

EXHIBIT J

CORNELL UNIVERSITY 2000 WORKPLAN REQUIREMENTS

1. WORKPLANS

- EACH WORKPLAN REQUIRES SEPARATE MONTHLY BILLINGS.

2. COSTS INCURRED, BILLED AND REPORTED

- ALL COSTS INCURRED BILLED AND REPORTED MUST BE IN ACCORDANCE WITH ALL FEDERAL AND STATE LAWS AND REGULATIONS AS APPLICABLE, INCLUDING, BUT NOT LIMITED TO A-133, A-87, A-128, STATE FINANCE LAW, ETC. EACH BILLING MUST CONTAIN A SIGNED CERTIFICATION TO THIS EFFECT.

3. COST SHARING

- AT LEAST MONTHLY ESTIMATED COST SHARING, WITH RECONCILIATION TO ACTUAL EXPENDITURES BY SEMESTER (DECEMBER, MAY, AUGUST), BY WORKPLAN, BY ACCOUNT (SEE ENCLOSURE PAGE FIVE) IS REQUIRED AND MUST BE PROVIDED WITH BILLINGS.
- COST SHARING MUST DIRECTLY RELATE TO SERVICES PROVIDED UNDER THE WORKPLAN.

4. ADMINISTRATIVE SERVICES ACTIVITIES (AS DEFINED IN THE TRAINING AND ADMINISTRATIVE ACTIVITIES CONTRACT OPERATIONS MANUAL AND GUIDELINES FOR THE SUBMISSION OF PUBLIC AGENCY WORKPLANS)

- ADMINISTRATIVE SERVICES ACTIVITIES MUST BE IDENTIFIED, BY SUB-BUDGET, WITHIN EACH WORK PLAN. BILLINGS CANNOT EXCEED THE ADMINISTRATIVE SERVICE ACTIVITY ALLOCATION WITHOUT ADVANCE APPROVAL AS NOTED BELOW.
- REQUIRES TRACKING AND REPORTING AGAINST THE SUB-BUDGET, BY PROJECT AND OBJECT OF EXPENSE. PROJECT SPECIFIC REPORTING MUST BE PROVIDED WITH EACH BILLING.

5. DEPARTMENT APPEALS BOARD DECISION 1666 (DAB 1666) RELATED COSTS AND REPORTING

- DAB 1666 RELATED COSTS MUST BE IDENTIFIED WITHIN EACH WORKPLAN (EXCLUDES SCHOOL-AGE CHILD CARE TRAINING AND YOUTH DEVELOPMENT WORKPLANS). BILLINGS CANNOT EXCEED THE DAB 1666 SUB-BUDGET ALLOCATION WITHOUT ADVANCE APPROVAL AS NOTED ABOVE.
- REQUIRES TRACKING AND REPORTING AGAINST THE WORKPLAN SUB-BUDGET(S) AND BY OBJECT OF EXPENSE. REPORTING MUST BE PROVIDED WITH EACH BILLING.

CORNELL UNIVERSITY 2001 WORKPLAN REQUIREMENTS

1. **WORKPLANS**
 - EACH WORKPLAN REQUIRES SEPARATE MONTHLY BILLINGS.
2. **COSTS INCURRED, BILLED AND REPORTED**
 - ALL COSTS INCURRED BILLED AND REPORTED **MUST BE IN ACCORDANCE WITH ALL FEDERAL AND STATE LAWS AND REGULATIONS AS APPLICABLE, INCLUDING, BUT NOT LIMITED TO A-133, A-87, A-128, STATE FINANCE LAW, ETC. EACH BILLING MUST CONTAIN A SIGNED CERTIFICATION TO THIS EFFECT.**
3. **COST SHARING**
 - AT LEAST MONTHLY ESTIMATED COST SHARING, WITH RECONCILIATION TO ACTUAL EXPENDITURES BY SEMESTER (DECEMBER, MAY, AUGUST), BY WORKPLAN, BY PROJECT IS REQUIRED AND **MUST BE PROVIDED WITH BILLINGS.**
 - COST SHARING **MUST DIRECTLY RELATE TO SERVICES PROVIDED UNDER THE WORKPLAN**
4. **DEPARTMENT APPEALS BOARD DECISION 1666 (DAB 1666) RELATED COST AND REPORTING**
 - DAB 1666 RELATED COSTS **MUST BE IDENTIFIED FOR EACH WORKPLAN. BILLINGS CANNOT EXCEED THE DAB 1666 SUB-BUDGET ALLOCATION WITHOUT ADVANCE APPROVAL.**
 - **REQUIRES TRACKING AND REPORTING AGAINST THE WORKPLAN SUB-BUDGET(S) BY PROJECT AND BY OBJECT OF EXPENSE. REPORTING MUST BE PROVIDED WITH EACH BILLING.**
5. **BUDGET MODIFICATIONS WITHIN WORKPLANS**
 - **REQUIRED FOR ALL PROPOSED PERSONAL SERVICE CHANGES REGARDLESS OF PERCENT OF CHANGE BETWEEN BUDGET CATEGORIES, AND ALL PROPOSED SHIFTS BETWEEN BUDGET CATEGORIES IN EXCESS OF 10%.**
 - **REQUIRES SIGNOFF BY PROGRAM AGENCIES AND OCFS.**
 - **ALL BUDGET MODIFICATION REQUESTS, FOR ALL YEARS, MUST BE SUBMITTED TO NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES, BUREAU OF TRAINING AND WORKFORCE DEVELOPMENT, ROOM 224, RENSSELAER, NY, 12144 -- ATTN: MR. PATRICK ALLEN.**
6. **WORKPLAN AMENDMENTS**
 - **REQUIRED FOR ALL CHANGES IN SCOPE, ADDING OR SUBTRACTING TRAINING AND ADMINISTRATIVE SERVICES ACTIVITIES, INCLUDING SHIFTS BETWEEN PROJECT ACTIVITIES AND DELIVERABLES, AND ALL CHANGES TO FEDERAL DEPARTMENT APPEALS BOARD DECISION 1666 SUB-BUDGETS**
 - **REQUIRES SIGNOFF BY PROGRAM AGENCIES, OCFS AND THE DIVISION OF THE BUDGET.**
7. **AFFIRMATIVE ACTION REQUIREMENTS**
 - **AGENCIES ARE REMINDED THAT THEY MUST INDICATE THEIR PROGRESS IN ACHIEVING THE GOALS FOR THE UTILIZATION OF MBE'S AND WBE'S FOR CONTRACT RELATED PROCUREMENT OF GOODS FROM VENDORS AND SUBCONTRACTING ACTIVITIES.**

CORNELL UNIVERSITY 2002 WORKPLAN REQUIREMENTS

1. WORKPLANS

- EACH WORKPLAN REQUIRES SEPARATE MONTHLY BILLING

2. COSTS INCURRED, BILLED AND REPORTED

- ALL COSTS INCURRED BILLED AND REPORTED MUST BE IN ACCORDANCE WITH ALL FEDERAL AND STATE LAWS AND REGULATIONS AS APPLICABLE, INCLUDING, BUT NOT LIMITED TO A-133, A-87, A-128, STATE FINANCE LAW, ETC. EACH BILLING MUST CONTAIN A SIGNED CERTIFICATION TO THIS EFFECT.
- MONTHLY EXPENDITURE CLAIMS ARE REQUIRED TO BE SUBMITTED WITHIN 30 DAYS AFTER THE COMPLETION OF EACH MONTH OF THE WORKPLAN PERIOD.
- FINAL MONTHLY EXPENDITURE CLAIMS, EXCLUDING COST SHARING, ARE REQUIRED TO BE SUBMITTED WITHIN 90 DAYS OF THE COMPLETION OR TERMINATION DATE OF THE WORKPLAN.
- ALL EXPENDITURE CLAIMS MUST BE SUBMITTED TO THE NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES, BUREAU OF TRAINING, FINANCE AND ADMINISTRATION UNIT, 52 WASHINGTON STREET, 2ND FLOOR, RENSSELAER, NY, 12144 -- ATTN: CLAIMS PROCESSING.

3. COST SHARING

- AT LEAST MONTHLY ESTIMATED COST SHARING, BY WORKPLAN, IS REQUIRED TO BE SUBMITTED WITH MONTHLY EXPENDITURE CLAIMS. RECONCILIATION TO ACTUAL COST SHARING CLAIMS ARE REQUIRED TO BE SUBMITTED WITHIN 120 DAYS OF THE END OF EACH SEMESTER (MAY, AUGUST, DECEMBER), AND MUST BE PROVIDED WITH MONTHLY CLAIMS.
- THE FINAL COST SHARING CLAIM IS REQUIRED TO BE SUBMITTED NO LATER THAN 180 DAYS OF COMPLETION OR TERMINATION OF EACH WORKPLAN.
- COST SHARING MUST DIRECTLY RELATE TO SERVICES PROVIDED UNDER THE WORKPLAN.

4. ADMINISTRATIVE SERVICES ACTIVITIES (AS DEFINED IN THE TRAINING AND ADMINISTRATIVE ACTIVITIES CONTRACT OPERATIONS MANUAL AND GUIDELINES FOR THE SUBMISSION OF PUBLIC AGENCY WORKPLANS).

- ADMINISTRATIVE SERVICES ACTIVITIES MUST BE IDENTIFIED, BY SUB-BUDGET, WITHIN EACH WORKPLAN. BILLINGS CANNOT EXCEED THE ADMINISTRATIVE SERVICE ACTIVITY ALLOCATION WITHOUT ADVANCE APPROVAL.
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5. DEPARTMENT APPEALS BOARD DECISION 1666 (DAB 1666) RELATED COST AND REPORTING

- DAB 1666 RELATED COSTS MUST BE IDENTIFIED FOR EACH WORKPLAN. BILLINGS CANNOT EXCEED THE DAB 1666 SUB-BUDGET ALLOCATION WITHOUT ADVANCE APPROVAL.
- REQUIRES TRACKING AND REPORTING AGAINST THE WORKPLAN SUB-BUDGET(S) BY PROJECT AND BY OBJECT OF EXPENSE. REPORTING MUST BE PROVIDED WITH EACH BILLING.

CORNELL UNIVERSITY 2003 WORKPLAN REQUIREMENTS

1. WORKPLANS

- EACH WORKPLAN REQUIRES SEPARATE MONTHLY BILLING.

2. COSTS INCURRED, BILLED AND REPORTED

- ALL COSTS INCURRED BILLED AND REPORTED MUST BE IN ACCORDANCE WITH ALL FEDERAL AND STATE LAWS AND REGULATIONS AS APPLICABLE, INCLUDING, BUT NOT LIMITED TO A-133, A-87, A-128, STATE FINANCE LAW, ETC. EACH BILLING MUST CONTAIN A SIGNED CERTIFICATION TO THIS EFFECT.
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- ALL EXPENDITURE CLAIMS MUST BE SUBMITTED TO THE NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES, BUREAU OF TRAINING, FISCAL AND ADMINISTRATION SECTION, 52 WASHINGTON STREET, ROOM 227 NORTH, RENSSELAER, NY, 12144 – ATTN: CLAIMS PROCESSING.

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CORNELL UNIVERSITY 2004 WORKPLAN REQUIREMENTS

1. WORKPLANS

- OCFS WORKPLANS REQUIRE AN OVERALL MONTHLY BILLING.

2. COSTS INCURRED, BILLED AND REPORTED

- ALL COSTS INCURRED BILLED AND REPORTED MUST BE IN ACCORDANCE WITH ALL FEDERAL AND STATE LAWS AND REGULATIONS AS APPLICABLE, INCLUDING, BUT NOT LIMITED TO A-133, A-87, A-128, STATE FINANCE LAW, ETC. EACH BILLING MUST CONTAIN A SIGNED CERTIFICATION TO THIS EFFECT.
- MONTHLY EXPENDITURE CLAIMS ARE REQUIRED TO BE SUBMITTED WITHIN 30 DAYS AFTER THE COMPLETION OF EACH MONTH OF THE WORKPLAN PERIOD.
- FINAL MONTHLY EXPENDITURE CLAIMS, EXCLUDING COST SHARING, ARE REQUIRED TO BE SUBMITTED WITHIN 90 DAYS OF THE COMPLETION OR TERMINATION DATE OF THE WORKPLAN.
- ALL EXPENDITURE CLAIMS MUST BE SUBMITTED TO THE NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES, BUREAU OF TRAINING, FISCAL AND ADMINISTRATION SECTION, 52 WASHINGTON STREET, ROOM 227 NORTH, RENSSELAER, NY, 12144 – ATTN: CLAIMS PROCESSING.

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5. DEPARTMENT APPEALS BOARD DECISION 1666 (DAB 1666) RELATED COST AND REPORTING

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- REQUIRES TRACKING AND REPORTING AGAINST THE WORKPLAN SUB-BUDGETS(S) BY PROJECT AND BY OBJECT OF EXPENSE. REPORTING MUST BE PROVIDED WITH EACH BILLING.

EXHIBIT K

TRAINING
AND
ADMINISTRATIVE
ACTIVITIES

PROJECT OPERATIONS MANUAL



NEW YORK STATE
OFFICE OF CHILDREN
AND FAMILY SERVICES
HUMAN RESOURCES
BUREAU OF TRAINING

L. Departmental Appeals Board Decision Number 1666 (DAB 1666)

BT's Training and Administrative Programs are funded through a combination of State and Federal funds. Some of these funds have restrictions and/or specific reporting requirements. Title IV-E funding is the most restrictive of the Federal funding sources. Title IV-E funds are used for child welfare-related training. These contractual services include foster care, adoption, and prevention. There are separate reimbursement rates for Title IV-E: 75 percent for training activities and 50 percent for administration activities. Within each Title IV-E training contract/work plan there is an additional split between training and administrative activities that OCFS is required to track for Federal claiming.

For training projects that include Title IV-E funds, both training and administrative deliverables and expenditure records must be segregated by training and administrative activities As a result, a number of reporting procedures and forms have been developed to promote proper record keeping and documentation.

These specific requirements for projects that include Title IV-E funding are outlined in ***DAB-1666***. This decision requires that in order for the State to receive enhanced Federal Financial Participation (FFP) for training costs, such costs must be of the type specified in the federal regulation 45 CFR 235.64. Contractor reimbursement for these costs may be limited to the level of FFP the State receives for these costs.

Additional information about the DAB 1666 decision can be found on the Federal Department of Health and Human Services website address:

<http://www.hhs.gov/dab/decisions/dab1666.html>

Information on 45 CFR can be found at the following Federal Department of Health and Human Services website addresses:

<http://frwebgate.access.gpo.gov/cgi-bin/cfr.cgi?TITLE=45&PART=1356&SECTION=60&YEAR=1998&TYPE=TEXT>

<http://frwebgate.access.gpo.gov/cgi-bin/get-cfr.cgi?TITLE=45&PART=235&SECTION=64&YEAR=1998&TYPE=TEXT>

Administrative activities costs and DAB 1666 costs are based on the sub-budgets contained in the contractors/vendors approved contract/work plan. ***DAB 1666 requirements only apply to projects that include Title IV-E funds.*** If a contract/work plan contains both training and administrative activities for projects that include Title IV-E funds, contractors/vendors are required to specify administrative activities costs separately. The following examples have been developed to assist contractors/vendors in distinguishing between training and administrative activities:

Examples of Training Activities:

Instruction

- Stand-up training;
- Computer-based training (CBT) that provides training;
- Satellite teleconferences that provide training;

4. OCFS must notify the contractor/vendor of such defects or improprieties within 15 days of receipt of the claim to be consistent with the Prompt Payment requirements. These issues must be resolved before claims can be accepted for payment under the Prompt Payment timeframes.
5. At the conclusion of the contract/work plan, OCFS may withhold up to ten percent (10%) of the contract/work plan payments until receipt and acceptance of all reports and deliverables can be verified. These funds will be released for payment and the prompt payment timeframe will begin upon receipt of all deliverables, reports, and curricula. Curricula must be submitted with a completed *Final Curriculum and Material Submission Form (OCFS-4381)* See *Chapter 1*.

B. Advance Payments

Most contractors/vendors are eligible to receive advance payments. Details regarding advance payments are included within the OCFS contract/work plan. To receive an advance payment, a contractor/vendor must submit a signed voucher. The advance voucher must be paid within 30 days of the execution of the contract/work plan or receipt of the voucher, whichever is later.

The advance payment is part of the total contract/work plan and is *not* additional funding. The advance payment must be **paid back** to OCFS through the submission of acceptable claims for allowable expenses under the contract/work plan. OCFS reserves the right to deny requests for additional and/or re-issuance of advance payments if OCFS has determined there is insufficient time or deliverables remaining to allow the contractor/vendor to repay the advance within the terms of the contract/work plan.

Should a project fail to operate as anticipated and a claim cannot be made, an advance payment must be repaid to OCFS promptly. OCFS reserves the right to change the payment schedule, including the advance repayment schedule, if necessary.

C. Claiming and Reimbursement

While contract/work plan budgets are based on estimated costs, claims must be based on actual expenditures clearly in support of the deliverables and must be in sufficient detail to identify the items of expenditure. Contractors/vendors are liable to audit by the Office of the State Comptroller (OSC), OCFS, the U.S. Department of Health and Human Services (HHS) or the authorized representatives of any of these agencies. The procedures outlined in this section are designed not only to support reimbursement, but also to help provide readable **audit trails** of contractor/vendor claims.

Contractors/vendors are expected to follow the claiming instructions outlined in this chapter when claiming reimbursement. In addition, contractors/vendors will be required to submit a signed certification: ***“We certify that all costs incurred, billed and reported are in accordance with all Federal and State Laws and regulations as applicable including, but not limited to A-21, A-87, A-110, A-122, and A133 State Finance Law etc. as applicable, and there is appropriate supporting documentation for this claim period.”*** included on the ***Summary of Costs Form (OCFS-3106)***.

EXHIBIT L

DSS-3106 (Rev 10/96)

Section 1

Period: Final Revised, 1998

DAB1666

SUMMARY OF COSTS (Training)		CONTRACTOR	CONTRACT NUMBER			
		Cornell University	MOU 0849 - (CPSTI 1999)			
SCHEDULE REFERENCE	BUDGET CATEGOR Y	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A. DIRECT COST OTHER THAN TRAINEE COST	Personnel	\$430,038	(50.80)	359,764.59	70,273.41	
	Fringe Benefits	\$146,729	(12.88)	113,236.60	33,492.40	
	Equipment Rental		-	6,003.12	(6,003.12)	
	Equipment Purchase	\$47,425	249.00	30,368.00	17,057.00	
	Consumable Costs	\$23,094	(249.00)	12,781.23	10,312.77	
	Staff Travel	\$64,826	-	36,916.49	27,909.51	
	Consultant	\$48,100	-	-	48,100.00	
	Other	\$229,832	(297.11)	133,631.67	96,200.33	
	Total - Direct Cost other than Trainee		\$990,044	(360.57)	692,701.70	297,342.30
B TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem	\$277,396	-	246,434.24	30,961.76	
	Total Trainee Cost	\$277,396	-	246,434.24	30,961.76	
C TOTAL COST	Total Direct Cost (Total A + B)	\$1,267,440	(360.57)	939,135.94	328,304.06	
	Indirect Cost Rate <u>59.05%</u>					
	Total Indirect Cost	\$762,549	-	535,622.32	226,926.68	
	Grand Total Project Cost	\$2,029,989	(360.57)	1,474,758.26	555,230.74	

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.

Vouchers will be processed only if these reports are submitted as required.

Project budgets may not be modified without prior approval of the Office of Human Resource Development.

DSS-3106 (Rev. 10/96)

Section 1

Period: Final Revised, 1998

DAB 1666

SUMMARY OF COSTS (Administrative)		CONTRACTOR	CONTRACT NUMBER			
		Cornell University	MOU 0849 - (CPSTI 1999)			
SCHEDULE REFERENCE	BUDGET CATEGOR	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A DIRECT COST OTHER THAN TRAINEE COST	Personnel		-	-	-	
	Fringe Benefits		-	-	-	
	Equipment Rental		-	-	-	
	Equipment Purchase		-	-	-	
	Consumable Costs		-	-	-	
	Staff Travel		-	-	-	
	Consultant		-	-	-	
	Other		-	-	-	
	Total -	Direct Cost other than Trainee		-	-	-
B TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem		-	-	-	
	Total Trainee Cost		-	-	-	
C TOTAL COST	Total Direct Cost (Total A + B)		-	-	-	
	Indirect Cost Rate 59.05%					
	Total Indirect Cost			(359.95)	(359.95)	359.95
	Grand Total Project Cost			(359.95)	(359.95)	359.95

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed.

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.

Vouchers will be processed only if these reports are submitted as required.

Project budgets may not be modified without prior approval of the Office of Human Resource Development.

revised 3/8/2000
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OCFS-3106 (Rev 10/96)

Section 1

DAB 1666 REPORT

Period: April, 1999

SUMMARY OF COSTS (Total)			CONTRACTOR		CONTRACT NUMBER	
			Cornell University		MOU 0849 - (CPSTI 1999)	
SCHEDULE REFERENCE	BUDGET CATEGOR Y	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
DIRECT COST OTHER THAN TRAINEE COST	Personnel		-	-	-	
	Fringe Benefits		-	-	-	
	Equipment Rental		-	-	-	
	Equipment Purchase		-	-	-	
	Consumable Costs		-	-	-	
	Staff Travel		-	-	-	
	Consultant		-	-	-	
	Other		-	-	-	
	Total -	Direct Cost other than Trainee		-	-	-
TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem		-	-	-	
	Total Trainee Cost		-	-	-	
TOTAL COST	Total Direct Cost (Total A + B)			-	-	
	Indirect Cost Rate <u>59.05%</u>					
	Total Indirect Cost (DAB 1666 rate = 26%)			19,023.08	72,136.98	-
	Grand Total Project Cost			19,023.08	72,136.98	-

INSTRUCTIONS

- Each voucher should be based upon 100% of the project expenditures for the time period claimed
- Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.
- Vouchers will be processed only if these reports are submitted as required
- Project budgets may not be modified without prior approval of the Office of Human Resource Development.

DAB 1666 REPORT

Period: 1/1/2000 - 1/31/2000

SUMMARY OF COSTS (Total)			CONTRACTOR		CONTRACT NUMBER	
			Cornell University		MOU 0849 - (CPSTI 2000)	
SCHEDULE REFERENCE	BUDGET CATEGOR	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A DIRECT COST OTHER THAN TRAINEE COST	Personnel		-	-	-	
	Fringe Benefits		-	-	-	
	Equipment Rental		-	-	-	
	Equipment Purchase		-	-	-	
	Consumable Costs		-	-	-	
	Staff Travel		-	-	-	
	Consultant		-	-	-	
	Other		-	-	-	
	Total -	Direct Cost other than Trainee		-	-	-
B TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem		-	-	-	
	Total Trainee Cost		-	-	-	
C TOTAL COST	Total Direct Cost (Total A + B)		-	-	-	
	Indirect Cost Rate <u>59.95%</u> ⁶²					
	Total Indirect Cos (DAB 1666 rate = 26%)		\$225,170	9,732.72	9,732.72	-
	Grand Total Project Cost		\$225,170	9,732.72	9,732.72	753,444.28

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INSTRUCTIONS

- Each voucher should be based upon 100% of the project expenditures for the time period claimed.
- Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.
- Vouchers will be processed only if these reports are submitted as required.
- Project budgets may not be modified without prior approval of the Office of Human Resource Development

OCFS-3106 (Rev. 10/96)

Section 1

DAB 1666 REPORT

Period: 1/1/2001 - 7/31/2001

SUMMARY OF COSTS (Total)		CONTRACTOR Cornell University		CONTRACT NUMBER MOA 489 - (CPSTI 2001)		
SCHEDULE REFERENCE	BUDGET CATEGOR	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A. DIRECT COST OTHER THAN TRAINEE COST	Personnel		-	-	-	
	Fringe Benefits		-	-	-	
	Equipment Rental		-	-	-	
	Equipment Purchase		-	-	-	
	Consumable Costs		-	-	-	
	Staff Travel		-	-	-	
	Consultant		-	-	-	
	Other		-	-	-	
	Total - Direct Cost other than Trainee		-	-	-	
B. TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem		-	-	-	
	Total Trainee Cost		-	-	-	
C. TOTAL COST	Total Direct Cost (Total A + B)		-	-	-	
	Indirect Cost Rate <u>82.00%</u>					
	Total Indirect Cost (DAB 1666 rate = 26%)	\$464,708	151,188.47	151,188.47	313,519.93	
	Grand Total Project Cost	\$464,708	151,188.47	151,188.47	313,519.93	

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed.

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.

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Project budgets may not be modified without prior approval of the Office of Human Resources Development

DAB 1666 REPORT

Period: 01/1/2002 - 03/31/2002

SUMMARY OF COSTS (Total)			CONTRACTOR	CONTRACT NUMBER		
			Cornell University	MOA 489 - (CPSTI 2001)		
SCHEDULE REFERENCE	BUDGET CATEGOR	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A DIRECT COST OTHER THAN TRAINEE COST	Personnel		-	-	-	
	Fringe Benefits		-	-	-	
	Equipment Rental		-	-	-	
	Equipment Purchase		-	-	-	
	Consumable Costs		-	-	-	
	Staff Travel		-	-	-	
	Consultant		-	-	-	
	Other		-	-	-	
	Total -	Direct Cost other than Trainee		-	-	-
B TRAINEE COST	Stipends		-	-	-	
	Tuition and Fees		-	-	-	
	Travel and Per Diem		-	-	-	
	Total Trainee Cost		-	-	-	
C TOTAL COST	Total Direct Cost (Total A + B)		-	-	-	
	Indirect Cost Rate <u>61.50%</u>					
	Total Indirect Cost (DAB 1666 rate = 26%)		\$160,388	<i>263832</i> 24,824.60	24,824.60	135,562.90
	Grand Total Project Cost		\$160,388	24,824.60	24,824.60	135,562.90

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed.

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities

Vouchers will be processed only if these reports are submitted as required.

Project budgets may not be modified without prior approval of the Office of Human Resource Development

Section 1

DAB 1666 REPORT

Period: 1/1/03 - 3/31/03

SUMMARY OF COSTS (Total)		CONTRACTOR Cornell University	CONTRACTOR NUMBER MOA 489 - (RC03 2003)			
SCHEDULE REFERENCE	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE	
A. DIRECT COST OTHER THAN TRAINEE COST	Personnel					
	Fringe Benefits					
	Equipment Rental					
	Equipment Purchase					
	Consumable costs					
	Staff Travel					
	Consultant					
	Other					
		Direct Costs Total- other than Trainee	0	0.00	0.00	0.00
B. TRAINEE COST	Stipends					
	Tuition and Fees					
	Travel and Per Diem					
		Total Trainee Cost	0	0.00	0.00	0.00
C. TOTAL COST	Total Direct Cost (Total A + B)		0	0.00	0.00	0.00
	Indirect Cost Rate <u>61.50%</u>					
	Total Indirect Cost (DAB 1666 rate = 26%)		200,617	28,873.25	28,873.25	171,743.75
	Grand Total Project Cost		200,617	28,873.25	28,873.25	171,743.75

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed.

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities.

Vouchers will be processed only if these reports are submitted as required.

Project budgets may not be modified without prior approval of the Office of Human Resource Development.

Section 1

DAB 1666 REPORT

Period: 10/1/04 - 10/31/04
(Sept & Oct)

<table border="1" style="width: 100%;"> <tr> <td style="text-align: center;">SUMMARY OF COSTS (Total)</td> <td>CONTRACTOR Cornell University</td> <td>CONTRACTOR NUMBER MOA 489 - (RC03 2003)</td> </tr> </table>		SUMMARY OF COSTS (Total)	CONTRACTOR Cornell University	CONTRACTOR NUMBER MOA 489 - (RC03 2003)	SCHEDULE REFERENCE	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
SUMMARY OF COSTS (Total)	CONTRACTOR Cornell University	CONTRACTOR NUMBER MOA 489 - (RC03 2003)								
A DIRECT COST OTHER THAN TRAINEE COST		Personnel								
		Fringe Benefits								
		Equipment Rental								
		Equipment Purchase								
		Consumable costs								
		Staff Travel								
		Consultant								
		Other								
		Direct Costs Total- other than Trainee		0	0.00	0.00	0.00			
B TRAINEE COST		Stipends								
		Tuition and Fees								
		Travel and Per Diem								
		Total Trainee Cost		0	0.00	0.00	0.00			
C TOTAL COST	Total Direct Cost (Total A + B)			0	0.00	0.00				
	Indirect Cost Rate 61.50%									
	Total Indirect Cost (DAB 1666 rate = 26%)		204,402	46,874.06	170,924.14	33,477.86				
	Grand Total Project Cost		204,402	46,874.06	170,924.14	33,477.86				

INSTRUCTIONS

Each voucher should be based upon 100% of the project expenditures for the time period claimed.

Voucher processing is closely correlated with the review of quarterly reports of training and administrative activities

Vouchers will be processed only if these reports are submitted as required

Project budgets may not be modified without prior approval of the Office of Human Resource Development.

EXHIBIT M



March 25, 1999

New York State
Office of
Children & Family
Services

Mr. Segrin Nair
Sr. Grant and Contract Officer
Office of Sponsored Programs
Cornell University, 120 Day Hall
Ithaca, New York 14853

George E. Pataki
Governor

John A. Johnson
Commissioner

Dear Mr. Nair:

This letter concerns the training and administrative services agreement(s) between your agency and this State agency (MOU0489). In accordance with the Federal decision discussed in my February 26, 1999 letter to you (copy enclosed) you must include a separate reporting of certain costs with each voucher submission. This new procedure is effective for all vouchers submitted on or after April 1, 1999.

Capital View Office Park

52 Washington Street
Rensselaer, NY 12144-2796

To accommodate this separate reporting, please include an additional form 3106, labeled "DEPARTMENT APPEALS BOARD NUMBER 1666 REPORTING" with each voucher you submit. The form should include indirect costs and/or applicable direct costs as specified in the enclosed letter. Vouchers lacking this separate reporting will be rejected.

If you have any questions regarding this subject, please call Jim Spoor of my staff at (518) 486-6380. Thank you in advance for your assistance and cooperation

Sincerely,

Stephanie O'Connell
Director
Bureau of Financial Operations

Enclosure

cc: Mel Rosenblat
Susan Costello
Peter Miraglia
Deb Hanor
Harry Ritter
Jim Spoor



An Equal Opportunity Employer

EXHIBIT N

**Final Report of the Child and Family
Services Review
of New York State**

January 2002

**U.S. Department of Health and
Human Services
Administration for Children and
Families**

Region II

- More emphasis on concurrent planning; cross training and common language training This was seen as especially needed across State agencies serving the same foster care/families/populations);
- Specific training for caseworkers on how to address the needs of older adolescents;
- Specific training for caseworkers and other staff on mental health issue because of an increase in the service population needs—both children and families.

Item 34. The State provides training for current or prospective foster parents, adoptive parents, and staff of State licensed or approved facilities that care for children receiving foster care or adoption assistance under title IV-E that addresses the skills and knowledge base needed to carry out their duties with regard to foster and adopted children.

X Strength ___ Area Needing Improvement

Basis: Statewide Assessment

The State agency sponsors the following major training programs:

- Model Approach to Partnerships in Parenting (MAPP) Upstate: This training provides a structured format through which local districts and voluntary agencies can prepare prospective foster/adoptive families and agencies to work as team members in permanency planning. The training is provided through a series of modules designed for differing audiences and purposes.
- Training for OCFS rehabilitative services facilities, accredited by the American Correctional Association. The training includes a 5 week, 200 hour residential program for new direct care workers.
- Independent Living training and technical assistance to staff and foster parents working with youth toward self sufficiency are provided through a network of four organizations around the State (SUC Buffalo, SUNY Stony Brook, South Bronx Human Development Organization, and SUNY Albany). They maintain a resource library and database for statewide use, conduct training

conferences in NYC, Buffalo and Albany; and conduct focus groups with child welfare staff, foster parents and youth from the community, voluntary agencies, and districts.

- Some agencies supplement foster parent training through the use of a professional development plan by using experienced foster parents to mentor new foster parents; or by establishing foster parent support groups.
- Therapeutic Crisis Intervention training is provided in four components to staff of child care institutions, especially for children with special needs.

In addition, focus groups in NYC identified a need for additional training for foster parents in the areas of concurrent planning and Family-to-Family to help them be more sensitive in the ways they talk with foster children about their birth parents. Focus groups in both Upstate and NYC were in agreement that the initial MAPP training is good and helps to achieve the goal of permanency, but expressed the opinion that it does not provide adequate preparation for parenting all the different types of children in foster care. They suggested that the therapeutic training programs provide an additional 18 hours, which helps.

Focus group members provided the following suggestions for improvements to training: (1) more information about the range of emotional, behavioral, and educational problems that may be exhibited by children in care; (2) better preparation for how decisions are made about children in care by the courts and/or local districts; (3) access to follow-up training and technical assistance for foster parents dealing with a particular child's needs. With regard to availability of training, foster parents stated that training sessions are well scheduled, but sessions are not always well attended because of transportation problems and limited child care, especially for children with special needs.

Upstate voluntary agency representatives felt that the training of staff in agencies is adequate, although they noted that additional training would be helpful in the areas of ASFA requirements and time frames. OCFS IAB Specialists felt that the training provided to staff of child care institutions emphasizes restraint training, which gives the wrong message. Agencies that are setting up specialized units or cottages such as "mental health" cottages are not always providing additional specialized training. Concern was expressed that training offerings may be excellent but staff of many facilities and agencies do not attend due to staffing shortages and use of "per diem" staffing.

Basis: On Site Review

There was an overwhelming response that the State's Model Approach to Partnerships in Parenting (MAPP) training was excellent for parents. This training effort was also supported by additional offerings through the Foster Parents Association (FPA) as indicated by the FPA and other stakeholders.

Although there was general approval of the training offered to foster parents, stakeholders identified specific ways in which training could be improved. These included the following:

- Training is needed that focuses on clarity of the roles of foster parents in order that they can be more effective;
- Training sessions should be planned and provided in a manner to accommodate foster parents' schedules;
- Training needs to emphasize the role of foster parents as partners with birth parents;
- Agencies need to provide transportation to ensure that foster parents are able to attend training, especially in rural areas; and
- Training focus that is strength-based since foster parents represent multi-faceted resources in the child welfare systems.

In addition some stakeholders noted that additional training in the area of cultural competence was necessary for families to be able to communicate effectively with the population of children who are now coming into care (e.g. Haitian children). Latino foster parents did indicate that training has been conducted in Spanish to accommodate those for whom English is their second language.

VIII. SERVICE ARRAY

Rating	Rating of Review Team Regarding Substantial Conformity	
	Not in Substantial Conformity	Substantial Conformity
1	2X	3
4		

EXHIBIT O

SEE INSTRUCTIONS ON REVERSE SIDE BEFORE COMPLETING - PLEASE DO NOT REMOVE CARBON

STATE
OF
NEW YORK

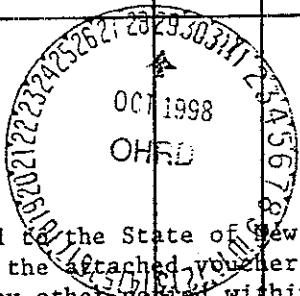
STANDARD VOUCHER

8431095

Voucher No. *

1 Originating Agency OCFS		Orig. Agency Code 25000		Interest Eligible (Y/N) N		2 P-Contract	
Payment Date (MM) (DD) (YY) 1 / 1		OSC Use Only		Liability Date (MM) (DD) (YY) 09/30/98			
3 Payee ID 15-6002250		Additional		Zip Code		Route	
4 Payee Name (Limit to 30 spaces) Cornell University		Payee Amount 100,000.00 68,868.34		MIR Date (MM) (DD) (YY) 10/29/98			
Payee Name (Limit to 30 spaces)		IRS Code		IRS Amount		Stat. Type	
Address (Limit to 30 spaces) PO Box 1354		Stat. Statistic		Indicator-Dept.		Indicator-Statewide	
Address (Limit to 30 spaces)		5 Ref/Inv. No. (Limit to 20 spaces) 323-S032 1 CPST1 98		Ref/Inv. Date (MM) (DD) (YY) 09 / 30 / 98			
City (Limit to 20 spaces) Albany		(Limit to 2 spaces) → State NY		Zip Code 12201		323-8632 2250 615	

6 Purchase Order No. and Date	Description of Material/Service <small>If items are too numerous to be incorporated into the block below, use Form AC 93 and carry total forward.</small>	Quantity	Unit	Price	Amount	
<p>10/21/98</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">COMPTROLLER'S BUREAU</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">98 NOV 22 AM 11:28</p>	TOTAL EXPENDITURES				105,155.02	
	LESS 25% STATE SHARE				102,168.03	
	LESS 5% ADMINISTRATIVE COST				26,288.76	
						(25,542.01)
						5,257.75
					(5,108.40)	
	<p>hereby certify that costs claimed to the State of New York Children and Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract or any other contract this organization has with the office for the same time period."</p> <p>Retroactive Adjustment for July 92 Voucher claim - Voucher # 8431074 delay due to lack of funding</p>				NET 71,517.62	
7 Payee Certification: I certify that the above bill is just, true and correct; that no part thereof has been paid except as stated and that the balance is actually due and owing, and that taxes from which the State is exempt are excluded.					Total	73,608.51
<p><i>Margaret Steers</i> Supervisor, Sponsored Funds Payee's Signature in Ink Title</p> <p>Cornell University Name of Company</p> <p>10/26/98 Date</p>					Discount	%
					Net	73,608.51



FOR AGENCY USE ONLY

STATE COMPTROLLER'S PRE-AUDIT

Merchandise Received 10/29/98 Date	I certify that this voucher is correct and just, and payment is approved, and the goods or services rendered or furnished are used in the performance of the official functions and duties of this agency.	Verified	Certified For Payment of Net Amount
Page No. 10 By	Authorized Signature	Audited	By
Date	Title	Special Approval (as Required)	

Expenditure					Liquidation				
Cost Center Code		Object	Accum		Amount	Orig Agency	PO/Contract	Line	F/P
Dept.	Cost Center Unit		Dept.	Statewide					
				12X					

N

VOUCHER #: 8431095PERIOD OF CLAIM: Sep-98

SUMMARY OF COSTS DSS-3106		CONTRACTOR: CORNELL UNIVERSITY CPS		CONTRACT #: C021069 CPS TERM: JAN-DEC 98	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$430,038.00	\$34,751.85	\$271,141.84	\$158,896.16
	FRINGE BENEFITS	\$146,729.00	\$10,018.97	\$87,525.11	\$59,203.89
	EQUIPMENT (RENTAL)	\$20,425.00	\$612.05	\$4,223.95	\$16,201.05
	EQUIPMENT (PURCHASED)	\$27,000.00	\$0.00	\$10,733.00	\$16,267.00
	CONSUMABLE	\$23,094.00	\$1,818.94	\$5,388.28	\$17,705.72
	STAFF TRAVEL	\$64,826.00	\$1,462.57	\$19,652.30	\$45,173.70
	CONSULTANT	\$48,100.00	\$0.00	\$0.00	\$48,100.00
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$229,833.00	\$7,748.15	\$68,015.18	\$161,817.82
	TOTAL DIRECT COST	\$990,045.00	\$56,412.53	\$466,679.66	\$523,365.34
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$277,935.00	\$7,823.89	\$171,378.04	\$106,556.96
	TOTAL TRAINEE COST	\$277,935.00	\$7,823.89	\$171,378.04	\$106,556.96
C.	TOTAL DIRECT COST (A&B)	\$1,267,440.00	\$64,236.42	\$638,057.70	\$629,922.30
	TOTAL INDIRECT COST RATE =	\$762,548.00	\$37,931.61	\$389,257.97	\$373,290.03
	TOTAL PROJECT COST	\$2,029,988.00	\$102,168.03	\$1,027,315.67	\$1,002,672.33

LESS STATE SHARE	\$25,542.01
LESS ADMINISTRATIVE SHARE	\$5,108.40
TOTAL REIMBURSABLE THIS VOUCHER	\$71,517.62

SEE INSTRUCTIONS ON REVERSE SIDE BEFORE COMPLETING

AC 92 (Rev. 6/94)

STATE OF NEW YORK

STANDARD VOUCHER

Voucher No.

9442656

1 Originating Agency <i>NY SOL FS</i>		Orig. Agency Code <i>25000</i>		Interest Eligible (Y/N) <i>N</i>		2 P-Contract	
Payment Date (MM) (DD) (YY) <i>01 01 00</i>		OSC Use Only		Liability Date (MM) (DD) (YY) <i>11/30/99</i>			
3 Payee ID <i>17600750</i> 18 0000000		Additional		Zip Code		Route	
4 Payee Name (Limit to 30 spaces) <i>Cornell University</i>		Payee Amount <i>147,486.22</i>		MIR Date (MM) (DD) (YY) <i>12 25 99</i>		IRS Code	
Payee Name (Limit to 30 spaces)		Stat. Type		Statistic		Indicator-Dept.	
Address (Limit to 30 spaces) <i>FC Box 1354</i>		5 Ref/Inv. No. (Limit to 20 spaces) <i>323-5034 02571 99</i>		Ref/Inv. Date (MM) (DD) (YY) <i>11 30 99</i>		Indicator-Statewide	
Address (Limit to 30 spaces)		City (Limit to 20 spaces) <i>Albany</i>		(Limit to 2 spaces) → State <i>NY</i>		Zip Code <i>12201</i>	
City (Limit to 20 spaces)		323 - 8534		5033		2250 615	

6 Purchase Order No. and Date	Description of Material/Service <small>If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.</small>	Quantity	Unit	Price	Amount
<i>21417</i>	Total Expenditures:				210,694.00
	Less 25% State Share:				52,673.65
	Less 5% Admin. Cost:				10,534.73
<p>"I hereby certify that costs claimed to the State of New York Office of Children and Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract or any other contract this organization has with the Office for the same time period."</p>					
Total					147,486.22
Discount					
Net					147,486.22

Virginia Sierra
1-10-99

Virginia Sierra, Supervisor
Sponsored Funds Accounting
Cornell University

12/99
3100 2170
Thomas Puccardi
MAR 13 2000

Expenditure						Liquidation					
Cost Center Code				Object	Accum		Amount	Orig. Agency	PO Contract	Line	FP
Dept.	Cost Center Unit	Var	Yr		Dept.	Statewide					
<i>25</i>	<i>520000</i>			<i>99 55953 21X</i>			<i>147486.22</i>	<i>25000</i>	<i>6021217</i>	<i>011</i>	<i>P</i>

DEPARTMENT

C021217-Cornell CPS

n

VOUCHER #: 8

PERIOD OF CLAIM: Nov-99

SUMMARY OF COSTS DSS-3106		CONTRACTOR: Cornell University CPS Training Project		CONTRACT #: C021217 TERM: Jan 99 - Dec 99	
A	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$464,561.00	\$39,760.83	\$393,672.41	\$70,888.59
	FRINGE BENEFITS	\$133,933.00	\$12,390.16	\$117,444.39	\$16,488.61
	EQUIPMENT (RENTAL)	\$20,200.00	\$913.27	\$3,409.47	\$16,790.53
	EQUIPMENT (PURCHASED)	\$14,200.00	\$0.00	\$13,946.90	\$253.10
	CONSUMABLE	\$20,669.00	\$1,149.53	\$15,645.30	\$5,023.70
	STAFF TRAVEL	\$77,171.00	\$4,196.20	\$44,466.63	\$32,704.37
	CONSULTANT	\$41,440.00	\$16,913.04	\$34,238.70	\$7,201.30
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$202,426.00	\$12,769.59	\$84,148.48	\$118,277.52
	TOTAL DIRECT COST	\$974,600.00	\$88,092.62	\$706,972.28	\$267,627.72
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$299,768.00	\$44,378.05	\$209,174.94	\$90,593.06
	TOTAL TRAINEE COST	\$299,768.00	\$44,378.05	\$209,174.94	\$90,593.06
C.	TOTAL DIRECT COST (A&B)	\$1,274,368.00	\$132,470.67	\$916,147.22	\$358,220.78
	TOTAL INDIRECT COST RATE =	\$745,310.00	\$78,223.93	\$532,749.29	\$212,560.71
	TOTAL PROJECT COST	\$2,019,678.00	\$210,694.60	\$1,448,896.51	\$570,781.49

LESS STATE SHARE \$52,673.65

LESS ADMINISTRATIVE SHARE \$10,534.73

TOTAL REIMBURSABLE THIS VOUCHER \$147,486.22

70% Reimb Rate

SEE INSTRUCTIONS ON REVERSE SIDE BEFORE COMPLETING

AC 92 (Rev. 6-94)

STATE OF NEW YORK

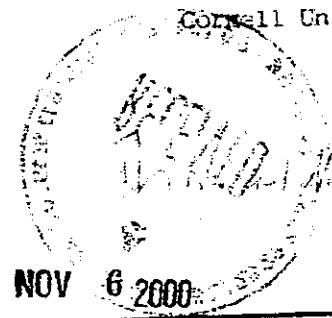
STANDARD VOUCHER

Voucher No. **0427893**

1 Originating Agency New York State Office of Children & Family Service		Orig Agency Code 2700		Interest Eligible (Y/N) N		2 P-Contract	
Payment Date (MM) (DD) (YY) 11/30/00		OSC Use Only		Liability Date (MM) (DD) (YY) 09/30/00			
3 Payee ID 1107750 15-952082		Additional		Route		Payee Amount 76,339.97	
4 Payee Name (Limit to 30 spaces) Cornell University		Payee Name (Limit to 30 spaces)		MIR Date (MM) (DD) (YY) 10/24/00			
Address (Limit to 30 spaces) PO Box 1354		Address (Limit to 30 spaces)		5 Ref/Inv No. (Limit to 20 spaces) 322 8027			
City (Limit to 20 spaces) Albany		(Limit to 2 spaces) → State NY Zip Code 12201		Ref/Inv. Date (MM) (DD) (YY) 09/30/00			
				323-8536		S037 2350 615	

6 Purchase Order No and Date	Description of Material/Service If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.	Quantity	Unit	Price	Amount
	Total Expenditures				109,057. 10
	Less 25% State Share				27,264. 28
	Less 5% Admin. Cost				5,452. 86
<p>I hereby certify that costs claimed to the State of New York Office of Children & Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract or any other contract this organization has with the Office for the same time period.</p>					
Total					76,339. 97
Discount %					
Net					76,339. 97

Virginia Sierra, Supervisor
Sponsored Funds Accounting
Cornell University



10/11/00
IB
5/11/00

Expenditure						Liquidation					
Cost Center Code				Object	Accum		Amount	Orig. Agency	PO/Contract	Line	F/P
Dept.	Cost Center Unit	Var	Yr		Dept.	Statewide					
25	536000			PSCHDZ000			76,339.97	2700	1107240	107	9

AGENCY

VOUCHER #: 427893PERIOD OF CLAIM: Sep-00

SUMMARY OF COSTS OCFS-3106		CONTRACTOR: Cornell University Child Protective Services		CONTRACT #: C021840 TERM: Jan 00 - Dec 00	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$501,201.00	\$38,199.63	\$330,939.45	\$170,261.55
	FRINGE BENEFITS	\$156,877.00	\$12,571.34	\$105,028.96	\$51,848.04
	EQUIPMENT (RENTAL)	\$21,025.00	\$270.00	\$4,189.96	\$16,835.04
	EQUIPMENT (PURCHASED)	\$14,200.00	\$0.00	\$7,098.00	\$7,102.00
	CONSUMABLE	\$22,796.00	\$2,326.72	\$12,270.11	\$10,525.89
	STAFF TRAVEL	\$90,029.00	\$2,034.99	\$37,267.76	\$52,761.24
	CONSULTANT	\$32,200.00	\$0.00	\$0.00	\$32,200.00
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$283,087.00	\$9,194.75	\$86,950.18	\$196,136.82
	TOTAL DIRECT COST	\$1,121,415.00	\$64,597.43	\$583,744.42	\$537,670.58
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$292,620.00	\$2,721.77	\$142,242.79	\$150,377.21
	TOTAL TRAINEE COST	\$292,620.00	\$2,721.77	\$142,242.79	\$150,377.21
C.	TOTAL DIRECT COST (A&B)	\$1,414,035.00	\$67,319.20	\$725,987.21	\$688,047.79
	TOTAL INDIRECT COST RATE =	\$866,036.00	\$41,737.90	\$445,711.31	\$420,324.69
	TOTAL PROJECT COST	\$2,280,071.00	\$109,057.10	\$1,171,698.52	\$1,108,372.48

LESS STATE SHARE \$27,264.28
 LESS ADMINISTRATIVE SHARE \$5,452.86

TOTAL REIMBURSABLE THIS VOUCHER \$76,339.97
 75% Reimb. Rate

SEE INSTRUCTIONS ON REVERSE SIDE BEFORE COMPLETING

AC 92 (Rev. 6/94)

STATE OF NEW YORK

STANDARD VOUCHER

Voucher No. **1426729**

1. Originating Agency New York State Office of Children & Family Service		Orig Agency Code 25000	Interest Eligible (Y/N) AS/MS	2. P-Contract	
Payment Date (MM) (DD) (YY) 03/13/02 09/27/01		OSC Use Only	Liability Date 7/31/01		
3. Payee ID 15-0532082	Additional	Zip Code	Route	Payee Amount 664,302.42	MIR Date (MM) (DD) (YY) 8/28/01
4. Payee Name (Limit to 30 spaces) Cornell University			IRS Code	IRS Amount 03/06/02	
Payee Name (Limit to 30 spaces)			Stat. Type S	Statistic	Indicator-Dept
Address (Limit to 30 spaces) PO Box 1354			5. Ref/Inv. No. (Limit to 20 spaces) 323-S021 C022508		
Address (Limit to 30 spaces)			Ret/Inv. Date (MM) (DD) (YY) 07/31/01		
City (Limit to 20 spaces) Albany		(Limit to 2 spaces) →	State NY	Zip Code 12201	
			323-8638	S021	2250 615

6. Purchase Order No. and Date	Description of Material/Service <small>If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.</small>	Quantity	Unit	Price	Amount
C022508	Total Expenditures: C022508				949,003.46
	Less 25% State Share				237,250.87
	Less 5% Admin. Cost				47,450.17
	I hereby certify that costs claimed to the State of New York Office of Children & Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract or any other contract this organization has with the Office for the same time period.				
	MIR DATE BASED ON SFL179FR(d)				
				Total	664,302.42
				Discount %	
				Net	664,302.42

Virginia Sierra
Virginia Sierra, Supervisor
Sponsored Funds Accounting
Cornell University

8/28/01
3/402 KB
8/28/01
Jessie K...
3/302
S. Platt

Expenditure						Liquidation					
Cost Center Code				Object	Accum		Amount	Orig Agency	PD/Contract	Line	F/P
Dept.	Cost Center Unit	Var	Yr		Dept.	Statewide					
25	520000		01	56402	T17		664,302.42	25000	C022508	132	P

AGENCY

C022508

N

VOUCHER #:

1

PERIOD OF CLAIM: 1/01-7/31

SUMMARY OF COSTS DSS-3106		CONTRACTOR: CORNELL UNIVERSITY CPSTI		CONTRACT #: C022508 TERM: 1/1/01-12/31/01	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$657,663.00	\$236,187.28	\$236,187.28	\$421,475.72
	FRINGE BENEFITS	\$216,437.00	\$76,095.58	\$76,095.58	\$140,341.42
	EQUIPMENT (RENTAL)	\$37,875.00	\$0.00	\$0.00	\$37,875.00
	EQUIPMENT (PURCHASED)	\$14,200.00	\$6,983.00	\$6,983.00	\$7,217.00
	CONSUMABLE	\$22,979.00	\$11,494.26	\$11,494.26	\$11,484.74
	STAFF TRAVEL	\$127,886.00	\$37,425.05	\$37,425.05	\$90,460.95
	CONSULTANT	\$42,300.00	\$0.00	\$0.00	\$42,300.00
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$345,202.00	\$125,746.76	\$125,746.76	\$219,455.24
	TOTAL DIRECT COST	\$1,464,542.00	\$493,931.93	\$493,931.93	\$970,610.07
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$334,998.00	\$94,545.18	\$94,545.18	\$240,452.82
	TOTAL TRAINEE COST	\$334,998.00	\$94,545.18	\$94,545.18	\$240,452.82
C.	TOTAL DIRECT COST (A&B)	\$1,799,540.00	\$588,477.11	\$588,477.11	\$1,211,062.89
	TOTAL INDIRECT COST RATE =	\$1,115,780.00	\$360,526.35	\$360,526.35	\$755,253.65
	TOTAL PROJECT COST	\$2,915,320.00	\$949,003.46	\$949,003.46	\$1,966,316.54

LESS STATE SHARE \$237,250.87

LESS ADMINISTRATIVE SHARE \$47,450.17

TOTAL REIMBURSABLE THIS VOUCHER \$664,302.42

SEE INSTRUCTIONS ON REVERSE SIDE BEFORE COMPLETING

AC 92 (Rev 5/94)

STATE OF NEW YORK

STANDARD VOUCHER

04216

OSC #1020 2/25/0

Voucher No. 4427518

1 Originating Agency NYS Office of Children and Family Services		Orig. Agency Code ces 2500		Interest Eligible (Y/N) N		2 P-Contract	
Payment Date (MM) (DD) (YY) 02/07/03			OSC Use Only		Liability Date (MM) (DD) (YY) 11/30/02		
3 Payee ID 15-6002250		Additional	Zip Code	Route	Payee Amount \$44,424.79		MIR Date (MM) (DD) (YY) 11/08/03
4 Payee Name (Limit to 30 spaces) Cornell University Statutory				IRS Code		IRS Amount	
Payee Name (Limit to 30 spaces) Div. of Financial Affairs				Stat Type	Statistic	Indicator-Dept.	Indicator-Statewide
Address (Limit to 30 spaces) 341 Pine Tree Rd.				5 Ref/Inv. No (Limit to 20 spaces) 323-S011 R003 C023013			
Address (Limit to 30 spaces) P.O. Box 1354				Ref/Inv. Date (MM) (DD) (YY) 11/30/02			
City (Limit to 20 spaces) Ithaca ALBANY		(Limit to 2 spaces) →	State NY	Zip Code 14850-2820	323-8630	2250	615

6 Purchase Order No. and Date	Description of Material/Service If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.	Quantity	Unit	Price	Amount
C023013	Total Expenditures				63,463. 99
	Less: 25% State Share				15,866. 00
	Less: 5% Admin. Cost				3,173. 20
<p>I hereby certify that costs claimed to the NYS Office of Children and Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract or for any other contract this organization has with the Office for the same time period.</p>					

Virginia Sierra

Virginia Sierra, Supervisor
Sponsored Funds Accounting
Cornell University

Total	44,424.	79
Discount %		
Net	44,424.	79

1/8/03
NB
7/8/03

Joseph M. ...
2/12/03

Expenditure							Liquidation				
Cost Center Code				Object	Accum		Amount	Orig. Agency	PO/Contract	Line	F/P
Dept.	Cost Center Unit	Var	Yr		Dept.	Statewide					
25	220070			56402 TMS			+ 3277.67	25000	C023013	011	P
25	320010			01 56402 TMS			+ 7409.63	25000	C023013	012	P

DEPARTMENT

n

VOUCHER #: 2427518
 OSC PAYMENT DATE: _____ OSC JV # _____
 PERIOD OF CLAIM: Nov-02

SUMMARY OF COSTS DSS-3106		CONTRACTOR: CORNELL UNIV. RC03		CONTRACT #: C023013 TERM: 1/1/02-12/31/02	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$231,613.00	\$12,836.01	\$231,436.45	\$176.55
	FRINGE BENEFITS	\$77,705.00	\$4,677.43	\$75,775.80	\$1,929.20
	EQUIPMENT (RENTAL)	\$15,600.00	\$0.00	\$10,653.86	\$4,946.14
	EQUIPMENT (PURCHASED)	\$5,740.00	\$595.00	\$2,027.50	\$3,712.50
	CONSUMABLE	\$7,354.00	\$892.56	\$5,423.83	\$1,930.17
	STAFF TRAVEL	\$51,407.00	\$4,573.08	\$56,547.70	(\$5,140.70)
	CONSULTANT	\$8,000.00	\$0.00	\$0.00	\$8,000.00
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$120,949.00	\$9,090.89	\$109,635.57	\$11,313.43
	TOTAL DIRECT COST	\$518,368.00	\$32,664.97	\$491,500.71	\$26,867.29
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$102,248.00	\$6,631.62	\$27,042.39	\$75,205.61
	TOTAL TRAINEE COST	\$102,248.00	\$6,631.62	\$27,042.39	\$75,205.61
C.	TOTAL DIRECT COST (A&B)	\$620,616.00	\$39,296.59	\$518,543.10	\$102,072.90
	TOTAL INDIRECT COST RATE =	\$379,378.00	\$24,167.40	\$318,023.02	\$61,354.98
	TOTAL PROJECT COST	\$999,994.00	\$63,463.99	\$836,566.12	\$163,427.88

LESS STATE SHARE \$15,866.00
 LESS ADMINISTRATIVE SHARE \$3,173.20
 TOTAL REIMBURSABLE THIS VOUCHER \$44,424.79

STATE OF NEW YORK

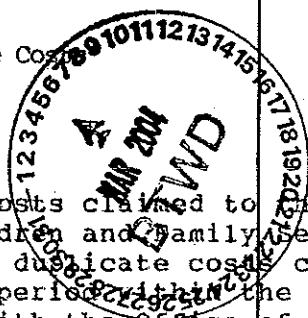
STANDARD VOUCHER

Voucher No: 5721808
 11 - Not Final

OSCE No 604/04

1 Originating Agency Office of Children and Family Services		Orig Agency Code 25000		Interest Eligible (Y/N) N		2 P-Contract	
Payment Date (MM) (DD) (YY) 03/31/04		OSC Use Only		Liability Date (MM) (DD) (YY) 12/31/03			
3 Payee ID 15-6002250		Additional		Payee Amount 92246.27		MIR Date (MM) (DD) (YY) 03/05/04	
4 Payee Name (Limit to 30 spaces) Cornell University - Statutory				IRS Code		IRS Amount	
Payee Name (Limit to 30 spaces)				Stat. Type		Indicator-Dept.	
Address (Limit to 30 spaces) Division of Financial Affairs				5 Ref/Inv. No. (Limit to 20 spaces) 323-S012 C023295			
Address (Limit to 30 spaces) 341 Pine Tree Rd				Ref/Inv. Date (MM) (DD) (YY) 03/02/04			
City (Limit to 20 spaces) Ithaca		(Limit to 2 spaces) → NY		Zip Code 14850-2820			

6 Purchase Order No and Date	Description of Material/Service If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.	Quantity	Unit	Price	Amount
C023295	Total Expenditures				131,780.38
	Less: 25% State Share				-32,945.10
	Less: 5% Administrative Cost				-6,589.02
<p>I hereby certify that costs claimed to the State of New York Office of Children and Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract this organization has with the office of the same time period.</p>					
Total					92,246.27
Discount %					
Net					92,246.27



Virginia Sierra
 03/02/04

Virginia Sierra, Supervisor
 Sponsored Funds Accounting
 Cornell University

3/5/04
3/24/04
CONTRACT MANAGEMENT SPECIALIST

Expenditure					Liquidation						
Dept.	Cost Center Code			Object	Accum		Amount	Orig Agency	PO/Contract	Line	F/P
	Cost Center Unit	Var	Yr		Dept.	Statewide					
25	3200	10		03 56402	TX2		+ 604577	25000	C023295	001	P
25	3200	36		03 56402	TX2		+ 1118193	25000	C023295	002	P
25	520000			03 56402	TX2		+ 7501857	25000	C023295	003	P

DEPARTMENT

n

VOUCHER #: 3421808
 OSC PAYMENT DATE _____ OSC JV # _____
 PERIOD OF CLAIM: Dec-03

SUMMARY OF COSTS DSS-3106		CONTRACTOR: CORNELL UNIV RC03		CONTRACT #: C023295 TERM: 1/1/03-12/31/03	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$295,295.00	\$19,736.78	\$286,220.94	\$9,074.06
	FRINGE BENEFITS	\$107,605.00	\$7,456.35	\$107,179.54	\$425.46
	EQUIPMENT (RENTAL)	\$16,500.00	\$910.00	\$10,525.00	\$5,975.00
	EQUIPMENT (PURCHASED)	\$5,900.00	\$0.00	\$0.00	\$5,900.00
	CONSUMABLE	\$10,010.00	\$0.00	\$9,588.84	\$421.16
	STAFF TRAVEL	\$107,138.00	\$4,683.15	\$77,053.54	\$30,084.46
	CONSULTANT	\$35,000.00	\$0.00	\$7,102.69	\$27,897.31
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$125,771.00	\$46,320.67	\$133,965.19	(\$8,194.19)
	TOTAL DIRECT COST	\$703,219.00	\$79,106.95	\$631,635.74	\$71,583.26
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$71,783.00	\$8,009.88	\$72,011.30	(\$228.30)
	TOTAL TRAINEE COST	\$71,783.00	\$8,009.88	\$72,011.30	(\$228.30)
C.	TOTAL DIRECT COST (A&B)	\$775,002.00	\$87,116.83	\$703,647.04	\$71,354.96
	TOTAL INDIRECT COST RATE =	\$474,998.00	\$44,663.55	\$423,829.63	\$51,168.37
	TOTAL PROJECT COST	\$1,250,000.00	\$131,780.38	\$1,127,476.67	\$122,523.33

LESS STATE SHARE \$32,945.10
 LESS ADMINISTRATIVE SHARE \$6,589.02
 TOTAL REIMBURSABLE THIS VOUCHER \$92,246.27

5417560

STATE OF NEW YORK

STANDARD VOUCHER

Voucher No. **5421007**
 Final
 P-Contract **CO23766**

OSC PROCD 6/14/05

1 Originating Agency NYS Children and Family Services		Orig. Agency Code 25000	Interest Eligible (Y/N) N	2 P-Contract CO23766	
Payment Date (MM) (DD) (YY) 06/10/05		OSC Use Only		Liability Date (MM) (DD) (YY) 12/31/04	
3 Payee ID 15-0532082	Additional	Zip Code	Route	Payee Amount \$72,464.93	MIR Date (MM) (DD) (YY) 05/12/05
4 Payee Name (Limit to 30 spaces) Cornell University Statutory			IRS Code	IRS Amount	
Payee Name (Limit to 30 spaces) Division of Financial Affairs			Stat. Type	Statistic	Indicator-Dept
Address (Limit to 30 spaces) 341 Pine Tree Rd			5 Ref/Inv. No. (Limit to 20 spaces) CO23766 323-8636 7 Final		
Address (Limit to 30 spaces)			Ref/Inv. Date (MM) (DD) (YY) 05 03 / 05		
City (Limit to 20 spaces) Ithaca	(Limit to 2 spaces) →	State NY	Zip Code 14850-2820	323-8636-S013	

6 Purchase Order No and Date	Description of Material/Service If items are too numerous to be incorporated into the block below use Form AC 93 and carry total forward.	Quantity	Unit	Price	Amount
CO23766 12/1/04 to 12/31/04	Total Expenditures Less: 25% Cost Share Less: 5% Administrative Costs				103,521.33 (25,880.33) (5,176.07)
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">MIS OCS CONTRACT BUREAU</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">2005 MAY 13 AM 8:04</p> <p>I hereby certify that costs claimed to the State of New York Office of Children and Family Services on the attached voucher do not duplicate costs claimed on vouchers for any other period within the contract this organization has with the Office of the same time period.</p>					

7 Payee Certification: I certify that the above bill is just, true and correct; that no part thereof has been paid except as stated and that the balance is actually due and owing, and that taxes from which the State is exempt are excluded		Total	72,464.93
<p>→ <u>Virginia Sierra</u> Payee's Signature in Ink</p> <p>MAY 03 2005 Date</p>		Discount %	
<p>Virginia Sierra, Supervisor Sponsored Funds Accounting Cornell University</p> <p>Name of Company</p>		Net	72,464.93

FOR AGENCY USE ONLY				STATE COMPTROLLER'S PRE-AUDIT			
Merchandise Received KB		I certify that this voucher is correct and just, and payment is approved, and the goods or services rendered or furnished are for use in the performance of the official functions and duties of this agency		Certified For Payment of Net Amount		Verified	
Date 5/12/05		Authorized Signature		Audited		Special Approval (as Required)	
Page No. 5/1/05		Date		By		Title	

Expenditure						Liquidation				
Dept.	Cost Center Code		Object	Accum		Amount	Orig Agency	PO/Contract	Line	F/P
	Cost Center Unit	Var		Yr	Dept.					
25	320010		04 5640	X63		5798.88	25000	CO23766	001	P
25	520000		04 5640	X63		64767.67	25000	CO23766	002	P
25	520084		02 5640	X63		2598.38	25000	CO23766	005	P

OSC

Check if Continuation form is attached

PER APPROVED BUDGET MODIFICATION DATED 3/22/05

n

OSC PAYMENT DATE

VOUCHER #: 5421007

OSC JV #

PERIOD OF CLAIM: Dec-04


SUMMARY OF COSTS DSS-3106		CONTRACTOR CORNELL UNIV. RC03		CONTRACT #: C023766 TERM: 1/01/04-12/31/04	
A.	BUDGET CATEGORY	APPROVED BUDGET	COSTS THIS PERIOD	COSTS TO DATE	BALANCE
	PERSONNEL	\$377,730.00	\$33,523.84	\$379,288.92	(\$1,558.92)
	FRINGE BENEFITS	\$152,390.00	\$12,965.91	\$152,718.35	(\$328.35)
	EQUIPMENT (RENTAL)	\$12,891.00	\$3,330.00	\$8,861.50	\$4,029.50
	EQUIPMENT (PURCHASED)	\$0.00	\$0.00	\$4,030.00	(\$4,030.00)
	CONSUMABLE	\$11,430.00	\$3,477.60	\$11,430.60	(\$0.60)
	STAFF TRAVEL	\$60,973.00	\$3,505.80	\$60,972.69	\$0.31
	CONSULTANT	\$17,086.00	\$0.00	\$17,085.75	\$0.25
	SUBCONTRACT > \$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00
	OTHER	\$81,966.00	-\$20,973.69	\$79,819.72	\$2,146.28
	TOTAL DIRECT COST	\$714,466.00	\$35,829.46	\$714,207.53	\$258.47
B.	STIPENDS	\$0.00	\$0.00	\$0.00	\$0.00
	TUITION AND FEES	\$0.00	\$0.00	\$0.00	\$0.00
	TRAVEL & PER DIEM	\$71,698.00	\$29,278.30	\$71,698.58	(\$0.58)
	TOTAL TRAINEE COST	\$71,698.00	\$29,278.30	\$71,698.58	(\$0.58)
C.	TOTAL DIRECT COST (A&B)	\$786,164.00	\$65,107.76	\$785,906.11	\$257.89
	TOTAL INDIRECT COST RATE =	\$463,836.00	\$38,413.58	\$463,684.60	\$151.40
	TOTAL PROJECT COST	\$1,250,000.00	\$103,521.34	\$1,249,590.71	\$409.29

LESS STATE SHARE \$25,880.33
 LESS ADMINISTRATIVE SHARE \$5,176.07
 TOTAL REIMBURSABLE THIS VOUCHER \$72,464.94

EXHIBIT P

CERTIFICATION

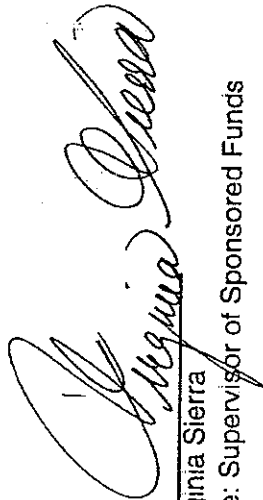
The undersigned certifies that all costs billed and reported are in accordance with all federal and state laws and regulations as applicable, including, but not limited to A-133, A-21, and A-110, state finance law, etc.


Virginia Sierra
Title: Supervisor of Sponsored Funds

contract number: C021840
323-8636

CERTIFICATION

The undersigned certifies that all costs billed and reported are in accordance with all federal and state laws and regulations as applicable, including, but not limited to A-133 A-21, and A-110, state finance law, etc.


Virginia Sierra
Title: Supervisor of Sponsored Funds

contract number: C022508
323-8638

CERTIFICATION

The undersigned certifies that all costs billed and reported are in accordance with all federal and state laws and regulations as applicable, including, but not limited to A-133 A-21, and A-110, state finance law, etc.

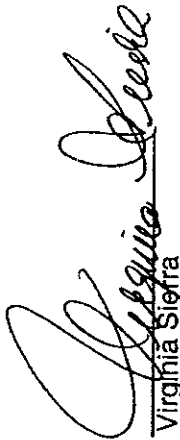

Virginia Sierra

Title: Supervisor of Sponsored Funds

contract number: C023013
323-8630

CERTIFICATION

The undersigned certifies that all costs billed and reported are in accordance with all federal and state laws and regulations as applicable, including, but not limited to A-133, A-21, and A-110, state finance law, etc.


Virginia Sierra

Title: Supervisor of Sponsored Funds

contract number: C023295
323-8635

CERTIFICATION

The undersigned certifies that all costs billed and reported are in accordance with all federal and state laws and regulations as applicable, including, but not limited to A-133 A-21, and A-110, state finance law, etc.



Virginia Sierra

Title: Supervisor of Sponsored Funds

contract number: C023295
323-8635

EXHIBIT Q

Appendix A3

Rev.04/28/03

Federal Assurances and Certifications

Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the Office of Family and Children Services.

As the duly authorized representative of the applicant, I assert that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and Executive Order Number 11246 as amended by E.O. 11375 relating to Equal Employment Opportunity, which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
13. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
14. This contract is funded in whole or part with federal funds under the CDFA No(s) shown on the first page of Appendix C or Appendix X for renewals. OCFS is a pass-through entity of these federal funds. As a recipient of these federal funds, the Contractor may be determined, as shown on the first page of Appendix C or Appendix X for renewals, to be a sub-recipient of federal assistance. Sub-

recipients of federal funds have the responsibility of reporting to OCFS in addition to the sub-recipient's responsibility to file reports with the federal clearinghouse designated by Office of Management and Budget (OMB). If this contract will require the Contractor to expend \$300,000 or more of federal funds from this contract or in total with other contracts or grants of federal funds or assistance in the Contractor's fiscal year, regardless of the source of the funding, the Contractor is required to comply with the terms and provisions of the OMB Circular A-133. The Contractor will notify OCFS if it reasonably expects to expend the sum of \$300,000 of federally derived funds, in its fiscal year, as soon as it has notice of awards, grants or contracts totaling \$300,000 in federal funds but in no event later than the close of the calendar year. The Contractor will have an audit performed pursuant to the requirements of OMB Circular A-133 and provide OCFS with the required reports within 30 days of the Contractor's receipt of the independent audit report or within 9 months after the close of the Contractor's fiscal year, whichever event is sooner.

15. Certifies that Public Law 103-227, Part C - Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act. The contractor/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions of children's services and all subgrantees shall certify accordingly.

16A. 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below. 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act. 3. For grantees other than individuals, Alternate I applies. For grantees who are individuals, Alternate II applies. 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplace(s) at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements. 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or sites where work under the grant takes place. Categorical descriptions may be used (e.g. all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios). 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five). 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules: Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15); Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes; Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance; Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g. volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

16B. Alternate I (Grantees Other Than Individuals). 1. The grantee certifies that the applicant will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by: (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition; (b) Establishing an ongoing drug-free awareness program to inform employees about: (1) The dangers of drug abuse in the workplace; (2) The grantee's policy of maintaining a drug-free workplace; (3) Any available drug counseling, rehabilitation, and employee assistance programs; and (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace; (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a) above; (d) Notifying the employee in the statement required by paragraph (a) above, that, as a condition of employment under the grant, the employee will-(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for violation of a criminal drug status occurring in the workplace no later than five calendar days after such conviction; (e) Notify the agency in writing within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant; (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended, or (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or

rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f). For purposes of paragraph (e) regarding agency notification of criminal drug convictions, the DHHS has designated the following central point for receipt of such notices: Division of Grants Policy and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, S.W., Washington, D.C., 20201

16C. Alternate II (Grantees Who Are Individuals). 1. The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; 2. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

17. Certifies that Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (non-appropriated) funds. The requirements apply to grants and cooperative agreements EXCEEDING \$100,000 in total costs (45 CFR Part 93). The undersigned (authorized official signing for the applicant organization) certifies, to the best of his or her knowledge and belief that: (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement. (2) If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.) (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

18A1. Agrees that, a) By signing and submitting this proposal, the prospective primary applicant is providing the certification set out below. b) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction. c) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default. d) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances. e) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the Office of Children and Family Services for assistance in obtaining a copy of those regulations. f) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4 debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction. g) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction" provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. h) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4 debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs. i) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings. j) Except for transactions authorized under

paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

18A2. (1) Certifies to the best of its knowledge and belief, that the applicant and its principals: a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency; b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph 19A. 2. (1) b) of this certification; and d) Have not within a three-year period preceding this application/proposal had on or more public transactions (Federal, State, or local) terminated for cause or default. (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

18B.1 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions Instructions for Certification. a) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below. b) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment. c) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances. d) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. e) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated. f) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. g) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs. h) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings. i) Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment. 18B.2 a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

19. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

Appendix A3

Rev. 04/28/03

Federal Assurances and Certifications

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL: *Gregory L. Jones* 12/18/03
TITLE: *Sr. Grant & Contract Officer*
APPLICANT ORGANIZATION: *Cornell University*