



NYSED FISCAL AND REPORTING REQUIREMENTS AND PROCESS COMMUNITY SCHOOLS GRANT INITIATIVE

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OBJECTIVES

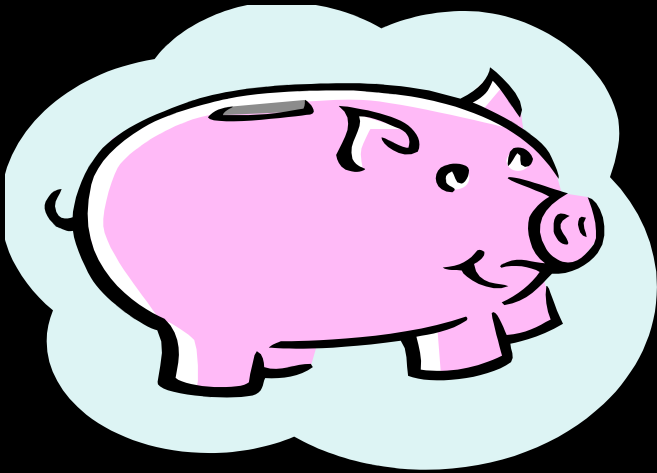
By the end of this presentation, participants will:

- Have a basic understanding of State requirements for the Community Schools Grant Initiative (CSGI)
- Know how to access various reports and resources



CSGI STATE FUNDING THROUGH THE GOVERNOR'S INITIATIVE

Two mechanisms for awarding \$30 million in funding:



- **Grants (37)** – School Districts
- **Grant Contracts (25)** – Community Based Organizations, and Colleges/Universities

WHO DEALS WITH CSGI DOLLARS?

NYSED Program Offices:

Student Support Services Administration of:

- **Community Schools Grant Initiative (62 grantees)**
- **21st Century Community Learning Centers (129 grantees)**
- **Extended Day/School Violence Prevention Program (104 grantees)**

Grants Management

- **Initial review of budgets and amendments**

WHO DEALS WITH CSGI DOLLARS?

NYSED Fiscal Offices:

Grants Finance:

- **Process grant budgets, amendments and final expenditure reports**
- **Issue timely and accurate payments**
- **Fiscally related questions**
- **Oversee fiscal accountability in compliance with State and Federal Statute**

Contract Administration Unit

- **Request for proposals**
- **Formal grant contracts**

WHO DEALS WITH CSGI DOLLARS?

Office of the State Comptroller

- Approval of RFP, Grant awards and grant contracts
- Fiscal oversight of all payments and processes

NYSED FISCAL FORMS

- FS-10: Proposed Budget Detail
- FS-25: Request for Interim Payment
- FS-10A: Proposed Amendment
- FS-10F: Final Expenditure Report (Long Form)



FS-10 PROPOSED BUDGET

FS-10 Budget - a annual proposed plan of project expenditures that align with program goals and objectives

- Local agency signature must be of Chief Administrative Officer (or properly authorized designee)

• 2015-2016 FS-10 - Due
May 13, 2015



FS-25 REQUEST FOR INTERIM PAYMENT

FS-25 Interim - a request for an interim payment (additional payment beyond initial advance made when budget is processed)

- May be submitted until payments reach 90% of approved budget amount
- Must be based on incurred expenses & actual cash need
- Recommended timeline for submission –Monthly
- Submitted directly to Grants Finance
- Grant recipients are paid on a reimbursement basis through NYSED. There may be times when payments are delayed. The lead fiscal agent should be prepared to cover expenses, including payroll.

FS-10A BUDGET AMENDMENTS

- Amendments to budgets may be considered, provided that these modifications do not result in a change in the program scope.
- Prior approval required for the following changes
 - Any increase in a budget subtotal by more than 10% or \$1,000 whichever is greater
 - Personnel changes – number & type
 - Minor remodeling
 - Equipment
- Amendments are to be submitted BEFORE making requested changes to the budget, not after the fact.

FS-10A BUDGET AMENDMENTS– CONT'D

- Timeline for submission – Generally any time between the approved project start & May of program year.
- For this year, all amendments were due prior to April 15th, 2015.
- Communication with Program Office is recommended prior to submitting an amendment
- Submitted to Grants Management NOT Grants Finance
 - Requires Program Office approval
- Submission of FS-10A with FS-10F is not allowed
 - *If there is any question, submit an amendment

PROGRAM MODIFICATIONS

- Requests require submission of a “Program Modification Request.” This can be submitted electronically.
- You must maintain program fidelity!
- Substantive modifications to program require explicit approval from the State Education Department.

PROGRAM MODIFICATIONS

- Examples of program modifications that require Program Office approval include:
 - Changes to the types of services offered;
 - Changes in partners;
 - Changes to objectives;
 - Etc. (When in doubt, call SED!)
- Examples of program modifications that DO NOT require Program Office approval include:
 - Hiring a new Program Coordinator to replace a pre-existing Program Coordinator who resigned (But please notify us!);
 - Replacing a trip to the Metropolitan Museum of Art with a trip to the Museum of Modern Art;
- ***When in doubt, call SED!***

FS-10F FINAL REPORTS

FS-10F Long Form – Detailed report of actual (final) project expenditures

- Due no later than July 30th of each program year.
- Important Note: Code 40 (Purchased Services) - List ENCUMBRANCE Dates, not the dates that checks were written.

Encumbrance Date	Provider of Service	Check or Journal Entry #	Amount Expended
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3 YEAR BUDGET SUMMARY

Attachment 3: Three-Year Budget Summary Chart

Agency Code												
Agency Name												
Year 1 (December 1, 2013 – June 30, 2014)			Year 2 (July 1, 2014 – June 30, 2015)			Year 3 (July 1, 2015 – June 30, 2016)						
Categories	Code	Costs	Categories	Code	Costs	Categories	Code	Costs				
Professional Salaries	15		Professional Salaries	15		Professional Salaries	15					
Support Staff Salaries	16		Support Staff Salaries	16		Support Staff Salaries	16					
Purchased Services	40		Purchased Services	40		Purchased Services	40					
Supplies and Materials	45		Supplies and Materials	45		Supplies and Materials	45					
Travel Expenses	46		Travel Expenses	46		Travel Expenses	46					
Employee Benefits	80		Employee Benefits	80		Employee Benefits	80					
Indirect Cost (IC)*	90		Indirect Cost (IC)	90		Indirect Cost (IC)	90					
BOCES Service	49		BOCES Service	49		BOCES Service	49					
Minor Remodeling	30		Minor Remodeling	30		Minor Remodeling	30					
Equipment	20		Equipment	20		Equipment	20					
		Year 1 Total			Year 2 Total			Year 3 Total				

3-Year Totals		
Categories	Code	Costs
Professional Salaries	15	
Support Staff Salaries	16	
Purchased Services	40	
Supplies and Materials	45	
Travel Expenses	46	
Employee Benefits	80	
Indirect Cost (IC)*	90	
BOCES Service	49	
Minor Remodeling	30	
Equipment	20	
		3-Year Total

ALLOWABLE COSTS

- Allowable activities are those that are directly related to meeting the overall and individual Community School program requirements.
- All expenditures must be directly aligned with program goals and objectives.
- Equipment purchases are permitted when necessary to meet the project goals and objectives, but must not exceed 10% of the total project budget.

Additional allowable activities include, but are not limited to:

- The provision of tutoring, supplemental instruction, and enriched educational services;
- Before and after-school, mentoring, and summer programs with a teacher or other qualified individual;
- School supplies for distribution at shelters and temporary housing facilities;
- Extraordinary or emergency assistance to enable homeless children to attend school;
- Expedited student evaluations, including gifted and talented, special education, and limited English proficiency;
- Professional development for educators and other school personnel;
- Referrals for medical, dental, other health services, and social services;
- Defraying excess cost of transportation (e.g. portion of transportation expense not covered by State Aid or Medicaid reimbursement);

Allowable Costs, cont.

- Provision of developmentally appropriate early childhood education programs, not otherwise provided;
- Provision of services and assistance to attract, engage, and retain homeless children and youth and unaccompanied youth in public school programs;
- The payment of fees and other costs associated with tracking, obtaining, and transferring records necessary to enroll homeless children and youths in school;
- Provision of pupil services (including violence prevention counseling) and referrals for such services;
- Addressing needs of homeless children and youth arising from domestic violence Provision of education and training to parents of students about educational rights and resources that are available;
- Coordination between schools and service agencies.

REMEMBER

- Just because an expense is allowable does not necessarily mean it is reasonable and necessary for the execution of your project. You must maintain fidelity to your contract or funded application!

SUPLANTING

- CSGI grants will complement not supplant existing federal, State, local, private and non-profit resources allocated for service delivery in targeted communities; grantees are expected to seek (and will receive technical assistance as needed to pursue) other available reimbursements for relevant services, such as Medicaid, third-party health insurance, and federal nutrition funding.

UNALLOWABLE COSTS



- Purchase of Vehicles (leasing is allowable)
- Purchase of facilities (rental costs are allowable)
- Major Remodeling or New Construction

IMPORTANT REMINDERS

- Submit all financial forms and reports by the due date(s)
- Enter all required information on financial forms:
 - SED/Agency/BEDS code (12 digits)
 - Agency name
 - Contract number (if applicable)
 - Project number (10 digits)
- Ensure that requests for cash (FS-25s) are based on actual or reasonably anticipated expenditures

IMPORTANT REMINDERS, CON'T

- Send financial forms and reports to proper office:
 - FS-10 and FS-10A to Grants Management (one original and two copies)
 - FS-25 and FS-10F to Grants Finance (one original and one copy)
- Use only the forms provided on the Grants Finance internet site (assures most current form is used)
- Provide original signature by Chief Administrative Officer or properly authorized designee
- Review documents for accuracy (mathematical, etc)

WHEN ARE FUNDS ENCUMBERED?

All encumbrances (or obligations) must be made within the approved funding period of the grant. Encumbrances for both federal and state projects are incurred on the following basis:

- Acquisition of real or personal property
 - The encumbrance is made on the date on which a binding written commitment to acquire the property is made.
- Personal services by an agency employee
 - The encumbrance is made when the services are performed.
- Personal services by a contractor who is not an agency employee
 - The encumbrance is made on the date on which the agency makes a binding written commitment to obtain the work.

WHEN ARE FUNDS ENCUMBERED?

- Performance of work other than personal services
 - The encumbrance is made on the date on which the agency makes a binding written commitment to obtain the work.
- Public utility services
 - The encumbrance is made when the agency receives the services.
- Travel
 - The encumbrance is made when the travel is taken.
- Rental of real or personal property
 - The encumbrance is made when the agency uses the property.

3 CRITICAL QUESTIONS

- Is it Necessary?
- Is it Reasonable?
- Is it Allocable?

All three must meet the criteria to be considered for proper and efficient performance and administration of federal funds.

One other very Important question:

Is it Authorized??



FISCAL EFFICACY

- Regularly scheduled meetings of program office and fiscal office
- Monitor Spend Down
- Follow agency rules for Bid Process
- Ask Us Questions!



GRANTS GATEWAY

<https://grantsgateway.ny.gov>



New York State
Grants Gateway



Grants Gateway Login

SHOW HELP

Grant Opportunity Portal - Home

Welcome to the Grants Gateway

The **Grant Opportunity Portal** is online and available to the public, providing a one-stop shop for anyone interested in locating grant funding opportunities with State agencies.

The **Grantee Document Vault** is also available, allowing existing grantees and potential applicants to store key organizational information in a single secure online location for use by all State agencies. In order to use the Document Vault, a grantee must register as a user on the system and provide information on a Delegated Administrator who will manage their user account. This requires submission of a Registration form and accompanying organizational diagram. Note that your Registration form must be signed, notarized and mailed to Gateway Administrators. Plan accordingly to avoid potential delays in applying for upcoming grant opportunities.

Check back regularly as additional functionality, including online application, contract development and signature, and financial claiming and reporting is on track for release later this year.

For additional information see the Grants Reform Website. www.grantsreform.ny.gov

BROWSE

Looking for a listing of funding opportunities? Use the Browse feature to get started.

[Browse Now!](#)

SEARCH

Looking for information about a specific funding opportunity? Use the Search feature to narrow your focus.

[Search Now!](#)

NOTIFICATION

Want to be kept informed of upcoming and available funding opportunities? Provide your email address, and identify the types of grants that interest you.

[Sign-up Now!](#)
[Already Signed-up?](#)
[Click here to update preferences.](#)

REGISTRATION

If you are already a vendor with NYS or are interested in becoming a vendor request access here.

[Request Access Now!](#)

For a complete listing of all New York State procurement and grant opportunities, please visit the [Contract Reporter](#).

GRANTS GATEWAY, CON'T.

Document Vault Open = Not-for-Profits only

This status indicates that the grantee has opened the Document Vault to make modifications or that the system has opened it because a document(s) have expired. If the system sets this status then the grantee is notified via email that one or more of their documents have expired.

M/WBE COMPLIANCE

- Budgets that create changes to the subcategory totals on your Three Year Budget Summary Chart require the resubmission and reapproval of a full M/WBE package.
- Complete the M/WBE Goal Calculation Worksheet each time you complete an FS-10 or FS-10A to determine actual dollar amount necessary for full compliance (Line #10), and strive to achieve this number or as close as possible (partial participation).
- For any questions, please contact NYSED's M/WBE office mwbe@mail.nysed.gov

CSGI PROGRAM REPORTING GUIDELINES

- Quantitative measures will be defined in each budget period and will be associated with process milestones and services rendered (e.g., number of children served in a health clinic, number of weekend job training sessions).
- Grant recipients will be required on a semi-annual basis to provide performance reports that detail success in achieving the stated milestones and services provided within the reporting period.
- **These measures will be subject to the approval of the State Education Department, in consultation with each grantee, and established in advance of the beginning of each project year.**
- Failure to meet implementation milestones and reporting requirements may result in the withholding of funds until such milestones have been achieved.

HEALTH AND SAFETY REQUIREMENTS

- Both the applicant and any partnering organization operating in a school district must adhere to New York State's SAVE laws, including provisions related to fingerprinting of staff. Programs located in school buildings will be governed by the district's School Safety Plan and any related building-level plans. For all activities operated by outside entities that are linked with the Community Schools initiative that take place in a school building, all staff must be trained in and familiar with the School Emergency Response Plan and its emergency procedures.

SCHOOL-AGE CHILD CARE REGISTRATION

If a community organization, college or university, municipality or other eligible entity enters into an agreement as part of a Community Schools initiative planning to serve 7 or more children under the age of 13, the applicant must obtain School-Age Child Care (SACC) registration in accordance with New York State Office of Children and Family Services (OCFS) Regulations at 18 NYCRR Part 414 to operate an after-school program.

Whether the program(s) operates in a school building or community site, it must meet SACC requirements pertaining to buildings and equipment, discipline, fire protection and safety, sanitation, staff background checks and clearances, staff to child ratios, staff credentials, staff training, and supervision of children and youth.

RESOURCES & CONTACT INFO: GRANTS FINANCE (FS-25s and FS-10Fs)

✓ **INTERNET ADDRESS:**

WWW.OMS.NYSED.GOV/CAFE/

✓ **E-MAIL ADDRESS:**

GRANTSWEB@MAIL.NYSED.GOV

✓ **MAILING ADDRESS/TELEPHONE:**

Grants Finance
NY State Education Department
Education Building – Room 510W
89 Washington Avenue
Albany, NY 12234
Phone: (518) 474-4815
Fax: (518) 486-4899



GRANTS FINANCE, CON'T.

WWW.OMS.NYSED.GOV/CAFE/

- Forms
- Reports
- Guidance and Information
- Important Announcements/Reminders
- Report Fraud, Waste and Abuse
- Contact Us



RESOURCES & CONTACT INFO: GRANTS MGM'T (FS-10s and FS-10As)

- **INTERNET ADDRESS:**
WWW.EMSC.NYSED.GOV/MGTSERV
- **MAILING ADDRESS/TELEPHONE:**
Grants Management Unit
NY State Education Department
Room 375 – Education Bldg Annex
Albany, New York 12234
Phone: (518) 474-3936



RESOURCES & CONTACT INFO: NYS OFFICE OF THE STATE COMPTROLLER

Electronic Payments -

<http://www.osc.state.ny.us/epay/index.htm>

Vendor Responsibility -

<http://www.osc.state.ny.us/vendrep/index.htm>



RESOURCES & CONTACT INFO:

Student Support Services

- **INTERNET ADDRESS:**

WWW.P12.NYSED.GOV/SSS/CSGI/

- **E-MAIL ADDRESS:**

COMMSCHOOL@MAIL.NYSED.GOV

- **MAILING ADDRESS/TELEPHONE:**

Student Support Services

NY State Education Department

Education Building – Room 318M

89 Washington Avenue

Albany, NY 12234

Phone: (518) 486-6090

Fax: (518) 474-8299

