



Notice



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State Aid Planning

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Workshops

Coffee Talk

Monthly webinars focusing on topics related to school business management functions



Schedule



Zoom Link

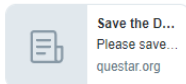
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Presentations

You may print out a copy of the PowerPoint by clicking the “**Presentations**” link.

Recordings are available under the **Webinar Recordings** link.



Sep 8, 2021

State Aid Planning
@QIISAP

The 180 Days Calendar Form tree is currently not available in SAMS. As a result, you'll receive a critical error within the Edit Report. SED recently informed us that Form A may be submitted w/this error, but it will

Knowledge Café

Monthly webinars focusing on topics related to the school business official calendar.



Schedule

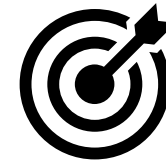


Zoom Link

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Presentations



Knowledge Café May 2022

State Aid & Financial Planning Service



Agenda

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- First, Congratulations on Your Budget Votes!





- SBO Calendar for June 2022
- Kathy's Corner – New Records Management Guidance
- Getting Ready for 2022-23
- Questions and Answers



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
Calculate IDEA Section 611 and 619 per student sub-allocations using SED worksheet and prepare provider contracts	6/1/2022	Annually		Recommended Best Practice
Ensure that application for new extended school year (July-August) special education program(s) is (are) filed by June 1st. ESY Application Procedures	6/1/2022	Annually		Required
Publish bids for new pupil transportation contracts by June 1st (other than for students with disabilities)	6/1/2022	Annually		Required
The Application for Approval of Summer Secondary School Driver and Traffic Safety Education" must be postmarked no later than June 1st (due every 3 years)	6/1/2022	Annually		Required
Budget revote legal notice (only if proposed 2022-23 budget was defeated in May). The first publication is due 14 days before the revote.	6/7/2022	Annually	If Applicable	Required
File NYS Sales Tax Return for quarterly filers	6/20/2022	Quarterly	The filing requirement for sales tax is based on tax due and is either annual or 4 times per year. Due June 20th for the months of March, April and May if filing on a quarterly basis.	Required
Statewide budget revote day is June 21, 2022 (third Tuesday of June). If a district decides to adopt a contingency budget, there will be no increase in the tax levy over the prior year. Boards of education are not obligated to hold a second budget vote and may adopt a contingency budget after the voters reject a proposed budget. If the BoE decides to hold a second vote, the legal notice must be published once each week in the two weeks preceding the vote, with the first publication at least 14 days before vote day (June 7, 2022). Hold Budget Hearing no later than seven days before vote day (June 14, 2022) and mail revised budget notice to voters the day after the hearing. BoE must adopt a contingency budget after second budget defeat.	6/21/2022	Annually	If Applicable	Required



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
Billings (transportation, use of facilities, health services, parentally placed non-public etc.)	6/30/2022	Monthly 	Coffee Talk for May 2022	Recommended Best Practice
Budget Status Reports to Board of Education including revenue and appropriation status reports	6/30/2022	Monthly	Commissioner's Regulations 170.2(p) requires the treasurer to render a budget status report for the BoE and for the use of those staff members assigned responsibility for administration of specific portions of the budget, on at least a quarterly basis (monthly in the event that budget transfers have been made since the last report). The report should include estimated revenues, revenues received to date, and estimated revenues yet to be received, original appropriations, adjustments and transfers, revised appropriations, expenditures, encumbrances, and unencumbered balances. Other information may be included as necessary.	Required
Cash Flow and Fund Balance - review for accuracy	6/30/2022	Monthly		Recommended Best Practice
Charge back fringe benefits to School Food Service and Special Aid Fund grants/projects	6/30/2022	Annually 		Recommended Best Practice
Close any open petty cash funds	6/30/2022	Annually		Recommended Best Practice
Compensated Absences - begin data gathering	6/30/2022	Annually 	This information is needed as part of the audit to isolate the cost of what is owed to each employee (based on contractual language) in the event they leave or retire from the school.	Recommended Best Practice



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
Continuing Employment Notices - to teaching and 10-month non-teaching staff	6/30/2022	Annually 	Salary statements (or employment notices) - are not applicable to all school districts. The basic purpose is to give salary information to the employee for the upcoming year, while also assuring a position in the fall (the employee signs off and this prevents claiming unemployment during the summer).	Recommended Best Practice
Ensure application for approval of bus/vehicle purchase (for any bus/vehicle delivered since January) have been submitted and certified within SAMS	6/30/2022	Semi-Annually	Ensure Superintendent certifies the Bus Purchase Approval before 6/30/2022 to receive one semi-annual payment of aid on the assumed debt service in 2022-23.	Recommended Best Practice
Evacuation drills - 12 total for school year	6/30/2022	Annually 		Required
Federal and State Cafeteria Reimbursement Form	6/30/2022	Monthly		Recommended Best Practice
Maintain budget codes to prevent negative balances	6/30/2022	Annually 		Required
Monthly Profit/Loss Statements for School Food Service	6/30/2022	Monthly	Perform analysis on prior month's activities	Recommended Best Practice
Payroll Reports – ERS/TRS Payments and Reports	6/30/2022	Monthly	ERS: Due the 7th day of the month following the report period. TRS: Due within 10 business days after the end of the previous month.	Recommended Best Practice
Pesticide Notification – Notify District Staff and Parents of non-exempt pesticide applications	6/30/2022	Quarterly	Transmit policy, district contact information and form to request inclusion on list of individuals to be notified 48 hours in advance of toxic pesticide applications to parents and district staff. Notification required after close of summer session, after winter break, after spring break and after the end of each school year. Notification not required for use of pesticides exempt from reporting requirements.	Recommended Best Practice



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
Prepare Final Cost Reports for capital construction projects as soon as certified as substantially complete and all outstanding bills are paid	6/30/2022	Monthly 	Capital Project Final Cost Reports - prepare any FCRs that are due by June 30th (Early Aid Start Projects, Capital Outlay Exception Aid Projects, and Other Projects with Commissioner Approval Dates prior 7/1/2011). See Appendix H for due dates.	Recommended Best Practice
Prepare for year-end financial statement audit	6/30/2022	Annually		Recommended Best Practice
Reconcile 2021-22 State Aid received to date	6/30/2022	Semi-Annually	Use SAP State Aid Reconciliation Template. Available in December 2021 after 2021-22 Output Reports are open to the public.	Recommended Best Practice
Review BOCES invoices for appropriate services and charges	6/30/2022	Monthly		Recommended Best Practice
Review outstanding checks	6/30/2022	Semi-Annually		Recommended Best Practice
Review STAC Statute of Limitations for June 30th	6/30/2022	Annually 	To be included in the August payment, school districts must verify High Cost Public STAC records for the September 2020 - June 2021 period using the DVPUB screen on the STAC Online System. Online verification must be completed by June 30, 2022 to receive current year funding for the 2020-21 school year's costs.	Recommended Best Practice
Revise the prior school year's aid claim, if applicable, by June 30th	6/30/2022	Annually 	Statute of limitation allows changes to be considered by SED only if they are received within one year of the close of the school year for which the data is submitted. For example, 2020-21 aid claim data must be amended by June 30, 2022. To qualify for prior year funding, school districts must verify any remaining High Cost Public STAC records for the September 2019 - June 2020 period using the DVPUB screen on the STAC Online System. June 30, 2022 is the final deadline to qualify for additional reimbursement for the 2019-20 school year's costs. A memo with information about all the June 30, 2022 deadlines will be issued in early June	Recommended Best Practice



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
School District and BOCES: Report all changes to 2021-22 aid claims to affect September final payment of 2021-22 aid.	6/30/2022	Annually 	Aid increases generated by submissions after 6/30 will be added to the prior year queue and paid as funds become available.	Required
School Districts and BOCES: Report all changes to 2020-21 aid claims to receive prior year adjustments.	6/30/2022	Annually	Prior year supplemental payments will be added to the queue and paid as funds become available.	Required
State and Federal Projects - review for expenditures and revenues. Submit FS-25's request for funds to Grants Finance	6/30/2022	Monthly 	This is the form that must be submitted to request additional State and Federal grant funds. Districts may only request funds to cover expenses already incurred and 30 days of anticipated expenses. Payments totaling up to 90% of a grant's budget total may be requested	Recommended Best Practice
Submit Internal Audit Exemption certification through the Business Portal by June 30th (if applicable)	6/30/2022	Annually 		Required
Summer Repair and Maintenance - set up and work schedule	6/30/2022	Annually		Recommended Best Practice
The last date that SED can accept final cost reports for Pre-Chapter 97 and Capital Outlay Exception projects certified as complete in calendar year 2020 (per the statute of limitations) is June 30, 2022	6/30/2022	Annually 		Required
Treasurer's Report	6/30/2022	Monthly	Report on prior month's activities	Required
Verify that all available recommended financial reports are posted on the district's website if not already completed prior to June 30th	6/30/2022	Annually 	School districts are required to provide the public with transparent and comprehensive financial information. These documents should also be posted in a location that make them easy to find. The recommended financial reports are: (1) any interim Budget to Actual Reports, (2) the Internal Audit Report and any related CAPs, and (3) any Multiyear Financial Plans that the Board has not officially adopted. Financial Plans.	Recommended Best Practice



SBO Calendar for June 2022



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Task	Due Date	Filing Requirement	Notes	Priority
Verify that all available required financial reports are posted on the district's website if not already completed prior to June 30th	6/30/2022	 Annually	School districts are required to provide the public with transparent and comprehensive financial information. These documents should also be posted in a location that makes them easy to find. The required financial reports are: (1) the Original, Adopted Budget, (2) the Final Annual Budget, (3) the External Audit Report and any related CAPs, (4) any OSC Audit Reports and CAPs, and (5) any Board Adopted Multiyear Financial Plans.	Required

New:

Federal Supply Chain Assistance Grants



Need to accept, decline, or partially accept by June 15th, 2022

<http://www.cn.nysed.gov/content/supply-chain-assistance-funds-memo>

Federal Supply Chain Assistance Grants

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Grant totals \$59,455,807 for NYS

All districts that participate in NSLP and/or SBP are eligible

Minimum funding is \$5,000, per participant

Range is \$5,000 - \$20,525,528 (NYC)



All SFAs must notify NYSED of acceptance or rejection of SCA Funds via Child Nutrition Management System (CNMS) by June 15, 2022

All SFAs must complete the following steps:

1. Log into CNMS with your username and password
2. Click SFA Annual Information and then select 2021-2022 SY
3. Scroll down and select "Supply Chain Assistance Funds"
4. The next screen will display the total amount of SCA funding the SFA is entitled to receive.

What Can the Funding Be Used For?

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A summary of allowable and unallowable uses of SCA funds is provided in the chart below:

Allowable Use of SCA Funds	Unallowable Use of SCA Funds
<p>Unprocessed or minimally processed domestic foods in a variety of minimal processing states and/or forms:</p> <ul style="list-style-type: none"> • whole, cut, pureed, etc. • fresh, frozen, canned, dried, etc. <p>Examples of allowable foods:</p> <ul style="list-style-type: none"> • fluid milk (unflavored and flavored) • other dairy foods such as cheese and yogurt (unflavored and flavored) • fruits and vegetables (including 100% juices) • grain products such as pastas and rice • meats (whole, pieces, or food items such as ground meats) • meat alternates such as beans or legumes 	<p>Foods that are generally understood to be significantly processed or prepared:</p> <ul style="list-style-type: none"> • Pre-made/ready to eat foods: <ul style="list-style-type: none"> ◦ pre-made pizza ◦ chicken nuggets ◦ breads, muffins, crackers ◦ pre-packaged sandwiches ◦ pre-packaged/ready to eat meals <p>Non-domestic food items</p> <ul style="list-style-type: none"> • the steps SFAs must take to ensure domesticity of food products purchased with SCA funds is consistent with the measures taken for all purchases in the school meal programs set under the Buy American provision, however, the limited exceptions provided under the NSLP Buy American provision may not be used since all products must be domestic.
<p>Non-food costs that are essential to the procurement of unprocessed or minimally processed domestic food products such as:</p> <ul style="list-style-type: none"> • Incidental costs (such as those related to shipping and handling or packaging) that are a part of the normal or customary purchase price charged by a vendor for any given food product 	<p>Cost of labor, supplies, administrative expenses, etc.</p>
	<p>Past expenditures</p>
	<p>Foods to be used in programs outside of the SBP or NSLP, or for purposes other than providing meals to children through the SBP or NSLP</p>



Other Matters

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✓ If use a Food Service Management Company:

7. Can SFAs use SCA funds if they utilize contracts to procure vended meals and/or the services of a Food Service Management Company (FSMC), and are there any specific recordkeeping requirements that must be observed?

SFAs cannot pay vendors or FSMCs any amount above the negotiated contract price. SFAs can utilize SCA funds towards the negotiated contract price when the SFA is provided documentation from the vendor/FSMC of purchases of unprocessed/minimally processed food used in the performance of the contract. Due to the limitations regarding the types of food items that may be purchased with SCA funds, SFAs may request the FSMC or meal vendor to provide all invoices for milk purchases and utilize the SCA funds to pay that portion of the contracted bid price.

Financial Accounting, Reporting and Auditing, Section 22 of the FSMC contract, requires FSMC to make source documentation available to the SFA. FSMC cost documentation is not considered proprietary information.

✓ Accounting for the money:

- Recommend recording in the **School Food Service Fund** as a *liability* until you spend it on an allowable purpose, then recognize as *Federal Aid* when earned.



Topics Covered Last June



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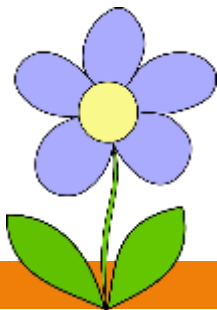
- ✓ Reviewed the process to charge back fringes to the School Food Service Fund and the Special Aid Funds
- ✓ Discussed need to review Appropriation Status Reports to:
 - Identify areas that need budget transfers
- ✓ Discussed need to review open purchase orders:
 - Cancel or modify purchase order balances based on current circumstances
- ✓ Prepare Final Cost Reports for capital projects that are complete
 - If 18 months since CAD and SA-139, FCR and CSC done by 6/30/22, aid can start for 21/22 year (1/2-year aid)
- ✓ Reviewed the key resources available on our website: sap.questar.org



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Kathy's Corner

Monthly Section – Thoughts from a Newer SDBL



Kathy's Corner

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**New
Records Management
Guidance**



As The Year Comes to an End

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- We often hear, “Can we throw out old records?”
- Before it becomes.....
 - ▣ Remember that you need to follow your Record Disposition Policy
 - For most of us, that was ED-1 from the NYS Archives
 - **But ED-1 is gone!**
 - ▣ Replaced with *LGS-1- Retention & Disposition Schedule for NY Local Government Records*
 - <http://www.archives.nysed.gov/records/retention-schedules-local-government/>
 - For both school districts and BOCES
 - Most recent LGS-1 is effective as of April 1, 2022!
 - Has your BOE adopted the LGS-1 schedule?



The Details...

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- Before any records listed on the *Retention and Disposition Schedule for New York Local Government Records* may be disposed of and even if the local government previously adopted *Schedules CO-2, MU-1, MI-1, and ED-1*, the governing body must formally adopt the Schedule by passing a resolution.
- The CO-2, MU-1, MI-1, and ED-1 Schedules, were superseded by the LGS-1 on January 1, 2021, and are no longer legally valid for disposition of records.
- The Schedule must be adopted no later than January 1, 2023. Upon adoption, this Schedule supersedes *Schedules CO-2, MU-1, MI-1, and ED-1.*

Model Resolution Sample

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MODEL RESOLUTION

RESOLVED, By the _____ [title of governing body] of _____ [local government name] that *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*, issued pursuant to Article 57-A of the Arts and Cultural Affairs Law, and containing legal minimum retention periods for local government records, is hereby adopted for use by all officers in legally disposing of valueless records listed therein.

FURTHER RESOLVED, that in accordance with Article 57-A:

(a) only those records will be disposed of that are described in *Retention and Disposition Schedule for New York Local Government Records (LGS-1)*, after they have met the minimum retention periods described therein;

(b) only those records will be disposed of that do not have sufficient administrative, fiscal, legal, or historical value to merit retention beyond established legal minimum periods.

Link to Model Resolution Form: [Model Resolution \(nysed.gov\)](https://nysed.gov/model-resolution)

Some Highlights from New Guidance- *BOE Meetings*

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Is your Board Clerk
aware of this?

Recordkeeping requirements

The recent legislation still requires that minutes be prepared of meetings, regardless of whether they are held in-person or video conferenced, and that they be made available to the public within 2 weeks of the meeting (Public Officers Law §106).

A new requirement under the law states that “the public body shall provide that each meeting conducted using videoconferencing shall be recorded and such recordings posted or linked on the public website of the public body within five business days following the meeting, and **shall remain so available for a minimum of five years** thereafter. Such recordings shall be transcribed upon request” [bold added]. Even if minutes or transcripts of the meeting exist and will be retained permanently as prescribed by the State Archives’ retention schedules, the video conferenced recordings must be retained at least 5 years.

Sexual Harassment Records- *For Any Cases Since 8/14/2020*

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Effective August 14, 2020, the U.S. Department of Education (DOE) issued regulations implementing Title IX of the Educational Amendments Act of 1972 (34 CFR Section 106.45(b)(10)), the federal law prohibiting sexual harassment and discrimination. The regulations define “sexual harassment” more narrowly and impose more lengthy recordkeeping requirements.


Applicability

Applies to all public school districts and colleges and universities (basically, any educational institution that receives federal financial assistance).

Title IX is not limited to sexual harassment cases involving students. Any person may be a complainant or respondent, regardless of whether the person is a student, employee, or otherwise affiliated with the institution.

Recordkeeping requirements

Educational institutions must maintain the following records for a minimum of seven years:

- 
- A. any sexual harassment investigation, including any responsibility determination, and any required recording or transcript, as well as any sanctions imposed on the respondent, and any remedies provided to the complainant;
 - B. any appeal and its result;
 - C. any informal resolution and its results; and
 - D. all materials used to train investigators, adjudicators, and Title IX coordinators with regard to sexual harassment.

Guidance from NYS Archives on These Records

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School districts

Districts are advised to retain LGS-1 (<http://www.archives.nysed.gov/records/local-government-record-schedule/lgs-1-title-page>) items 573 (human rights individual complaint or problem case file regarding employees), 637 (investigative records and disciplinary proceedings regarding employees), 928 (sexual molestation and sexual harassment records regarding students), and 81 (training course information records) for the duration of existing retention periods or a minimum of seven years after creation, whichever is longer. This may result in extending existing retention periods.



Special Record
Retention
requirements
for Families
First
Coronavirus
Relief Act
records

The federal Families First Coronavirus Relief Act (FFCRA) requires that certain employers, including public employers with one or more employees, provide employees with paid sick leave or expanded family and medical leave for specified reasons related to COVID-19. The FFCRA's paid leave provisions apply to **leave taken or requested from April 1, 2020 through December 31, 2020**. Pursuant to 29 C.F.R. 826.140 (Paid Leave Under the FFCRA), employers are required to **retain all documentation for four years, regardless whether leave was granted or denied**.

Retention and Disposition Schedule for New York Local Government Records (LGS-1), issued in 2020 and updated in 2022, includes schedule items which pertain to documentation of sick and family and medical leave:

- item 662b, Employee medical records, in the Personnel/Civil Service section that covers “records and documents relating to medical certifications, re-certifications or medical histories of employees or employees’ family members, created for purposes of Family and Medical Leave Act (FMLA).” This item authorizes records destruction after three years.
- items 638 & 528, Employee’s time records, in the Personnel/Civil Service and Fiscal sections respectively. These items authorize records destruction after six years.

To avoid premature destruction of paid leave records relating to leave taken or requested, whether granted or denied, from April 1, 2020 through December 31, 2020 as part of the FFCRA, officials should cease destroying paid leave records as authorized by *LGS-1* item 662b (employee medical records) and should instead follow the retention period prescribed by federal regulations – four years. Please note that this memo expands authorization under item 662b to include “records and documents relating to medical certifications, re-certifications or medical histories of employees or employees’ family members, created for purposes of FMLA and FFCRA.”

To facilitate disposition of FFCRA-related records dating from April 1, 2020 through December 31, 2020, I encourage you to file the records separately from other paid leave records as their retention periods will be different.

Officials should continue to retain employee’s time records for six years, even if they relate to the FFCRA.



Tips for Moving into the New School Year

23

- ❑ Has your district adopted the new guidance?
 - ▣ If not, please do for July 1st using the Model Resolution
- ❑ Are you comfortable with the records disposition guidance?
 - ▣ If not, we recommend you check out the website
 - New items are covered in a separate handout, so you don't have to figure out what is new

- Printable PDF (updated pages are marked "Rev. 2022" on the lower left of the page; items marked with ♦♦ are either new to the 2022 edition or have been changed from the previous (2020) edition).
 - [Full version \(2022 edition\)](#) 📄 (411 pages)
 - [Replacement pages only \(2022\)](#) 📄 (60 pages)

- ▣ Share guidance with anyone responsible for retention/disposal of district/BOCES records



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Digging into Preparing for 22-23

What a SBO May Need to Know About Website Content, Managing the New Budget, New UPK Funding for 22-23 and Determining Students that Will be Sharing the 22-23 Section 611 and 619 Grants



Review Your Website



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Does Your Website Include:

- ❑ Proposed General Fund Budget
- ❑ Final Approved General Fund Budget
- ❑ *Monthly Revenue and Expenditure Reports*
- ❑ *Board Minutes*
- ❑ *Long-Range Plans* (required if BOE approved)
- ❑ DOB Transparency Report
- ❑ External Audits and Corrective Action Plans (CAP)
- ❑ OSC Audits and CAP
- ❑ *Internal Audits and CAP*

❑ *Italics = Recommended by OSC*





Website Reporting for Foundation Aid for 7/1/22

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School districts receiving either a 10% or \$10 million increase in Foundation Aid for 2022-23:

- Must develop a plan for their increase that addresses the following criteria:
 - (i) increasing graduation rates and eliminating the achievement gap;
 - (ii) reducing class sizes;
 - (iii) providing supports for students who are not meeting, or at risk of not meeting, state learning standards in core academic subject areas;
 - (iv) addressing student social-emotional health;
 - (v) providing adequate resources to English language learners, students with disabilities; and students experiencing homelessness;
 - (vi) *goals and ratios for pupil support;*
 - (vii) *detailed summaries of investments in current year initiatives and balance funds spent in priority areas*

- School district plans need to include an analysis of public comments and be posted to the district web site and **submitted to SED by July 1, 2022.**



Website Reporting for ARP for 7/1/22

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The final State budget updated reporting requirements on the use of ARP funding.

- Districts are required to update their ARP plan and post the updated plan to the website and **submit to SED.** (SED to design new reporting system.)
- The updated plan must include:
 - ▣ Analysis of public comments;
 - ▣ Goals and ratios for pupil support;
 - ▣ Detailed summaries of investment in current year initiatives; and
 - ▣ Funds spent in priority areas.

Budget for 2022-2023

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- Now that the budget for 22-23 has been approved:
 - ▣ Import or enter the 22-23 budget into the accounting records (generally 20-21 year needs to be closed first)
 - Any changes in codes due to ESSA/Transparency reporting?
 - ▣ Open the purchase requisition process
 - Have PA provide training on process to new staff
 - Distribute 22-23 budgets to department heads and highlight changes in account codes, if applicable
 - PRs for 22-23 can be entered before 10-month staff go home for the summer
 - POs can be processed 7/1/22+



Budget for 2022-2023

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- New positions in 22-23 budget
 - ▣ Meet with HR to discuss positions and budget codes

- Once budget has been determined, it is not too early to get working on DOB Transparency Report!
 - ▣ Due 9/2/22

**New York State School
Funding Transparency Form**

New UPK Funding in 2022-23 State Budget

	010623	ENTER BEDS CODE HERE
UNIVERSAL PREK:		
2022-23 NEW UPK AID	772,200	
UPK GRANT/PUPIL	5,400.00	
STATUTORY PREK PROXY	402	
MAX ELIGIBLE SLOTS	94	
59.19% OF STATUTORY PROXY	237	
NEW FULL-DAY 4YO SLOTS	143	
2021-22 FED UPK EXP. GRANT	507,600	
2021-22 MAX UPK AID	507,600	
2021-22 FED SUFDPK EXP GRNT	0	
2021-22 MAX SUFDPK AID(1516)	0	
2022-23 MAX + NEW UPK + SUFDPK	1,279,800	

$402 \times 59.19\% = 237$
 Goal of 237 – current slots of 94 = new funding for 143 slots
 143 FD 4-year-old slots
 $143 \times \$5,400 = \$772,200$

2022-23 New UPK Aid: Additional UPK funds available to districts in the 2022-23 school year to serve students in full-day pre-k placements for four-year-olds. These allocations are equal to the UPK per pupil value, multiplied by the additional slots. UPK per pupil is defined by law as the greater of selected foundation aid per pupil or double the frozen per pupil value from the 2006-07 school year for new full-day slots. Additional slots are the positive difference, if any, of 59.19 percent of the statutory pre-k proxy, less the number of students a district is eligible to serve with current UPK, SUFDPK, or UPK expansion allocations with half-day allocations weighted at 0.5.

UPK Grant/Pupil: UPK Grant per Pupil is the greater of Selected Foundation Aid per Pupil or double the 2006-07 UPK grant per pupil. $\$2,700 \times 2 = \$5,400$

Statutory Prek Proxy: The statutory pre-k proxy the sum of kindergarten enrollment in all public, charter, and nonpublic schools for students residing in the district from the 2020-21 school year less enrollment in pre-kindergarten special education programs in the 2021-22 school year. This value is multiplied by 85%.

Max Eligible Slots: The sum of 2021-22 maximum UPK four year old full day pupils eligible to be served, 2021-22 SUFDPK Full Day Seats eligible to be served, 2021-22 maximum UPK four year old half-day pupils eligible to be served multiplied by (0.5), and additional pupils served by the 2020-21 federal UPK expansion grant.

59.19% of Statutory Proxy: The Statutory Prekindergarten Proxy multiplied by 59.19%.

New Full-Day 4YO Slots: 4 year old Full Day slots made available through new UPK aid.

2021-22 Fed UPK Exp. Grant: The maximum amount each district was allocated of the \$90 million UPK expansion allocated in the 2021-22 Enacted Budget.

2021-22 Max UPK Aid: The maximum amount of Universal Pre-kindergarten Aid for which a district is eligible.

2021-22 Fed SUFDPK Exp. Grant: The maximum grant each district was awarded from the \$15 million SUFDPK pre-kindergarten expansion grant provided in the 2021-22 Enacted

2021-22 Max SUFDPK Aid (1516): The maximum grant to school districts awarded Statewide Universal Full-day Pre-kindergarten grants in the 2015-16 school year. Grants to standalone community based organizations are not included.

2022-23 Max UPK Aid + SUFDPK + New UPK: Maximum UPK grant awarded to school districts for the 2021-22 school year, plus the sum of the UPK Expansion Grant, the New UPK Aid, the maximum grant to school districts awarded Statewide Universal Full-day Pre-kindergarten grants including the SUFDPK Expansion Grant awarded for the 2021-22 school

SUFDPK = Statewide Universal Full Day Pre Kindergarten program

UPK Grant/Pupil Amounts

(Larger of **Selected Foundation Aid per Pupil** or **Double the 06-07 UPK Grant per Pupil**)

County	Range	County	Range	County	Range
01-Albany	5,400-11,554.48	20-Hamilton	5,400	50-Rockland	5,400-8,649.06
02-Allegany	9,846.86-14,221.83	21-Herkimer	5,400-11,757.38	51-St. Lawrence	5,910.19-13,035.60
03-Broome	5,400-11,048.50	22-Jefferson	5,400-11,249.72	52-Saratoga	5,400-7,609.27
04-Cattaraugus	5,400-12,979.18	23-Lewis	8,203.03-9,856.14	53-Schenectady	5,400-12,468.55
05-Cayuga	6,699.52-10,396.13	24-Livingston	6,103.61-13,066.47	54-Schoharie	5,400-9,037.78
06-Chautaugua	5,400-13,815.33	25-Madison	5,400-12,879.17	55-Schulyer	6,576-10,581.26
07-Chemung	5,579.53-10,918.18	26-Monroe	5,400-14,330.72	56-Seneca	5,848-11,233.61
08-Chenango	9,615.39-12,511.98	27-Montgomery	8,388.40-12,057.93	57-Steuben	5,400-12,859.35
09-Clinton	6,849.73-10,881.94	28-Nassau	5,400-16,811.02	58-Suffolk	5,400-17,098.05
10-Columbia	5,400-6,225.91	40-Niagara	5,400-12,166.77	59-Sullivan	5,400-13,652.54
11-Cortland	8,473-14,033.16	41-Oneida	5,400-12,259.98	60-Tioga	7,932.29-12,171.58
12-Delaware	5,400-11,497.13	42-Onondaga	5,400-11,134.15	61-Tompkins	5,400-10,868.69
13-Dutchess	5,400-14,847.26	43-Ontario	5,400-10,296.53	62-Ulster	5,400-11,195.91
14-Erie	5,400-13,304.52	44-Orange	5,400-14,165.19	63-Warren	5,400-8,431.10
15-Essex	5,400-11,809.75	45-Orleans	10,070.03-11,969.88	64-Washington	5,400-11,845.06
16-Franklin	5,400-12,624.97	46-Oswego	8,385.71-13,571.59	65-Wayne	5,592-13,222.63
17-Fulton	5,400-10,474.10	47-Otsego	5,400-10,473.31	66-Westchester	5,400-11,211.02
18-Genesee	8,302.74-11,584.59	48-Putnam	5400	67-Wyoming	6,848-10,837.07
19-Greene	5,400-7,765.29	49-Rensselaer	5,400-10,963.39	68-Yates	5,400-8,353.20

New UPK Funding



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- ❑ Remember! If your district accepts the grant, the grant is accounted for in the **Special Aid Fund**
 - ❑ This grant is State Aid (F3289)
- ❑ Range of funding per slot is between **\$5,400-\$17,098.05** for 2022-23
 - ❑ Is it enough, in your area, for it to work for your district?
- ❑ Difference between grant and actual cost to run the program is a General Fund obligation
 - ❑ Interfund Transfer to Special Aid Fund
- ❑ Grant applications are generally due August 1st



Section 611/619 Grants Who Shares the Money?



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- ❑ The district that serves the SWDs, *and*
- ❑ The Approved Special Education Providers (ASEP) pursuant to Education Law §4410-b, *and*
- ❑ The parentally placed SWD children that attend non-publics in your district, *and*
- ❑ The children attending Article 81 Schools located within the district, *and*
- ❑ The SWD that attend charter schools in your district

Calculate IDEA Section 611 and 619 per student sub-allocations using SED worksheet and prepare provider contracts

6/1/2022



Counting the ASEP Students

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The University of the State of New York
THE STATE EDUCATION DEPARTMENT
OFFICE OF P-12 (SPECIAL EDUCATION)
INFORMATION AND REPORTING SERVICES (IRS)

SEDCAR 1 APPROVED SPECIAL EDUCATION PROGRAM REQUEST FOR §4410(b) VENDOR FUNDING FOR 2022-2023 SCHOOL YEAR

The following types of schools use this form to request §4410(b) vendor funding from school districts that have Committee on Preschool Special Education (CPSE) or Committee on Special Education (CSE) responsibility for students with disabilities:

- Approved private schools for students with disabilities (preschool and school-age).
- BOCES that operate an approved preschool special education program.
- School districts that operate an approved preschool special education program and enroll students from other school districts.
- Approved out-of-state schools in which students with disabilities are placed by New York State school districts.
- Approved out-of-state schools that provide educational services to students with disabilities placed by New York State courts or social service agencies.

Instructions:	<ol style="list-style-type: none">1. A completed SEDCAR 1 form, with original signature, is sent to each local education agency (LEA) from which §4410(b) vendor funding for the 2022-2023 school year is requested. NYSED suggests that this form be sent to each LEA by November 26, 2021, however, a subsequent date may be established by each LEA.2. There is no need to submit a copy of this form to the State Education Department.3. A listing of the names of students comprising the counts reported in Section 3, Tables A and B, is submitted to the LEA with this form. This listing must be marked "confidential".4. Retain one copy (and supporting documentation) in your school for reference and audit purposes. The required retention period ends on June 30, 2029.5. If you have any questions about §4410(b) funding, please email your questions to datasupport@nysed.gov.
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Report of Eligible Students

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Section 3: Child Counts for Students Residing in LEA Identified in Section 2.

Students with disabilities, ages 3-5, on October 6, 2021

A	Students with disabilities, ages 3-4, on October 6, 2021. Enrollment, age, and type of service provided are determined as of October 6, 2021. Each student should be included only once in category 1, 2 or 3.	Count of SWDs Ages 3-21*	Count of SWDs Ages 3-5 *
1	Number of preschool students (ages 3-4) provided <u>related services only</u> . Do not report students in this line if they are also receiving other preschool special education programs.		
2	Number of preschool students (ages 3-4) provided a preschool special education program, which includes Special Education Itinerant Teacher (SEIT) services and/or full or part-time special class or special class in an integrated setting services. These students may also be receiving related services. Please note that if students receive services from more than one provider, only the provider that is designated as the "coordinating provider" may report the student on this form.		
3	Count of school-age students (ages 4-5) attending programs for school-age children.		

*Note: Students who are ages 3-5 are eligible to be counted under both Ages 3-5 and Ages 3-21

B	Students with disabilities, ages 6-21, on October 6, 2021. Enrollment and age are determined as of October 6, 2021.	Count of SWDs Ages 6-21
1	Count of students with disabilities, ages 6-21	

Age of Children for Each Grant

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- Section 611 grant – Ages 5-21
- Section 619 grant – Ages 3-5
 - ▣ Thus 5-year-olds are counted for both grants
- Each child attending full time program counted as 1.0 FTE
- Each child attending for related services gets .33 FTE, except:
 - ▣ Any municipality which operated an approved special education itinerant service program prior to 7/1/03 for preschool students with a disability who were provided RS only is eligible for a 1.0 FTE. Counties that fall under this exception are: Rockland, Niagara, Otsego, Suffolk and Westchester.

Grant Allocations for ASEPs

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Additional Information for Calculations based on Special Education (IDEA, Section 611 and 619) Counts and Amounts

Minimum Per Pupil Allotment for §4410(b) Vendor Funding


School Year

- [American Rescue Plan \(ARP\) IDEA Supplemental Funds](#)
- [2021-2022](#)
- [2020-2021](#)
- [2019-2020](#)
- [2018-2019](#)
- [2017-2018](#)
- [2016-2017](#)
- [2015-2016](#)
- [2014-2015](#)
- For prior years please visit the federal archive page: https://www.p12.nysed.gov/sedcar/federal/federal_archive.html

<https://www.p12.nysed.gov/sedcar/federal.htm>

Amounts Are Specific to Each District

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SED Code	School District	611 Adjusted SWD Count	§4410(b) Adjusted Allotment Based on 611 Count	§4410(b) Minimum Allotment Based on 611 Count	619 Adjusted SWD Count	§4410(b) Adjusted Allotment Based on 619 Count	§4410(b) Minimum Allotment Based on 619 Count
010100010000	Albany CSD	1,591	\$3,356,750	\$2,110	189	\$170,998	\$905
010201040000	Berne-Knox- Westerlo C S D	123	\$223,100	\$1,814	14	\$10,791	\$771
010306060000	Bethlehem C S D	551	\$952,248	\$1,728	64	\$33,277	\$520
010402060000	Ravena-Coeymans- Selkirk C S D	330	\$538,116	\$1,629	35	\$45,304	\$1,282
010500010000	Cohoes City S D	386	\$580,980	\$1,506	58	\$37,582	\$652
010601060000	South Colonie C S D	747	\$1,156,487	\$1,549	88	\$40,227	\$459
010615020000	Menands U F S D	54	\$69,582	\$1,289	17	\$3,141	\$185
010623060000	North Colonie C S D	845	\$1,256,115	\$1,487	111	\$27,289	\$246

Proportionate Share of IDEA Federal Funds for Parentally Placed Students with Disabilities in Nonpublic Schools Located in the School District For the 2021-22 School Year

IDEA requires school districts to provide special education services to students with disabilities who are parentally placed in nonpublic schools which are located in the school district. The information below is provided to assist school districts with the calculation of the proportionate share of IDEA funds under Sections 611 and 619 that should be used to provide special education services to parentally placed students in nonpublic schools which are located in the school district. The numbers of students used in this report are from the data provided by school districts through SIRS in the October 7, 2020 Special Education Snapshot template, specifically by submitting students with Primary Setting codes of SA08 and SA09. Please see memorandum on guidance and procedures for providing special education services to parentally placed students at: <https://www.p12.nysed.gov/specialed/idea/home.html> and guidance on reimbursement claims for the cost of providing special education services to parentally placed non-resident students in nonpublic schools pursuant to Education Law 3602-c- September 2007 at: <https://www.p12.nysed.gov/specialed/publications/policy/reimbursement608.htm>.

Printer Friendly Versions: [pdf](#) (161 kb) | [excel](#) (69 kb)

Code	School District	IDEA, Section 611			IDEA Section 619		
		 Per-Pupil Amount	Number of School Age Students with Disabilities in Nonpublic Schools (Ages 4-21)*	Total Amount	 Per-Pupil Amount	Number of School Age Students with Disabilities in Nonpublic Schools (Ages 4-5)**	Total Amount
010100010000	Albany CSD	\$2,110	12	\$25,318	\$905	1	\$905
010201040000	Berne-Knox-Westerlo C S D	\$1,814	1	\$1,814	\$771	0	\$0
010306060000	Bethlehem C S D	\$1,728	22	\$38,021	\$520	3	\$1,560
010402060000	Ravena-Coeymans-Selkirk C S D	\$1,629	0	\$0	\$1,282	0	\$0

Note: Per Pupil Amounts are the Same for ASEP and Parentally Placed Students

Issue for this portion of the grant is related to what happens when there is a different count of children in the current year?

Other Matters



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- ❑ On FS-10, code payments to ASEPs under Code 40-Purchased Services
 - ▣ List names of agencies, student counts and rate per student
- ❑ Page 11 of the Application – Section IV-Parentally Placed Calculation Worksheet
 - ▣ List where costs for PP students are included in FS-10
- ❑ Written legal agreement between LEAs and ASEPs

AGREEMENT made this ___ day of _____ between the XX School District (hereinafter the Local Education Agency ("LEA")) and the _____ (hereinafter Approved Special Education Provider ("ASEP")).

WITNESSETH:

WHEREAS, the ASEP is an authorized provider of special education services to students with disabilities from July 1, 20XX to June 30, 20XX; and

WHEREAS, New York State has adopted legislation (Chapter 6 of the New York State Laws of 2001, hereinafter "New York State's Flow Through Law") modifying the required procedure for allocating federal IDEA flow-through funds for providers of services to student with disabilities, ages 3-21 (Section 611 of the IDEA) and for students with disabilities ages 3-5 (Section 619 of the IDEA); and

WHEREAS, New York State's Flow Through Law now requires LEAs to sub-allocate federal flow-through monies received from New York State to ASEPs in accordance with section 611 and 619; and

WHEREAS, it is necessary for LEAs and ASEPs to enter into a contract for the purpose of effectuating the above described sub-allocation of Federal Flow Through monies.

NOW, THEREFORE, in consideration of the mutual covenants contained herein, the parties agree as follows:

1. ASEP certifies that it has submitted a request for IDEA Sub-Allocation form to the LEA and it certifies the accuracy of the information contained on said form (SEDCAR-1).
2. ASEP warrants that it is an approved program for the education and instruction of students with disabilities pursuant applicable State and Federal laws.
3. For each student with a disability aged 3-5 (Section 619 students), the LEA agrees to pay the ASEP a per pupil amount (Attachment "A") calculated in accordance with the procedures related to Section 619 students as provided by New York State's Flow Through Law, contingent upon the receipt by the LEA of federal funds sufficient for such purpose.
4. For each student with a disability aged 3-21 (Section 611 Students), the LEA agrees to pay the ASEP a per pupil amount (Attachment "A") calculated in accordance with the procedures related to Section 611 students as provided by New York State's Flow Through Law, contingent upon the receipt by the LEA of federal funds sufficient for such purpose.
5. The payments described above shall be made within thirty (30) days after (a) the LEA receives any portion of its allocation of funds for the current year pursuant to Sections 611 and/or 619 and (b) the LEA receives an application for sub-allocation by the ASEP, whichever occurs later.
6. The ASEP shall submit to the LEA a Final Statement of Expenditures Request for Payment (F-SERP) documenting the ASEPs actual expenditures for eligible purposes and requesting payment of that portion (up to 100%) of the ASEPs remaining balance. The Final Statement of Expenditures/Request for Payment (F-SERP) shall be in the form annexed hereto as Attachment "B" and must be received by the LEA no later than July 31, XY.
7. The LEA shall have the right to examine any and all accounts and records kept by the ASEP in connection with this Agreement in order to audit or verify the legitimacy of the request for allocation of flow-through funds.

8. The ASEP assures and certifies that it operates administers it program in accordance with applicable federal guidelines and standards, including, but not limited to the assurances required to by LEAS and/or ASEPS pursuant to the Individuals With Disabilities In Education Act (20 U.S.C. 1200, et. Seg.), and all referenced assurances set forth therein.
9. ASEP shall not assign, sell or transfer this Agreement or the rights granted herein in any manner without the prior written consent of the LEA, or when necessary, without the approval of the State Education Department.
10. This Agreement constitutes the entire understanding between the parties, and any purported Agreements to the contrary are not binding unless included in a subsequent written Agreement.
11. If any provision of the Agreement shall be determined to be illegal or unenforceable, such determination shall not affect the unenforceability of other unaffected provisions and covenants set forth herein.

IN WITNESS WHEREOF, the parties have executed this Agreement as of the day, month and year written.

By _____ (LEA)
Authorized Signature

Date: _____

By _____ (ASEP)
Authorized Signature

Date: _____

Sample agreement with ASEP
Consult your attorney, as appropriate

Attachment "A" – Per Pupil Amount

Provider: _____

School Year: _____

Section 611 Students:

Allocation per Student: \$ _____

Number of Students: _____

Total: \$ _____

Section 619 Students:

Allocation per Student: \$ _____

Number of Students: _____

Total: \$ _____

Grand Total: \$ _____

Sample agreement with ASEP
Consult your attorney, as appropriate

ATTACHMENT "B"

Final Statement of Expenditures/Request for Payment (F-SERP)

Approved Special Education Provider (ASEP) Information

Funding Source: _____

Report Prepared By: _____

ASEP Name: _____

Mailing Address: _____

Provide FS-10 Format		
City	State	Zip Code

Telephone # of
Report Preparer: _____

County: _____

E-Mail Address: _____

INSTRUCTIONS

- ❖ Submit one signed original report to LEA. (XXX CSD, ANYWHERE, NY 11111)
- ❖ Category subtotals must be reported in whole dollar amounts.
- ❖ To be in compliance with applicable audit requirements, complete and accurate records must be maintained by the ASEP.
- ❖ All expenditures must have taken place within the approved funding dates of the project.
- ❖ Certification on page 7 must be signed by Chief Administrative Officer or designee.
- ❖ High-quality computer generated reproductions of this form may be used.
- ❖ Be sure to check your math and carry all subtotals forward to the Summary on Page 7. Simple mathematical errors may result in unnecessary delays in closeout and final payment



When To Pay ASEPs

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- *“Consistent with State statute, Part B section 611 and section 619 vendor funds shall be made by LEAs to ASEPs in the same proportion as funds are disbursed to LEAs by SED, within 30 calendar days after the LEA receives any portion of its allocation of funds for the current year.”*
- Final 10% when get the completed FS-10 and verify services were eligible under the grant

Conclusion

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- Take a moment to thank everyone involved in the successful budget vote!
- Review your records retention policy and update as appropriate.
- Use the rest of this school year wisely so the 2022-2023 school year starts off on a great foot!



Summary

Questions?

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State Aid and Financial Planning Service

Questar III BOCES
10 Empire State Boulevard
Castleton, NY 12033

518-477-2635

Option 1 (SAP)

<http://sap.questar.org>

twitter.com/qiisap - @qiisap



Upcoming date:

Wednesday:

6/22/22