



NYS 21CCLC

Budget Amendment (FS-10-A) FACT SHEET

Introduction & Overview

This document describes the procedures for submitting a budget amendment. If a program director decides the budget approved in the current fiscal year requires a revision, they can prepare a budget amendment.

A budget amendment may only be submitted after the FS-10 is approved and before the FS-10-F is submitted. Programs with grant contracts must wait until the contract is fully executed before submitting budget amendments. Programs who submit a Request to Increase Indirect Cost Rate (FS-87R) to the Office of Grants Finance and receive an approval letter may submit a budget amendment along with their approval letter to the Program Office at any time.

Depending on the type of revision to the approved budget, a program modification may also be required. Program modifications must be approved **before** a budget amendment can be approved. See the [Program Modification Fact Sheet](#) for additional information regarding program modification procedures and documentation.

Changes to the approved budget may include, but are not limited to:

- Personnel positions
- Equipment items having a unit value of \$5,000 or more
- Minor remodeling
- Any increase in a budget subtotal (professional salaries, purchased services, travel, etc.) by more than 10 percent or \$1,000, whichever is greater**
- Any increase in the total budget amount
- Adding or removing a **partner** or **vendor** (required)

DEFINITIONS

Partner: An individual, agency, organization, or other entity that provides products or services to the program and **is involved** significantly and meaningfully in overall program planning and implementation. A Partnership Agreement is required for all program partners.

Vendor: An individual, agency, organization, or other entity that only provides products or services to the program and **is not involved** in overall program planning and implementation. A Partnership Agreement is not required for vendors.

**In this definition, the local independent evaluator is in the category of a "vendor:" an external agent providing evaluation services.*

Budget amendments must be submitted to the Technical Assistance Resource Centers (TARCs) and NYSED via the [Survey Monkey Apply \(SMA\) Portal](#). Instructions for using the SMA portal can be found on

the [Program Modifications and Budget Amendments Submissions on Survey Monkey Apply Technical Sheet](#). Within SMA, program modifications and budget amendments are referred to as “Applications.”

Instructions for submitting program modifications and budget amendments are included below. Program modifications and budget amendments sent in through email will be returned to the sender with instructions to use SMA. Hard copies of FS-10-As should not be sent until the Program Office requests them.

Through the SMA Portal and email communications, the Program Office will review the submission, conduct follow-up inquiries to collect any additional information, as needed, and issue a decision along with an explanation to approve or deny the request. To expedite the review and decision-making processes, program directors and fiscal managers are instructed to **provide thorough documentation** by following Steps 1 and 2 of the Procedure outlined below.

Decisions: Once the program director/fiscal manager receives written notification that **the budget amendment has been approved**, the program may implement the authorized changes. However, they must wait for approval from the Office of Grants Finance before submitting a Request for Funds (FS-25) with the new category subtotal amounts.

If the program director/fiscal manager is notified that **the budget amendment has not been approved**, the budget must remain unaltered. In this case, the program director/fiscal manager can review the reasons approval was not granted and consider strategies to (a) request technical assistance from their regional TARC, and/or (b) redraft the budget amendment to incorporate necessary changes, then resubmit or edit the application through the SMA portal.

Procedure for Preparing a Budget Amendment

Step 1: Prepare the Budget Amendment Documents

Acquire an FS-10-A, Budget Narrative, revised Composite Budget, and a revised MWBE Goal Calculation Worksheet that are available at <https://www.p12.nysed.gov/sss/21stCCLC/#Fiscal> and <https://www.oms.nysed.gov/cafe/forms/>.

- **FS-10-A**

- ▶ Budget amendment numbers reset every year and begin with 001. For example, in 2022-2023 a program had budget amendments #001 and #002. In the year 2023-2024 if they submit a budget amendment it will be #001, not #003.
- ▶ Explanations should include numerical calculations and align with the Budget Narrative. For example:
 - *FS-10-A: Increase 10 teachers x \$1,000 = \$10,000.*
 - *Budget Narrative: Due to starting a month late, our program needs to reallocate \$10,000 of teacher salaries from Code 15.*

- ▶ Subtotal Increase/Decrease. Applicants can use both or just one.
 - If a change is happening in only one category, both boxes must be used to show money is being reallocated but that the Net in/decrease remains \$0. For example, under Professional Salaries increase Teachers \$5,000 and decrease Social Workers \$5,000. Subtotal increase boxes will have \$5,000 and subtotal decrease will have \$5,000.

EXPLANATION <small>(Provide same detail as required in FS-10 Budget)</small>	SUBTOTAL INCREASE	SUBTOTAL DECREASE
Add Teachers	\$5,000	
Remove Social Workers		\$5,000

- ▶ Total increases/decreases should be the same number. For example, +\$135,000 and - \$135,000. The sum of these will equal the Net increase/decrease and should cancel each other out.
- ▶ Net increase/decrease should be \$0. This will show that the applicant is not trying to increase or decrease their award amount.
- ▶ Include the award amount in "Previous Budget Total."

	Total Increase or Decrease:	(+)	\$	140,000	(-)	\$	140,000
	Net Increase or Decrease:	\$ 0					
ENTER BUDGET >	Previous Budget Total:	\$		1,200,000			
	Proposed Amended Total:	\$		1,200,000			

• Budget Narrative Form

- ▶ The budget narrative form should include a detailed written justification for the requested changes. This form accompanies the FS10A's calculations with a narrative explanation for the changes you are requesting. For example:

FS-10-A:

EXPLANATION <small>(Provide same detail as required in FS-10 Budget)</small>
Decrease Social Worker hours from 400/hrs x \$30 (\$12,000) to 200/hrs x \$30 (\$6,000)

Budget Narrative:

The amount indicated for social workers would go unspent due to a reduction of afterschool hours. The availability of social workers changed from the time of the original budget and it has been a hardship to find staff.

- ▶ This form should include each item from the FS-10 that is increasing/decreasing.

• Composite Budget

- ▶ Applicants must complete a revised composite budget by transferring current year budget amounts for each category on the FS-10, while adding and/or subtracting changes from the proposed FS-10-A.
- ▶ Applicants must ensure their changes do not result in overspending on capped expenses.
 - Cost per student must not exceed \$2,100.
 - Direct Service by Local Agency (LA) must be at least 25%.
 - Administrative Expenses are not to exceed 10%.
 - Evaluation Expenses are not to exceed 8% or 10% if the evaluation contract includes evaluator responsible for all data management and reporting.
 - Planning and Professional Development Expenses are not to exceed 5%.
- ▶ Column A = Column B + Column C + Column D + Column E, except in row 3.

(NYSED Use Only) Applicant Number:		Col A	Col B	Col C	Col D	Col E
Expenditure Category	Budget Code	Amount	Direct Service by	Admin Expense	Evaluation expense	Plan and Prof Dev
1	Salaries for Professional	15	120,000	111,000	9000	
2	Salaries for Non-Professional Personnel	16	40500	25000	3500	12000
3	Purchased Services	40	435000			120000

• MWBE Goal Calculation Worksheet

- ▶ Changes to Codes 15 (Professional Salaries), 16 (Support Staff Salaries), 80 (Employee Benefits), and/or 90 (Indirect Cost) will affect your MWBE Goal.
- ▶ Applicants must submit a revised version of the MWBE Goal Calculation Worksheet to ensure they are meeting their MWBE goal.
- ▶ If changes have been made that cause a program to underspend on their goal, applicants must find additional MWBE vendors to reach their goal. They will need to fill out new Utilization Plans and NOI forms for the new MWBE vendor(s).

Step 2: Submit the Budget Amendment and Supplementary Documents for TARC Review

- Log on to the [21st CCLC Survey Monkey Apply portal](#). Instructions for using the SMA portal can be found on the [Program Modifications and Budget Amendments Submissions on Survey Monkey Apply Technical Sheet](#). *Note: You will be prompted to create a Survey Monkey account if you do not have one.*

- When submitting the request, applicants will be asked to select their grant's geographic distinction (New York City or Rest of State). *Note: This will indicate which TARC receives your application for review.*
- Applicants will be asked to select their program from a dropdown menu and enter contact information and a planned implementation start date. Programs should not implement changes until notified of NYSED approval.
- Applicants for a budget amendment will be prompted to select the budget amendment number. *Note: Budget amendment numbers reset every year and begin with 001. If the program did #001 for the 2022-2023 year, the first budget amendment in the 2023-24 year will also be #001.*
- Applicants will be prompted to upload the required budget amendment forms. When finished, mark as complete and submit the application. It will go to the regional TARC you previously indicated for review.
- **TARC Review Process.** After an application has been completed, it cannot be edited until it is reviewed by the TARC. Once reviewed the TARC program staff send the application back for editing. Applicants can then make edits and changes to their program modification and/or budget amendment within SMA, and reupload documents and forms. The TARC may request additional information and documents after submission. After a program edits their application it is resubmitted and will not be available again until the TARC program staff allows for it to be edited again or be sent to NYSED for final approval.

Step 3: Submit the Budget Amendment and Supplementary Documents for NYSED Review

- Once reviewed by the TARC, log on to the [21stCCLC Survey Monkey Apply portal](#). When prompted to select your grant's geographic distinction, select "SED Review (Only to be selected AFTER Resource Center Review)."
- Applicants should complete and/or upload any TARC-approved information within the portal. Once finished, mark as complete and submit the application. It will now go to NYSED staff for review.

Step 4: Decisions & Next Steps

- Once NYSED has reviewed the budget amendment, programs will be notified of one of two possible outcomes:
 - **Approved** with the date of NYSED's approval. Once a budget amendment is approved, applicants must mail the completed FS-10-A, with an ink signature and two copies, to:

New York State Department of Education
Student Support Services - 21st CCLC Budget Review
89 Washington Avenue - EB 318M
Albany, NY 12234

- **Denied** with an explanation. If the budget amendment requires a program modification, the applicant will be prompted to submit the program modification before NYSED will review the budget amendment.
- **NYSED Review Process.** After an application has been completed, it cannot be edited until it is reviewed by NYSED. Once reviewed NYSED program staff will send the application back for editing. Applicants can then make edits and changes to their program modification and/or budget amendment, as well as reupload documents and forms. NYSED may request additional information and documents after submission. After a program edits their application it is resubmitted and will not be available again until NYSED program staff allow for it to be edited again.
- In alignment with [Records Retention Policy](#), a subgrantee should maintain all approved NYSED program modifications and budget amendments for the duration of the grant.
- If you are having technical difficulties with the SMA platform, **please use the support function** within the Survey Monkey Apply Portal.