

The background of the slide is a close-up photograph of a green chalkboard. Two pieces of pink chalk are lying on the board, one standing upright and the other lying horizontally. There are several white chalk drawings on the board, including a large circle on the left, a heart shape in the center, and some scribbles at the bottom. The lighting is soft, creating a slight shadow for the chalk pieces.

New York State Universal Full-Day Prekindergarten

January 16, 2015

Office of Early Learning

New York State Education Department

Legislative Authority

- Chapter 53 of the Laws of 2014 appropriated \$340 million for prekindergarten grants to incentivize and fund full-day prekindergarten programs in accordance with Section 3602-ee of Education Law.



Purpose of the Grant

- To incentivize and fund state-of-the-art innovative prekindergarten programs and to encourage creativity through competition
- To create new full-day prekindergarten placements or to convert existing half-day slots to full-day placements that meet new program requirements under the law.





Project Funding

- The Governor's Office made \$340 million available for Prekindergarten programs across the state
- A total of \$300 million was allocated to the New York City region
- \$40 million has been allocated for awardees in the Rest of the State
- Awards were made on a per pupil basis in the following manner:
 - *\$10,000/pupil where the classroom teacher of record holds a teaching license or certificate valid for service in the early childhood grades*
 - *\$7,000 per pupil when the classroom teacher of record does NOT hold a teaching license or certificate valid for service in the early grades*

Program Requirements

- Chapter 56, Part CC, Section 1 of the Laws of 2014 establishes several requirements school districts and/or eligible agencies must meet or assure to be able to receive a Statewide Universal Full-Day Prekindergarten grant
- Each program must provide instruction for at least five hours per school day for the full school year
- Facilities providing this program must meet all applicable fire safety and building codes and any applicable facility requirements of a state or local licensing agency

Program Quality

Awardees must demonstrate quality in the following eight (8) program standard areas:

1. Curriculum
2. Family environment, materials and supplies
3. Family engagement
4. Staffing patterns
5. Teacher education and experience
6. Facility quality
7. Physical well being, health and nutrition
8. Partnerships with non-profit, community and educational institutions



Supplement, Don't Supplant!

Funding from this grant may only be used to supplement and NOT supplant current local expenditures of federal, state and local funds on prekindergarten programs and the number of slots in such programs.

Staffing

- Prekindergarten teachers providing instruction as part of this program shall possess:
 - a) *A teaching license or certificate valid for service in the early childhood grades pursuant to Part 80 of NYCRRR*
 - b) *Prekindergarten teachers employed by non-profit organizations, libraries and/or museums must have a bachelor's degree in early childhood education or a related field and must have a written plan to obtain certification valid for service in early childhood grades as follows:*
 1. *For teachers hired on or after March 31, 2014, within three years after commencing employment, at which time such certification shall be required for employment.*
 2. *For teachers hired prior to March 31, 2014, by no later than June 30, 2017, at which time such certification shall be required for employment*

Staffing, Continued...

- c) Prekindergarten teachers employed by charter schools under this program will be included in the teaching staff of a charter school for purposes of the limitations on the employment of uncertified teachers under section 285(3)(a-1) of the NYS Charter Schools Act*
- Except as otherwise provided, all Statewide Universal Full-Day Prekindergarten Programs must comply with all the same rules and requirements as UPK programs funded pursuant to Section 3602-e of Education Law. Subpart 151-1 of 8 NYCRR establishes requirements that apply to all UPK programs, including both district operated and eligible agency operated classrooms. Applicants must incorporate the implementation of these requirements in their program design. The UPK regulations can be found here: <http://www.p12.nysed.gov/upk/>

Staff Qualifications

- Until all teachers at a CBO site are certified, the CBO must have an education director with NYS certification on-site during the hours the prekindergarten program is in operation.
- Education Director certification can be in either Early Childhood Education or Childhood Education



Student Eligibility

- Students must be four years of age by December 1st of 2014 to participate in this program
- School districts must establish a process to select eligible children to receive universal prekindergarten services on a random basis where there are more eligible than can be served in a given school year



Class Size

- Maximum class size is 20 students
- For classes up to 18 students, there must be one teacher and one paraprofessional assigned to each class
- For classes of 19 or 20 students, there must be one teacher and two paraprofessionals assigned to each class

Screening

New entrants must be screened to determine:

- *Possibly gifted*
- *Possibly a child with a disability*
- *Possibly an English Language Learner*

Awardees are responsible for choosing their own screening tool.

Assessment

- Must have a process to establish a developmental baseline and measure student progress
- Valid and reliable measure
- Language, cognitive and social skills evaluated at a minimum
- Data should be used to inform instruction and professional development, track program effectiveness





Program Quality & Facility Inspections

- Goal is to provide ongoing technical assistance to promote high quality programs
- At least 2 visits per year, one to inspect Program Quality, one to inspect facility
- SED is contracting with the Professional Development Institute for much this work
- There will be an upcoming Webinar to discuss program quality and quality assurance site visits

Data Collection

- Enrollment Snapshot – January 15, 2015
- Data due February 27, 2015
- Mechanism for entering enrollment numbers will be sent to you next week
- We will discuss reporting later in this webinar

A decorative border on the left side of the slide, featuring a green chalkboard texture. It includes two pieces of pink chalk, one standing upright and one lying horizontally. There are also some white chalk markings, including a curved line and a large, faint letter 'Y' or '4' shape.

Questions?

Money Matters: Fiscal Requirements and Process



Who Deals With SUFDPK Dollars?

NYSED Program Offices:

Office of Early Learning :

- Universal Pre-K
- Targeted Pre-K
- Priority Pre-K
- Statewide Universal Full-Day Pre-K
- Voluntarily registered Nursery Schools
- Federal Preschool Development Expansion Grant (New)

Grants Management :

- Initial review of budgets and amendments

NYSED Fiscal Offices:

Grants Finance :

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

Contract Administration :

- Request for proposals
- Formal Contracts

Office of the State Comptroller

- Approval of contracts
- Fiscal oversight of all payments and processes

SUFDPK Funding

Two mechanisms for awarding funds:

- **Grants** – Include School Districts
- **Grant Contracts** – Include Community Based Organizations, Colleges/Universities, Research Foundations, For-Profit Entities



SUFDPK Funding

Two mechanisms for awarding funds:

- **Grants** – Once MWBE is approved, Budgets are approved and processed, and Grant Award Notice is generated.
- **Grant Contracts** – Once MWBE is approved, budgets and program narratives are sent to Grants Finance for contact development. The contacting process will take several weeks. Once Grant Contracts are approved by the Office of the State Comptroller, the fully executed contact will be mailed, and Grant Award Notice will be generated.

Allowable Expenditures

- Program components
- Professional/Paraprofessional salaries
- Support services
- Professional Development
- Materials and Supplies
- Transportation services
- Leasing expenses or other appropriate facility expenses

No parent/guardian of a child participating in this prekindergarten program should be subject to a fee/charge for the instructional program

Three Critical Questions for All Proposed Spending:

1. Is it Necessary?
2. Is it Reasonable?
3. Is it Allocable?

All three must meet the criteria to be considered for proper and efficient performance and administration of state and 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 your agency rules for Bid Process
- Grant funds and associated expenditures of these grant funds for the Statewide Universal Full-Day Prekindergarten Program must be separately accounted and not commingled with other funds, and in the case of a school district funds must be maintained in, and expenditures made from, a special revenue (special aid) fund.



Fiscal Forms

for a Federal or State Project

FS-20: Proposed Budget Summary

FS-10: Proposed Budget Detail

FS-10-A: Proposed Amendment

FS-25: Request for Interim Payment

FS-10-F: Final Expenditure Report (Long Form)



FS-20 Proposed Budget Summary

FS-20 - a annual proposed plan summary of project expenditures that align with program goals and objectives

- Submitted with the original application, and used for the 2015-2015 program year
- Includes only the **Total** in each budget category
- FS-10As are required when changing totals in budget categories
- FS-20's will not be used in future grant years

FS-10 Proposed Budget

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

- Submitted to the Grants Management Office
- Forwarded to Program Office for review and approval/disapproval
- Upon all necessary approvals, forwarded to Grants Finance for processing
- Local agency signature must be the Chief Administrative Officer (or properly authorized designee)
- FS-10s will be used for the 2015-2016 program year, and all subsequent years of the grant



FS-10-A Budget Amendments

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

FS-10-A Amendment – Cont'd

- Timeline for submission – Generally any time between the approved project start & May 15th (5/15/15)
 - The initial program budget should be accurate so that multiple amendments are not required
 - 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***



FS-25 Request for Interim Payment

FS-25 Interim - a request for an interim payment

- Up to 25% of a school district's and/or eligible entity's awarded funds will be made available in the final quarter of the school year in which the services are provided as an advance on subsequent school year liabilities. This results in state funds first being made available as soon as April 1, 2015.
- **Submitted directly to Grants Finance**
- Important Note: Current year funds of a school district's and/or eligible entity's awarded funds will be made available after June 30, 2015, following the review and approval of annual program and fiscal reports required by the Department.

Accurate Data Reporting

- Data reported as of January 15, 2015 will determine your award ceiling for the 2014-2015 program year
- This data will also determine your award ceiling for the 2015-2016 program year
- This data will also determine the amount of your 25% advance payment to be submitted in April
- SED will notify awardees of their award ceiling once all data points have been reviewed



FS-10-F Final Expenditure Report

FS-10-F (Long Form) - detailed report of final expenditures

- Agencies must provide detail & supporting documentation as required on FS-10F Long form and must be provided upon request
- FS-10F (Long Form) submitted directly to Grants Finance
- Submit FS-10F by NO LATER than July 30th each program year
- Once the FS-10F Long form is approved, 100% of actual expenditures for the 2014-2015 program year will be paid.

Important Reminders for All Fiscal Forms

- Submit all financial forms & reports by the due date(s)
- Enter all required information on financial forms:
 - SED/Agency/BEDS code
 - Agency name
 - Contract number (if applicable)
 - Project number (10 digits)
- Send financial forms and reports to proper office:
 - FS-10 and FS-10A to Grants Management (1 original & 2 copies)
 - FS-25 and FS-10F to Grants Finance (1 original & 1 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

Minority/Women in Business Enterprise: Requirements

- Must submit M/WBE compliance documents annually for approval each year
- Must maintain M/WBE compliance throughout the year
- When submitting budget amendments, review your original approved M/WBE costs to see if goal amounts will change
- If goal amounts do change, a new M/WBE package must be submitted for review and approval by NYSED

mwbe@nysed.gov or

<http://www.oms.nysed.gov/fiscal/MWBE/Forms.html>

Grants Gateway: Not-for-Profit Entities

<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 Status Indicators

- ***Not Found*** = The vendor needs to submit the required documents to become registered in the Grants Gateway.
- ***Document Modifications Required*** = Not-for-Profits only. This status indicates that the PQS/PQSL has reviewed the Document Vault and returned it to grantee for updates.
- ***Document Vault Prequalified*** = Not-for-Profits only. This status indicates that the PQS/PQSL has reviewed the Document Vault and determined that it **does** meet all of the requirements for Prequalification.
- ***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.



Grants Finance

WWW.OMS.NYSED.GOV/CAFE/

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



More Guidance and Information

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 Information:

Grants Finance

- **INTERNET ADDRESS:**

WWW.OMS.NYSED.GOV/CAFE/

- **E-MAIL ADDRESS:**

GRANTSWEB@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



Resources & Contact Information: Grants Management

- **INTERNET ADDRESS:**

WWW.P12.NYSED.GOV/FMIS/GRANTS/

- **MAILING ADDRESS/TELEPHONE:**

Office of Grants Management
NY State Education Department
Education Bldg. Annex – Room 481
Albany, New York 12234
Phone: (518) 474-3936



Resources & Contact Information: Office of Early Learning

- **INTERNET ADDRESS:**

WWW.P12.NYSED.GOV/EARLYLEARNING/

- **E-MAIL ADDRESS:**

OEL@NYSED.GOV

- **MAILING ADDRESS/TELEPHONE:**

Office of Early Learning
NY State Education Department
Education Building – Room 320
89 Washington Avenue
Albany, NY 12234
Phone: (518) 474-5807
Fax: (518) 474-4884



Thanks!

Questions?