New York
21st Century Community Learning Centers
SOARING BEYOND EXPECTATIONS

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. Programmatic changes for a new program year will still require the submission of a program modification request. If the programmatic changes also require budget changes, these changes should be reflected in the new annual budget (FS-10) and will not require a budget amendment (FS-10A).

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, if applicable

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 for a Budget Amendment

Step 1: Prepare the Budget Amendment Documents

Acquire an FS-10-A, Budget Narrative, Composite Budget, and MWBE Goal Calculation Worksheet that are available on NYSED's [21st CCLC Fiscal](#) and [Grants Finance](#) webpages.

- **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 in the FS-10-A should include numerical calculations and align with the Budget Narrative. For example:
    - *FS-10-A: Decrease 10 teachers x $1,000 = $10,000*
    - *Budget Narrative: Due to start a month late, our program needs to reallocate $10,000 of teacher salaries from Code 15.*
  - ▶ Subtotal Increase and Subtotal Decrease

- Applicants can use both columns or calculate the row's subtotal to use only one.

SUBTOTAL	EXPLANATION (Provide same detail as required in FS-10 Budget)	SUBTOTAL INCREASE	SUBTOTAL DECREASE
15 - Professional Salaries	Increase Teachers (after school) $20,000 Reduce Teachers (before school) $1,000	$20,000	$1,000

SUBTOTAL	EXPLANATION (Provide same detail as required in FS-10 Budget)	SUBTOTAL INCREASE	SUBTOTAL DECREASE
15 - Professional Salaries	Increase Teachers (after school) $20,000 Reduce Teachers (before school) $1,000	$19,000	

- If all the budget amendment changes are happening in only one category, both boxes must be used to show money is being reallocated but that the Net increase/decrease remains $0.

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

▶ Total increases/decrease 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. *Note: Budget reductions will require a net decrease.*

▶ Include the original 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 must include a detailed written justification for the requested changes.
  ▶ This form accompanies the FS-10-A's calculations.
  ▶ This form should include a narrative explanation for each item from the FS-10 that is increasing/decreasing.
  ▶ Provide as much information as possible to reduce any potential questions from reviewers. This will help speed up the review timeline.

▶ The budget narrative form must include Key Personnel and their pay information.

KEY PERSONNEL

Identify the required 21st CCLC personnel, their salary, and budget category. If the person does not receive payment from 21st CCLC funds and is "in-kind", please note that under Project Salary.

POSITION	NAME	FTE	ANNUALIZED RATE OF PAY	PROJECT SALARY	BUDGET CATEGORY
Example 1	Jane Doe	0.5	100,000	50,000	15
Example 2	John Doe	0.2	n/a	In-kind	n/a
Program Director					
Fiscal Manager					
Site Coordinator(s)					
Educational Liaison					
Local Evaluator					
Data Manager					

▶ The budget narrative can be updated by adding to the previously submitted version. For example, the FS-10-A would show:

SUBTOTAL	EXPLANATION (Provide same detail as required in FS-10 Budget)	SUBTOTAL INCREASE	SUBTOTAL DECREASE
15 - Professional Salaries	Decrease Social Workers from 400 hours/$30 ($12,000) to 200 hrs/$30 ($6,000)		$6,000

And the Budget Narrative would show:

BUDGET CATEGORY	DESCRIPTION OF ACTIVITES (Must include more detail than the FS-10 or FS-10-A)
Code 15 Professional Salaries	5/15/25 (fs-10) Social workers play a critical role in the education system and our 21st CCLC program. They are experienced employees who have expertise and knowledge that will directly benefit the social emotional learning of students. Social workers are leaders within our school district and offer mentorship, guidance, and professional development opportunities. They will provide small group and individual counseling for students. We will have 4 social workers who will work 400 hours over the course of the year. • 11/4/25 (fs-10a #001) Our program started one month late, therefore the number of hours indicated for social workers needed to be reduced, otherwise the funds would remain unspent. Additionally, we have been unable to schedule all four social workers for the proposed hours. Social workers decreased hours from 400 to 200 (overall decrease of $6,000).

The above is an example of how a subgrantee would have their original narrative explanation from the FS-10 budget, and then would add to it with an amendment, rather than using a new, blank form.

- **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.
  - ▶ In most rows,

$$\boxed{\text{Column A}} = \boxed{\text{Column B}} + \boxed{\text{Column C}} + \boxed{\text{Column D}} + \boxed{\text{Column E}}$$

  - ▶ Except in row 3, Purchased Services, where column B is not included. Column B calculates the direct service by the lead agency, therefore any funds being purchased from a third party do not apply.

	(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**
  - ▶ Applicants must submit a revised version of the MWBE Goal Calculation Worksheet to ensure they are meeting their MWBE goal.
    - ▪ Changes to Codes 15 (Professional Salaries), 16 (Support Staff Salaries), 80 (Employee Benefits), and/or 90 (Indirect Costs) **_will_** affect the MWBE goal.
    - ▪ Changes to Code 40 (Purchased Services) **_may_** affect the 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).
  - ▶ If a program modification does not require a budget amendment but MWBE paperwork changes, the subgrantee can work directly with the MWBE office.

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: Users will be prompted to create a Survey Monkey account if they 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 the 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 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 previously indicated for review.

- **TARC Review Process.** After an application has been completed, it cannot be edited until it is reviewed by the TARC. The TARC may request additional information and documents after submission. Once reviewed, the TARC will either send the application back for editing or approve it.
    - ▶ If the application is sent back to the applicant:
        - The TARC will email the applicant to alert them that they can make edits and changes to their program modification and/or budget amendment within SMA, such as reuploading documents and forms.
        - Once the applicant resubmits their application, they must inform the TARC via email so that the TARC can reopen the application review. When the application has been resubmitted, it is not available for editing again until the TARC allows it.
    - ▶ If the application is approved, the program modification and/or budget amendment is automatically moved to the NYSED review stage.

Step 3: NYSED Review & Next Steps

- After an application has been sent to NYSED for review, it cannot be edited by the applicant until NYSED allows it. NYSED may request additional information and documents after submission.

- 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.

- Once reviewed NYSED program staff may send the application back for editing, approve it, or deny it.
    - ▶ If the application is sent back to the applicant:
        - NYSED will email the applicant to alert them that they can make edits and changes to their program modification and/or budget amendment within SMA, such as reuploading documents and forms.

- - Once the applicant resubmits their application, they must inform NYSED via email so that NYSED can reopen their application review. When the application has been resubmitted, it is not available for editing again until NYSED allows it.
  - ▶ If the application is **approved**, applicants will receive an email from the program office requesting the completed FS-10-A, with an ink signature and two copies, be sent to:

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

  - ▶ Upon approval from the program office, the budget amendment will be sent to MWBE and then Grants Finance for their approvals.
  - ▶ If the application is **denied**, applicants will receive an email with an explanation.

- In alignment with [Records Retention Policy](#) and [Grants Finance Fiscal Guidelines for Federal and State Funded Grants](#), a subgrantee should maintain all approved NYSED program modifications for the duration of the grant.

- **If there are technical difficulties with the SMA platform, **please use the support function** within the Survey Monkey Apply Portal.