Executive Order 38 – Disclosure

This section will familiarize the user on the methods used to navigate through the Disclosure Screen.
Disclosure

From the Executive Order 38 webpage http://executiveorder38.ny.gov, click the Disclosure link.

Log into the Disclosure section using your Username and Password, provided by Grants Gateway:
After logging in, the next screen that is displayed is the Information screen:

There are four tabs, **Information**, **Update Details**, **Submit Disclosure** and **Apply for Waiver**:

**The Submit Disclosure tab**
Click the **Submit Disclosure** tab. The **Submit Disclosure** tab allows you to:

1. Select the links for the Worksheets,
2. Review Submitted Disclosures,
3. Add a new Disclosure,
4. Continue work on a previously started Disclosure
Add Disclosure

Select the Add Disclosure button to start filling out the Disclosure:

- Please review the guidance, regulations, definitions and terminology before completing this form.
- Enter all dollar values as whole numbers.
- The method of accounting used by the individual/entity in producing the annual financial reports shall be used in all EO-38 calculations.
- Individuals/entities must keep all supporting documentation used for the disclosure statement (including, but not limited to, any of the recommended EO-38 Worksheets used in the process) and must be able to provide that documentation upon request.

Worksheets
- Executive Compensation Calculation Worksheet
- Program Services and Admin Expenses Calculation worksheet
- SFSAP Calculation Worksheet

Submitted Disclosures
A new screen will appear, displaying all Four Steps required to complete the Disclosure. Here you:

1. State whether your organization is a Covered Provider (along with the Reporting Period),
2. Add a Covered Executive,
3. Disclose your Administrative Expenses
4. Add a preparer not listed (or select one that is already listed)
Step 1: State whether your organization is a Covered Provider (including the Reporting Period)

If applicable, check the box stating that you are a Covered Provider and choose the timeframe for the Covered Reporting period (from the drop-down list).

Once you select the Covered Reporting Period, the Lead Agency and other Agencies will display. You will also get a message telling you that you must upload the PDF copy of the Determination Worksheet.

Click the **Upload PDF** button.
At this point it is just like attaching a pdf to a document

Find the document that you want to upload and click the **Open** button.
You will be taken back to the Disclosure form and a message will pop up telling you to click OK to upload the PDF. Click **OK**.

The PDF will now appear at the bottom of the Organization Information.
You can View the PDF by clicking the View PDF button.

You can Delete the PDF by clicking the Delete button.

**Step 2: Add a Covered Executive**

If you need to fill out the Executive Compensation Calculation Worksheet you can open that Excel Worksheet.

If applicable, check the box stating that your organization does not have staff that meets the definition of a Covered Executive.

Once you click the link, the Executive Information screen will open.

From this screen you can Select an Executive from the Executive drop-down list or Add a New Executive by clicking the Add New Executive checkbox.
If you select an Executive from the list,

The Executive’s name will populate then you can fill out the rest of the form.
Note: All fields are required.

Most of the fields are free text fields, where you can type information in the field. Title and Waiver Status are dropdown fields, where you have to make a selection from the dropdown.

You can Exit (without saving your information) from this screen by selecting the in the upper-right-hand-corner of this screen.

You can clear this screen of the information and start over again by selecting .

When you complete the Executive Information screen, select .
When submitting the Executive Information screen, you may get a warning that you must Submit a Waiver. Click the OK button to continue.

If you select the Add New Executive checkbox, you will have to fill out the entire Executive Information form.
The Covered Executive section will now display the Covered Executive information:

**Step 2 - Covered Executive**

- **Executive Compensation Calculation Worksheet**
  - This organization does **NOT** have staff that meets the definition of a Covered Executive.
  - The following are our organization’s Covered Executives: (includes but is not limited to directors, trustees, officers, and top 10 key employees).

  - **Harry M Greene**, Assistant Executive Director
    - EO39 Compensation - $200,000
    - Benchmark Percentile - $200,000
    - Waiver Status - Not Submitted

  + [Add an Executive not listed]

**Note:** You can Edit or Delete the Executive Information by clicking the person’s name (link) to open the form.

**Step 3: Disclose your Administrative Expenses**

**Step 3 - Administrative Expenses**

- **Program Services and Admin Expenses Calculation worksheet**
  - Total Administrative Expenses
    - $(from line D of the worksheet “Category Totals - Administrative”)
  - Total Program Services Expenses
    - $(from line D of the worksheet “Category Totals - Program Services”)
  - Covered Operating Expenses
    - $(blank)
  - Administrative Expenses %
    - Calculation
    - [Calculate]
  - Waiver Status
    - [Dropdown]

You can select the **Program Services and Admin Expenses Calculation worksheet** link to complete.

Next, fill in the **Total Administrative Expenses** and **Total Program Services Expenses** fields.

The **Covered Operating Expenses** field fills in automatically:
Step 3 - Administrative Expenses

Program Services and Admin Expenses Calculation worksheet

Total Administrative Expenses $100000
(from line D of the worksheet "Category Totals - Administrative")

Total Program Services Expenses $200000
(from line D of the worksheet "Category Totals - Program Services")

Covered Operating Expenses $120000

Administrative Expenses % Calculation

Waiver Status

Click the Calculate button for the Administrative Expenses % Calculation.

Also, choose a Waiver Status from the dropdown:

You can clear this screen of the information and start over again by selecting Reset.
Step 4: Preparer Information

You can select a Preparer that is listed by clicking the radio button next to their name.

You can add a Preparer not listed by clicking the Add a preparer not listed link.
The Preparer Information screen will open. Fill out the form:

**Required Fields**

- **Preparer Name**: Betty B. Blue
- **Business Name**: ABC Provider
- **Relationship to Provider**: Employee
- **Preparer Address**
  - Address 1: 345 State Rd.
  - City: Schenectady
  - State: NY
  - Zip: 12534
- **Preparer Phone**: (518) 555-5654 x5654
- **Preparer Email**: betty.blue@abc.com

**Note**: you must fill in all of the Required fields (*), or you will receive a popup message telling you what field you are missing.

When you complete the Preparer Information screen, select **Submit**.

**Step 4 - Preparer Information**

- Add a preparer not listed
- **Steve M. Woods**, ABC Provider, (Accountant)
- **Betty B. Blue**, ABC Provider, (Employee)
Note: You can Edit or Delete the Preparer Information by clicking the person’s name to open the form:

If there is more than one Preparer listed click the radio button that coincides with the name to select that person as the Preparer.

You can show or hide the Preparer Information by selecting (Show/Hide Info).

When everything is completed on the form, select Confirm Disclosure.

When Confirming the Disclosure, you may get a message saying that you must submit a Waiver. Select the OK button to continue.
You will see the completed Disclosure:

**Executive Order #38**

**Provider Name:** EO38 Organization 1  
**Federal Employer Identification Number:** 675846902

1. Information  
2. Update Details  
3. Submit Disclosure  
4. Apply for Waiver

**Step 1 - Organization Information**
- **Load Agency:** Office for People with Developmental Disabilities  
- **Other Agencies:** Department of Health  
  Office for the Aging  
  Office of Mental Health  

**Covered Reporting Period (CRP):** 07/01/2013 to 06/30/2014  
**Determination PDF File:** ABC_Determination_2014.pdf

**Step 2 - Covered Executive**
- Harry M Greere, Administrative Assistant  
  EO38 Compensation - $200,000  
  Benchmark Percentile - $200,000  
  Waiver Status - Not Submitted

**Step 3 - Administrative Expenses**
- **Total Administrative Expenses:** $1,000,000  
- **Total Program Services Expenses:** $200,000  
- **Covered Operating Expenses:** $1,200,000  
- **Administrative Expenses Percentage Calculation:** 83%

**Step 4 - Preparer Information**
- **Preparer:** Betty B. Blue, ABC Provider  
  (Employee)  
  345 State Rd., Schenectady NY 12054  
  (518) 655-5664 x5664  
  betty.blue@abc.com

**Application Affirmation**
By submission of this Disclosure Form to the State of New York I hereby affirm that the information provided is true and correct and that I am duly authorized by the board of directors or equivalent governing body of the Covered Provider named herein to submit this Disclosure Form to the State of New York on its behalf. The Disclosure Form and the information provided herein may be subjected to review, evaluation, and audit by the State of New York, its agents or authorized representatives at any time following its submission.

☐ I affirm the information I am submitting is accurate to the best of my knowledge.

It is hereby affirmed that the executive compensation provided to the aforementioned covered executive by the covered provider during the covered reporting period was: (1) (a) reviewed and approved by the covered provider’s board of directors or equivalent governing body (if such a board or body exists) including at least two independent directors or voting members, or (b) reviewed on behalf of the full board by a duly authorized compensation committee including at least two independent directors or voting members whose actions were reviewed and ratified by such board, AND (2) that such review included an assessment of appropriate comparability data.

☐ I affirm the information I am submitting is accurate to the best of my knowledge.
A message will then appear at the top of the completed Disclosure stating that you must Attest to the information on the form:

⚠️ Please attest to the information being submitted below

Scroll down to the **Application Affirmation** section and check the **two** boxes that you affirm:

By submission of this Disclosure Form to the State of New York I hereby affirm that the information provided is true and correct and that I am duly authorized by the board of directors or equivalent governing body of the Covered Provider named herein to submit this Disclosure Form to the State of New York on its behalf. This Disclosure Form and the information provided herein may be subjected to review, evaluation, and audit by the State of New York, its agents or authorized representatives at any time following its submission.

☐ I affirm the information I am submitting is accurate to the best of my knowledge.

It is hereby affirmed that the executive compensation provided to the aforementioned covered executive by the covered provider during the covered reporting period WAS: (1) (a) reviewed and approved by the covered provider’s board of directors or equivalent governing body (if such a board or body exists) including at least two independent directors or voting members, or (b) reviewed on behalf of the full board by a duly authorized compensation committee including at least two independent directors or voting members whose actions were reviewed and ratified by such board, AND (2) that such review included an assessment of appropriate comparability data.

☐ I affirm the information I am submitting is accurate to the best of my knowledge.

**Note:** You can go back to the Disclosure form to Edit the form by selecting **Edit**

1/20/2015
**Note:** Once you Affirm Disclosure, you cannot go back and make any changes to the form.

Select [Affirm Disclosure] to finalize the Disclosure.

You will receive a success message:

Disclosure has been successfully attested. Contact your agency representative to modify this disclosure.

Below this success message, you will find a button to Generate Disclosure PDF, if you would like to print this completed form.

[Generate Disclosure PDF]

You can log out of the Disclosure form by selecting [Logout], located in the upper right hand corner of the screen.
Remember: You can always log back in, select the Disclosure tab, and then View the submitted Disclosure by selecting the Reporting Period link:

Executive Order #38

Provider Name: EO38 Organization 1
Federal Employer Identification Number: 0756400302

1. Information  2. Update Details  3. Submit Disclosure  4. Apply for Waiver

Notes

- Please review the guidance, regulations, definitions and terminology before completing this form.
- Enter all dollar values as whole numbers.
- The method of accounting used by the individual/entity in producing the annual financial reports shall be used in all EO-38 calculations.
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Worksheets

- Executive Compensation Calculation Worksheet
- Program Services and Admin Expenses Calculation worksheet
- SF/SAP Calculation Worksheet

Submitted Disclosures

<table>
<thead>
<tr>
<th>Reporting Period</th>
<th>Preparer</th>
<th>Attested By</th>
<th>Submitted Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>07/01/2013 - 06/30/2014</td>
<td>Betty B Blue</td>
<td>GR EO38</td>
<td>January 09, 2015</td>
<td>Submitted</td>
</tr>
</tbody>
</table>

⚠ User must add Cover Reporting Period (CRP) in the Update Details Tab, before submitting a Disclosure.