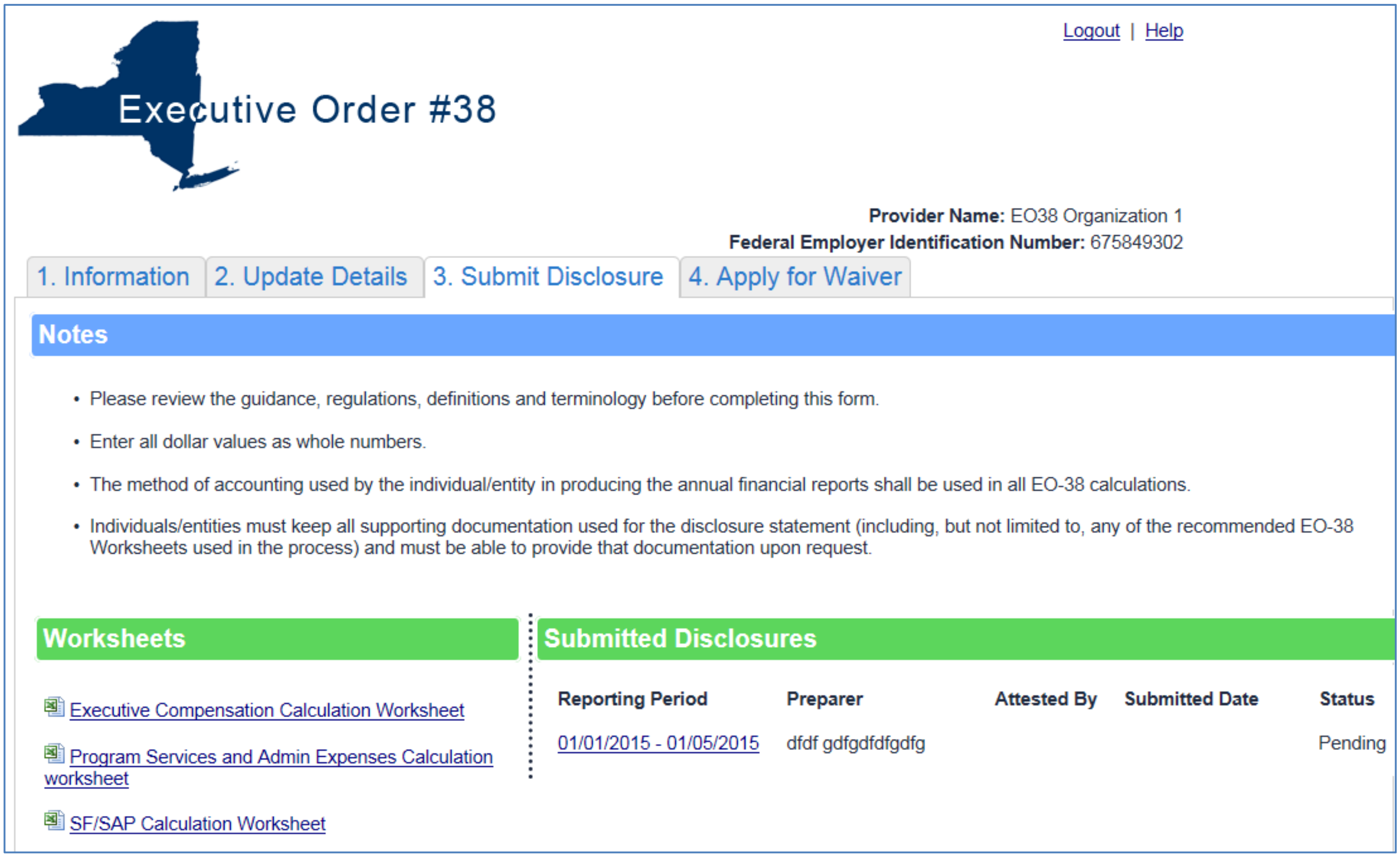
Executive Order 38 – Disclosure

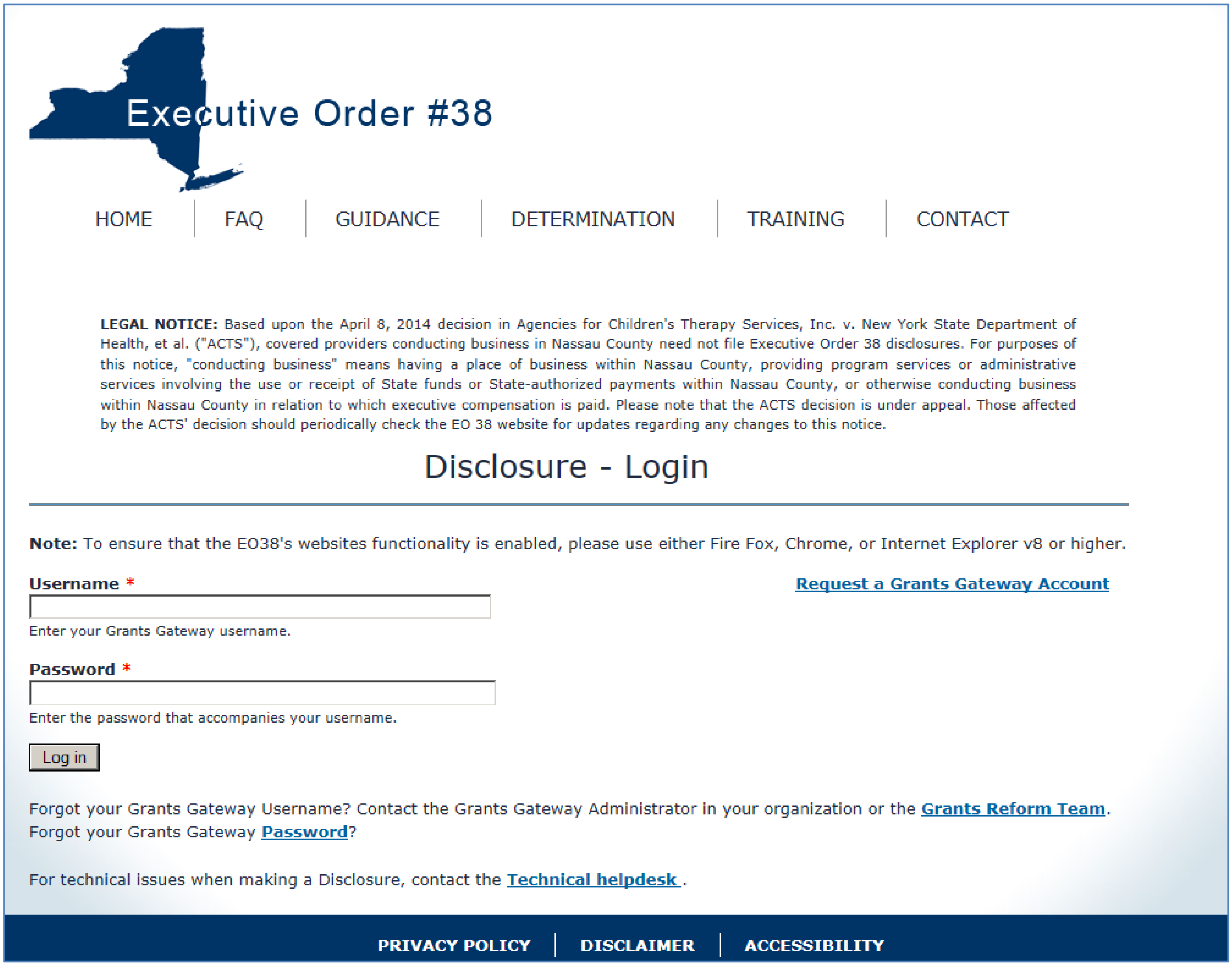


This section will familiarize the user on the methods used to navigate through the Disclosure Screen.

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:



Executive Order #38

HOME | FAQ | GUIDANCE | DETERMINATION | TRAINING | CONTACT

LEGAL NOTICE: Based upon the April 8, 2014 decision in Agencies for Children's Therapy Services, Inc. v. New York State Department of Health, et al. ("ACTS"), covered providers conducting business in Nassau County need not file Executive Order 38 disclosures. For purposes of this notice, "conducting business" means having a place of business within Nassau County, providing program services or administrative services involving the use or receipt of State funds or State-authorized payments within Nassau County, or otherwise conducting business within Nassau County in relation to which executive compensation is paid. Please note that the ACTS decision is under appeal. Those affected by the ACTS' decision should periodically check the EO 38 website for updates regarding any changes to this notice.

Disclosure - Login

Note: To ensure that the EO38's websites functionality is enabled, please use either Fire Fox, Chrome, or Internet Explorer v8 or higher.

Username *

Enter your Grants Gateway username.

Request a Grants Gateway Account

Password *

Enter the password that accompanies your username.

Log in

Forgot your Grants Gateway Username? Contact the Grants Gateway Administrator in your organization or the **Grants Reform Team**.
Forgot your Grants Gateway **Password**?

For technical issues when making a Disclosure, contact the **Technical helpdesk** .

PRIVACY POLICY | DISCLAIMER | ACCESSIBILITY

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**:

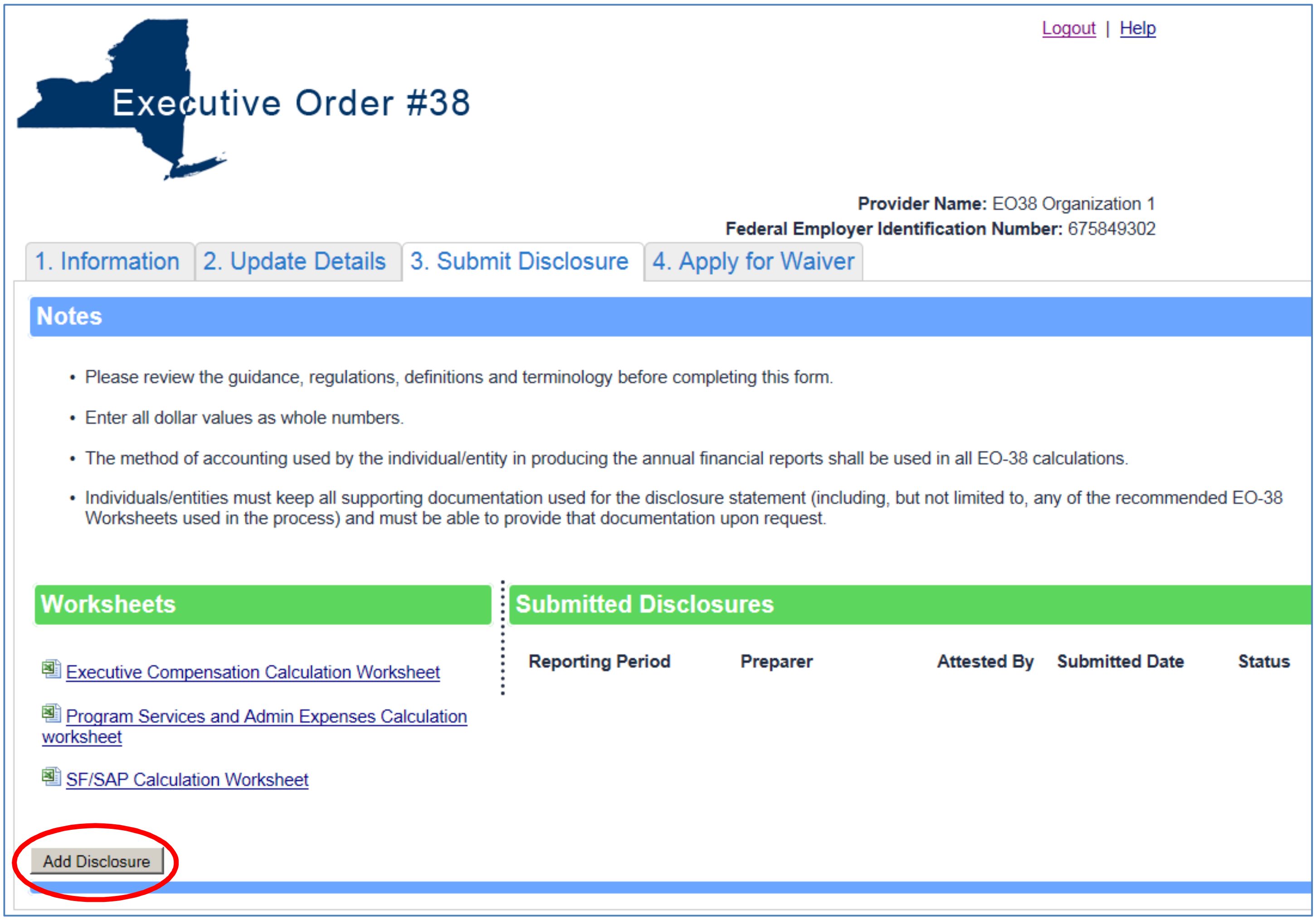
<u>The Submit Disclosure tab</u>

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

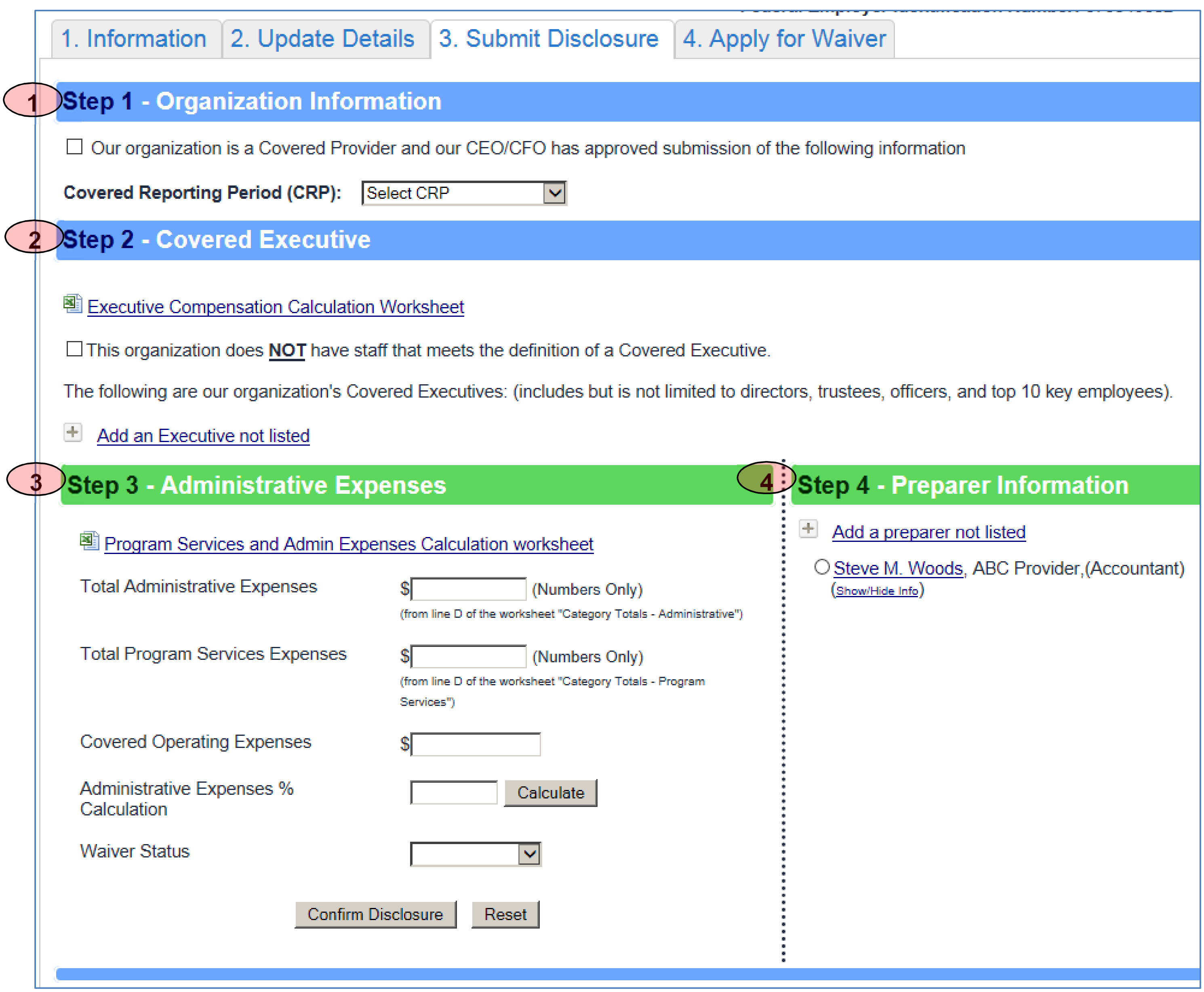
Add Disclosure

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

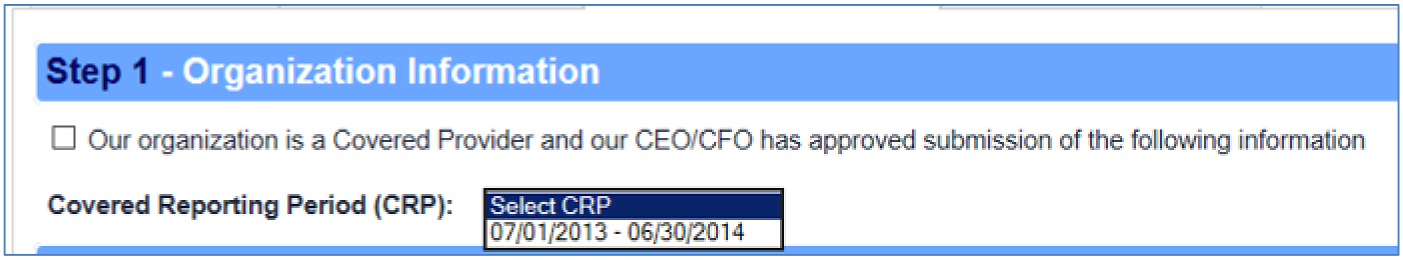


A new screen will appear, displaying all Four Steps required to complete the Disclosure. Here you:

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)



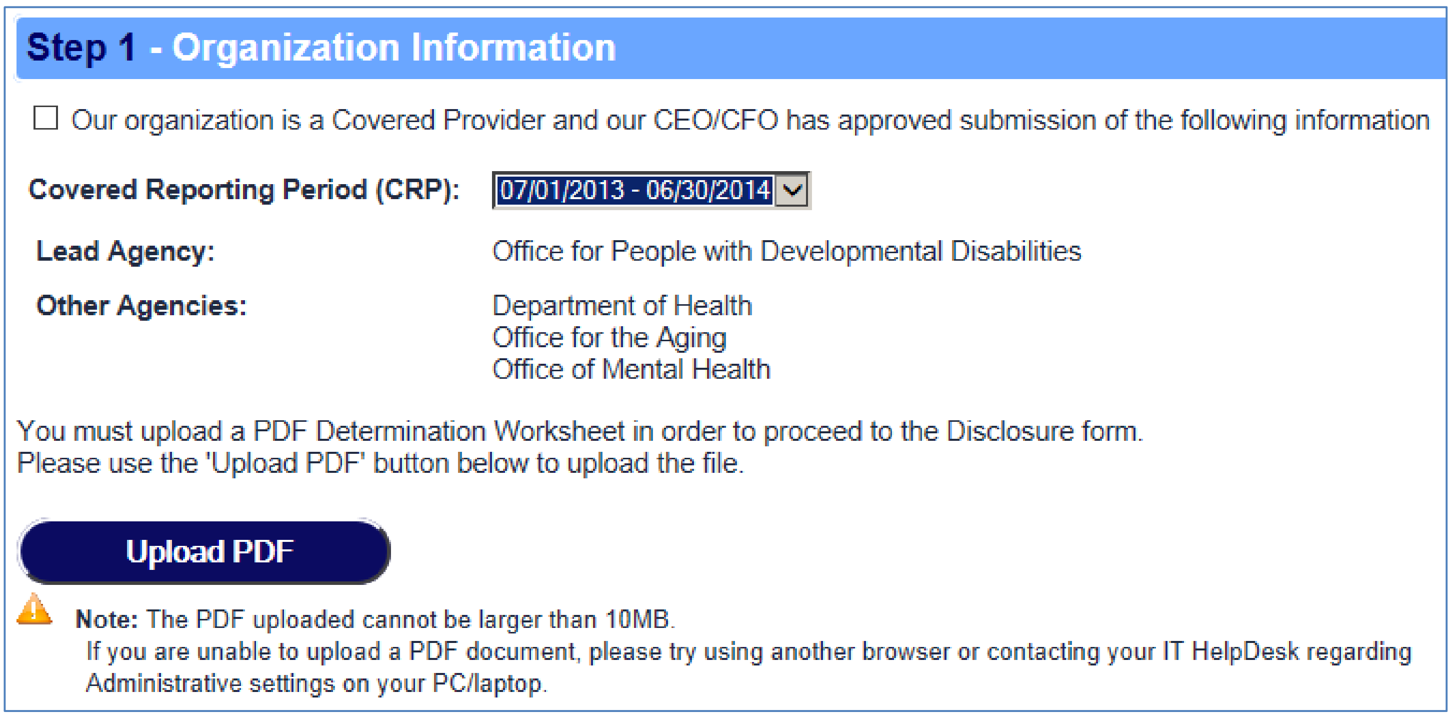
<u>Step 1: State whether your organization is a Covered Provider (including the Reporting Period)</u>



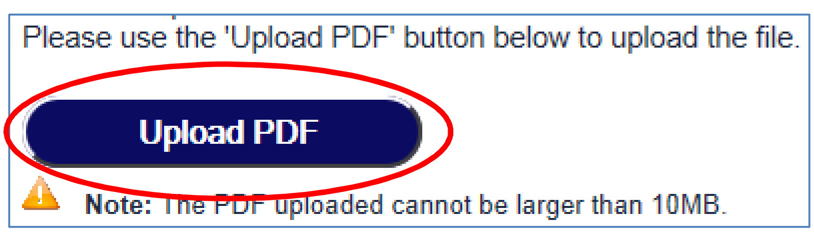
If applicable, check the box stating that you are a Covered Provider and choose the timeframe for the Covered Reporting period (from the drop-down list).

Once you select the Covered Reporting Period, the Lead Agency and other Agencies will display.

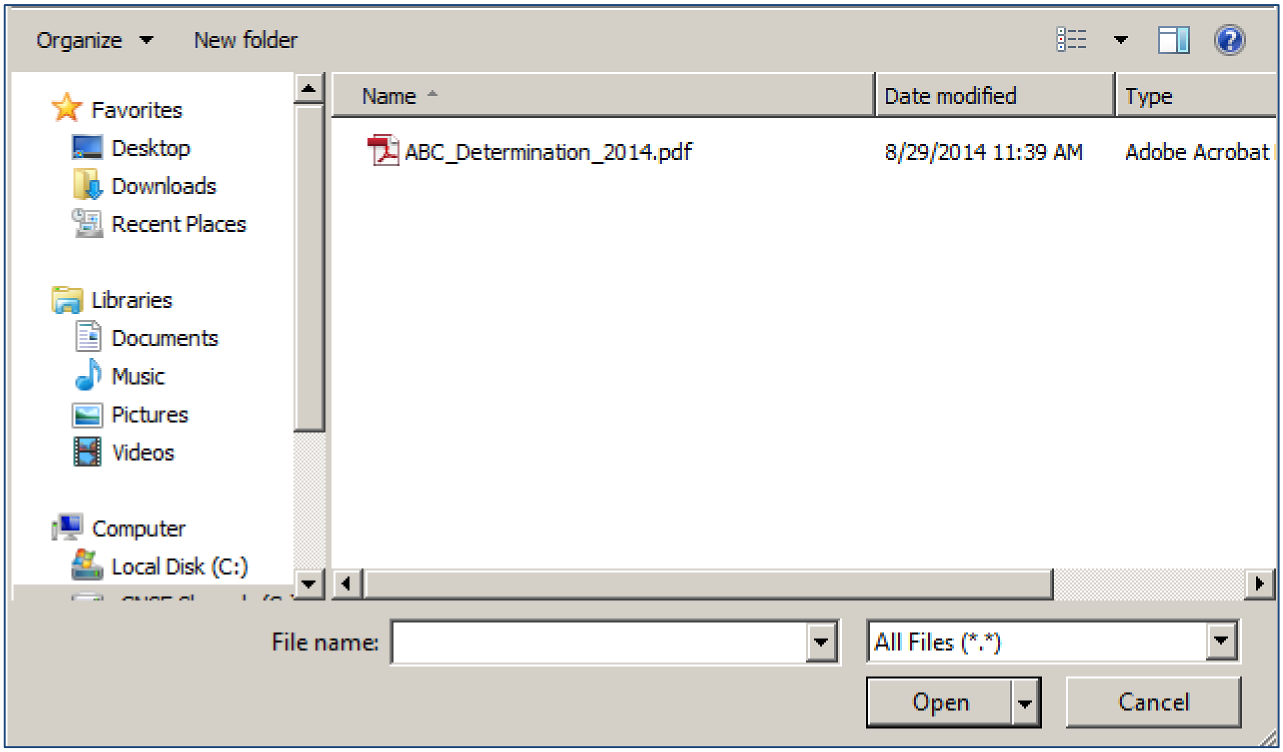
You will also get a message telling you that you must upload the PDF copy of the Determination Worksheet.



Click the **Upload PDF** button.

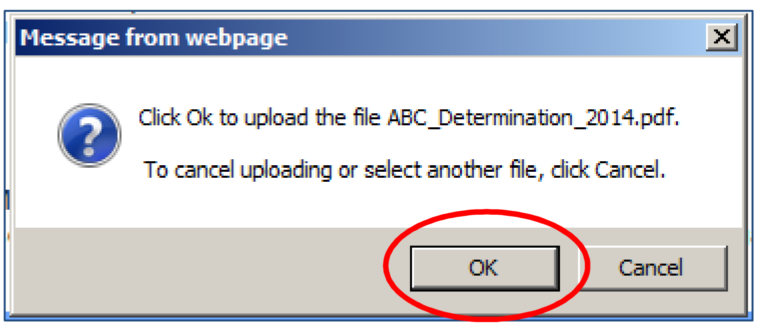


At this point it is just like attaching a pdf to a document

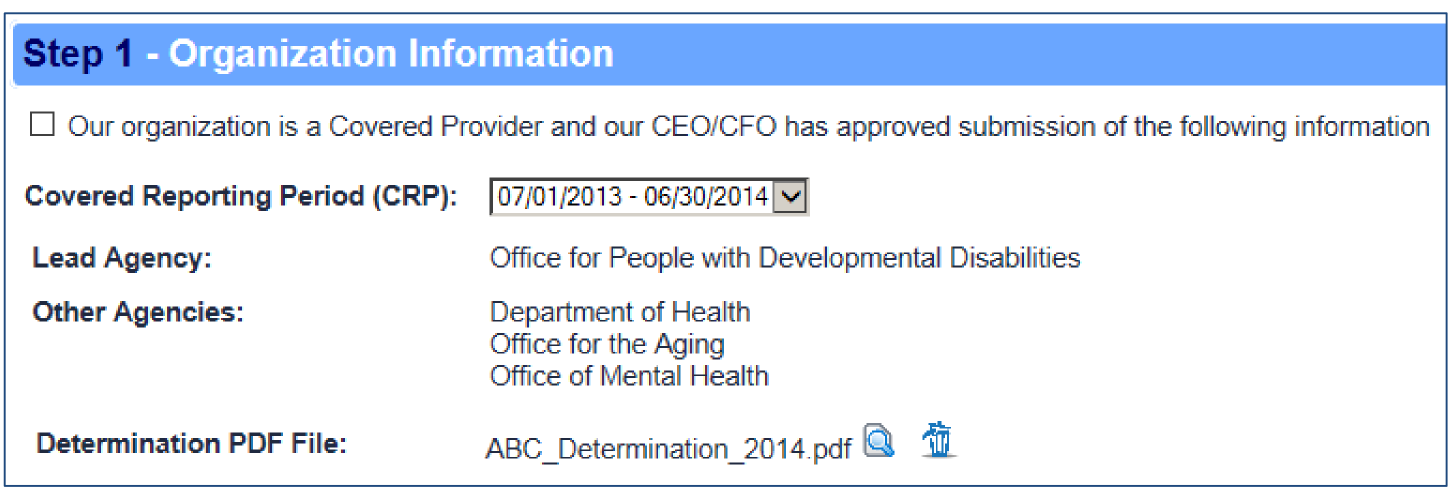


Find the document that you want to upload and click the **Open** button.

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**.



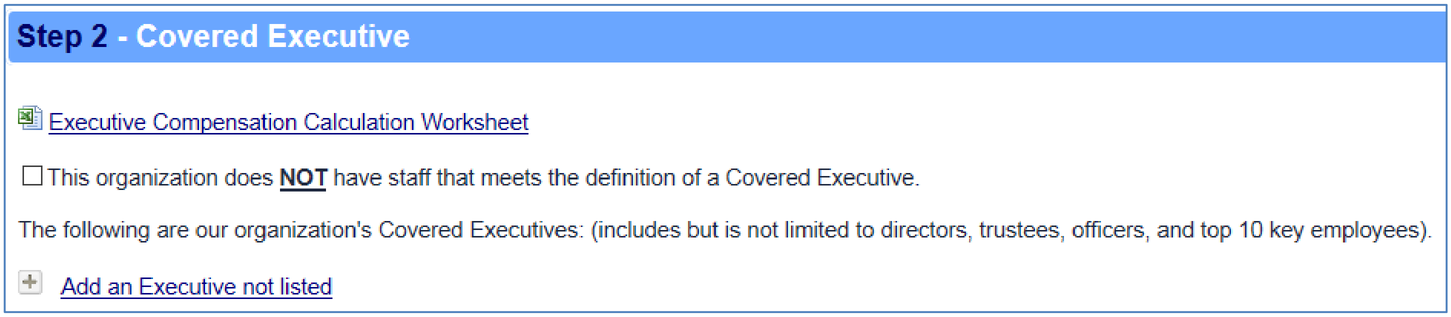
The PDF will now appear at the bottom of the Organization Information.



You can View the PDF by clicking the View PDF button.

You can Delete the PDF by clicking the Delete button.

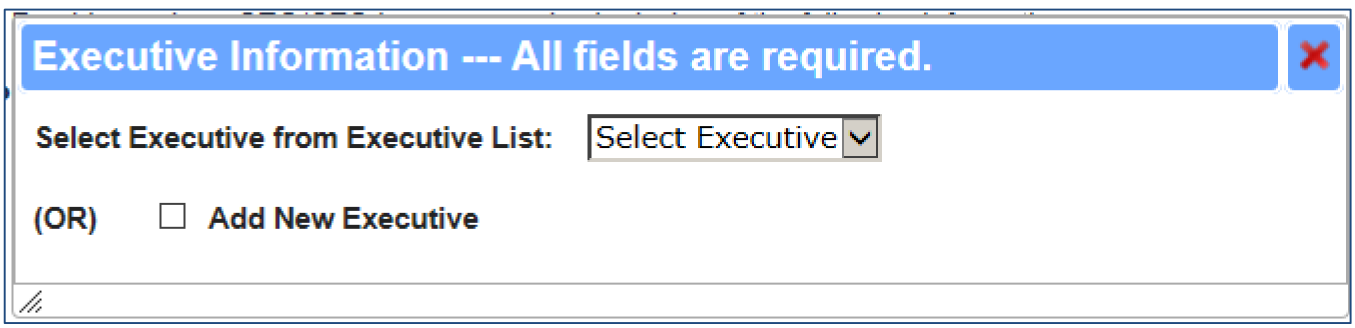
Step 2: Add a Covered Executive



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

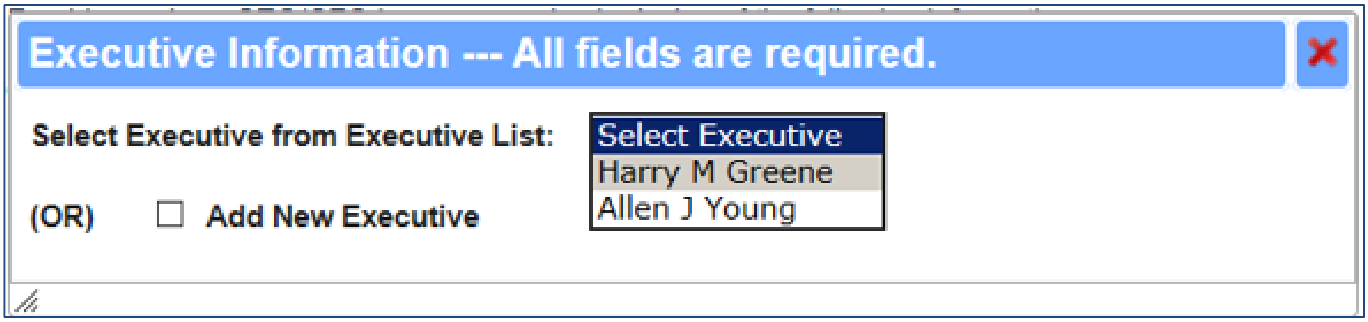
If applicable, check the box stating that your organization does not have staff that meets the definition of a Covered Executive.

Once you click Add an Executive not listed link, the **Executive Information** screen will open.

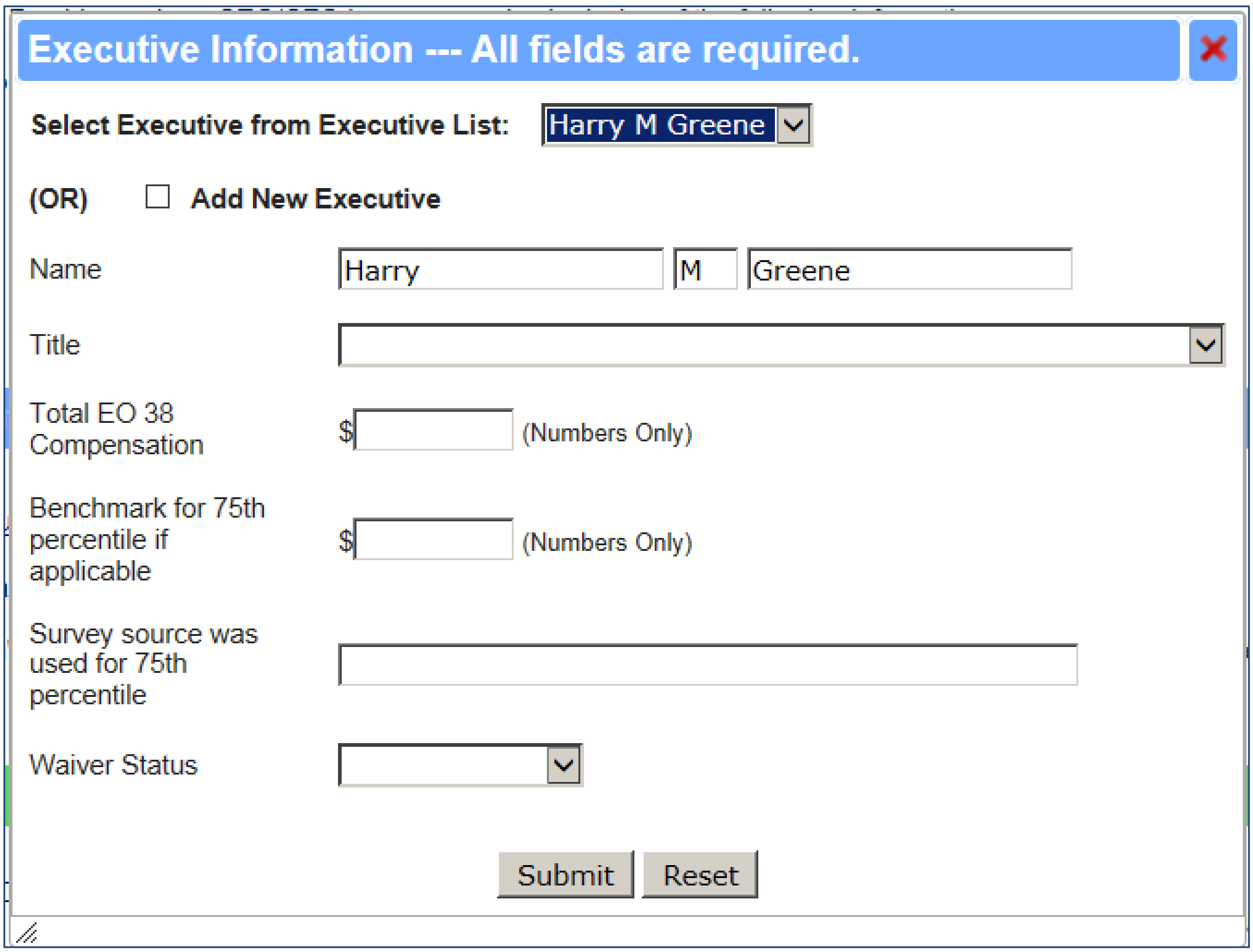


From this screen you can Select an Executive from the Executive drop-down list or Add a New Executive by clicking the Add New Executive checkbox.

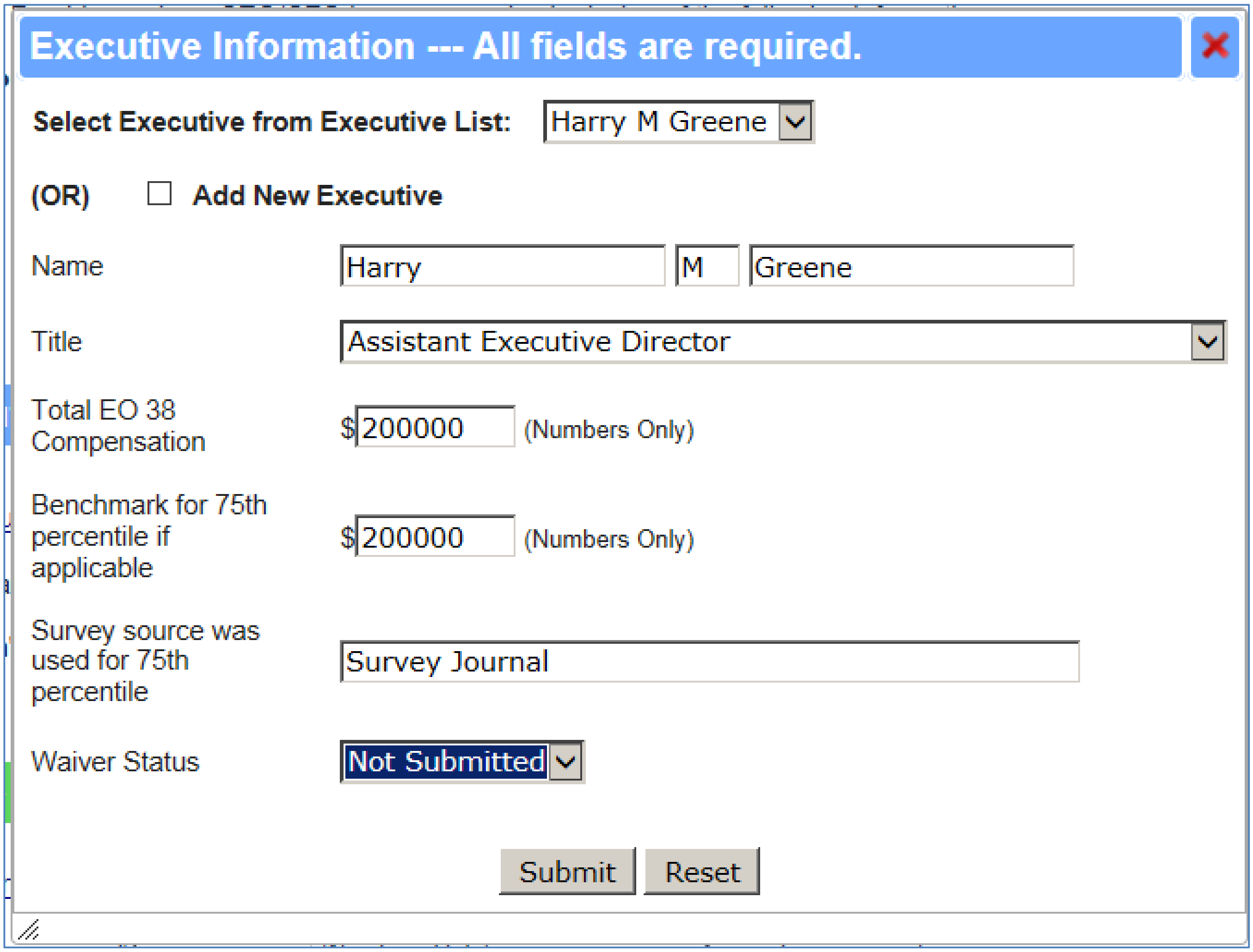
If you select an Executive from the list,



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.

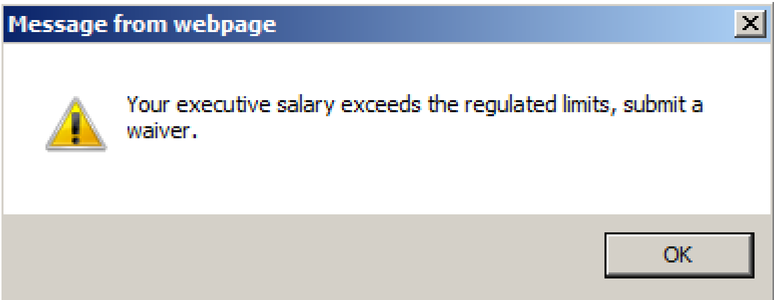
You can clear this screen of the information and start over again by selecting 

.

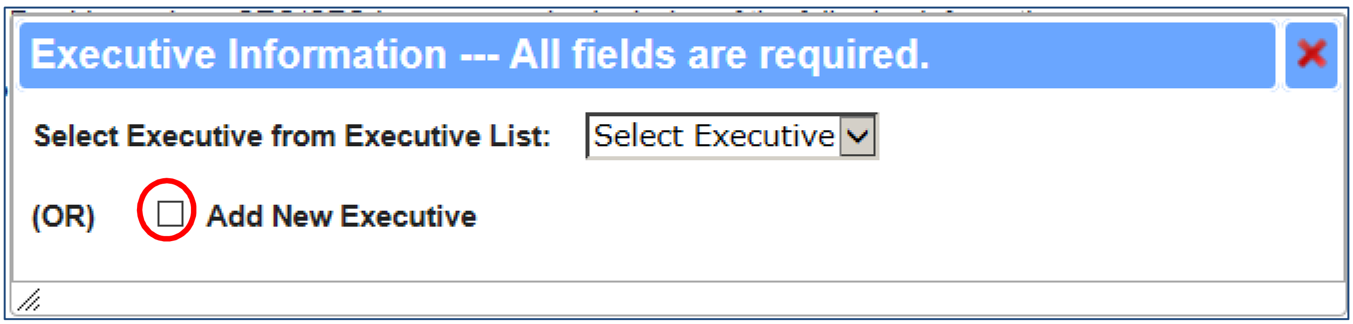
When you complete the Executive Information screen, select 

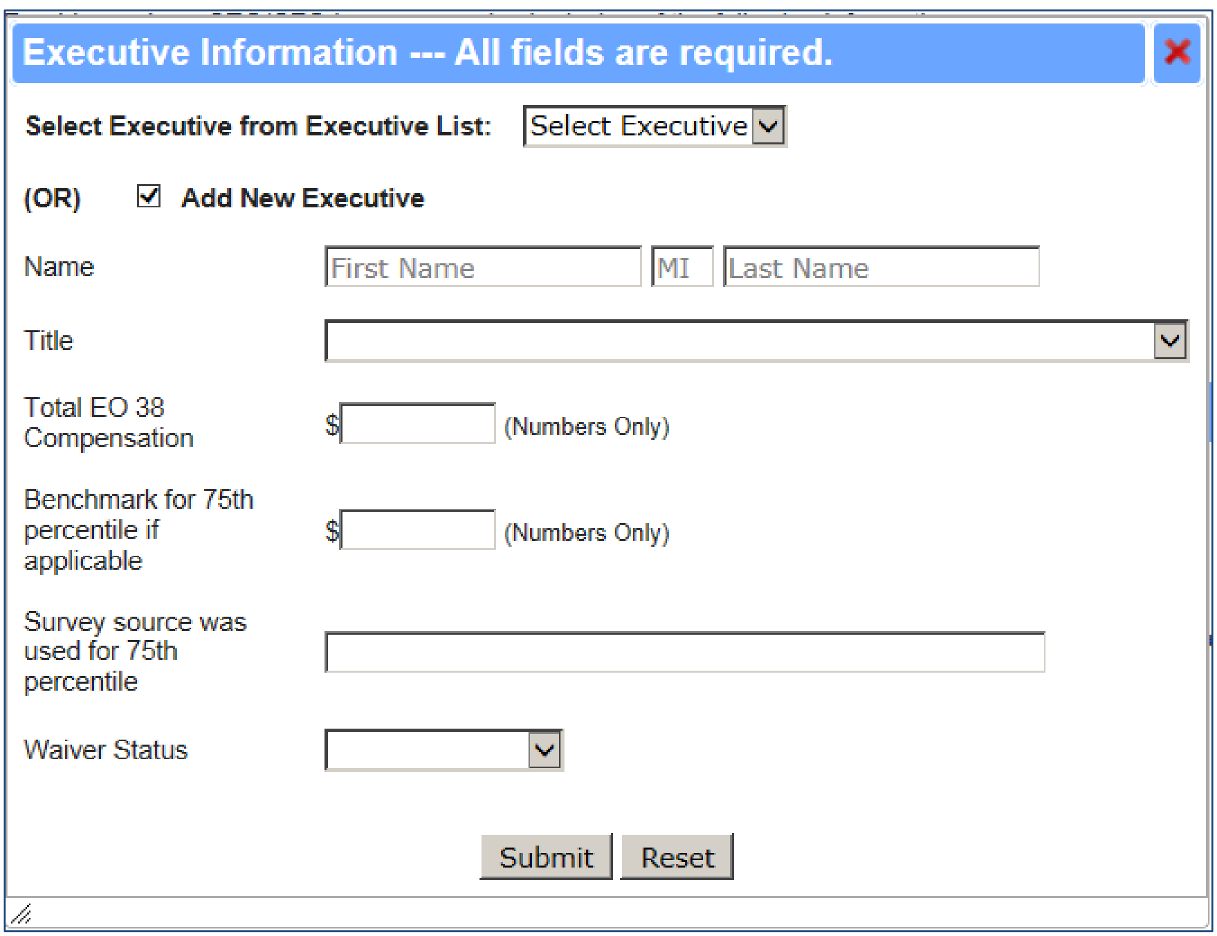
.

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

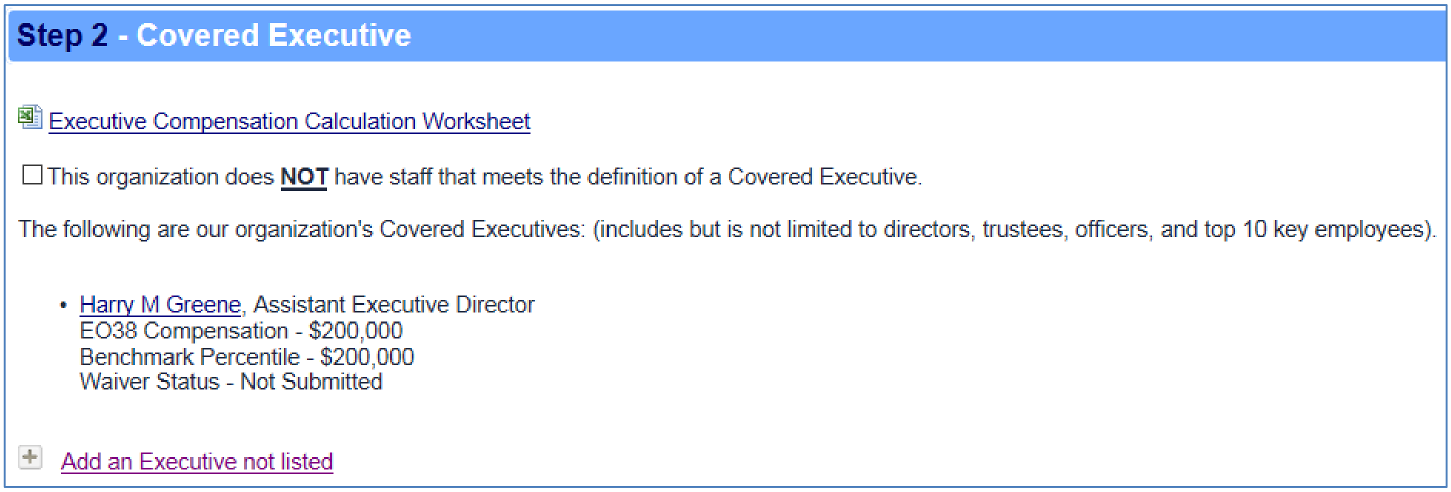


If you select the **Add New Executive** checkbox, you will have to fill out the entire Executive Information form.





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.

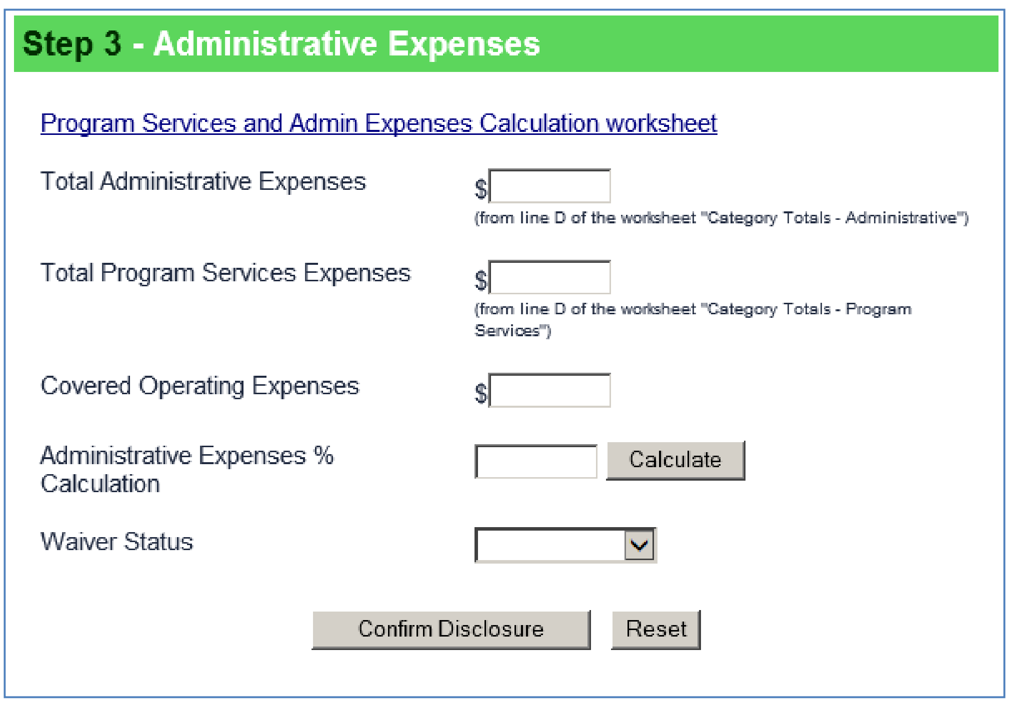
The following are our organization's Covered Executives: (includes but is not limited to directors, trustees, officers, and top 10 key employees).

- Harry M Greene, Assistant Executive Director
  EO38 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 $

Administrative Expenses % Calculation Calculate

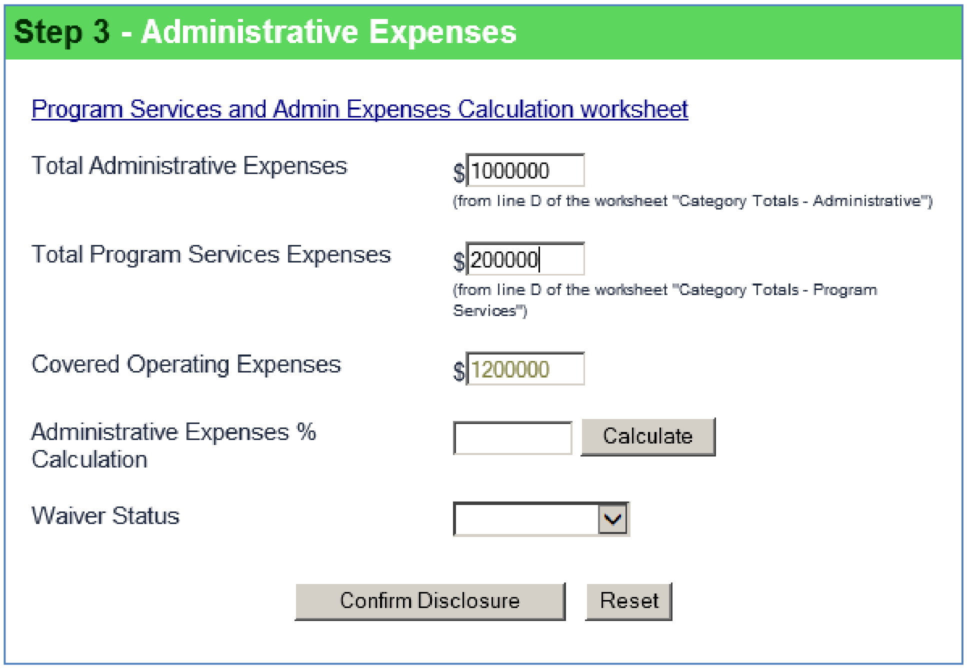
Waiver Status

Confirm Disclosure Reset

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

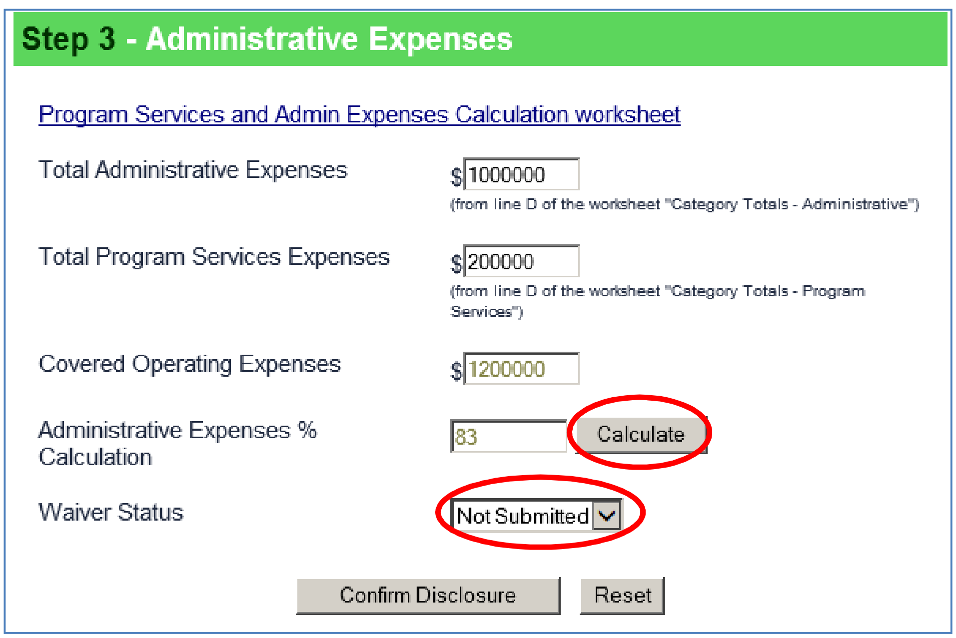
Next, fill in the **Total Administrative Expenses** and **Total Program Services Expenses** fields.

The **Covered Operating Expenses** field fills in automatically:



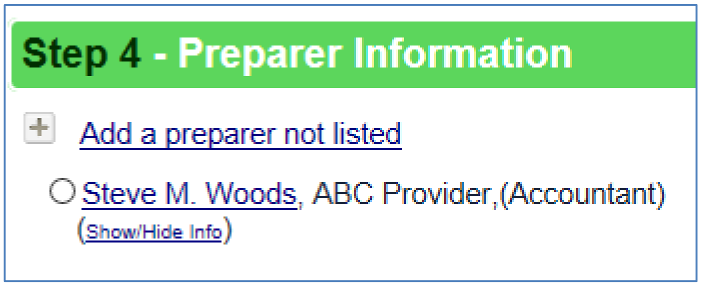
Click the **Calculate** button for the **Administrative Expenses % Calculation.**

Also, choose a **Waiver Status** from the dropdown:

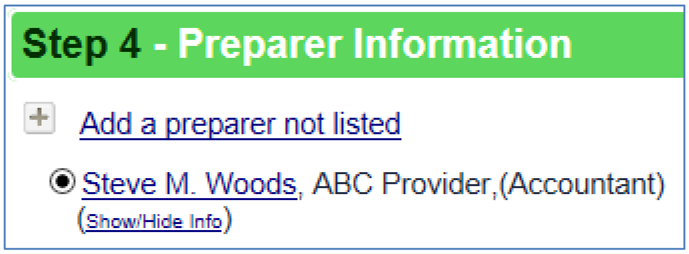


You can clear this screen of the information and start over again by selecting Reset.

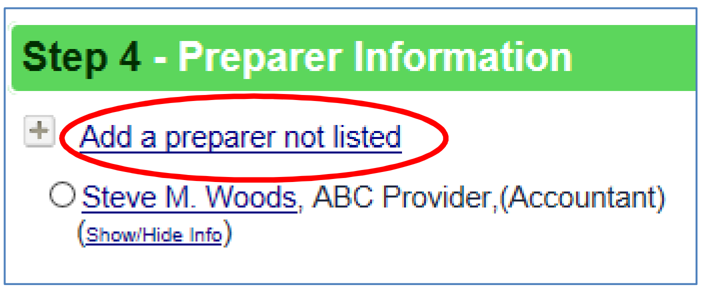
Step 4: Preparer Information



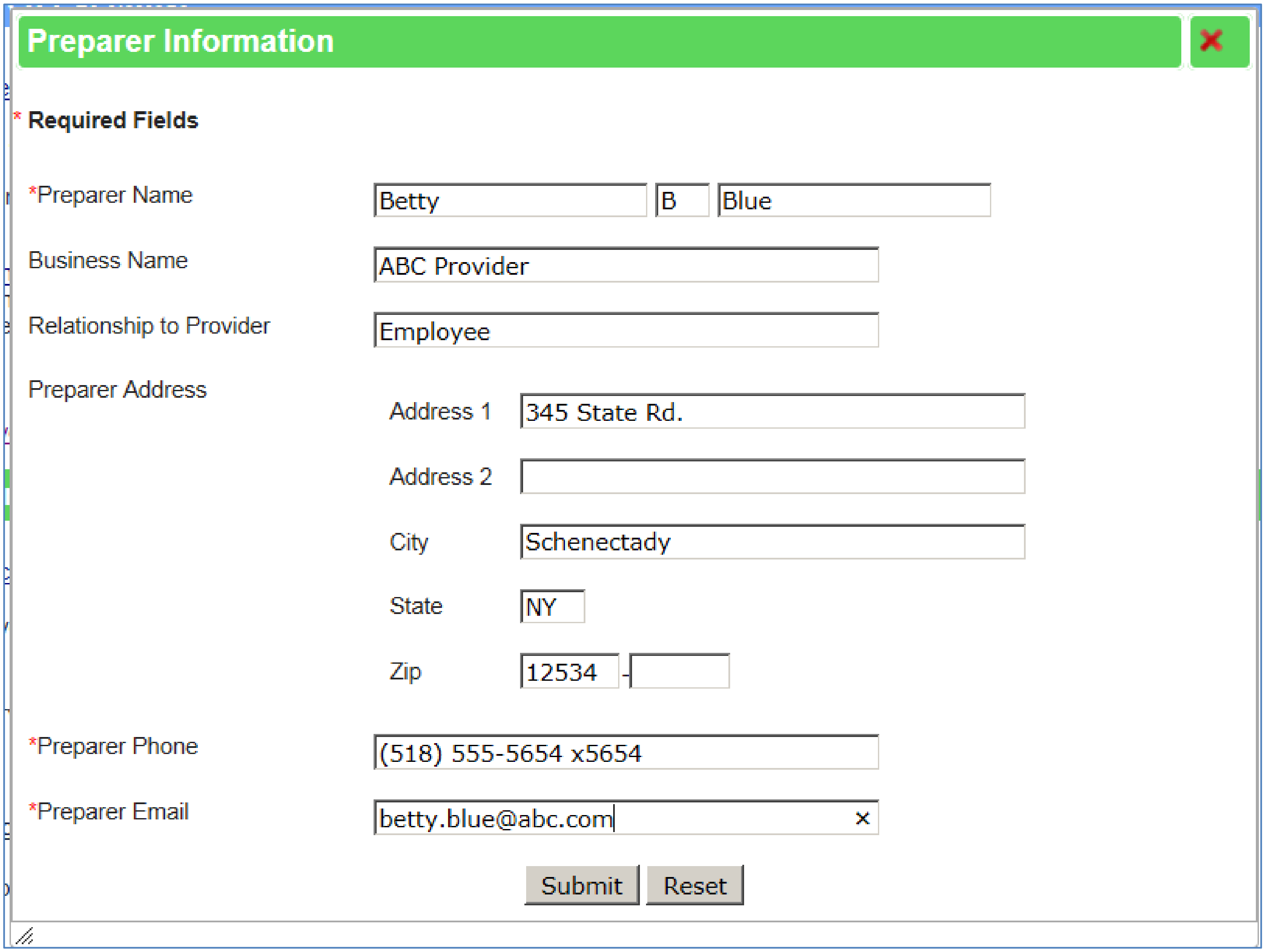
You can select a Preparer that is listed by clicking the radio button next to their name.



You can add a Preparer not listed by clicking the **Add a preparer not listed** link.

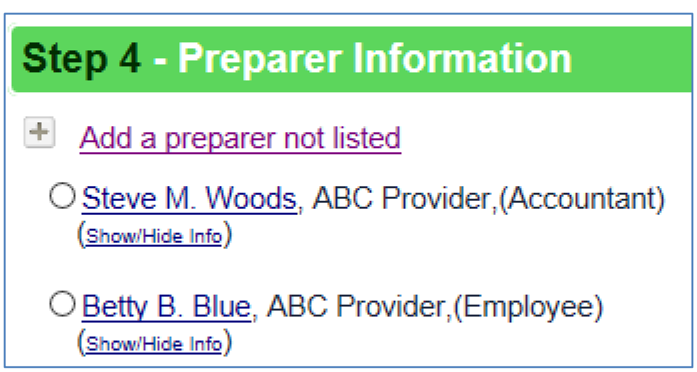


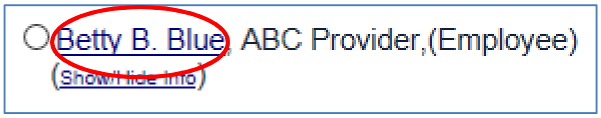
The Preparer Information screen will open. Fill out the form:



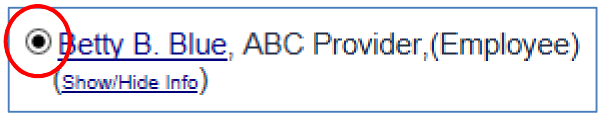
Note: you must fill in all of the Required fields (*), or you will receive a popup message telling you what field you are missing.

When you complete the Preparer Information screen, select Submit.



Note: You can Edit or Delete the Preparer Information by clicking the person's name to open the form: 

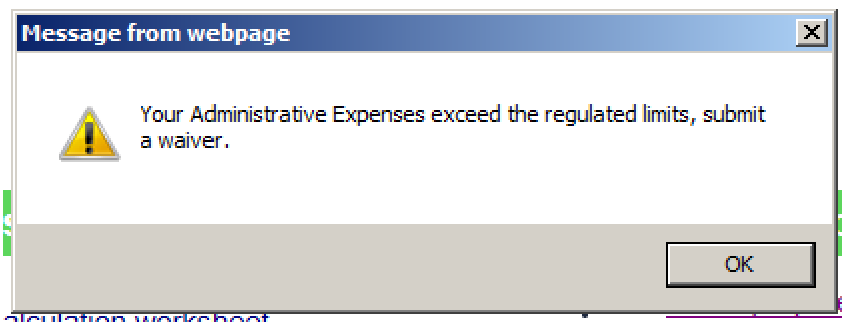
If there is more than one Preparer listed click the radio button that coincides with the name to select that person as the Preparer.



You can show or hide the Preparer Information by selecting 

When everything is completed on the form, select 

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:

Logout | Help

Executive Order #38

Provider Name: EO38 Organization 1
Federal Employer Identification Number: 675849302

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

⚠ Please attest to the information being submitted below

Step 1 - Organization Information

☑ Our organization is a Covered Provider and our CEO/CFO has approved submission of the following information

Lead 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 Greene, 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%
Waiver Status	Not Submitted

Step 4 - Preparer Information

Preparer - Betty B. Blue, ABC Provider (Employee)
345 State Rd., Schenectady NY 12654
(518) 555-5654 x5654
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. 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.

Affirm Disclosure | Edit

NOTE:

You can Save the Disclosure at this time, or anytime you have all of the Required fields filled out, by clicking **Confirm Disclosure**. Instead of Affirming the Disclosure at the screen above, you would log out of the Disclosure. When you log back in you will see the Disclosure in the **Submitted Disclosures** area with a **Pending** Status. Click the link under **Reporting Period** to open the Saved Disclosure.

Submitted Disclosures

Reporting Period	Preparer	Attested By	Submitted Date	Status
10/01/2013 - 09/30/2014	John M. Green			Pending

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

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: