



Form Instructions: Fiscal Filing Instructions

Accessing the Financial Information section

From the Dashboard, select Operational Plans, then select Regulatory Compliance. Next, select + New, which can be found on the upper left side of the page. Under General information you will need to choose the type of entry being made: Financial Information (shelter budget) or Hotel/Motel rates.

- To create a shelter budget, select Financial Information in the Type of Submission box, then select the name of the shelter using the lookup tool in the Shelter Name box, and select Save in the lower right hand corner of the page. A new screen will appear. Select the Financial Information link to continue. The provider can now begin entering data in each of the section.

Completing the Financial Information section

Please complete each portion of the Annual Budget that is applicable to your shelter. For any section(s) that do not apply, you can enter zero (0), or leave it blank. Please adhere to the following steps to create a budget in SMS. Only current year budget data may be entered into SMS. Information for last year's budget will populate automatically if there is an approved budget in SMS; otherwise, it will be blank.

Attachments should only be included in the corresponding section.

A copy of the Fiscal Filing Instructions, which provides detailed instructions for each section, can be accessed by clicking the link [Fiscal Profile](#). The Fiscal filing instructions will open in a separate window to allow for easy viewing during the budget process.

The budget includes the following sections. Please remember to save your work using the button in the lower right corner of the page. Please begin by entering the budget year under Workflow Actions:

- **Financial Information Details:** Included in this category are the effective date, term of contract, start-up percentage, capacity, occupancy rate, contract number, and whether the shelter is operating for the entire fiscal year.
- **Budget Overview:** This category will populate automatically based upon entries in other categories.
- **Personnel Services (PS)** Included in the category are Administration, Social Work, Child Care, Recreation, Case Management, Security, Maintenance, Motor Vehicle Operator, Kitchen, and Fringe Benefits. Click on the + sign on the right side of the page to add a new Personnel Service record. Select a category and fill in the title and other required information for the Current Year, then click save. Justifications are required for every budget line item that increases or decreased by more than 10% or \$10,000 from the previous year's fiscal budget. If there is a previously approved budget in SMS, the system will prompt you to add a Justification for all lines that require it. Additionally, if there is any revenue that is related to a particular expenditure, please enter that revenue in the Budget Not Funded Through LDSS section. An example of this would be grant funding that supports a specific staff position.

- **Other than Personnel Services (OTPS)** Included in this category are Office Equipment, Client Supplies/Furniture, Client Transportation, Utilities, Office Expenses, Professional Services, Maintenance/Repair, Mechanical Systems Contracts, Food, Contracted Security, and Vehicle Expenses. Please enter figures in the current budget column for each line. For any line that does not apply, you may enter zero (0) or leave it blank. Please remember to click save as you complete each subcategory. Justifications are required for every category that increases or decreased by more than 10% or \$10,000 from the previous year's fiscal budget. If there is a previously approved budget in SMS, the system will prompt you to add a Justification for all lines that require it. Additionally, if there is any revenue that is related to a particular expenditure, please enter that revenue in the Budget Not Funded Through LDSS section.
- **Administrative Overhead** Included in this category are facility charges from the sponsoring agency, if applicable. Click on + on the right side of the page to add a new administrative overhead record. Fill in the required fields, then click save. Repeat until all administrative overhead records are entered.
- **Debt Service Amortization** Debt service on refinanced facility capital costs that have been specifically pre-approved by DSOC may be permitted. Click on the + on the right side of the page to add a debt service amortization record. Fill in the required fields, then click save. Repeat until all debt service amortization records are entered.
- **Depreciation** All replacement and acquisition of equipment, furnishings, vehicles, and property individually costing more than \$1500 must be capitalized with the resultant depreciation expense reported in the Depreciation section. Click on the + on the right side of the page to add a depreciation record. Fill in the required fields, then click save. Repeat until all depreciation records are entered.
- **Start-up** Start-up costs incurred by a new program/facility prior to its operational starting date may be reimbursable, but only upon prior approval from DSOC. For each eligible category, please enter the number of FTEs (if applicable), as well as the starting date and total cost of start-up costs.
- **New Needs Request** Facilities may experience a change in operations from the previous year that necessitates increased staffing or new OTPS expenses. Such change may be in response to identified regulatory deficiencies or be necessary for unique service for a specific location. Generally, such modifications should include a dedicated funding source. All requests should include a detailed description, justification, and funding source. Click on the + on the right side of the page to add a debt service amortization record. Fill in the required fields, then click save. Repeat until all new needs records are entered.
- **Consultant Project** Consultant contact project information is required for every consultant contract where reimbursement is sought within the Mechanical Systems, Contracted Security and Professional Service categories. Click on the + on the right side of the page to add a consultant project record. Fill in the required fields, then click save. Repeat until all consultant project records are entered.
- **Rent** Rental costs for property are allowable if the costs are reasonable when compared to similar facilities of like type, life expectancy, condition, and value in the area. Please enter the current rent, and justification, if needed.
- **Revenue** All revenue received by the Agency/Provider that is not paid based upon the established shelter per diem rate and care days must be detailed. Revenue that is related to a particular PS or OTPS expenditure should have been entered above. If revenue is not related to a particular PS or OTPS expenditure, then it should be entered here. An example of this is general fundraising to support shelter operations.
- **Attachments** Please attach all necessary documents that apply to this facility, including a copy of the [Insurance Detail Form](#).
- **Provider Attestations** There are two attestations for shelter providers: First, providers must attest that they maintain proper insurance coverage for the facility and if applicable, agency vehicles. Second, the provider must attest that the financial information submitted is true, correct, and complete.

Submitting the Financial Information section

- After the provider has completed the shelter budget, it will be submitted to the Local Social Services District (LDSS) for review. To do this, the provider must complete the Provider Certification and Provider Attestation fields by providing the name and title of the appropriate staff person, then select the Completed checkbox under Workflow actions and click save. The district may now review the budget. If the LDSS determines that all sections have been accurately completed, the budget can be submitted by the LDSS to DSOC for review by completing the following steps: first, on the financial information page, select the District Reviewed checkbox under Workflow Actions and click save. Then, navigate to the Regulatory Compliance page, check the Completed checkbox, select Submit as the work item status, click OK to the pop up attestation, and click save. Once reviewed, DSOC will send back a Request to Amend if corrections or more information is needed. All data entered can be edited until the budget is approved by DSOC. Once the budget is approved, any subsequent revisions can only be made through a Change Request.

Reminders:

Each section can be opened and completed at the same time by different individuals. However, only one individual can be in each of the sections at a time. E.g.: someone can fill in the Programmatic section while someone fills in the Budget section.

Clicking on the **back arrow <** will navigate you back to the main page of the Operational Plan.

Attachments: Only attach the requested documents to their corresponding section. Do not add documents that OTDA has not requested. Do not attach a document in lieu of describing a process. Do not attach documents that have resident information in them or have information that has been whited out. Do not scan all documents and attempt to attach them to just one section as SMS will not allow it. Each attachment request is allowed 1 to 5 uploads based on the documentation we are requesting. Attachments cannot be larger than **5 MB** per attachments. Upload Word documents whenever possible. PDF documents are significantly larger than Word documents and take up excessive data space. When attaching a picture, only attach JPEGs or PNGs and if possible, convert them to their smallest size. SMS will not allow for a zipped file folder to be uploaded. The more attachments an application has, the slower the application will run. While initially time consuming, this process will allow the provider or district the ability to change a single document in SMS if required rather than having to re-attach all documents.

- Most of the documents entered into SMS will not have to be uploaded again unless you have made a significant change to a process or building structure. DSOC will notify the district or provider if documentation is missing and needs to be uploaded through a **Request to Amend** in SMS. At the time of a change request or re-certification, outdated documents can be deleted, and new ones uploaded.

Webinars will be scheduled periodically throughout the year to provide step by step guidance with navigating SMS and submitting an operational plan. You may reach out to OTDA for webinar dates and times or check the Announcement section on the SMS Dashboard. Quick Reference Cards (QRC) can be located within the HELP Section under Trainings which can be used to navigate through SMS.

Please reach out to otda.sm.css.bss@otda.ny.gov or smshelpdesk@otda.ny.gov for any questions or concerns with this process.