



ADULT CAREER AND CONTINUING EDUCATION SERVICES
ADULT EDUCATION PROGRAMS AND POLICY (AEPP)
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<http://www.acces.nysed.gov/aepp>

May 2, 2024

TO: NYSED funded WIOA and ALE programs

FROM: Fiormelissa Johnson - Director, Adult Education Program & Policy (AEPP) *Jrj*

SUBJECT: Budget Amendments & Renewal of Fiscal Documents– (FY2024 - FY2025)

This memo is intended to provide project reporting information and fiscal procedures regarding amendments and fiscal budget renewal of fiscal documents for ALE and WIOA. These procedures have been established to ensure consistency in submission and review of these documents, as well as timely payment. **Budget Amendments**- *Are Due no later than **Wednesday, May 17, 2024 (extended date)**, as an attachment to the appropriate funding mailbox: WIOA@nysed.gov or ALE@nysed.gov with a cc to your NYSED Regional Associate.* Please be sure you send either a Word or Excel document; do not send PDFs.

AMENDMENTS

Amendments to your budget should only be requested with a compelling justification; the budget change must articulate that it is needed to meet project deliverables, and a negative impact would result if the changes were not approved. Note that budget amendments cannot increase the total annual contract award amount. Submitting a new Program Component Worksheet (PCW) with a decrease in the number of students served, is not permitted. Changes to the PCW may be made when necessary to closely align with actual programming, with AEPP approval. In order to process a budget amendment, please complete the FS-10A form found at <http://www.oms.nysed.gov/cafe/forms/>, and submit the FS-10A, revised budget narrative (providing explicit details and justification for changes), and M/WBE documents via email no later than **Wednesday, May 17, 2024**, to the appropriate funding mailbox: WIOA@nysed.gov or ALE@nysed.gov with a cc to your NYSED Regional Associate. FS-10A should only be submitted for budget changes that require prior approval (Personnel positions, Equipment items, Minor remodeling) or for any increase in a budget subtotal (Professional salaries, Purchase services, Travel, etc.) by more than 10% or \$1,000, whichever is greater. Due to the high number of amendments received, late submissions will not be accepted. Amendment requests for WIOA should be sent to WIOA@nysed.gov and Amendment requests for ALE should be sent to ALE@nysed.gov, with a cc to your NYSED Regional Associate.

Once the electronic documentation is received and reviewed for accuracy, you will receive a preliminary amendment approval from your NYSED Regional Associate; at which time you will be asked to mail **1 signed original copy and 2 copies of the FS-10A** to NYSED, along with the M/WBE documents and the Budget Narrative. The signature on the forms, should be from the individual who signed the original FS-10 or comparable staff member. Proposed expenditures requested in the budget amendment should not be encumbered until you receive written approval from NYSED.

In addition to the FS-10A, budget amendments will require an M/WBE goal sheet, if you plan to choose a new vendor, you will also need to submit a new Notice of Intent, and a utilization plan demonstrating that your project is still in compliance; all [M/WBE forms](#) must be accurately completed. For any questions

about these documents, please contact Matthew Apuzzo and Kathleen Carey at:
ADULTEDMWBE@NYSED.GOV

END OF YEAR FISCAL REPORTS REQUIRED FOR WIOA & ALE

Final Expenditure Report

Final expenditure report, FS-10-F Long Form, is required at the end of each project year. Due date is **Wednesday, July 31, 2024**. The FS-10-F form is located at <http://www.oms.nysed.gov/cafe/forms/>, and must be **mailed** to NYSED with original signature to:

New York State Education Department
Grants Finance, Room 510W EB
Albany, NY 12234

Please note no roll-over of funds from one project year to the next is permitted.

M/WBE Compliance Report - Due no later than Wednesday, July 31, 2024

Each project is required to submit an [M/WBE Compliance Report](#), summarizing the full project year. This form is used for the tracking of M/WBE expenditures throughout the year, to ensure that projects are meeting their M/WBE participation goals. The completed [M/WBE forms](#) should be submitted to the M/WBE Mailbox MWBEgrants@nysed.gov, no later than **Wednesday, July 31, 2024**. Please feel free to contact the M/WBE office at, MWBEgrants@nysed.gov, with any questions.

Final payments will not be made until the M/WBE Compliance Report is received by the M/WBE office.

Budget Renewal Fiscal Documentation

In an effort to process FY 2024/2025 budgets by Monday, July 1, 2024, which is the start date of the fiscal year, ALL WIOA and ALE funded programs must complete and submit updated fiscal and M/WBE documents to NYSED via email no later than **Wednesday, June 5, 2024**. WIOA projects should be sent to WIOA@nysed.gov and ALE projects should be sent to ALE@nysed.gov.

The items requested for **EACH** WIOA or ALE funded project are as follows:

- Fiscal year **2024-2025 FS-10**
 - o These forms can be found at: <http://www.oms.nysed.gov/cafe/forms/>
 - o Please use either the Excel or Word version of this document, no PDFs are acceptable
 - Fiscal year **2024-2025 Budget Narrative**

All Budget Narratives must include the name, email address, telephone number, position, and FTE for all current staff funded on each project, including: Data Manager, Program Manager, Superintendent, Case Manager, and the Executive/Leadership overseeing the project and contract
 - Fiscal year **2024-2025 M/WBE Package** (<https://www.oms.nysed.gov/fiscal/MWBE/Forms.html>)
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Administrative Cost Negotiations

As per guidance from OCTAE, *administrative costs are not to exceed 5% of the grant but may be negotiated higher than 5% with NYSED/AEPP if the 5% is too restrictive, removes the higher default percentage, and is consistent with section 233(b) of WIOA.* In order to request and negotiate an increase of 5% for administrative costs, submit a one-page justification and attestation for the necessity of the increase, signed and dated by the overseer of the contract (Superintendent or Executive Leadership) with the fiscal renewal documentation by **Wednesday, June 5, 2024**. For more information regarding Administrative Costs and Program Costs, please review the [Admin vs Program Cost Guide](#) created by the Employment and Training Administration, United States Department of Labor.

Transportation, Child Care and Dependent Care Costs

Programs interested in pursuing these options will need to include the anticipated cost in their FY25 FS-10 Budget and fiscal renewal documents. ***The annual award amount will not be increased for this additional cost allocation, and the original budget total will remain the same.*** The accompanying application must be completed and submitted to AEPP for approval no later than **Wednesday, June 5, 2024 (with the budget renewal documents)**, to be considered for approval and included in any funded program's FY25 budget.

Once the Transportation and Child/Dependent Care application has been approved by AEPP, the program may then proceed with including these budget items in the FY25 FS-10 and budget narrative. The total maximum permitted for these services is 6% of the total annual budget amount allocated to each funded program. Transportation costs should be included under Travel Expense: (Code 46) section and the Child and Dependent Care costs should be included under Purchased Services: (Code 49).

Qualifying **individuals for dependent care** are defined as:

- *The taxpayer's **dependent** who has not attained age 13;*
- *The taxpayer's **dependent**, who is physically or mentally incapable of self-care and who has the same principal place of abode as the taxpayer for more than one-half of the taxable year; or*
- *The taxpayer's **spouse** who is physically or mentally incapable of self-care and who has the same principal place of abode as the taxpayer for more than one-half of the taxable year*

The program attests, with signature, to the accuracy of all documents submitted. All incomplete submissions will be returned to the program, which will delay the fiscal process. Complete and correct submissions will receive preliminary approval from your NYSED Regional Associate; you must also **mail** final copies to NYSED. Should you have questions, please contact your NYSED Regional Associate or send an email to the Adult Education Mailbox ADULTED@nysed.gov Please share this information with your fiscal staff and any additional staff as appropriate.

Region	Regional Associate Manager
Capital North	Lisa Pearson
Central Southern Tier	Lisa Pearson
Finger Lakes	Lisa Pearson
Hudson Valley	Diane Schrader
Long Island	Diane Schrader
New York City - WIOA	Kimberly Malcolm
New York City – NYC ALE	Guillermina Martino
West	Deborah Parrow

cc: AEPP Regional Manager Staff
Upstate and Downstate STAC
RAEN Directors