, technical assistance sessions, regional meetings, or web-based training; and
 - Training activities arranged by OCFS regional offices through: 1) Child Welfare Training and Technical Assistance (Code: ST06) and 2) Children and Family Services Program Improvement Training (Code: CC15).
- The BT Director shall have the ability to waive collection of training fees for additional activities at his/her discretion.

Procedures

- At the beginning of the Delivery Year, confirm with the responsible BT Training Manager those activities where a training fee is to be charged.
- Indicate on every training program announcement whether a fee will be charged.
- Use the completed STARS/HSLC Enrollee Roster and the Training Roster to update trainee status to generate an Actual Attendance Report in STARS/HSLC.
- Use the completed Actual Attendance Report to verify trainee attendance.
- Respond to any questions raised by the BT Training Manager who will be monitoring the application of participation fees by vendors using VISTA, the Bureau's internal computer application.

Notes

- While vendors are not responsible for the collection of training fees, their assistance in maintaining accurate and up-to-date training participation rosters and training fee

information in STARS/HSLC is critical because BT uses this information to calculate the amount to collect from local districts.

- OCFS collects these fees directly from local social services districts based on data that training vendors report through STARS. Trainees are not responsible for paying the fee personally. They do, however, need supervisor approval to participate.
- As of 2013, the full-day fee per trainee was \$14 and the half-day (i.e., 3.5 hours of training) fee was \$7. The fee will be reevaluated at the end of every calendar year.

17.5 EVALUATING TRAINING PROGRAM DELIVERIES

Process Objective

To systematically collect valid information concerning the effectiveness of training programs in meeting the objectives set forth. To help the Bureau, local social services districts, vendors, funders and other stakeholders identify how to strengthen and improve training program content and delivery.

Background - Levels of Evaluation

- The Bureau of Training draws upon a Four-level Model of Training Course Evaluation developed and published in the 1970s by Donald Kirkpatrick, summarized in **EXHIBIT 12**.

EXHIBIT 12: KIRKPATRICK MODEL FOR EVALUATION OF TRAINING COURSES

LEVEL	DESCRIPTION
Level 1: Reaction	Measures how participants reacted to the training – that is, what they thought about the quality of the training program. This is the most basic level of evaluation. It measures participant satisfaction with the training.
Level 2: Learning	Measures the extent to which participants acquired knowledge or improved skills as a result of the training program.
Level 3: Behavior	Examines the extent to which improvement in job performance occurred because the participant attended the training program. This level of evaluation is designed to measure transfer of learning to the workplace.
Level 4: Results	Assesses the organizational outcomes that occurred because of the training program. Training professionals debate whether a fifth level, Return on Investment (ROI), which looks at the relationship of training outcomes to costs, should also be considered or whether this is covered by Level 4. Either way, measurement of Level 4 has proven elusive in most training environments due to both design and cost considerations. However, it remains an important objective because most staff training is undertaken with an explicit intent to benefit the organization.

www.businessballs.com/kirkpatricklearningevaluationmodel.htm; Donald Kirkpatrick's Learning Evaluation Model 1959; review and contextual material Alan Chapman 1995-2012

Policies

- OCFS requires vendors to develop, use and report, in a timely manner, valid and reliable evaluations.
- OCFS encourages vendors to collaborate with BT Training Managers and program staff to develop and implement effective course evaluation methodologies, as elaborated further, below.

ASSESSING PARTICIPANT REACTION

- Vendors shall conduct evaluations of participant reaction (Level 1-type) for all training. Vendors shall use the [Form OCFS-3246, Participation Reaction Questionnaire](#), for the following categories of deliverables: classroom training, virtual (synchronous) classroom training, computer-based (asynchronous) training, teleconferences, seminars, forums, meetings, and technical assistance.
- Vendors responsible for delivering conferences shall use Participant Reaction Questionnaires to evaluate individual workshop sessions. The conference as a whole must also be evaluated, using either the standard questionnaire or a customized questionnaire specific to the conference, provided that the BT Training Manager has reviewed and approved the customized questionnaire prior to its use.
- Vendors shall ensure that scanned completed questionnaires are submitted within 14 business days of the training program or event.
- Vendors shall be permitted to include additional questions with the Participant Reaction Questionnaire once the BT Training Manager has given written approval for their use.
- The Participant Reaction Questionnaire is not always appropriate for some types of technical assistance. In such cases, the vendor may use an alternate form to collect Level 1 evaluation feedback with prior BT Training Manager approval.

ASSESSING ACQUISITION OF NEW KNOWLEDGE AND SKILLS

- Vendors are also required to employ tools to measure trainees' learning gain in the form of new knowledge and skills (Level 2 type evaluations) in training deliveries as follows:
 - A pre- and post-test of trainee knowledge is required for all classroom training and virtual classroom training that is more than two hours in length and offered three or more times annually.
 - At a minimum, a post-test of trainee knowledge is required for any classroom or virtual classroom training that is two hours in length or less and offered three or more times annually, and for teleconferences with a training curriculum.
 - OCFS encourages vendors to develop approaches for testing the acquisition and enhancement of skills as a result of training. The vendor shall work with the BT Training Manager to determine when pre- and post-testing of skills is feasible.

- The vendor must request and receive written approval from the BT Training Manager before using any pre- or post-tests.
- The vendor must request and receive written approval from the BT Training Manager before using any revised or modified previously approved pre- and post-tests.

ASSESSING IMPACT

- Vendors shall consider use of Levels 3 and 4 training evaluations where practicable and collaborate with OCFS BT and program offices staff on the development, design and implementation of such evaluations. Vendor shall request and receive approval from the BT Training Manager prior to implementation.

OTHER

- In cases where the vendor and BT Training Manager agree that the Participant Reaction Questionnaire and pre- and post-tests cannot be used effectively, vendors shall formulate their own plan for evaluating the impact and effectiveness of training events. The vendor must obtain BT Training Manager approval before deploying an alternate evaluation plan and alternate evaluation instruments.
- BT shall have the right to periodically conduct an independent survey of trainees or supervisors to assess the effectiveness of delivered training and its impact on job performance.
- The above are *minimum* requirements for evaluations. BT or vendors, may supplement them with BT approval.

Procedures

- For Level 1 evaluations, use the [Form OCFS-3246, Participation Reaction Questionnaire](#) wherever applicable. Follow the instructions provided with the form. Scan trainees' completed participant reaction questionnaires and submit them electronically to btevaluation@bsc-cdhs.org within 14 business days of the completion of a training program or event. Consult the BT Training Manager if customizing is necessary.
- When plans call for conducting pre- and post-tests (for Level 2 evaluations), prior to the delivery of a training course or event enter the standardized test questions and answers into STARS/HSLC. The system will produce customized pre- and post-tests and scan sheets for the training provider to use when the course is delivered.
- Confirm evaluation data is collected and recorded in the STARS/HSLC system appropriately.
- Collaborate with BT Training Manager to determine method when seeking to implement Level 3 and/or 4 evaluations.
- Report on evaluation findings following policy and procedural guidance provided in the chapter on Reporting. **SEE ALSO:** 20.3 Reporting on Training Program Evaluations.

Notes

- In order to enable implementation of a Level 3 evaluation process, the Bureau of Training strongly recommends that curriculum development be based on the principles of the ADDIE Instructional Design model. ADDIE is a tool that promotes learning outcomes and provides stated clear and measurable performance objectives. Once measurable objectives are established, it is possible to design means for evaluating whether the desired change has occurred.

18. COSTS MANAGEMENT AND REIMBURSEMENT

18.1 INTRODUCTION

This chapter is designed to guide the vendor in managing budgets, costs, and reimbursement processes from the beginning of the Delivery Year through the completion of the contract/work plan. Cost management processes, policies, and procedures set forth in this chapter are designed not only to support reimbursement but also to help provide clear audit trails of vendor claims. Vendors are expected to follow the policies, procedures and instructions when claiming reimbursement. It is in the mutual interest of BT staff and vendors to administer costs and reimbursements with due diligence.

- Due to the complexity of the subject matter, the claims preparation processes, policies and considerations are presented here in *a series of discrete sections* that ultimately tie together logically. The user is strongly advised to review the entire chapter for guidance.
- A key point underlying this chapter is that while contract/work plan budgets are built from *cost estimates*, claims are based on *actual expenditures*. Sufficient detail is essential to identify and validate items of expenditure and permit reimbursement, but for various reasons, the type and level of detail required varies from vendor to vendor.
- As a reminder, vendor operations, including their fiscal management practices, are subject to audit by several different oversight entities including OCFS, Office of the State Comptroller (OSC), the New York State Attorney General's Office, United States Department of Health and Human Services (DHHS), and the authorized representatives of any of these agencies.

18.2 MAINTAINING COST ACCOUNTS

Process Objective

To enable vendors to manage contract/work plan funds and related financial records appropriately.

Policies

- Vendors shall maintain accurate and complete budget and expenditure accounts following Generally Accepted Accounting Practices (GAAP). Accounting records must be supported by documentation and show a clear audit trail for all funds received and disbursed. Vendors shall maintain records of the funds disbursed by the vendor under the contract/work plan, including the payee and amount for each expense.
- **Retention Time for Financial Records:** The vendor shall retain contract/work plan financial records, including back-up documentation, for a minimum of six years following completion of the contract/work plan. OCFS prefers that vendors to maintain such records for ten years.
- **Availability of Financial Records:** OCFS may request records and documentation periodically from vendors in order to validate accuracy in claiming. OCFS shall have the right to inspect expenditure and detailed claiming documents, including monthly vouchers, at any time. For this purpose, vendors shall retain all supporting documentation regarding expenditures on site and keep them available for inspection.
- **Record of Allocation of Costs:** In accordance with the State Finance Law and Generally Accepted Accounting Practices, vendors shall allocate proportionately any expense incurred over more than one funding source or program. The method of allocation shall be documented. Some examples of common cost allocations include staff time and compensation, utilities, rent, copy machine usage, and postage. In order to prevent an audit disallowance, justification of each allocation must be maintained along with other records kept by the vendor for the six-year data retention period.

PUBLIC VENDORS ONLY:

- **Records for Vendor Share Contributions:** As indicated on the vendor share worksheet provided as part of the vendor's proposal, vendor share shall be in the form of direct costs (out of pocket expenses and in-kind contributions), indirect costs as calculated using an approved federal rate, or a combination of the two. Vendor share must be documented, verifiable, clearly in support of the contract/work plan, and previously approved by OCFS. The vendor shall maintain a record of all transactions and receipts to document out-of-pocket expenditures. The vendor shall also properly document the source and value of in-kind contributions (i.e., those items where no out-of-pocket expenditure occurred). The vendor share shall not include any "Excluded Costs" as defined in 18.4. Preparing Claims for Reimbursement – All Vendors. No private funds shall be applied as vendor share. State cost-sharing funds cannot be claimed on contractual training agreements with private not-for-profit organizations.

- **Documentation of In-kind Costs:** During the Delivery Year, the public vendor shall maintain records that can be used as evidence of the in-kind costs being contributed toward fulfillment of the contract/work plan. **EXHIBIT 13** identifies the required back-up documentation to be kept for each category of allowable in-kind cost being used for vendor share purposes. If requested, the vendor must be able to demonstrate that all in-kind contributions are based on the same cost that would be charged whether or not the costs were being contributed. For example, if the contribution is made by salaried personnel, their payroll information would be appropriate to document the cost. For non-agency personnel, documentation must be provided to demonstrate the compensation rate that individual normally receives in consideration for similar services.

EXHIBIT 13: APPROPRIATE DOCUMENTATION FOR IN-KIND COSTS

TYPE OF COST	EVIDENCE
PERSONNEL SALARIES AND OVERTIME	<p>Paystubs or W-2 forms, if the provider provides the same or similar work outside of the contract/work plan.</p> <p>Published job announcements or employment agency records documenting that the rates applied are consistent with those paid by other employers for the same or similar work and labor market.</p>
STAFF FRINGE BENEFITS	<p>Invoices, insurance policies, or contracts showing the cost of the fringe benefit.</p>
CONSUMABLES	<p>Invoices, catalogs, or other evidence that the value claimed is appropriate.</p>
SPACE	<p>Fee schedule, brochure, prior invoice, or other written evidence of the value of the exact space being used, or if unavailable, a comparable space.</p>
OTHER COSTS	<p>Fee schedules, catalogs, prior invoices, lease agreements, or other documents that show the prices of the items purchased.</p>

Procedures

- Establish appropriate cost accounts for the contract/work plan in advance of the start of the Delivery Year.
- Keep organized files of back-up documentation relating to the costs of carrying out the contract/work plan.
- Adjust cost accounts and related records if the contract/work plan budget is changed during the Delivery Year or beyond.

Notes

- **SEE ALSO:** 5 Technology / Information Systems Environment, 13 Information, Data and Recordkeeping, and 19.2 Making Budget Changes.

18.3 OBTAINING ADVANCE PAYMENTS

Process Objective

To enable vendors to obtain a portion of funds budgeted for the contract/work plan, under certain circumstances, to allow delivery efforts to get underway, before the work is actually performed and actual costs can be claimed for reimbursement.

Policies

- Vendors may have the opportunity to receive advance payments from OCFS under conditions set forth in their individual contract/work plan.
- If provided for in their contract/work plan, vendors may submit an advance payment request upon final approval of the contract/work plan.
- Advance payments shall be made from within the contract/work plan budget and shall not constitute an increase in the overall budget.
- Vendors shall receive the advance payment within 30 days of OCFS' receipt of an acceptable advance payment request.
- Vendors shall settle advance payments by submitting acceptable claims for allowable expenses under the contract/work plan.
- If the contract/work plan is not carried out as anticipated, such that a claim cannot be made, the vendor shall be responsible for promptly repaying OCFS for the amount of the funds previously advanced to them.
- OCFS shall have the right to establish or change the payment schedule and repayment schedule when applicable, if it deems necessary.
- OCFS has discretion over advance payments. OCFS shall have the right to decline to make advance payments to a requesting vendor if it determines that there is insufficient time or insufficient deliverables are remaining to allow the vendor to repay (settle) the advance within the period of the contract/work plan.

Procedures

- Submit a signed claim form requesting advance payment to OCFS Bureau of Training Finance and Administration Unit.
- **PRIVATE VENDOR:** Use AC-3253 S, Claim for Payment (replacing the formerly used AC-092, Standard Voucher).
- **PUBLIC VENDOR:** Use AC-22-S, General Ledger Journal Entry (replacing the formerly used AC-2414, Journal Transfer/Revenue Transfer).

Notes

- The maximum amount of the advance payments available to a given vendor and the schedule for such payments are specified in the vendor's contract (private vendors) or MOU (public vendors).

18.4 PREPARING CLAIMS FOR REIMBURSEMENT – ALL VENDORS

Process Objective

To provide a means for vendors to receive timely reimbursement for allowable expenditures made by the vendor to produce the deliverables and fulfill the requirements of an authorized contract/work plan.

Policies

- In order to be reimbursed, vendors shall prepare a complete claim packet in accordance with the claiming schedule established in their contract or MOU. **EXHIBIT 14** provides an overview of the required contents of a claim packet as specified for public and private vendors
- Vendors shall use the latest approved contract/work plan as the basis when claiming or reclaiming costs. This includes any approved budget modifications that have been made to the contract/work plan. **SEE ALSO:** 19.2 Making Budget Changes.
- All claimed objects of expense shall conform to the categories on the latest approved contract/work plan budget.
- Objects of expense shall not exceed the budgeted amounts by category. Objects of expense must provide a means to identify cumulative costs for the contract/work plan.
- **Included Costs:** The following costs are reimbursable and vendors shall include the following cost items on claims:
 - Personnel
 - Fringe Benefits
 - Equipment Purchase
 - Equipment Rental
 - Consumables
 - Staff Travel
 - Subcontractor/Consultant Costs
 - Other
 - Trainee Stipends
 - Trainee Tuition and Fees
 - Trainee Travel
 - Indirect Costs

QUICK TIP

Policies, procedures, and required forms differ depending on the type of vendor and type of claim. This section provides requirements for all vendors. The next three sections provide *additional* specific direction to public vendors and private vendors. Vendors whose contracts/work plans are funded in whole or in part with Title IV-E funding must also follow specific requirements covered in a later section of this chapter.

- **Trainee Travel:** Trainee travel costs (transportation, meals and lodging) may be claimed only if these funds were included in the contract/work plan budget and only if the trainee or trainee's employer is not covering these costs. For all trainee travel costs, rates in excess of the approved rates in the contract/work plan must have prior written BT approval in order to be reimbursable. In addition, claims must be consistent with the detailed guidelines for trainee travel shown in **EXHIBIT 15**, Guidelines for Vendors Seeking Reimbursement for Trainee Travel.
- **Indirect Costs:** Vendors shall be permitted to claim indirect costs, meaning those costs that are normally considered part of general administration or overhead. Under no circumstances, can any cost that is budgeted completely or partially as a direct cost be fully claimed as part of the budgeted indirect cost.
- **Timing of Costs:** Any costs incurred by the vendor prior to the starting date of a contract/work plan period will not be reimbursed and should not be included in claims. Any payments made by the vendor after the termination date of a contract/work plan or the ending date of the program year must be for expenditures incurred during the contract/work plan period in order to be reimbursable.
- **Shared Costs:** Vendors shall claim a proportionate share of any shared costs and document the method of allocation as part of their on-site financial records. Shared costs are those common expenditures that are incurred as part of the regular operation of a program or work site (such as staff, utilities, rent, copy machine usage, and postage) and which are shared by two or more different contracts/work plan, programs, or funding sources. State Finance Law and Generally Accepted Accounting Practices require that any expense incurred over more than one funding source or program must be charged proportionately.
- **Excluded Costs:** The following are examples of cost items that are not reimbursable, regardless of their relationship to the contract/work plan. Vendors shall not make claims for these costs or other unrelated expenses.
 - Advertising
 - Capital improvements or acquisition of facilities
 - Entertainment, including social activities or cost of alcoholic beverages
 - Interest, including costs incurred to borrow funds
 - Organized fund raising
 - Attendance at conferences, meetings of professional organizations, workshops, seminars, or other activities not related to the contract/work plan
 - Preparation of continuation agreements and other proposal development efforts
 - Independent annual audits
 - In-kind services provided by non-public subcontractors/consultants
- **Split Costs:** Unless OCFS prior approval has been granted, vendors shall not split a claim for the cost of an equipment purchase or the purchase of printing services across several vouchers for the purpose of avoiding compliance with OCFS policy regarding printing or equipment purchases. **SEE ALSO:** 15.3 Purchasing Equipment and 15.4 Purchasing Printing.
- **Overlapping Contracts:** Vendors with more than one contract/work plan for the same initiative or for work running concurrently shall track expenditures separately for each

contract/work plan and submit a completed copy of Form OCFS-4793, Overlapping Contract Certification with their claims.

- **Certification:** Vendors shall be required to certify the Form OCFS-3106 (I) Summary of Costs they provide with their claim by attesting to the following:

“We certify that all costs incurred, billed, and reported are in accordance with all federal and state laws and regulation including, but not limited to, federal circulars A-21, A-87, A-110, A-122, and A-133, and to State Finance Law as applicable, and there is appropriate supporting documentation for this claim period.”

Procedures

- Prepare the appropriate claim form and all other required forms according to the guidance provided in the following sections and in the instructions with each form.
- Note that different forms are to be used if the vendor is public or private or there are other differentiating circumstances.
- Check forms for accuracy. An accurate and properly prepared claim:
 - Provides accurate expenses, prices, quantities, and descriptions of goods and services delivered;
 - Indicates costs that are consistent with the approved budget, latest amendment, or budget modification;
 - Contains or has back-up supporting documentation as OCFS and OSC may reasonably require to understand and verify the claim;
 - Is signed by an individual authorized to sign on behalf of the vendor.
- Mark the last and final claim for reimbursement in a contract/work plan cycle as “Final Claim.”

Notes

- The level of detail and forms OCFS requires in claim packets can differ for individual vendors.
- Vendors are advised to discuss with the BT Training Manager, in advance, any potential significant deviations from the proposed expenditures listed in the back-up pages of the vendor’s approved contract/work plan budget.
- If computer-processed documentation is used, the budget categories used in the documentation must conform to the contract/work plan budget categories.
- OCFS reserves the right to ask for clarification of documentation submitted.
- **SEE ALSO:** Subsequent sections of this chapter, which build on these general requirements.

EXHIBIT 14: REQUIRED CONTENTS OF A CLAIM PACKET AT A GLANCE

ITEM	PRIVATE VENDOR	PUBLIC VENDOR
Claim Form	Use AC-3253-S, Claim for Payment (Replaces AC-092) Form must be signed.	Use AC-22-S, General Ledger Journal Entry (Replaces AC-2414) Form must be signed.
Form 3106 (I), Summary of Costs (top page of set), includes certification	Required Certification must be signed.	Required Certification must be signed.
Forms 3106 (II-VIII) Series of Supporting Documentation Forms	See 18.8 of this manual.	See 18.8 of this manual.
Form 3106A Summary of Costs – Administrative Deliverables Costs Only	Include only if the contract/work plan includes an Administrative Activities Sub-budget. Note that this is not a claiming instrument; it is simply a report to accompany the claim.	Include only if the contract/work plan includes an Administrative Activities Sub-budget. Note that this is not a claiming instrument; it is simply a report to accompany the claim.
Form OCFS-4798 Public Vendor Share Worksheet	Not applicable	Required as back-up documentation for reference only.
Form OCFS-4795 Record of Equipment Purchases	Include only if the vendor has purchased equipment during the claim period.	Include only if the vendor has purchased equipment during the claim period.
Form OCFS-4793 Overlapping Contracts Certification	Include only if vendor has more than one contract/work plan during the claim period.	Include only if vendor has more than one contract/work plan during the claim period.

EXHIBIT 15: GUIDELINES FOR VENDORS SEEKING REIMBURSEMENT FOR TRAINEE TRAVEL

CATEGORY	GUIDELINES
Transportation	<ul style="list-style-type: none"> • The costs for trainees to travel locally (defined as less than 35 miles one way) to the training are not eligible for reimbursement. • The personal car mileage rate for reimbursable trainee travel is 21 cents per mile. • If the trainees’ agencies (e.g., local social service district or voluntary agency) want to supplement this rate, they may choose to do so. • Weekend travel during two-week or more residence training is subject to mileage and uniform distance rates.
Lodging	<ul style="list-style-type: none"> • The costs of an overnight stay may be claimed when the following criteria are met. OCFS reserves the right to waive these criteria. <ul style="list-style-type: none"> – The training program is two or more consecutive days; and – The trainee must travel 50 miles or more one way to the training site <u>or</u> must travel one hour or more one way to the training site; and – The training begins at 9:00 AM (or earlier) the following day. (To avoid overnight stays, contractors/vendors may use a starting time later than 9:30 AM with BT approval.) • The applicable reimbursement rates for overnight lodging claims are located at the following website: http://www.osc.state.ny.us/agencies/travel/travel.htm • If a trainee requests a single room, the trainee or local district must pay the difference between the single room rate and one half the cost of a double room rate.
Meals	<ul style="list-style-type: none"> • The costs for trainee meals may be budgeted/claimed at no greater than the following rates: <ul style="list-style-type: none"> – \$5 breakfast and \$20 dinner for Rockland, Westchester, Suffolk, and Nassau counties, and New York City; – \$5 breakfast and \$15 dinner for all other counties.
General	<ul style="list-style-type: none"> • When planning/budgeting for trainee travel for courses that are two or more consecutive days in length, the vendor must consider what percentage of trainees may travel locally each day receiving mileage only and/or which trainees may require overnight with lodging and meals costs. • Any variances in travel costs claimed within a group of trainees (for example, where some trainees receive more meals than others) must be explained in the claim's supporting documentation.

18.5 PREPARING CLAIMS FOR REIMBURSEMENT – SPECIFIC REQUIREMENTS FOR PUBLIC VENDORS

Process Objective

To enable public vendors to prepare and assemble appropriate claim packets for accurate billing and timely reimbursement purposes.

Policies

- Reimbursement of the public vendor’s claim shall be based on the reimbursement rate indicated in the approved budget for the contract/work plan.
- Public vendors whose approved work plan budgets contain *both* on-campus and off-campus indirect cost rates and who voucher for costs for off-campus activities shall *only* apply the off-campus indirect cost rate for those costs.
- The value of public vendor share percentage of total estimated costs shall be calculated as part of the development of the contract/work plan. The percentage shall then be applied to the total costs claimed each claiming period.
- Public vendors shall submit a reconciliation of estimated share public share costs with actual public share costs no later than 120 days of the end of May, August and December (that is, within 120 of the end of each academic semester).
- The final cost sharing reconciliation shall be submitted no later than 180 days after completion or termination of the work plan. Reported cost sharing must relate directly to services provided under the work plan.

Procedures

- Complete Form OCFS-3106 (I), Summary of Costs and all other required supporting documentation as described in 18.8 Preparing Supporting Documentation for Claims.
- Identify the administrative fee percentage that applies to the contract/work plan and apply this rate to the “Total Amount Being Claimed This Period” to yield a dollar value. The administrative fee rate is typically set at 5% but there may be exceptions.
- Refer to Form OCFS-4798, Vendor Share Worksheet, part of the approved contract/work plan documentation, to determine the vendor share percentage to be applied. Apply this rate to the “Total Amount Being Claimed This Period” on the Summary of Costs form to yield a dollar value. Calculate the amount to be reimbursed by subtracting *both* for the Administrative Fee and the Vendor Share (i.e., the calculated dollar values) from the total expenditures this period.
- Prepare and retain cost sharing back-up information for the claiming period. Vendors may use their own supporting forms to report these costs.

- Submit cost sharing reconciliations within 120 of the close of each academic semester and a final reconciliation no later than 180 days of work plan completion or termination.
- Based on the “Costs to Be Reimbursed This Period” from Form OCFS 3106, Summary of Costs, use Form AC-22-S, Journal Transfer/Revenue Transfer (replaces the former AC-2414) to prepare the claim itself, following instructions provided with the form.

Notes

- Form AC-22-S is provided by the State Controller’s Office. It is not an OCFS-maintained form and OCFS cannot modify it. Vendors with questions about how to complete this form should consult the BT Finance and Administration Unit.

18.6 PREPARING CLAIMS FOR REIMBURSEMENT – SPECIFIC REQUIREMENTS FOR PRIVATE VENDORS

Process Objective

To enable private vendors to prepare and assemble appropriate claim packets for accurate billing and timely reimbursement purposes.

Policies

- Reimbursement of the vendor’s claim shall be based on the reimbursement rate indicated in the approved budget for the contract/work plan.

Procedures

- Complete Form OCFS-3106 (I) Summary of Costs.
- Identify the administrative fee percentage that applies to the contract/work plan and apply this rate to the “Total Amount Being Claimed This Period” to yield a dollar value. The administrative fee rate is typically set at 5% but there may be exceptions.
- Subtract the dollar value of the administrative fee for the period from the total costs this period to yield the Total Amount to Be Reimbursed this period.
- Complete all other supporting documentation as described in 18.8 Preparing Supporting Documentation for Claims.
- Utilize a Form AC-3253 S, Claim for Payment (replaces the former AC-092, Standard Voucher) to prepare the claim itself, following instructions provided with the form. Compose and include on the voucher a description of the materials/ services provided and for which the claim is made. Description must be factual and specific to the period covered by the claim.

Notes

- Form AC-3253 S, Claim for Payment is provided by the State Comptroller’s Office. It is not an OCFS-maintained form and OCFS cannot modify it. Vendors with questions about how to complete this form should consult the BT Finance and Administration Unit.

18.7 PREPARING CLAIMS INVOLVING FEDERAL TITLE IV-E FUNDS

Process Objective

To comply with federal reporting requirements for use of Title IV-E funds when making claims for reimbursement (as either a public or private vendor).

Policies

- If the approved contract/work plan budget contains an administrative sub-budget and DAB-1666 (Departmental Appeals Board-1666) reporting requirements (Title IV-E), the vendor shall be required to separately identify, track and report on Administrative Activities performed during the Delivery Year.
- Accordingly, as part of their claim, vendors shall break out the Administrative Activities expenditures from the total costs in the budget categories.

Procedures

- Complete the top page of Form OCFS-3106A, Summary of Administrative Activities Costs following the instructions with the form. Include form with claims package. (This is not a claiming instrument; it is simply a report to accompany the claim.)
- Note that for the Administrative Activities Sub-Budget, there is no requirement to also provide the supporting documentation forms (corresponding to those found in the OCFS-3106 (I-VIII) series with the claim.
- Seek guidance from BT Finance and Administration Unit if needed.

Notes

- **SEE ALSO:** 3.3 Special Characteristics of Title IV-E Funding.

18.8 PREPARING SUPPORTING DOCUMENTATION FOR CLAIMS

Process Objective

To ensure that proper detail on expenditures is available to OCFS BT when reviewing vendors' claims, thus assisting prompt payment.

Policies

- Vendors shall be required to provide supporting documentation with their claims. **EXHIBIT 16** identifies the documents required.
- The Bureau of Training shall have the discretionary ability to release the vendor from having to submit supporting documents in whole or in part. If released, vendors are still expected to retain the supporting documentation on site and make it available for inspection at any time. OCFS reserves the right to require a vendor to submit the supporting documentation.

Procedures

- Complete each supporting documentation form by carefully following the instructions provided with the respective form.
- Verify that the claimed costs on supporting documentation forms (i.e., the back-up pages in the OCFS 3106 series) align with the proposed expenditures on the corresponding document submitted with the proposal (back-up pages in the OCFS 3104 series).
- Discuss with the BT Training Manager in advance of filing the claims packet any significant deviations from the proposed expenditures. **SEE ALSO:** 19.2 Making Budget Changes.
- If a particular form does not apply to the vendor, the contract/work plan, or to costs during the period for which a claim is being made, mark the form NA and include with the packet unless otherwise instructed by BT.

Notes

- **SEE ALSO:** 13 Information, Data and Recordkeeping.

EXHIBIT 16: SUPPORTING DOCUMENTATION AT A GLANCE

FORM	TITLE OF FORM	KEY POINTS OF INFORMATION
OCFS-3106 (II)	Contract/Work Plan Personnel Costs	<p>Personnel and fringe benefit costs claimed must agree with those in the contract/work plan. If there is a 20% or greater change in an individual staff member’s percentage of effort or a vacancy is filled, vendors must also consult with the BT Training Manager and submit <u>Form OCFS-4796, Request for Modification of the Contract/Work Plan Budget</u> and <u>Form OCFS-4789, Revised Personnel Cost</u>.</p> <p>SEE ALSO: 19 Changes to Contracts/Work Plans.</p>
OCFS-3106 (III)	Equipment Costs	<p>“Equipment” is defined as any tangible, non-expendable personal property having a useful life of one year or more and an acquisition cost of \$500 or more per unit.</p>
OCFS-4795	Equipment Purchase Record	<p>This form must be included with the Claim Package if any equipment valued at more than \$500 was purchased during the claim period. It should include the name of a contact person who can provide additional detail if needed.</p>
OCFS-3106 (IV)	Consumable Supplies Costs	<p>“Consumables” are disposable personal property not meeting the definition of equipment.</p>
OCFS-3106 (V)	Staff Travel Costs	<p>OCFS bases travel reimbursements on the policies and latest approved rates set forth by the Office of the State Comptroller (OSC). This information is available at: http://www.osc.state.ny.us/agencies/travel/manual.pdf</p> <p>Sales tax is not reimbursable under a contract/work plan. Vendor staff should use tax exempt certificates to waive state and city taxes for hotel stays whenever possible.</p> <p>Under limited circumstances, it is possible to have OSC travel reimbursement rates waived. Blanket waivers are not available.</p>

FORM	TITLE OF FORM	KEY POINTS OF INFORMATION
OCFS-3106 (VI)	Subcontractor/ Consultant Costs	<p>In order for OCFS to process a single consultant or subcontract claim of more than \$15,000, there must be prior written approval by BT for the expenditure. As a reminder, all third party agreements must be on file with BT. SEE ALSO: 15.6 Establishing a Subcontract under a Contract/Work Plan.</p> <p>Travel costs for consultants and/or subcontractor agreements must be charged in accordance with OSC policies. Sales tax is not reimbursable under a contract/work plan. Third-party vendors may use tax exempt certificates to waive state and city taxes for hotel stays.</p>
OCFS-3106 (VII)	Other Costs	<p>“Other Costs” includes items that are directly related to the services provided but are not specifically included in other budget categories. See form for examples.</p> <p>SEE ALSO: 15.4 Purchasing Printing.</p>
OCFS -3106 (VIII)	Direct Trainee Costs	<p>Used to document expenditures to pay trainee stipends, tuition fees, and trainee travel costs where relevant.</p> <p>Only those vendors whose contract/work plans include tuition/stipend programs may submit claims for such costs. Likewise, only vendors whose budgets include budgeted funds for trainee travel may make such claims.</p> <p>Stipends are only an allowable reimbursable cost for persons preparing for employment.</p> <p>Tuition is only an allowable cost for full-time, short-term training of four to seven consecutive weeks.</p> <p>Trainee travel costs claimed must be in accordance with the policy and guidelines provided in Section 18.4 of this manual.</p>

18.9 SUBMITTING CLAIMS

Process Objective

To provide for efficient submission, processing and prompt payment of vendor claims for reimbursement.

Policies

- **When to Submit Claim:** Vendors shall submit claims only after there is an approved contract/work plan in place. Vendors shall submit their claims on a monthly basis unless otherwise authorized by the BT Finance and Administration Unit. No claims shall be paid if the state or federal appropriations lapse. As such, OCFS strongly encourages vendors to submit timely claims.
- **Prompt Payment:** Under the Article 11 of the State Finance Law, Prompt Payment, the State of New York shall pay its vendors within 30 days of receipt of a proper claim. Private vendors (for profit and not-for-profit organizations) shall be eligible for interest on overdue payments under this law. Public vendors shall not be eligible for interest. Consistent with Prompt Payment law, OCFS shall notify the vendor of any defects or improprieties identified in the claim within 15 days of receipt of the claim. These issues shall have been resolved before claims can be accepted for payment under the Prompt Payment timeframes. The prompt payment time frame shall begin, and remaining funds shall be released for payment to the vendor only after OCFS has received all deliverables, reports, and work products due pursuant to the vendor's contract/work plan unless otherwise exempted in writing by BT. At the time of payment, OSC uses the SFS system to automatically calculate any interest due to the vendor.
- **Budget Reserve:** OCFS shall have the right, at its discretion, to withhold up to 10 percent of the total contract/work plan payments (budget) until: 1) OCFS has received and accepted all reports; 2) the BT Training Manager has verified all deliverables; and 3) the vendor has disposed of equipment according to OCFS guidelines.
- **Basis for Adjustment/Rejection:** OCFS may adjust the claim or reject the claim in whole if it finds issues regarding fulfillment of contract/work plan deliverables or other required information, that include but are not limited to the following:
 - Claim lacks original signature or required information;
 - Costs as stated by the vendor are not consistent with the spending parameters established in the approved budget, latest amendment, or budget modification;
 - Claim is not presented in a format that is consistent with OCFS guidelines for formatting and calculations (refer to form instructions).
 - The vendor's performance is not in compliance with contract/work plan requirements, for example, its deliverables are inadequate, a required report is overdue, or a submitted report is deemed inadequate and must be remedied and resubmitted.

Procedures

- Adhere to due dates for claims submission specified in the contract/work plan agreement.
- Submit the claim packet to the OCFS Bureau of Training, Finance and Administration Unit.
- Respond to any questions or requests from OCFS regarding the claim.
- Receive payment from Office of the State Comptroller.

Notes

18.10 RESUBMITTING CLAIMS WHEN REQUIRED

Process Objective

To provide for efficient resubmission, processing and prompt payment of vendor claims following changes in response to adjustment/rejection of a claim by OCFS.

Policies

- Vendors shall have the opportunity to refile claims only after the issue(s) that resulted in the adjustment/rejection of the original claim have been resolved.

Procedures

- Upon receipt of an adjustment/rejection notice, take steps immediately to resolve the issue that resulted in the adjustment/rejection.
- Prepare a new claim for only those excluded/rejected items, using a separate claim form.
- Attach a copy of the original adjustment/rejection notice. A photocopy of the original adjusted/rejected voucher is not acceptable.
- Resubmit in accordance with submission instructions.

Notes

18.11 RECEIVING PAYMENTS

Process Objective

To provide for efficient, timely and secure payment to the vendor.

Policies

- Failure on the part of the vendor to meet the terms of the contract/work plan accounting requirements or to submit the all required reports, including quarterly reports and curricula, will prevent voucher processing and payment.

PRIVATE VENDORS:

- Vendors shall accept electronic payment from the State of New York. All state agency and state authority contracts, grants, and purchases orders executed after February 28, 2010 require the respective vendors, contractors and grantees to accept electronic payment (epay).
- Vendors shall notify the OCFS BT Finance and Administration Unit in writing on agency letterhead of any address change or a request to mail checks to an alternate address.

PUBLIC VENDORS:

- Public vendors shall be reimbursed through the journal transfer of funds process.

Procedures

- Private vendors doing business with OCFS or New York State for the first time must file Form AC3243-S (Rev. 5/13), Electronic Payment (ePayment) Request with the Office of the Comptroller per the instructions with the form. **SEE ALSO:** <http://www.osc.state.ny.us/epay/> to obtain the forms and more information.
- Notify OSC of any needed change in account information in the OSC Vendor database.

Notes

- The vendor payee name and address provided to OSC for the epay program must match exactly the vendor name and address contained in the vendor's contract with OCFS. If these do not match, a check is printed and mailed to the payee.
- Limited exemptions may be granted for extenuating circumstances.
- More information, including forms and contacts for questions, can be found at: <http://www.osc.state.ny.us/epay/how.htm>
- **SEE ALSO:** 4.4 Doing Business as a Vendor with New York State.

19. CHANGES TO CONTRACTS/WORK PLANS

19.1 INTRODUCTION

During the Delivery Year, it sometimes becomes necessary to make changes to the original programmatic plans and/or the budget supporting those plans. This chapter describes the types of changes that can be made and the policies and procedures for systematically managing those changes.

- As background to the specific policies and procedures, there are three basic types of changes in the context of contract/annual work plan agreements:
- **Budget changes** that change the allocation of project costs to the various budget categories. (Budget changes exceeding certain thresholds require approval by BT and/or OCFS Bureau of Contracts Management through a request for a Budget Modification);
- **Programmatic changes** that may or may not require a change in a Form OCFS 3102, Training and Administrative Activities List (TAAL), contract/work plan budget, and/or Form OCFS 3856, Training / Administrative Activities Summary (TAAS) included in the formal agreement; and
- Changes that require **formal legal amendment** to the agreement;
- The need for changes to a contract/work plan can originate in several ways. On the OCFS side:
 - There may be a change in the availability of funds, legislation, or executive priorities that necessitates mid-course adjustments;
 - The BT Training Manager, when monitoring the contract / work plan deliverables, may discover the need for adjustment in the scope of work within or among the deliverables;
 - Field observations may reveal gaps or unmet programmatic needs; or
 - There may have been delays caused by staff reprioritization of work or other program-driven circumstances.
- On the vendor's side:
 - The vendor may find that some costs have been over or underestimated;
- The specified personnel may change during the course of the year, with an impact on the budget; or
 - The vendor may determine that demand has increased or decreased for a planned activity.

- Depending on the situation, there may be a need for variance process, an amended agreement, and/or a budget modification. These are distinct but related processes.
- **Variance Requests** are generally initiated by *OCFS*. In general, variances that merely change the quantities of deliverables do not require an amendment process, whereas those that change the scope of work may trigger an amendment.
- The requirements differ depending on whether the vendor is a “public” or “private” entity. With public vendors, the need for a formal amendment is less common due to the existence of a Memorandum of Understanding. **SEE ALSO:** 4.2 Types of Contracts and Agreements.
- Variance and amendment requests may trigger the need for a **Budget Modification**. Budget Modifications are generally initiated by the *vendor*. Budget Modifications forms are submitted to request approval for changes in the allocation of project costs to the various budget categories including changes in personnel.

19.2 MAKING BUDGET CHANGES

Process Objective

To enable vendors to reallocate project funds among budgetary categories in accordance with changing needs, priorities, or delivery issues while maintaining the integrity of the overall contract/work plan budget. This process supports mutual interests of the vendor and OCFS for adaptability and financial management.

Policies

- Many **Budget Modifications** shall require prior approval from OCFS. **EXHIBIT 17** delineates the applicable circumstances and thresholds that differentiate when OCFS prior approval of a proposed budget change shall or shall not be required.
- Successive budget changes shall be cumulative with respect to the impact on the approval thresholds provided in **EXHIBIT 17**. (When calculating the percentage change to a budget line that is represented by a successive budget change, the original budget is used as the reference point.)
- After BT approves a budget modification request, the modified budget shall become the new approved contract/work plan budget and shall be the reference budget for submitting reimbursement claims from that point forward. **SEE ALSO:** 18.4 Preparing Claims for Reimbursement – All Vendors.
- Budget Modifications shall *only* enable changes to the allocation of budgeted funds *within* the existing total budget. Neither the Total Work Plan Cost nor the Total Amount to Be Reimbursed on the approved Form OCFS 3104 (I), Contract/Work Plan Budget may be increased or decreased as part of a budget modification process.
 - **PRIVATE VENDORS ONLY:** A contract amendment is required to increase or decrease either/or the “Total Work Plan Cost” and the “Amount to Be Reimbursed.” **SEE ALSO:** 19.4 Making Contract Amendments.
 - **PUBLIC VENDORS ONLY:** A work plan amendment is required to increase or decrease either/or the “Total Work Plan Cost” and the “Amount to Be Reimbursed.” The degree of discretion the vendor shall have in making changes within the budget depends on the size of the overall budget for the contract/work plan.

Procedures

- When seeking to make a budget change that exceeds one or more of the policy thresholds shown in **EXHIBIT 17**, advise the BT Training Manager of the intent to file a request.
- Prepare a cover letter that incorporates an explanation and justification of the budget change requested.

- Complete and sign Form OCFS-4796, Request for Modification of Contract/Work Plan Budget. Follow the specific instructions and example(s) provided with the form. (Assign a number to the first budget modification request relating to a specific contract/work plan. If and when submitting additional request(s), assign each a successive number so that each request can be separately identified.)
- Update/revise additional impacted forms as noted on Form 4796. These may include:
 - OCFS 3102 Training and Administrative Activities List
 - OCFS 3104 (II-VIII) Contract/Work Plan Budget – If the requested Budget Modification changes one or more of the lines on a supporting detail budget form in the original budget packet (i.e., the 3104 series), then that corresponding form should be updated and submitted with the request.
 - OCFS 3104 A (I-VIII) Administrative Activities Sub-Budget and DAB 1666 Reporting
 - OCFS-4789, Contract/Work Plan Personnel Roster – Required if the percentage of an individual staff member’s time working on a contract/work plan is proposed to be equal to or greater than 20 percentage points above or below the previously approved percentage. It is also required if an individual is new to or leaving the contract/work plan. (Note that this form should be used, not 3104 (II), for this purpose. If approved, it becomes a replacement to the original proposed personnel plan.)
 - OCFS 4798, Public Vendor Worksheet – Required with all budget modification requests where the budget includes public vendor match.
- Submit the cover letter, Form OCFS-4796, and updated/revise forms to the BT Finance and Administration Unit.

Notes

- Policies regarding budget modifications are applicable to the contract/work plan Total Budget and, in most instances, also to the Administrative Activities Sub-Budget for Title IV-E funded contract/work plans.
- Dollar values and percentages specified in the budget modification policies are made at the total contract/work plan cost level, not at the net reimbursement level.
- BT may request additional supporting documentation to assist with its review of budget modification requests.
- Vendors should take into account in-process claims when preparing a budget modification request.
- BT Finance and Administration Unit can assist with proper preparation of a budget modification.

EXHIBIT 17: PRIOR APPROVAL REQUIREMENTS FOR BUDGET CHANGES

TYPE AND VALUE OF BUDGET CHANGE	TOTAL CONTRACT/WORK PLAN BUDGET	
	Less Than \$1 Million	\$1 Million or More
A proposed change from zero to a positive dollar value in any line item on the OCFS 3104A (I), Contract/Work Plan Budget.	Prior Approval Required	Prior Approval Required
A proposed increase or decrease valued at less than 10% to a budgeted line item on OCFS 3104A (I), Contract/Work Plan Budget.	Vendor Discretion	Vendor Discretion
A proposed increase or decrease valued at 10% or more to any budgeted line item (within either Personal or Non-Personal Services) on OCFS 3104A (I), Contract/Work Plan Budget.	Vendor Discretion	Prior Approval Required
A proposed increase or decrease of 10% or more to the Total Personal Services line on the OCFS 3104A (I), Contract/Work Plan Budget.	Prior Approval Required	Prior Approval Required
Any addition of new staff with associated personal services costs.	Prior Approval Required	Prior Approval Required
A proposed change in the percentage of an individual's salary applied to the work plan that equates to 20 or more percentage points.	Prior Approval Required	Prior Approval Required
A proposed increase or decrease of 10% or more to the Total Non-Personal Services line on OCFS 3104A (I), Contract/Work Plan Budget.	Prior Approval Required	Prior Approval Required
A proposed increase or decrease in the total contact/work plan cost and/or total amount to be reimbursed.	Amendment required	Amendment required

19.3 MAKING PROGRAMMATIC CHANGES

Process Objective

To enable OCFS and vendors to increase, decrease or otherwise modify the scope (i.e., the expected deliverables) of a contract/work plan, if warranted, to adapt to changing needs and circumstances during the Delivery Year.

Policies

- Programmatic changes shall be defined as planned changes to the program content, nature or scope of activities. (These are sometimes referred to as variances.)
- The vendor shall implement a programmatic change to a contract/work plan only after receiving prior written approval from OCFS.
- Planned programmatic changes may but do not always require the submission of an OCFS advance approval for a revised Form OCFS-3102, Training and Administrative Activities List (TAAL) and, if applicable, a Form OCFS-3856, Training and Administrative Activities Summary (TAAS) for a new or revised activity.
- The vendor shall change or substitute the responsible person(s) only after having received written approval from OCFS. **SEE ALSO:** 14.3 Hiring and Deploying Employees to Work on Contracts/Work Plans.
- OCFS shall have the ability to suspend a contract/work plan activity or deliverable during the Delivery Year.

Procedures

- Bring to the attention of the BT Training Manager any situation that would appear to require a programmatic change during the Delivery Year and prior to final closeout of the contract/work plan. The BT Training Manager will provide guidance as to whether a contract/work plan amendment is appropriate and the necessary paperwork.
- Complete a new TAAL and TAAS(s) if applicable.
- Identify in writing the person(s) who will be responsible for directing the work to be done under the changing contract/work plan. Provide their name, title, annual salary during the contract/work plan period, percent of salary to be applied, and a copy of the individual's resume.
- If directed by OCFS to not begin or suspend action on an activity or deliverable, cease the implementation efforts for that item and any associated spending immediately.

Notes

- The need for programmatic changes can arise when OCFS and/or the vendor reconsider(s) the deliverables contained in a contract/work plan and identify(ies) the need to effect formal changes in the scope of work to allow for the revisions.
- Planned changes to the content, nature or scope of programmatic activities may also require a budget modification (see previous section) or a contract/work plan amendment (see next section).

19.4 MAKING CONTRACT AMENDMENTS

Process Objective

To enable OCFS and vendors to amend the actual contract/work plan, if warranted, to adapt to changing needs and circumstances during the Delivery Year.

Policies

- **Amendment for time extension with no cost (no-cost extension)** – OCFS shall have the ability, at its discretion, to provide the vendor with a no-cost extension to a contract/work plan as a result of delays that have prevented the timely commencement or completion of a contract/work plan. A no-cost extension involves amending the contract/work plan with no increase in the total work plan budget.
- **Amendment with cost** – OCFS shall have the ability, at its discretion, to increase the cost and deliverables of a contract/work plan. Cost may be increased when OCFS requests: a) additional activities or b) a modification of existing activities. An amendment with cost usually occurs within the term of the current contract/work plan.
- **Amendment with cost and time** – OCFS shall have the ability, at its discretion, to increase the cost and deliverables of a contract/work plan and extend the contract/work plan beyond the closing date if warranted.

Procedures

- Bring to the attention of the assigned BT Training Manager as early as possible any situation that would appear to require an amendment to the contract/work plan. Appropriate BT staff will review the situation together with the vendor and determine whether an amendment is warranted. They will identify which amendment approach and forms are necessary, and get back to the vendor with specific guidance.
- Follow through as directed.

Notes

19.5 TERMINATING A CONTRACT/WORK PLAN

Process Objective

To enable OCFS and vendors to end a contract/work plan, if circumstances warrant, before the planned end date in a systematic manner while protecting the interests of the parties.

Policies

PUBLIC VENDORS ONLY:

- Either party (OCFS and the vendor) shall have the ability to terminate a work plan under the applicable MOU, not less than 30 days after providing written notice.

PRIVATE VENDORS ONLY:

- Either party (OCFS and the vendor) shall have the ability to terminate a contract under the specific circumstances and time frames specified in the vendor's contract and appendices.

Procedures

- Refer to the agreement for applicable time and circumstances thresholds.
- Put intent in writing as directed.
- Maintain communication between vendor and BT Training Manager until all obligations have been met and termination is complete.

Notes

- The terms for termination of an agreement may differ for public and private training vendors, and may not be the same for all privates.

20. REPORTING

20.1 INTRODUCTION

This chapter covers requirements for preparing and submitting progress and data reports to OCFS and others. Vendors are responsible for a variety of reports during and after the Delivery Year as shown EXHIBIT 18. Requirements associated with each of the different types of reports are detailed in subsequent sections. Vendors should take note that the submittal instructions differ for the various reports.

EXHIBIT 18: REQUIRED VENDOR REPORTS AT A GLANCE

REPORT	FORM	PURPOSE	GUIDANCE
Vendor’s Training and Administrative Activities Quarterly Report	OCFS-4799	To document training and administrative activities accomplished by the vendor during the completed quarter.	See 20.2 Reporting Quarterly on Activities and Deliverables.
Training and Administrative Activities Quarterly Evaluation Report	OCFS-4734	To document training program evaluation findings, conclusions, and opportunities for improvement.	See 20.3 Reporting on Training Program Evaluations and instructions with the form.
Individual Field Staff Quarterly Report	OCFS-4797	To document information about individual field Staff activities, accomplishments, and issues.	<i>If the contract/work plan includes field staff activities, see 20.4 Reporting on Field Staff Activity – Public Vendors Only and the instructions with the form.</i>
Field Staff Quarterly Report Summary	OCFS-4876	To document summary information about all field Staff activities, accomplishments, and issues.	<i>If the contract/work plan includes field staff activities, see 20.4 Reporting on Field Staff Activity – Public Vendors Only and the instructions with the form.</i>
M/WBE Quarterly Report Form	OCFS-4441	To document progress and status in achieving the M/WBE utilization goals on the contract/work plan.	See 20.5 Reporting on M/WBE Utilization, and instructions provided with the required form.

REPORT	FORM	PURPOSE	GUIDANCE
Project Staffing Plan Form	OCFS-4629	To document changes in staffing plan.	See 20.5 Reporting on M/WBE Utilization, and instructions provided with the required form.
Contract/Work Plan Final Equipment Inventory	None. Vendor has choice as to format. [Not the same as OCFS-4795 Record of Equipment Purchases, which is submitted with monthly claim if applicable.]	<p>SUBMITTED WITH FINAL QUARTER REPORT</p> <p>To provide a cumulative list of all equipment on hand at end of the contract/work plan.</p>	This final report reconciles the original Equipment Inventory plan created at the proposal stage. It must be provided at the completion of the final quarter, which will provide a reconciliation of planned and actual purchases.
Contractor Annual Disclosure Report	OCFS-4843 Form B	<p>SUBMITTED AT END OF FISCAL YEAR</p> <p>To identify all contractors/consultants who worked on the contract/work plan during the completed <i>fiscal year</i>.</p>	See 20.6, Disclosing Contractors to New York State Government and instructions with the form.

20.2 REPORTING QUARTERLY ON ACTIVITIES AND DELIVERABLES

Process Objective

To thoroughly and consistently document the activities vendors have performed and who participated in them and create a historical record regarding the outputs and outcomes of deliverables, including the success of the activities, problems encountered, and actions taken or planned to resolve problems. This process supports communication, continuous improvement, and oversight. It also provides an audit trail for the public expenditures made under the human services training program.

Additional Objective for the Fourth Quarter: *To provide a thorough, accurate and timely summary of the work effort, outputs, and outcomes of the training and administrative deliverables produced during a completed Delivery Year, and reconcile the work planned in relation to the actual accomplishments.*

Policies

- Vendors shall prepare and submit quarterly reports during and at the completion of the Delivery Year consistent with procedural guidelines within 30 calendar days of each completed quarter.
- The Bureau of Training shall have the right to withhold authorization of payment for claims from vendors whose quarterly report is overdue (i.e., has not been submitted after 30 days following the close of a quarter) or incomplete.
- Vendors shall alert the BT Training Manager about any problems both at the time the problem is encountered as well as in the quarterly report. That is, even if the contractor communicated with the Training Manager during the quarter (by e-mail, letter, phone, or in person) about activities and problems that arose during the quarter and the actions taken to date, the vendor is still obligated to include those activities, problems, and actions in the quarterly report.
- Vendors shall provide OCFS with a Final Summary, as a separate section in their Fourth Quarter Report submission. The Final Summary recaps the effectiveness, impact, and outcomes of the Delivery Year covered by the contract/work plan.
- If a no-cost time amendment or time and cost amendment was executed, the due date of the Fourth Quarter Report, inclusive of the Final Summary, shall become no later than 30 calendar days after the last quarter of the extended work plan.
- The Final Quarter report submission shall include an equipment inventory that reconciles the original equipment purchase plan.

Procedures

- Manage quarterly report preparation and submission according to the following schedule: (with rare exceptions, see Notes)

QUARTER	REPORT DUE BY
1. January - March	April 30
2. April - June	July 30
3. July - September	October 30
4. October - December	January 30 – See separate section on Final Summary

- Verify that all required data about training program deliveries during the quarter is up to date and accurately entered into the STARS/HSLC system. **SEE ALSO:** 17 Deliverables – Provision and Evaluation of Training Events.
- Using Form OCFS-4799, Quarterly Report, assemble and incorporate the following information:
 - Contract/Work Plan Information
 - Quantitative Summary of Training Deliveries
 - Status of Deliverables by Category
 - Training (Classroom, Workshops, Courses, Coaching and Special Topics)
 - Distance Learning (Virtual Classroom, Videoconferences, Teleconferences, and Computer-Based Training)
 - Seminars, Symposiums, Conferences, Forums, Institutes, and Meetings
 - Curricula, Materials, Public Service Announcements, and Multimedia Development
 - Technical Assistance
 - Other Activities
 - Status of Specific Deliverables Provided through Public Vendor Share (if applicable)
 - Status of Contract/Work Plan Administration
 - Status of Contract/Work Plan Changes
 - Summary for Completed Delivery Year (final quarter only)
- Submit the completed Quarterly Report documents to BT electronically to: btquarterlyreports@ocfs.ny.gov
- When contacted by the BT Training Manager concerning their review of the report, discuss and follow up promptly on any additional requests for information, clarifications, or issue mitigation actions requested.
- Receive and review the Training Manager's Review of Vendor's Quarterly Report, which will be sent to you. Act to close any outstanding items noted in this review.
- **FOR VENDORS WITH EXTENDED WORK PLAN AGREEMENTS ONLY:** A no-cost amendment or a cost and time amendment to an existing contract/work plan may result in the lengthening of the “Delivery Year” to more than 12 months, thereby extending it beyond the fourth quarter. See instructions with Form OCFS- 4799, Training and Administrative Activities Quarterly Report, if the work extends beyond a year. **SEE ALSO:** 19.4 Making Contract Amendments.

Notes

- **Schedule for Submitting Quarterly Reports** – If the contract/work plan does not follow the calendar year by design, the due dates will be 30 days after each quarter of the contract/work plan schedule has closed.
- **Implications for Communication** – While quarterly reports are a necessary part of documenting deliverables, it is essential that vendors maintain timely and ongoing communication with their BT Training Manager(s) and not wait for the quarterly report to communicate issues.
- **Additional Information Needs** – In some instances, BT may need additional information to be documented on a quarterly basis along with the common requirements described above. For example, contracts/work plans that address the federal Child and Family Services Review (CFSR) through training support may require certain information to be reported for OCFS' use in documenting its Program Improvement Plan. Other reporting areas, such as information required to comply with legal actions, cannot be identified in advance but may be required at the time of reporting. In these instances, the BT Training Manager will work with the vendor to establish the nature, scope, and format for the required information.
- Vendors are also required to submit the following reports as part of quarterly reporting. Refer to the corresponding sections of this chapter for further guidance.
 - Training Program Evaluation Reports;
 - Field Staff Reports (if their contract/work plan includes field staff); and
 - M/WBE Utilization Reports.

20.3 REPORTING ON TRAINING PROGRAM EVALUATIONS

Process Objective

To enable vendors to appropriately consolidate, review and comment on the findings of evaluations of delivered training programs for the purposes of accountability and continuous improvement efforts to be made in conjunction with BT staff.

Policies

- As part of their quarterly reporting, vendors shall submit a Quarterly Evaluation Report on each Training course or program delivered during the quarter, within 30 days of the completed quarter.

Procedures

- Review the policy and procedures for collection of training activities evaluation data presented in this manual in a separate chapter. **SEE ALSO:** 17.5 Evaluating Training Program Deliveries.
- Verify that the evaluation results data was accurately entered into STARS/HLSC.
- Use Form OCFS-4734, Training and Administrative Activities Quarterly Evaluation Report, to report on evaluation data collected during the completed quarter. This form is only required for those training and administrative activity titles (from the TAAL) that had deliveries during the quarter.
- For each training activity, provide the information requested in the form and the accompanying instructions including:
 - **Information about the training recipients** – Number of people who completed the training program offerings, and who completed the course evaluations.
 - **Evaluation findings** – Statistics and description of evaluation results for participant reaction (course ratings), learning gain (as measured by pre- and post-tests), and impact on job performance (if measured). This should be a roll-up of individual trainee responses.
 - **Vendor’s conclusions** – Vendor’s conclusions about the training activities’ effectiveness based on findings.
 - **Training activity enhancements** – Vendor’s discussion of how it has used evaluation results to enhance training; and
 - **Recommendations for future enhancements** – The vendor’s suggestions for OCFS’s consideration about changes that might enhance learning gains and job performance pursuant to training.

- Verify that the detailed instructions for how and what to report have been satisfied.
- Attach copies of the actual blank pre- and post-test forms and answer key being used to collect the data and a list of all the courses for which it is being used.
- Submit completed form and attachments as directed on the form.

Notes

- Vendors have some latitude as to how best to apply Form OCFS-4734 in reporting on evaluation results for training courses delivered.
- Unless otherwise requested by the BT Training Manager, it is not necessary for vendors to provide BT with the supporting data (i.e., individual responses to Participant Reaction Questionnaires and pre- and post-tests) as part of the Quarterly Evaluation Report submittal. However, completed Participant Reaction Questionnaires must be entered into STARS/HSLC when the training activities are delivered and closed out, as prescribed in the Evaluation chapter of this manual.
- For technical assistance concerning how to compile and report the required evaluation information, the BT Training Manager who will arrange for a consultation with appropriate staff if needed.
- **SEE ALSO:** 17.5 Evaluating Training Program Deliveries.

20.4 REPORTING ON FIELD STAFF ACTIVITY – PUBLIC VENDORS ONLY

Process Objective

To thoroughly and consistently document the field staff activities supported through contracts/work plans during the Delivery Year, and create an historical record. The process supports communication and continuous improvement, as well as provides an audit trail for the public expenditures made under the human services training program.

Background

- **Field staff** are individuals hired specifically to perform training and training-related activities under a training contract/work plan and assigned to work off-site or off-campus at state-owned locations.

Policies

- Vendors using field staff shall prepare and submit quarterly reports on the activities of field staff funded under the contract/work plan. This reporting shall include a report completed by each individual and a summary report prepared by the vendor recapitulating the activities of all field-placed staff during the quarter.
- Vendors shall formulate their own plans for evaluating the effectiveness and impact of field staff and report on the results as part of the field staff quarterly report.
- Vendors shall implement changes to improve the effectiveness of field staff activity only after requesting and receiving prior approval from the responsible BT Training Manager.

Procedures

- Direct that each current field staff member complete a copy of [Form OCFS-4797, Individual Field Staff Quarterly Report](#) to report their work plan based activities (i.e., one form per person) and compile the set of forms. Each field staff member should review their individual report with their program area New York State supervisor before it is submitted to BT.
- **For work plans that include Title IV-E funding:** Report the percentage of time for training and administrative activities performed by each field staff person. (If the percentages differ from the approved work plan, contact the BT Training Manager immediately.)
- Complete and submit a [Form OCFS-4876, Field Staff Quarterly Report Summary](#) based on the individual field staff reports and other data. The form calls for:
 - **Field Staff Listing** – Update by providing the staff name, job title, and office location. Include any change in status of field staff, and the effective dates, that occurred during the quarter, such as new hire, resignation, out on leave, change to part-time or full-time status, temporary hires, and change in compensation.

- **Field Staff Administration** – Report on overall project administration issues, such as searches to fill vacant positions, personnel changes or issues for staff other than the field staff themselves, and changes to the contract/work plan such as amendments, budget modifications, and programmatic changes affecting field staff operations.
 - **Field Staff Performance Evaluation** – Discuss the status of field staff performance evaluations under “Process of Field Staff Evaluation.” Discuss the results of any Participant Reaction Questionnaires, or other training program evaluation methods, under “Evaluation of Training Delivered by Field Staff.” Note, however, that vendors are also required to report on training program evaluations separately using OCFS-4734, Training and Administrative Activities Quarterly Evaluation Report.
- Submit one Form OCFS-4797 for each field staff and OCFS-4876, Field Staff Summary to the designated BT electronic inbox along with the main quarterly report documents.

Notes

20.5 REPORTING ON M/WBE UTILIZATION AND WORK FORCE DIVERSITY

Process Objective

To provide a means for tracking and accounting for vendor compliance with the state's Affirmative Action / Minority- and Women-Owned Business Enterprises (M/WBE) policy as set forth in Article 15-A of the Executive Law and regulations promulgated pursuant to that law.

Policies

- The vendor shall report on its utilization of certified M/WBE firms (for purchasing and subcontracting) no later than 30 days following the close of a quarter. These requirements will provide quantitative data and summarize progress made in utilizing M/WBEs.
- As part of its quarterly reporting, the vendor shall report on its work force diversity/affirmative action efforts by providing an updated staffing plan (reflecting the degree of work force diversity) no later than 30 days after the close of the quarter.

Procedures

- Complete Form OCFS-4441, M/WBE Quarterly Report, based on information captured in supporting forms.
- Update and include Form OCFS-4629, Project Staffing Plan Form if there have been changes. If there have been no changes in the staffing plan during the quarter, then the Quarterly Report should state this.
- Update and include OCFS-4630, M/WBE Subcontractors and Suppliers Letter of Intent to Participate for each M/WBE subcontractor newly added during the quarter.
- Update and include OCFS-4631, Subcontracting/Suppliers Utilization Form.
- Send reports to BT mailbox as individual files at the same time that the vendor files other quarterly report documents, see 20.2.)

Notes

- The OCFS Bureau of Training does not administer this process. Policies and guidelines are established outside of BT. BT is, however, charged with helping to ensure that training vendors comply with the requirements.
- **SEE ALSO:** 14.4 Complying with or related information and requirements.

20.6 DISCLOSING CONTRACTORS TO NEW YORK STATE GOVERNMENT

Process Objective

To facilitate vendors' compliance with New York State law that requires contractors to New York State government to disclose certain information pertaining to employees, consultants and subcontracts on an annual basis.

Policies

PRIVATE VENDORS ONLY:

- Vendors shall report to OCFS, the New York State Department of Civil Service (DCS), and the New York State Office of the Comptroller (OSC), the number of persons employed to provide services under the contract/work plan, the number of hours worked, and the amount paid by the State of New York to the contractor as compensation.
- This report shall be submitted no later than April 30 in the year immediately following the completed Delivery Year.

Procedures

PRIVATE VENDORS ONLY:

- Complete OCFS-4843 Form B State Consultant Services – Contractor’s Annual Employment Report following the instructions provided with the form.
- Provide the requested employment data covering the most recently completed state fiscal year running from April 1 – March 31.
- Send **the signed original** of the completed form no later than April 30 to the Office of Children and Family Services by US Mail only to:

New York State Office of Children and Family Services
 Bureau of Contract Management
 Capital View Office Park, Room 202 South Building
 53 Washington Street
 Rensselaer, NY 12144
 Attn: Mr. Kevin Sweet

- Send copies of the completed Form no later than April 30 to the Department of Civil Service and Office of the State Comptroller, as follows:

New York State Department of Civil Service Counsel’s Office Alfred E. Smith State Office Building 80 South Swan Building Albany, NY 12239	New York State Office of the State Comptroller Bureau of Contracts 110 State Street, 11th Floor Albany, NY 12236 Attn: Consulting Reporting
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Notes

- The process described above is not under the control of the Bureau of Training. However, the Bureau of Training is responsible for assisting and holding training vendors accountable for compliance.
- As illustrated below, the Contractor's Annual Employment report covers a state fiscal year *which overlaps with but is not the same as* the calendar year that is covered by the annual contract/work plan.

BT Delivery Year for purposes of Final Summary Report on work plan

State Fiscal Year for purposes of Contractor Employment Disclosure

PART THREE: APPENDICES

The OMTV Appendices are integral to the manual as a whole. Some are included with this file and others are maintained as separate computer files, as noted.

APPENDIX 1. GLOSSARY

The purpose of this appendix is to provide users with definitions of specialized terms used in the manual.

Activity

An activity is a component of work performed during the course of a project or process.

Annual Training Plan

The Bureau of Training coordinates the development of an Annual Training Plan that covers the training and administrative needs of 58 local social services districts statewide, numerous child care provider agencies, and state agencies including the OCFS and the Office of Temporary and Disability Assistance (OTDA). The Annual Training Plan is a spending plan for approximately \$60 million in federal and state aid that supports 50 to 60 discrete projects for an estimated 100,000 total trainees.

Code

Code refers to the unique combination of letters and numbers that the Bureau of Training assigns to each annual training agreement. This was also known as “Project Code.”

Computer Based Training (CBT)

A type of education in which the student learns by executing special training programs on a computer (as opposed to traditional classroom based instruction).

Consumables

Consumables are disposable personal property not meeting the definition of equipment.

Consumer

Wikipedia defines **consumer** as “a person or group of people that are the final users of products and or services generated within a social system. A consumer may be a person or group, such as a household. The concept of a consumer may vary significantly by context.” In the BT environment, consumer typically refers to the person or people who will be trained.

Contract

A contract is an agreement entered into voluntarily by two or more parties with the intention of creating a legal obligation.

Contract Period and Contract Term

The contract term is the time from contract start date to contract end date. Many of the BT contracts span more than one year. The contract period is the time from start date of the annual agreement to the end date of that annual agreement.

Contractor

The term contractor refers to an organization providing services under a training contract or agreement through OCFS. In the context of this Guide, contractor has the same meaning as vendor or training provider.

Contract Folder

A contract folder is an electronic and paper file in the Bureau of Training's Finance and Administration Unit where all the contract related papers are retained.

Deliverable

A deliverable is any unique and verifiable product, result, or capability to perform a service that must be produced to complete a process, phase, or project.

Delivery (ies)

A training program, course offering, or other type of training event delivered by the vendor, whether live or not.

Division of the Budget (DOB)

The New York State Division of the Budget (DOB) assists the governor in preparing his Executive Budget proposal, offers fiscal policy advice to the governor's office, and also administers and monitors expenditures authorized by the final Enacted Budget.

Equipment

Tangible, non-expendable personal property items with a useful life of one year and an acquisition cost of \$500 or more per unit or are considered equipment.

Federal Financial Participation (FFP)

Federal financial participation refers to the portion paid by the federal government to states for their share of expenditures for providing various human service programs. FFP is usually expressed as a percentage reimbursement rate applied to the total cost of service.

Field Staff

Field staff are staff specifically hired to perform training and training-related activities under a training contract/work plan and assigned to work off-site or off-campus at state-owned locations.

Match Products

Match products are products that the vendor contributes to the Work Plan or project without compensation as part of his "match" contribution to the total budget.

Process

A process is a set of interrelated actions and activities performed, typically in a defined sequence, to achieve a specified set of products, services, or results.

Performance Measurement

Performance measurement is the systematic organizational practice of tracking quantitative results using consistent measure definitions and periodic data collection.

Performance Management

Performance management is a system of organizational practices ensuring that the organization measures what matters most and uses the performance results data to plan and implement changes to drive improvement. Performance measurement is a necessary component of a performance management system.

Process Improvement

Process improvement is a systematic series of actions taken to improve the results of a process.

Program (1)

The primary meaning of program, when used within the bureau and agency, is an individual or group of individuals employed in one of the Program Divisions of OCFS (as distinguished from OCFS' executive, administrative and support divisions). These include the Division of Child Care Services (DCCS); Division of Child Welfare and Community Services (DCWCS), and Division of Juvenile Justice and Opportunities for Youth (DJJOY).

Program (2)

Program may also refer to a training course, or series of courses, offered to meet an identified training need.

Program Area Staff

The term program area staff, as used in this Guide, refers to personnel located in any of the following OCFS divisions: Division of Child Care Services (DCCS); Division of Child Welfare and Community Services (DCWCS), and Division of Juvenile Justice and Opportunities for Youth (DJJOY).

Project (1)

In the field of project management, a project is defined as work directed toward producing a unique output which is generally a new product, service, or some combination of the two. Projects have clearly defined start and finish dates, whereas operational work is routine and ongoing. A project has a defined scope, schedule and budget.

Project (2)

In the Bureau of Training lexicon, a project is defined as a work effort to produce one or more training deliverables and achieve a specific training outcome. Note that formerly, the word “project” equated to the full scope of the annual training Work Plan. In the new usage, a “project” may be a subset of a Work Plan. A Work Plan may include one or more projects.

Project Management

Project management applies specific knowledge, tools, and techniques to project activities to accomplish project objectives. It is used to ensure that customer requirements for the project are met, the project is kept on schedule, and project resources (funds, people, equipment) are applied efficiently and effectively.

Project Manager

A project manager is the person assigned by the performing organization to be responsible for the planning and execution of a project, thereby achieving the project objectives. The project manager applies knowledge, skills, tools, techniques to direct project activities, including assigning resources and communicating project information.

Project Plan

Project plan refers to the documented plan for delivering each of the key products, or a series or suite of products, to be developed as part of the Training Work Plan.

Project Sponsor

A project sponsor is the person who provides guidance, authorizes resources, and helps remove barriers for a project. The sponsor normally has a large stake in the realization of project objectives.

Proposal

In the Bureau of Training, this is a formal document, prepared and submitted by a training vendor, constituting the vendor’s response to a specifications document prepared by BT.

Request for Proposal (RFP)

A Request for Proposal (RFP) informs potential vendors that an organization is looking to procure goods or services and invites them to submit a proposal. A generic RFP package provides background and objectives, describes as specifically as possible what the organization proposes to purchase, includes required terms and conditions, alerts suppliers that the selection process is competitive, and provides instructions for submittal. A structured proposal evaluation and selection procedure is used so that an organization can demonstrate impartiality – a crucial factor in public sector procurements.

Scope

Scope is the sum of the products, services, and results to be provided as an initiative, program, or project. A scope of work document is often at the center of a request for proposals or project plan.

Shared Cost

Shared costs are those common expenditures that are incurred as part of the regular operation of a program or work site (such as staff, utilities, rent, copy machine usage, and postage) and which are shared by two or more of the funding sources at that program or work site.

Single Source Procurement

State Finance law defines single source as a type of procurement in which, although two or more offerers can supply the required commodities or services, the commissioner or state agency, upon written findings setting forth the material and substantial reasons therefore, may award the contract to one offerer over the other. The procurement record must document the circumstances leading to the selection of the vendor, including the alternatives considered, the rationale for selection, and the basis upon which it determined the cost was reasonable.

Sole Source Procurement

Sole source procurement is similar to a single source procurement basis, but in this case the agency must document that there is indeed only one offerer capable of supplying the required product or service.

Procurement

Procurement refers to the acquisition of goods and services. Official state procurement guidelines are available at <http://ogs.ny.gov/BU/PC/Docs/Guidelines.pdf>.

Specification (1)

A specification describes, in a complete, precise, verifiable manner, the requirements, design, behavior, or other characteristics of a deliverable, system, program, component, product, result, or service.

Specification (2)

In the Bureau of Training lexicon, a specification is the document containing a list and detailed description of requested project deliverables. The specification is prepared by a BT Training Manager working in collaboration with agency program area staff. It is the centerpiece of the process for soliciting vendor proposals.

Staff Development Coordinator

Staff development coordinator (SDC) refers to the individual on staff at each local social services district office who is responsible for coordinating staff development activities in that district.

Stakeholder

Stakeholder refers to a person or organization whose interests may be positively or negatively affected by an initiative, project, program or service.

State Comptroller's Office (OSC)

OSC is a New York State agency, headed by the State Comptroller (a statewide elected official), responsible for ensuring that the taxpayers' money is being used effectively and efficiently to promote the common good. Among its key functions, OSC maintains the state's accounting system, administers the state's payroll, reviews state contracts and payments, conducts audits, oversees the fiscal affairs of local governments including New York City, and administers the New York State and Local Retirement System for public employees, and issues reports on state finances.

Statewide Training Automated Registration System (STARS)/Human Services Learning System (HSLC)

STARS/HSLC is the on-line, real-time computer application provided by the Bureau of Training for contractors and vendors to enter and maintain training data. It is the system of record for documenting training deliverables.

Training Agreement or Executed Contract

This term refers to the final package of documents reflecting the agreed-upon work, terms and conditions after the vendor's proposal has been approved. A training agreement covers one year of delivery.

Training and Administrative Activities

Training and administrative activities are deliverables in Training Contracts and Annual Plan Agreements. They may be either training or administrative or both. The established categories include: classroom training; distance learning; seminars, conferences, forums, and meetings; technical assistance; and curriculum, materials, public service campaigns, and video development.

Training and Administrative Activities List (TAAL)

The TAAL is a required standard form to be incorporated in and included with the specifications package that is sent to vendors and used as a guide to proposal development. It is an itemized list of the specified work that the vendor is to do. Deliverables are listed by category.

Training and Administrative Activities Summary (TAAS)

The TAAS is a required standard form to be incorporated in the vendor proposal. It summarizes the TAAL.

Training Population

Training population refers to the groups of people eligible to receive OCFS-sponsored training in a project. Eligibility is based on funding requirements. These eligible groups are identified in the TAAL. Projects may train only those staff identified in the TAAL.

Training Provider

The term training provider refers to an organization providing services under a training contract or agreement through OCFS. In the context of this Guide, training provider has the same meaning as vendor or contractor.

Training Work Plan

Training Work Plan refers to the components of the annual training agreement or executed contract that OCFS BT Training Managers use to manage the work contracted for by that particular training agreement.

Vendor

The term vendor refers to an organization providing services under a training contract or annual agreement through OCFS. Depending on the context, vendor may refer more specifically to the principals of the organization, the personnel deployed by the organization to perform the work and produce the deliverables, or the vendor's administrative personnel, or all of these roles combined. The vendor may be a public or private entity. The terms "contractor," "consultant," or "training provider" have had the same or a similar meaning in the past (and continue to be found in various existing Bureau of Training documents). However, "vendor" is now the preferred terminology.

Virtual Information and Statistics Tracking Application (VISTA)

VISTA is a custom-built, web-based computer application used in the Bureau of Training to track, summarize, visualize and review data relating to vendor-provided training activities and deliverables. Data assembled and arrayed in VISTA is generally pulled automatically from other data systems on a real-time basis. VISTA was designed and is maintained by the BT Information Technology Systems Unit.

Voice of the Customer

"Voice of the Customer" is a planning technique used to provide products, services, and results that truly reflect customer requirements by translating those customer requirements into the appropriate technical requirements for each phase of the product development.

Web-Based Training (WBT)

Training programs delivered to trainees over the World Wide Web.

Work Plan (1)

In project management, a work plan is a tool that helps the project manager and team stay organized. The work plan breaks down a project effort into small, achievable activities and tasks to create what is called a "work breakdown structure" or "WBS." The WBS is typically hierarchical in nature and deliverable oriented. The work plan also assigns resources and timetables for the identified activities and tasks.

Work Plan (2)

In the Bureau of Training lexicon, the term Work Plan refers to the contents of annual written agreements provided for under existing contracts or memoranda of understanding (MOUs) between OCFS and other state entities, enforceable through administrative means. A Work Plan typically includes one or more projects. It defines the budget, activities and outcomes and includes everything in the proposal including a Training and Administrative Activities List (TAAL).

Work Plan Term

The time from the start date to the end date of an annual work plan with a public vendor.

APPENDIX 2. VENDOR FORMS

This appendix comprises both a list of forms and the complete set of stand-alone forms, all found on the OCFS BT webpage. Each form contains associated instructions.

- More than 30 separate forms are used for various Delivery Year processes. Vendors can use the following table of forms to identify and access the forms called for by a given process and type of vendor.
- Some forms are first introduced during the specification and proposal phases (which fall outside of the OMTV's scope). However, the forms are included in this manual because the vendor may need to update them during the Delivery Year.
- Some forms are maintained by other entities and are outside of BT control. As such, their format may differ from that of BT-maintained forms. They are, nevertheless, locatable on OCFS BT's webpage along with all the others forms.
- OCFS considers the forms and instructions to fall outside the manual policies and not subject to the "vendor comment period for manual changes" provided for in the MOUs with the State University of New York.

FORMS USED DURING CONTRACT/WORK PLAN DELIVERY YEAR

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
Planning and Communication				
OCFS-4895	Vendor Contact Update	Provides a means for vendors to update their official contact information for OCFS use.	11.2 14.5	OCFS BCM
Human Resources				
OCFS-3108	Contractor Request to Attend Conference	Provides a means for requesting BT advance approval for vendors' employees/consultants to attend conferences to maintain or enhance their expertise.	14.6	OCFS BT
OCFS-4715	Confidentiality Non-Disclosure Form	Provides a means to obtain assurance from a new employee or consultant that they will not disclose confidential or proprietary information.	14.3	OCFS BCM/Legal

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
OCFS-4716	Contractor Employee and Volunteer Background Certification	Provides a means to obtain a background check. Used only when applicable - that is, when the employee or consultant will be performing work in OCFS children and youth facilities.	14.3 15.6	OCFS BCM/Legal
OCFS-4789	Revised Contract/Work Plan Personnel Cost	Is used in conjunction with budget modifications and staffing changes. Intended to show entire personal services budget. This form becomes a replacement for the original form 3104 (II).	14.3 18.8 (Exhibit 16) 19.2	OCFS BT
Procurement				
OCFS-2147	Request for Prior Approval of Subcontracting Agreement	Provides a means for requesting BT advance approval for hiring subcontractors.	15.6	OCFS BT
OCFS-4630	M/WBE Subcontractors and Suppliers Letter of Intent to Participate Form	Identifies M/WBE subcontractor and proposed services. Completed by M/WBE supplier and submitted with the subcontractor utilization form.	15.7 20.5	OCFS EODD
OCFS-4631	Subcontracting/Suppliers Utilization Form	Identifies projected M/WBE subcontractor utilization. Submitted with proposals.	15.7 20.5	OCFS EODD
Deliverables – Creation and Use of Training Products				
OCFS-4381	Cover Sheet - Final Product Submission	Serves as a cover sheet when submitting a final work product such as a curriculum, brochure, videotape, etc.	16.3 16.6	OCFS BT
OCFS -2148	Request for License to Use Work Product	Provides vendor a means for requesting permission, and obtaining appropriate language regarding license rights, for using the material beyond the scope of the contact/work plan under which it was developed.	16.5	OCFS BT
Deliverables – Provision and Evaluation of Training Events				
OCFS-4448	Training Roster	Collects data on non-pre-registered individual training participants (names, job titles, codes, etc.) at outset of training program deliveries.	17.3	OCFS BT

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
OCFS-3246	Participant Reaction Questionnaire	Standard training course evaluation (Level 1) form to be completed by program participants.	17.5	OCFS BT
Costs Management and Reimbursement				
OCFS-4821	Contract Management System Authorization Form	Enables vendors to add, inactivate or modify users with online CMS accounts.	4.6 14.5	OCFS BCM
AC 22-S (replaces AC-2414)	General Ledger Journal Entry (Replaces Journal Transfer/Revenue Transfer)	Used to transfer funds into the State University of New York (SUNY), City University of New York (CUNY), or other NYS agencies' accounts. It is also used to transfer funds from the SUNY campus account to OCFS when necessary (for example, cost sharing reconciliation and recoupment of advance payments). (This is a statewide form, not OCFS.)	18.5	OSC
AC 3253-S (replaces AC-092)	Claim for Payment (replaces Standard Voucher)	Used by private vendors to submit claim for reimbursement for expenditures. (This is a statewide form, not OCFS.)	18.6	OSC
OCFS-3106 (I-VIII)	Summary of Costs	Provides a means for the vendor to certify expenses. Provides a summary and breakout of contract/work plan objects of expense (costs) for the claiming period and cumulatively, by budget category. Establishes supporting documentation for claims. Assists with tracking of costs to date relative to the budget.	18.4 – 18.6 18.8	OCFS BT
OCFS-3106A	Summary of Administrative Activities Costs	Provides a summary of the administrative activities objects of expense (costs) during the claiming period and cumulatively (for Title IV-E funded projects only). Enables vendor to report (not claim) Administrative Activities Costs.	18.7	OCFS BT
OCFS-4793	Overlapping Contract Certification	Is used to certify that the vendor is not double charging for expenses across different contracts/work plans.	18.4	OCFS BT

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
OCFS-4795	Record of Equipment Purchases	Provides supporting documentation regarding equipment purchases made during the claim period.	18.4 (Exhibit 14) 20.1 20.2 15.3	OCFS BT
OCFS-4798	Public Vendor Share Worksheet	Documents the public cost sharing associated with the contract/work plan.	18.4 (Exhibit 14) 18.5 19.2	OCFS BT
AC3243-S (Rev. 5/13)	Electronic Payment (ePayment) Request	Initiates process at OSC so vendors can receive electronic payment of approved claims.	18.11	OSC
Changes to Contracts/Work Plans				
OCFS-4796	Request for Modification of Contract/Work Plan Budget	Initiates vendor's request for approval to reallocate funds within the approved budget. Requires Form 3104 as supporting documentation.	19.2 18.8	OCFS BT
OCFS-3104 (I-VIII)	Contract/Work Plan Budget	Establishes current contract/work plan budget. To be updated with each budget modification request. If the budget modification is approved, it becomes the replacement budget.	19.2 18.8	OCFS BT
OCFS-3104A (I-VIII)	All Other Administrative Activities Sub-Budget and DAB-1666 Reporting	Is used as for all budget modification requests where the project is funded in part or in whole with Title IV-E funds. This form is included in the proposal packet and must be updated if there is a budget change request.	19.2	OCFS BT
OCFS-4789	Revised Contract/Work Plan Personnel Cost	Is used in conjunction with budget modifications, staffing changes, and claims submittals. This form becomes a replacement for the original form 3104 (II).	14.3 18.8 (Exhibit 16)	OCFS BT

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
OCFS-3102	Training and Administrative Activities List (TAAL)	A specification and proposal document that is adjusted when impacted by a contract/work plan programmatic change. Used to identify deliverables and maintain clarity and accuracy of scope throughout the Delivery Year. The BT Training Manager is the creator of the TAAL originally provided to the vendor.	19.1 19.2 19.3	OCFS BT
OCFS-3856	Training/Administrative Activity Summary (TAAS)	This is primarily a specification and proposal document. It provides detail concerning a particular training or administrative activity. It may also come into play when there is a programmatic change. An existing TAAS may need to be created or new TAAS may need to be developed.	19.1 19.3	OCFS BT
Reporting				
OCFS-4799	Training and Administrative Activities Quarterly Report	Provides a quantitative and qualitative summary of training and administrative activities accomplished during the completed quarter.	20.1 (Exhibit 18) 20.2	OCFS BT
OCFS-4734	Training and Administrative Activities Quarterly Evaluation Report	Summarizes the results of evaluations conducted during the quarter, including response rate, evaluation ratings, findings and conclusions, training activity enhancements, and recommendations for future enhancements.	20.3	OCFS BT
OCFS-4797	Individual Field Staff Quarterly Report	Provides a report on contract/work plan activities for each individual field staff member.	20.4	OCFS BT
OCFS-4876	Field Staff Quarterly Report Summary	Provides a report on contract/work plan activities for all field staff collectively.	20.1 20.4	OCFS BT
OCFS-4441	M/WBE Quarterly Report	Summarizes the use of MWBEs on the contract/work plan. Included in the Affirmative Action packet.	20.1 20.5	OCFS EODD

NUMBER	TITLE	PURPOSE	MANUAL SECTION	FORM OWNER
OCFS-4629	Project Staffing Plan Form	Summarizes staffing diversity. Staffing plan is submitted with proposals and resubmitted when changes occur during the Delivery Year. Also submitted with quarterly reporting.	15.7 20.1 20.5	OCFS EODD
OCFS-4630	M/WBE Subcontractors and Suppliers Letter of Intent to Participate Form	Identifies M/WBE subcontractor and proposed services. Completed by M/WBE subcontract/supplier and submitted with the subcontractor utilization form.	15.6 15.7 20.5	OCFS EODD
OCFS-4631	Subcontracting/Suppliers Utilization Form	Identifies projected M/WBE subcontractor utilization. Submitted with proposals.	15.7 20.5	OCFS EODD
OCFS-4843 Form B	State Consultant Services-Contractor's Annual Employment Report	Used to disclose all project staff for purposes of state law regarding use of consultant. Submitted once a year after the close of the state fiscal year.	20.1 20.6	OCFS BCM

APPENDIX 3. OCFS BUREAU OF TRAINING DIRECTORY

This appendix is intended to help vendors locate the individuals with whom they need to do business for specific actions. Also included are the BT electronic mailboxes.

Staff Directory

Pamela Kelly Director of Training Pamela.Kelly@ocfs.ny.gov 518-474-9645	Jim Djernes Assistant Director of Training Jim.Djernes@ocfs.ny.gov 518-474-5534
Kelly Crosier, Administrative Assistant Kelly.Crosier@ocfs.ny.gov 518-474-9645	
Leslie Bramah, Administrative Assistant Leslie.Bramah@ocfs.ny.gov 518-474-3065	

TRAINING MANAGEMENT		
Daley, Richard	Richard.Daley@ocfs.ny.gov	518-486-7135
<u>Child Care</u>		
Jones, Brenda	Brenda.Jones@ocfs.ny.gov	518-473-2104
O'Brien, Barbara	Barbara.O'Brien@ocfs.ny.gov	518-474-9233
<u>Local Districts</u>		
Andriano, Maria	Maria.Andriano@ocfs.ny.gov	518-486-6117
Armstrong, Vivian	Vivian.Armstrong@ocfs.ny.gov	518-474-7854
Lambert, Shelley	Shelley.Lambert@ocfs.ny.gov	518-473-0693
Tobin, Jill	Jill.Tobin@ocfs.ny.gov	518-473-0890
<u>Child Welfare</u>		
Ballester, Suzanne	Suzanne.Ballester@ocfs.ny.gov	518-474-2879
Hopper, Maureen	Maureen.Hopper@ocfs.ny.gov	518-486-4740
Makely, Deb	Deb.Makely@ocfs.ny.gov	518-473-8387

Proulx, John	John.Proulx@ocfs.ny.gov	518-474-2205
Richardson, Joan	Joan.Richardson@ocfs.ny.gov	518-474-3481
Velez-Lemmerman, Margo	Margo.Velez-Lemmerman@ocfs.ny.gov	518-474-3065
Technology and System		
Gorsky, Janet	Janet.Gorsky@ocfs.ny.gov	518-408-3857
Adolescent Services		
Tomeck, Valerie	Valerie.Tomeck@ocfs.ny.gov	518-473-4449

FINANCE AND ADMINISTRATION UNIT		
Hunter, Cindy	Cindy.Hunter@ocfs.ny.gov	518-473-6687
Konteh, Danielle	Danielle.Konteh@ocfs.ny.gov	518-474-5848
Ruff, Stephanie	Stephanie.Ruff@ocfs.ny.gov	518-408-4665
Shufelt, Pam	Pamela.Shufelt@ocfs.ny.gov	518-486-5856

DISTANCE LEARNING AND MEDIA DEVELOPMENT UNIT		
McGann, Dave	Dave.McGann@ocfs.ny.gov	518-474-8629

TRAINING TECHNOLOGY AND EVALUATION UNIT		
Liebig, Jeff	Jeff.Liebig@ocfs.ny.gov	518-473-8380

PARKER TRAINING ACADEMY AND MID-HUDSON TRAINING CENTER		
Kaflowitz, Alan	Alan.Kaflowitz@ocfs.ny.gov	845-758-4651

MANAGEMENT AND PROFESSIONAL DEVELOPMENT UNIT		
McCarthy, Beth	Beth.McCarthy@ocfs.ny.gov	518-473-8414

Bureau of Training Electronic Mailboxes

MAILBOX	PURPOSE	ADDRESS
Administrative	For submittal of all contract/work plan proposals, amendments, budgetary documents, or other “changes” as described in Chapter 19 “Changes to Contracts/Work Plans.”	btproposals@ocfs.ny.gov
Quarterly Reports	For submittal of all quarterly reports.	btquarterlyreports@ocfs.ny.gov
Equipment Requests	For submittal of prior approval of equipment purchase requests, equipment inventory plans and equipment disposition requests.	ocfs.sm.bt.equipment.requests@ocfs.ny.gov
MWBE Quarterly Reports	For submittal of MWBE QR OCFS-4441.	mwbeinfo@ocfs.ny.gov , with a CC to btquarterlyreports@ocfs.ny.gov

APPENDIX 4. OCFS BUREAU OF TRAINING COPYRIGHT POLICY

This appendix, which exists as a stand-alone file, provides the Copyright Policy document (in full) for vendor reference. Vendors are responsible for familiarizing themselves with and following this information. It is located on and downloadable from the OCFS Bureau of Training OMTV web page.