



STATE OF NEW YORK
EXECUTIVE DEPARTMENT
DIVISION OF THE BUDGET
STATE CAPITOL
ALBANY, NEW YORK 12224
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DIRECTOR OF THE BUDGET

BUDGET BULLETIN	B-1128	June 8, 1992
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To: ALL DEPARTMENT AND AGENCY HEADS

From: Patrick J. Bulgaro

Subject: Local Grant Awards Reporting

1. Purpose:

This item provides State agencies with guidance on maintaining records and reporting on progress in implementing contracts for local grant awards.

See Budget Bulletin B-1081 for policies and procedures for administering local grant awards.

This bulletin supersedes Budget Bulletin B-1099, issued September 1, 1989.

2. Record Maintenance

All documentation pertinent to each local grant award is maintained within the State agency and includes the following:

- Copy of the appropriation language for the award and if available, copy of the award notification from the Legislature.
- Correspondence between the agency and the grantee including grant applications;
- Grant contracts and amendments;
- Contract encumbrance documents;
- Contract payment vouchers; and
- Project status and completion reports.

3. Reporting:

This bulletin establishes a system and format for State agency reports to the Legislature and the Division of the Budget on the status of contract processing and funding allocations for local grant awards.

- a. **Reporting Requirement:** Agencies submit a Local Grant Awards Report (LGAR) for all local grant awards listed in the annual report of the fiscal committees ("Green Book") or other document issued by the Legislature to identify local grant awards.
- b. **Report Initiation and Frequency:** LGAR's are submitted on the first day of each month beginning July 1992.
- c. **Report Format:** Each agency uses the LGAR (see attached format and instructions) for reporting.

Reports are broken into two main headings: Senate and Assembly. Within each of these, records are listed by Line Items to show local grant awards lined out in the appropriation act and Lump Sums to list local grant awards financed through lump sums. Do not enter the lump sums themselves, only the projects funded by them.

- d. **Report Period:** A separate LGAR is prepared to show appropriations for local grant awards for each fiscal year beginning 1990-91. Reports do not include reappropriations. Include only appropriations made for the first time in the fiscal year covered by each report.

A separate LGAR is prepared for local grant awards for which funds were appropriated in fiscal years 1990-91, 1991-92, and 1992-93. Include details only on projects for which undisbursed balances remain: as soon as the costs of a project are fully paid, the project is dropped from the detailed listing, although certain financial data about such completed projects will be shown in LGAR summary totals (see below, item 17. of instructions for completing the LGAR).

Do not include information on any appropriated lump sums about which no project detail is yet known. Do not include information on any project financed by a lump sum until you receive a project initiative form from the Legislature.

- e. **Report Compliance:** Any agency unable to meet all of the LGAR requirements should submit as much of the required information as possible. Such an agency should work with the Division of the Budget to develop a plan to achieve full compliance through the LGAR or a similar report more readily provided by the agency.

- f. **Report Submission:** Each agency administering local grant awards submits one copy of each report to the following parties:

Mr. Stephen M. Fletcher
Deputy Chief Budget Examiner
Internal Control Unit
Division of the Budget
State Capitol
Albany, NY 12224

Mr. Alan G. Billingsley
Assembly Ways and Means Committee
Room 409
State Capitol
Albany, NY 12224

Mr. Peter Brown
Assembly Ways and Means Committee
One Commerce Plaza
Albany, NY 12210

Mr. Paul Reuss
Senate Finance Committee
Agency Building 4
Albany, NY 12247

Ms. Lynn Kopka
Senate Finance Minority
Gov. AESOB
Albany, NY 12247

4. Local Grant Award Coordinators:

Each agency designates an individual and an alternate to answer questions about the status of individual local grant awards.

By July 1, 1992, each agency notifies the Division of the Budget of its designations. DOB subsequently provides these names to the Legislature to facilitate follow-up on local grant awards.

Any questions on this item should be directed to the Division of the Budget, Internal Control Unit, 474-2364.

**INSTRUCTIONS FOR COMPLETING THE
LOCAL GRANT AWARDS REPORT (LGAR)**

1. **HEADING** - Enter the required data: Agency Name, Date of the Report and the Fiscal Year of the appropriations for the items listed. Submit one fiscal year per report and include only new appropriations. Reappropriations are listed only in the report for the year of initial appropriation.
2. **INCORPORATED NAME OF RECIPIENT ORGANIZATION** - This name usually is shown on the project initiative form sent to the agency by the Legislature. Check to be sure the name on the sheet is the incorporated name of the recipient. Enter the incorporated name if it is different from the name listed on the legislative sheet.

For the 1990-91 and 1991-92 reports only, use the original Green Book descriptions and lump-sum project listings in alphabetic order.
3. **CONTRACT NUMBER** - Enter the contract number assigned to the contract by the agency.
4. **DATE RECIPIENT NOTIFIED OF AWARD** - Enter the date that the agency notified the organization of the grant award and informed the organization of the procedures required to receive grant payments.
5. **DATE COMPLETE APPLICATION RECEIVED** - Enter the date that the organization completed its application for the grant award and contract. Use the date the organization submitted all required parts of the application - do not enter the initial submission date if the application was incomplete.
6. **DATE AGENCY APPROVED CONTRACT** - Enter the date the agency approved the grant application and contract.
7. **DATE CERTIFICATE SENT TO DOB** - Enter the date the certificate was sent to DOB to allocate funds for the contract.
8. **DATE CERTIFICATE APPROVED BY DOB** - Enter the date DOB approved the certificate.
9. **DATE CONTRACT SENT TO LAW** - Enter the date the contract was sent to the Attorney General's Office for approval.

10. **DATE CONTRACT APPROVED BY LAW** - Enter the date the contract was approved by the Attorney General's Office.*
11. **DATE CONTRACT SENT TO OSC** - Enter the date the contract was sent to OSC for approval.*
12. **DATE CONTRACT APPROVED BY OSC** - Enter the date the contract was approved by OSC.
13. **AMOUNT OF APPROPRIATION** - Enter the total appropriation for a line item that appeared in an appropriation act or the allocation from a lump sum for a specific project that was defined by the Legislature after appropriation.
14. **OBLIGATED** - Enter the contract amount encumbered, which may be different from the appropriation or allocation.
15. **DISBURSED** - Enter the cash payments made or authorized to be made, against the contract.
16. **AVAILABLE** - Enter any remaining obligational authority under the appropriation or allocation for this local grant award. Determine by subtracting item 14 from item 13. **Do not enter zero remainders.**
17. **REPORT ORGANIZATION AND TOTALS** - Each monthly report will be primarily organized alphabetically within SENATE and ASSEMBLY. Each of these sections will be divided into two sections: LINED OUT to show projects that are lined out in the appropriation act and LUMP SUM to list projects that are financed from lump sums that were subsequently defined by the Legislature.

Reports should show totals for columns 13 through 16 as follows:

- For Senate Line Items
- For Assembly Line Items
- For Senate Lump Sums
- For Assembly Lump Sums
- For Senate Line Items and Lump Sums

- For Assembly Line Items and Lump Sums
- For Line Items, both houses
- For Lump Sums, both houses

The report should, on a separate line, show totals for each heading 13. through 16. for all projects that have been omitted from the report because their costs have been fully paid (see section 3d. above).

On a final line, list the totals for all projects: Senate and Assembly, whether financed from line items or lump sums. Include data from projects that have been completed as discussed in the preceding paragraph.

*If it is agency policy to ask the Attorney General to forward contracts directly to OSC after AG approval, enter "NA" in this column.

