

# Welcome

Please review this information while we wait for all to join!

## In the Chat

Please enter your parent organization name and site name.

### ***For example:***

Arizona Department of Education, Early Childhood Center



ARIZONA DEPARTMENT OF  
**EDUCATION**

# Preschool Development Grant B-5

May 15  
Day 1 Onboarding

# AGENDA

## Overview of Day 1

**Welcome & Introductions**

**ECQUIP & SMART Goals**

**ECE Office Hours**

**TI/LC Registration**

**Review Notice of Award Letters**

**Questions & Answers**

**Grant Management Training**



[Preschool  
Development  
Grant B-5](#)

# Welcome & Introductions

## **ADE Early Childhood Education Team**

**Laura Lee**, Director of ECE

**Alexis Horne**, Early Childhood Head Start Collaboration Office Lead

**Lourdes Kelly**, ECE Grants Manager

**Deanna Bailey**, ECE Finance Specialist

**Chelsea Rousseau**, ECE Program Specialist

**Patsy Rethore-Larson**, ECE Program Specialist

**Oksana Beatty**, ECE Program Specialist

**Vikki Snipes**, ECE Program Specialist

**Priscilla Sachs**, Early Inclusion Specialist/liaison for ECSE Team

**Wendy Flynn**, ECE Workforce Specialist

**Wendy Logue**, Early Literacy Specialist

**Deanna Jergenson**, ECE Literacy Specialist

**Qiana Harris**, CLSD Program Specialist

## Early Childhood Office Hours

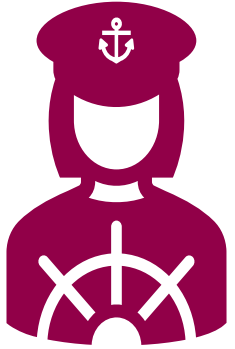




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# ECQUIP & SMART Goals

# Four Part ECQUIP Process



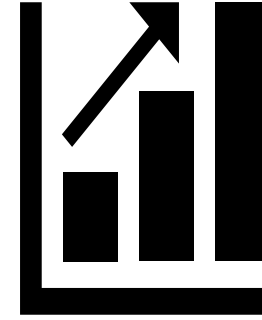
**Annual Self Assessment of  
early childhood  
programs**



**Annual ECQUIP Quality Enhancement Plan**



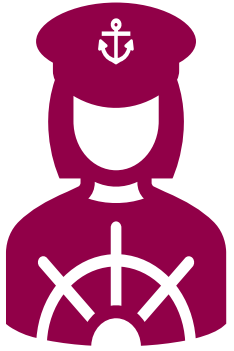
**Submittal of  
the ECQUIP  
Quality  
Enhancement  
Plan to EMAC**



**Annual  
validation  
visits**

**ECQUIP**

# ECQUIP Standards



**Standard 1:  
School and  
District  
Leadership –  
helping leaders  
to support  
improved  
student  
achievement**



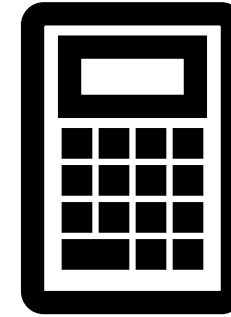
**Standard 2:  
Curriculum,  
Instruction, and  
Professional  
Development –  
promoting  
rigorous  
curriculum,  
effective  
instruction and  
instructional  
support**



**Standard 3:  
Classroom and  
School  
Assessments –  
using data to  
improve  
classrooms,  
supportive  
programs, and  
school  
practices, as  
well as child  
outcomes**



**Standard 4:  
School Culture,  
Climate and  
Communication  
- developing  
schools as  
learning  
communities for  
students,  
teachers and  
parents**



**Standard 5:  
Fiscal Review –  
monitoring  
funding  
activities**

## Quality SMART Goals

**SMART:**  
**S**pecific   **M**easurable   **A**chievable   **R**elevant   **T**ime-Bound

### Consider...

What is your **desired outcome**? What do you want to see accomplished by the end of the school year?

Describe the desired outcome, e.g., *“In Az Early Learning Standards: Concept 3 Vocabulary: The child understands and Uses Increasingly Complex Vocabulary*

*Our Goal: **Children will extend their vocabulary use and knowledge.**”*

What will successful attainment of your goal look like in practice within your program? How will you measure progress?



## Quality SMART Goals- Implementation Strategies

Strategies should be concrete and stated with measurable outcomes.

For a goal related to aligning curriculum with the AzELS and developing children’s language, what might you use to measure progress?

### Examples of specific strategies:

“We will use TSG data on Language to drive lesson planning and goals for students' individual language development needs”

“QF Coach will work with us to create language modeling strategies that directly relate to our program and the needs they find while observing in the classroom”

### WHO can you partner with?

Quality First coach/ Smart Support coach

Kindergarten teacher at your school

Speech Pathologist / professionals

Your local Head Start program

Local childcare center(s) director/ staff

Parent(s) in your program

Local agencies providing support to families in your community

## Quality SMART Goals- Implementation Strategies

Examples of strategies that are **not** specific enough:

**“We will develop our ECQUIP plan”**

**“We will implement our new curriculum”**

**Why don't these strategies work?**

### Resources

✓ [Program Guidelines for High Quality Early Care & Education](#)

✓ [Arizona Early Learning Standards](#)

✓ [Infant-Toddler Developmental Guidelines](#)



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**ECE Office Hours**

**Teacher's Institute & Leading  
Change Conference**

# ADE ECE Office Hours

The ADE Early Childhood Team is pleased to offer open office hours to the early childhood field. Office hours are identified based on topic areas, regions of the state (so you can meet with a specialist who supports at/near your program), and a variety of days/times throughout the week.

[Early Childhood Office Hours](#)



# Teacher's Institute & Leading Change Conference



CRADLE TO CAREER

**DATE:** Wednesday, June 5 – Friday, June 7

**LOCATION:** Renaissance Phoenix Glendale Hotel & Spa Glendale, AZ

**ADDRESS:** 9495 W. Entertainment Blvd., Glendale, AZ 85305

**PRICE:** \$550/person

[TI/LC  
Registration](#)



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# PDG Notice of Award Letters

# Review of Notice of Award Letters

Funding for PDG B-5 will be processed through ADE Grants Management system. Please adjust your budgets and details accordingly by **May 31, 2024**, within Grants Management system: **Below is the tentative timeline:**

- *Awardees will be notified on May 8, 2024*
- *PDG B-5 Manual will be provided to Awardees on May 16, 2024.*
- **All Awardees are required to attend PDG Grantee Onboarding Wednesday, May 15 and Thursday, May 16<sup>th</sup> from 9:00 am – 12:00 pm.**
- *Budget update request will be posted in Grants Management by May 17, 2024.*
- *Learning Environment should be set-up for slot funded awardees by September 30, 2024*
- *Awardees Initial Site Visit will be held October & November 2024*
- *Start-up/Expansion Awardees should be fully operational by February 23, 2025*
- *Participations of YR 3 will be contingent based on compliance*

[Preschool  
Development  
Grant B-5](#)

# Questions & Answers

[Preschool  
Development  
Grant B-5](#)





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# Welcome Grants Management



# Preschool Development Grant Onboarding

*Welcome to Federal Grants*

# GME Navigation Basics



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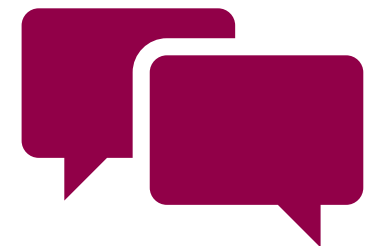
# Agenda

- Common Acronyms
- Accessing GME
- Navigation Menus
- Entity Information
- User Roles
- History Log & Comments
- Application Status
- Approval Levels
- GME Reports
- GM Resource Library

# Prior Knowledge Check!

Take a moment to respond in the chat to the following prompt:

*What do you know about Grants Management Enterprise, or what experience have you had with the system?*



# Common Acronyms

**GME**

Grants Management Enterprise

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**SEA**

State Education Agency

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**PA**

Program Area

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**CFR**

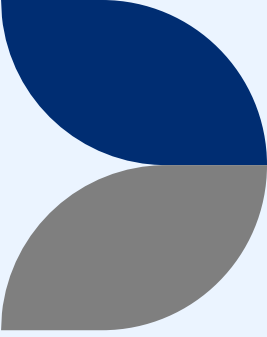
Code of Federal Regulations

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**USFR**

Uniform System of Financial Records

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# Common Acronyms

LEA

Local Education Agency

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FA

Funding Application

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RR

Reimbursement Request

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CR

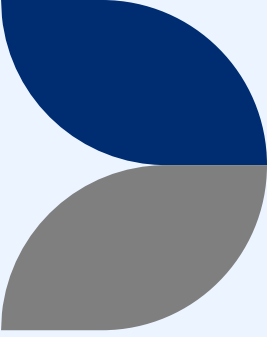
Completion Report

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GM

Grants Management Unit

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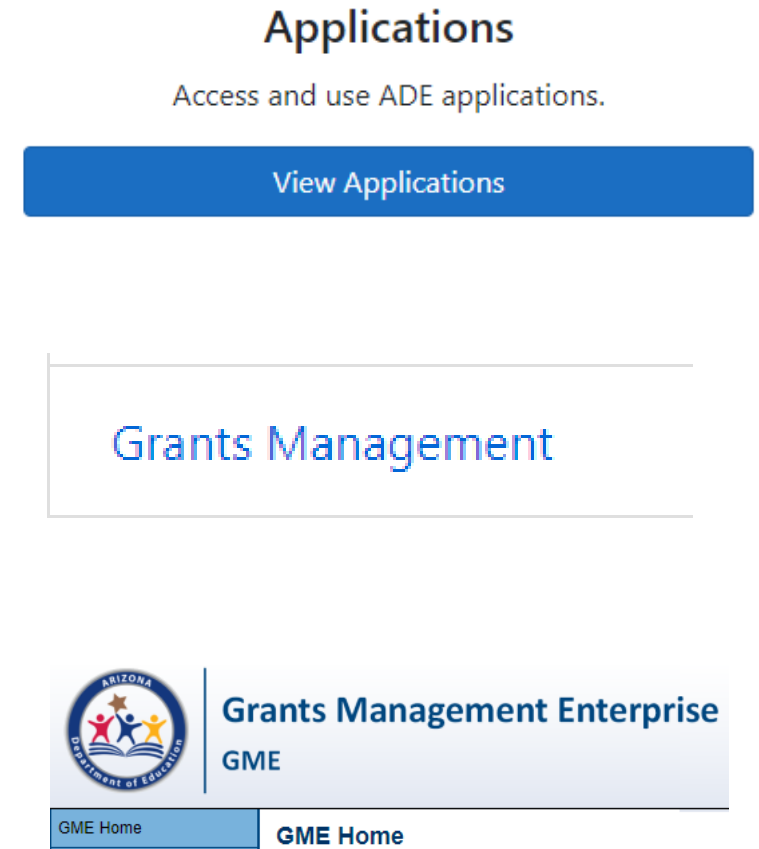


# Accessing GME

1. From ADEConnect, choose *View Applications*

2. Select *Grants Management*

3. This is the GME Homepage





# GME Home Page

## Announcements



GME Sandbox: **SOLD OUT** | Fall Forum: **SOLD OUT**

The Grants Management Fall Forum and GME Sandbox have both sold out. We are no longer able to accept new registrations.

New GEPA Requirement in FY24 Applications as of July 1, 2023 (7/3/2023)



GEPA

As of July 1, 2023 all federal grant funding applications in the GME system will include a section to which will satisfy the the General Provisions Act (GEPA) ([20 U.S.C. 1228a](#)).

## Monthly Review



### Updates and Reminders for the Month of September

#### Upcoming Trainings

- The Grants Management Fall Forum is a multiday, in-person event designed to give LEA grant professionals key information range of grant topics. [Find more information and registration here.](#)

#### Completion Reports (CR)

- CRs for most grants opened July 1, 2023.
- CRs are due 90 days after the project period ends.
- CRs are due September 28, 2023 for grants ending on June 30, 2023.
- CRs are due December 29, 2023 for grants ending September 30, 2023.
- Any CR not received by ADE before the 90<sup>th</sup> day deadline may result in forfeiture of final reimbursement of expenditures on
- Please allow appropriate processing time if your LEA is required to submit to your county office before your completion report is reviewed and approved by Grants Management.

#### Reimbursement Requests (RR)

- RRs re-opened July 1, 2023 for FY23 projects ending after June 30, 2023 and FY24 projects.

#### Risk Assessment

- Risk Assessment reports are now available and can be viewed in the LEA Document Library in GME. Please find more information [the Risk Assessment here.](#)



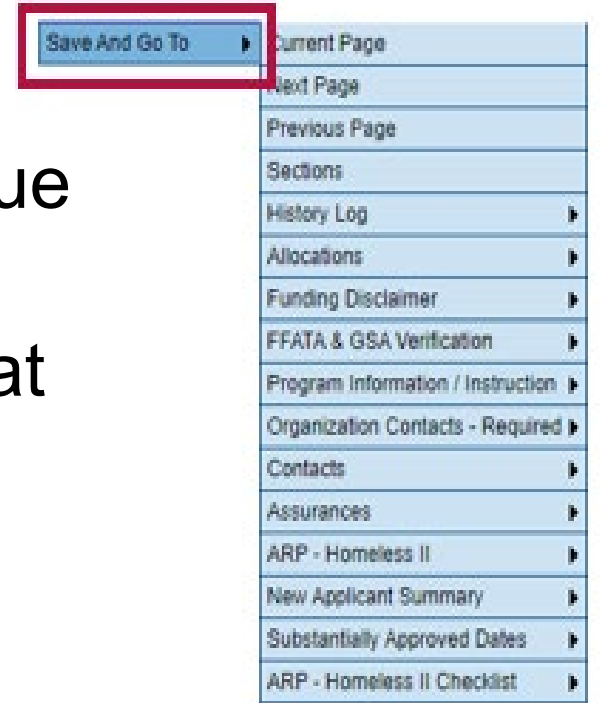
# Navigation Menu

- From the homepage, there is a large, dark blue menu
- Located on left side of the screen
- Allows for quick access to all components of the GME system itself
  - Administration
  - Reports
  - Planning Tool
  - Funding Applications
  - Entity Information
  - GM Resource Library

GME Home
Administer ▶
Search ▶
Reports
Inbox ▶
Entity Information
Planning ▶
Monitoring ▶
Funding ▶
Reimbursement Requests
Project Summary
LEA Document Library
Address Book
Contact ADE
Grants Management Resource Library

# Navigation Menus

- Within individual sections of GME, there is a light blue menu
- It allows you to navigate to different pages within that section
- Navigating Tip:
  - Save And Go To is used when a page has been edited
  - Go To is used for pages that are in Read-Only status
  - Navigating outside of these options may cause a loss of data



# Entity Information

## Entity Information

Gilbert Unified District (070241000) Public District - FY 2024 - Low Risk

Entity Information	
Organization Name	Gilbert Unified District
CTDS	070241000
Entity ID	4239
Organization Type	Public District
Organization Status	OPEN
Organization County	Maricopa
Indirect Cost Rate	3.43%
Authorized Representative(s)	Mattinen, Jacqueline
Legal Name	Gilbert Unified School District
Address	140 S. Gilbert Road
City	Gilbert
State	Arizona
Zip Code	852961016
Congressional District	05 - Fifth Congressional District
DUNS Number	093656569
UEI Number	KECWJMSLJEA5
SAM.gov Expiration	8/15/2024
Risk Designation	Low
General Statement of Assurance Upload Date	3/1/2023
Funding Applications	<a href="#">Funding Applications</a>
Reimbursement Requests	<a href="#">Reimbursement Requests</a>
Entity History	<a href="#">Entity History</a>
Entity Hold Administration	<a href="#">Entity Hold Administration</a>
Interest Administration	<a href="#">Interest Administration</a>
General Statement of Assurances	<a href="#">General Statement of Assurances</a>
Indirect Cost	<a href="#">Indirect Cost</a>
Self-Assessment	<a href="#">Self-Assessment</a>
Project Summary	<a href="#">Project Summary</a>
Maintenance Of Effort Results	<a href="#">Maintenance Of Effort Results</a>

- Here is the Entity Information page for Gilbert Unified
- The top section provides basic information
- The lower section provides links to pages associated with that LEA within GME
  - FAs
  - RRs
  - Supplements
  - Holds



# Let's Practice

- Review your Entity Information
- Identify your Authorized Rep
- Locate & view your 2024 Funding Applications

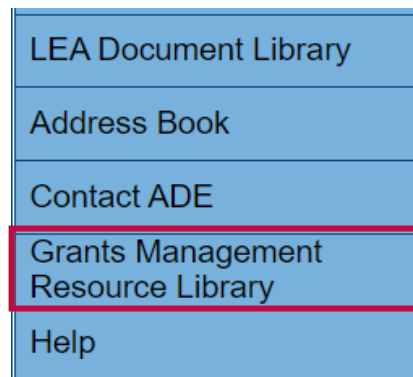


# Resources in GME

Accessing the GM Resource Library

# GM Resource Library

- The Grants Management Resource Library contains documents and links to other resources that are made available to you and the public related to the funding application process
- Go Explore!



# Let's Practice

- Navigate to the Grants Management Resource Library
- Find resources on Reimbursement Requests
- Find resources on the PDG grant (hint, Early Childhood falls under our Academic Standards unit)





# Funding Applications

Basic access and navigation training



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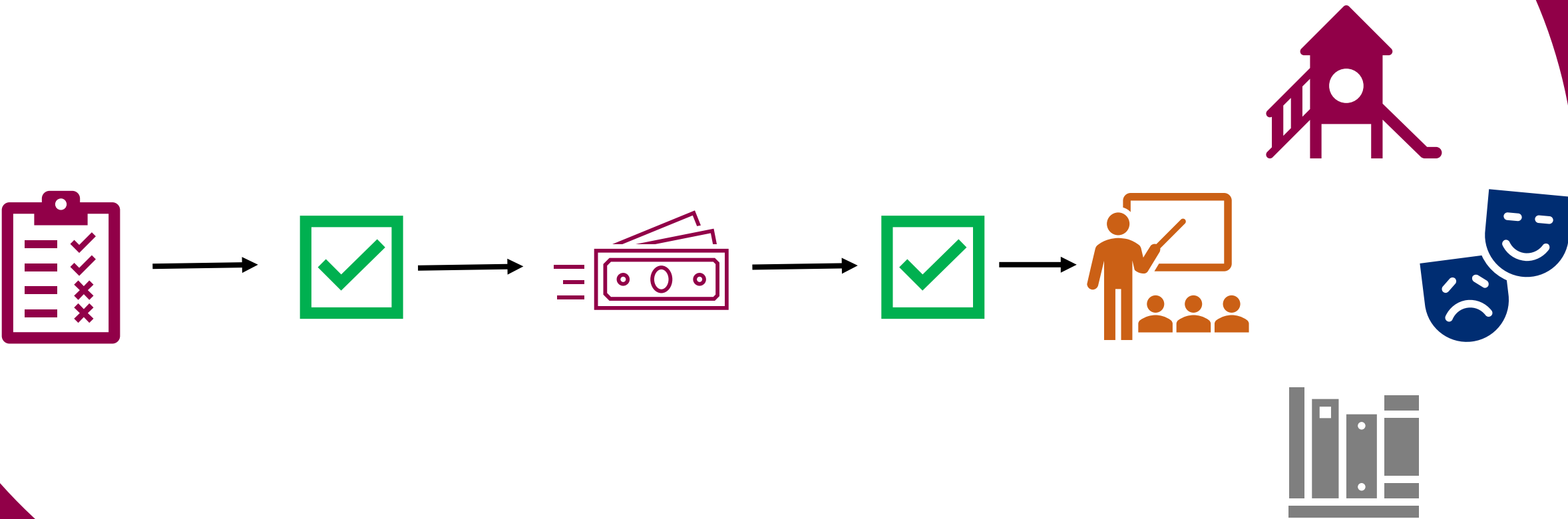
# AGENDA

- Purpose of Funding Applications
- Status Change for Funding Applications
- Accessing Funding Applications
- Navigating Inside Funding Applications



# Purpose of Funding Applications

# How Organizations Access Grant Funds

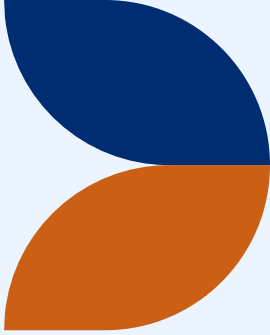


# Navigating the Funding Application

User Roles

Status Updates & Approval Cycles

# External User Roles



## LEA User Access Administrator

- Administers LEA's user access roles within GME

## LEA Entity Authorized Signer

- Reviews, approves, submits the General Statement of Assurances (GSA)
- User must be authorized to legally sign on behalf of the entity
- Cannot perform any other function in GME

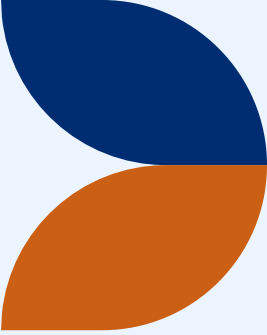
## LEA Business Manager

- Initiates & edits FAs, RRs & CRs
- Serves as 1<sup>st</sup> level of approval for FAs
- Only role required for RRs & CRs
- Initiates, edits & submits the Indirect Cost Request

## LEA Authorized Representative

- Serves as the 2<sup>nd</sup> or final approval for FAs (including revisions)
- Cannot initiate nor edit

# External User Roles



## LEA Data View

- Views unapproved items, but cannot edit

## LEA [FA Name] Update

- Allows an LEA user to edit specific FAs, but cannot change status

## LEA Plan Update

- Initiates/Edits/Saves LEA level plan (LIAP)
- Views school (site) plan, but cannot edit

## School Plan Update

- Initiates/Edits/Saves school (site) level plan (SIAP)

# Let's Practice

- Search for a funding application in your queue
- Navigate to Sections page , hover over the status change, identify who can update





**Questions?**

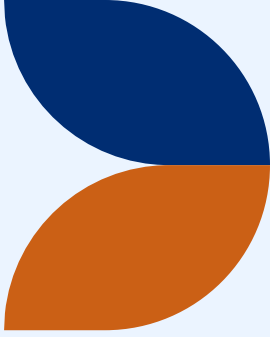


# Status Cycle for Funding Applications

Drafting, approving, closing out; a brief overview of the life of a funding application

GME Home	<b>Sections</b>
Administer ▶	Academy of Tucson, Inc. (108665000) Charter District - FY 2021 - <b>Low Risk</b> - Elementary and Secondary School Emergency Relief (ESSER III) Fund - Rev 1
Search ▶	Application Status: SEA Elementary and Secondary School Emergency Relief (ESSER III) Fund Director Approved
Reports	Change Status To: <a href="#">Revision Started</a> or <a href="#">CR Draft Started</a>
Inbox ▶	<a href="#">View ADE History Log</a>
Entity Information	<a href="#">View Change Log</a>
Planning ▶	

# Status/Status Change Options



Draft Started

This status change initiates the Funding Application

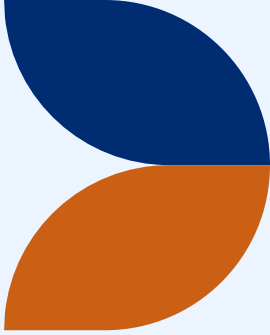
Draft Completed

LEA Business Manager Approved

LEA Authorized Representative Approved

This status change gives final approval and submits the FA to ADE

# Status/Status Change Options



SEA PA Specialist Approved

SEA Director Approved

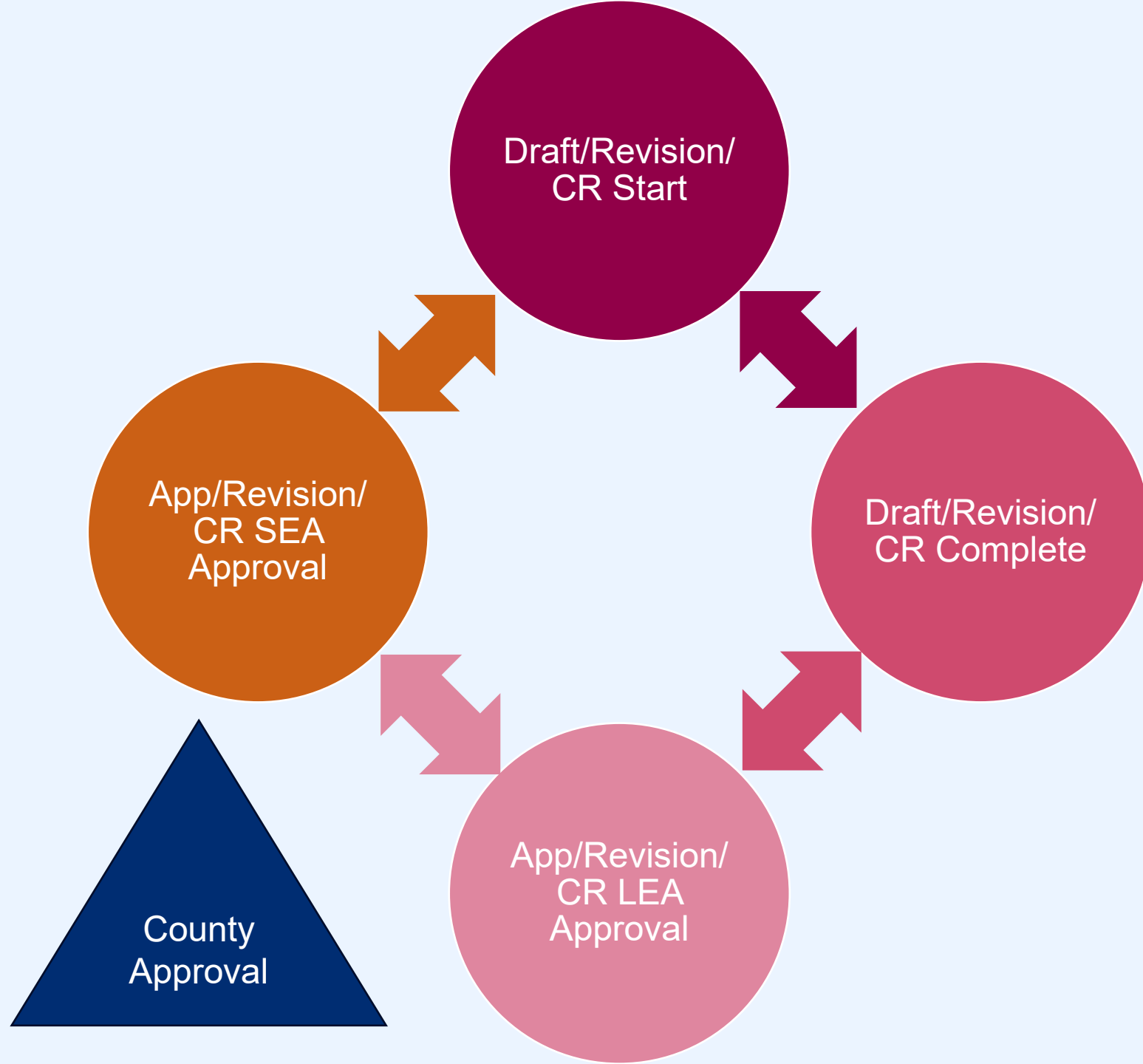
\*\*Revisions Process

\*\*Completion Report Process

**\*\*Starts same as Draft**

**\*\*Starts same as Draft; available after close of project.**

# Status Change Cycle



# Types of Approval for Funding Applications

## Substantial Approval

- Allows Grantee to obligate funds after the approval date
- Not considered “prior approval by ADE”

## Director Approval (Original)

- Allows Grantee to obligate funds for items requiring “prior approval by ADE”
- Allows Grantee to make reimbursement requests

## Director Approval (Revisions)

- Allows Grantee to make reimbursement requests against additional or revised budgets
  - Final Allocations
  - Carryover Funds



# Accessing Funding Applications

Take what you learned about the GME Navigation menu and find your funding application

# Navigating a Funding Application

The slide features a white background with a large, solid blue shape at the bottom. Orange decorative elements include a partial circle in the top-left corner, a leaf-like shape in the top-right corner, and a curved shape in the bottom-right corner.



# Sections of Applications

## Things to Note on the Sections Page

- ✓ Funding Application (Data Input)
- ✓ Budget Page
- ✓ Program Details
- ✓ Program Narrative Questions Page
- ✓ Related Documents Page
- ✓ Capital Outlay Worksheet
- ✓ Status/Status change options
- ✓ History Log

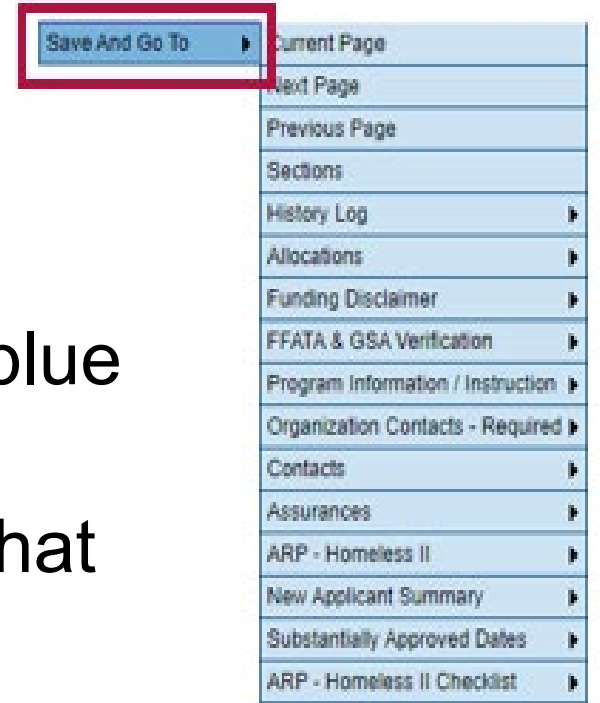


The sections page outlines sections and pages that need to be completed before the Funding Application can be submitted for approval



# Navigation Menus

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# History Log

- The History Log maintains transparent communication between ADE and the entity responsible for the FA
- Comments cannot be edited nor deleted once posted; they are saved as a permanent record
- Comments can be posted by GME users **(C)**, or generated by the system based on various triggering events **(S)**
- Comments can also generate Help Desk tickets when Grants Management is included in the message

Description
<a href="#">History Log</a>
<a href="#">Create Comment</a>
<a href="#">Expenditure Details</a>
<a href="#">Request</a>
<a href="#">Related Documents</a>
<a href="#">Assurances</a>
<a href="#">All</a>

# Comments

- Common reasons to create a comment:
  - Approval/Rejection of FA submission by ADE
  - Action requested of Entity
  - Entity inactivity “check in” or “TA suggestion”
  - Statutory required documentation
  - Hold placement/removal
- Pro Tip: If pre-creating a comment, its recommended you do so in Notepad or web-based MS Word; then copy + paste to GME
  - Avoid adding images
  - Avoid formatted tables
  - *Example: breaking FY22 ESEA Application for Crane Elementary District*

Description
<a href="#">History Log</a>
<a href="#">Create Comment</a>
<a href="#">Expenditure Details</a>
<a href="#">Request</a>
<a href="#">Related Documents</a>
<a href="#">Assurances</a>
<a href="#">All</a>

**Questions?**



# Scope of Support During the Grant's Life Cycle

How GM supports all program areas



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# Today

- Review ADE's role as a pass-through agency
- Share how Grants Management partners with other ADE program areas work together to provide comprehensive support throughout the 3 phases of the grant cycle.
- Discuss the fiscal tasks, processes, and support the teams within Grants Management provides to all ADE program areas.

# Pass-through Agency





Dept of  
Education

Federal Revenue (IN)



ADE

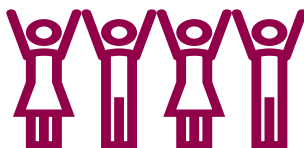
Federal Grant Pass-through Expenditure (OUT)

Federal Grant Pass-through Revenue (IN)



LEA

Direct Expenditure of Federal Funds (OUT)

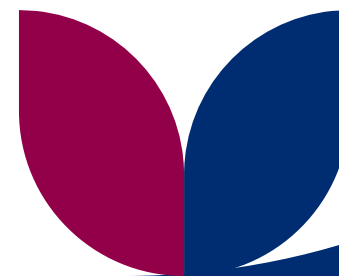


Students

## ADE is a Pass-through Agency for Federal Funds

ADE must monitor subrecipients' (LEAs) expenditures and programmatic progress to ensure:

- ✓ federal funds are used for authorized purposes
- ✓ comply with federal statutes, legislative requirements, regulations, and the terms and conditions of the subaward
- ✓ achieve performance goals



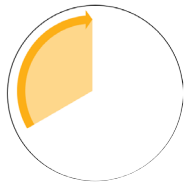
# Grant Annual Cycle

The image features a white background at the top with the title 'Grant Annual Cycle' in a bold, black, sans-serif font. The bottom half of the image is a solid dark blue color. There are decorative maroon shapes: a partial circle in the top-left corner, a leaf-like shape in the top-right corner, and a large curved shape in the bottom-right corner.

**Each grant  
moves through  
3 key phases as  
part of an  
annual cycle.**

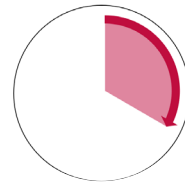


# Grant Phases



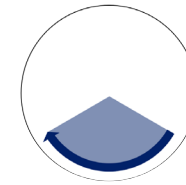
## Pre-Award

- ✓ Self-assessment & GSA
- ✓ Indirect Cost Request
- ✓ Planning Tool
- ✓ Funding Application



## Award

- ✓ Project Implementation
- ✓ Reimbursement Requests
- ✓ Revisions



## Post Award

- ✓ Completion Reports
- ✓ Single-Audit Questionnaire

**THE PAST, THE PRESENT AND  
THE FUTURE WALKED INTO A BAR**

**IT WAS TENSE**

 Grumpy Cat® | [www.grumpycats.com](http://www.grumpycats.com) | [@RealGrumpyCat](https://www.instagram.com/RealGrumpyCat) | [fb.com/TheOfficialGrumpyCat](https://www.facebook.com/TheOfficialGrumpyCat)

# Calendar Year (2024)

JAN - MAR  
(2024)

APR - JUN  
(2024)

JUL - SEP  
(2024)

OCT - DEC  
(2024)

## FY24 TASKS

Reimbursement Requests

Revisions to Grant Application

Completion Report Process

## FY25 TASKS

Self-Assessment & GSA

Indirect Cost Request

Original Funding Application (Submission/Approval)

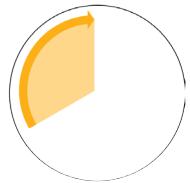
Revisions to Grant Application

Reimbursement Requests (After Approval)



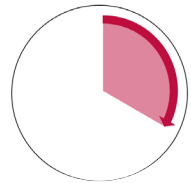
# On a Scale of 1-5

Considering the fiscal actions/tasks below and how you work with grants within your position, how confident do you feel about finding resources or seeking support within ADE?



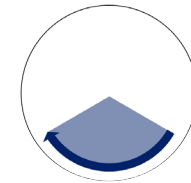
## Pre-Award

- ✓ Self-Assessment & GSA
- ✓ Indirect Cost Request
- ✓ Planning Tool
- ✓ Funding Application



## Award

- ✓ Project Implementation
- ✓ Reimbursement Requests
- ✓ Revisions



## Post Award

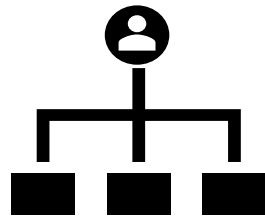
- ✓ Final revisions
- ✓ Completion Reports
- ✓ Single-Audit Questionnaire

# Who to Contact for Support

## Grants Management

Oversees centralized system for managing all grant applications.

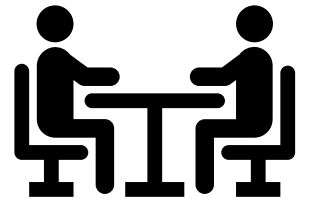
- Processes fiscal aspects for all grants
- Monitors state and federal regulations for fiscal compliance
- Oversee the Grants Management Enterprise (GME) System
- Provides communication and training to field on grant processes & GME system



## Program Areas

Primary liaison for specific state and federal grant programs.

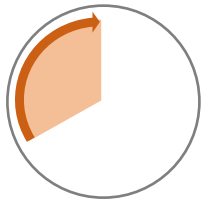
- Determines grant allocations based on eligibility and available funds
- Reviews and approves grant applications and revisions
- Supports and monitors implementation of grant program requirements
- Provides communication, outreach and training to field on grant program





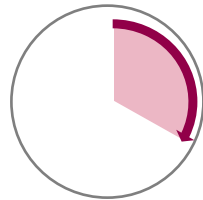
# Grant Phases

Program Areas and Grants Management work together to support LEAs throughout the Grant Cycle.



## Pre-Award

- GM** GSA
- GM** Self-Assessment
- PA** Planning Tool
- PA** Funding Application



## Award

- PA** Project Implementation
- PA** Revisions
- GM** Reimbursement Requests



## Post Award

- GM** Completion Report
- GM** Single-Audit Questionnaire

# Questions

Are there any questions about ADE as a pass-through agency, the grant cycle, or comprehensive support?





# Grants Management Support Teams

# Meet Grants Management

**Deputy Associate Superintendent**  
Nicole von Prisk

**Fiscal Director**  
Alina Meraz

**Fiscal Supervisors**  
Vacant & Myrna Rodriguez

**Fiscal Processing**

- Reimbursement Requests
- Completion Reports
- Indirect Cost

**Fiscal Monitoring**

- Single Audits
- Fiscal Monitoring
- Corrective Action Plan Support

**Training Supervisor**  
Vacant

**Grants Training**

- Training and Professional Development
- Training Resources and Materials

**Compliance Coordinator**  
Vacant

**Grants Compliance**

- ADE Compliance Reporting & Audits
- Policies & Procedures
- LEA Compliance Support

**Director of Technology**  
Alice Johnson

**System Analyst Supervisor**  
Vacant

**Grants Technology**

- GME System Support
- GME System Updates and Enhancements
- GSA & Self-Assessment

# Grants Technology Team



GME system support to both internal and external users (Help Desk)



Develop and implement both annual/scheduled GME system enhancements and updates



Maintain and update existing GME reports and dashboards



Monitor trends and changes in GME system data for potential issues



# Fiscal Monitoring Team

- Review Single Audit (SA) reporting from LEAs with more than \$750,000 in federal funding expenditures
  - Audit grants
  - review expenditures, indirect costs, purchasing documentation, completion reports, time and effort, etc.
- Issue findings when applicable
- Review Corrective Action Plans (CAPs)
- Provide Technical Assistance for LEAs needing support with grant compliance



# Fiscal Processing Team



Review and process  
Reimbursement  
Requests



Review and process  
Completion Reports



Review and process  
Title-I Maintenance of  
Effort (MOE)



Approve indirect cost



Provide Technical  
Assistance

# Grants Training Team



- Empower external and internal users to navigate and use GME to complete and manage fiscal processes
- Support fiscal processes and best practices within the grant cycle that are consistent across funding applications.



## Live trainings

- In-person
- Webinar
- Lunch & Learn



## GME Resource Library

- Presentations
- Infographics
- Quick guides



## Communication

- GME Homepage
  - Announcements
  - Reminders



# GME Home Page

## Announcements



GME Sandbox: **SOLD OUT** | Fall Forum: **SOLD OUT**

The Grants Management Fall Forum and GME Sandbox have both sold out. We are no longer able to accept new registrations.

New GEPA Requirement in FY24 Applications as of July 1, 2023 (7/3/2023)



GEPA

As of July 1, 2023 all federal grant funding applications in the GME system will include a section to which will satisfy the the General Provisions Act (GEPA) ([20 U.S.C. 1228a](#)).

## Monthly Review



### Updates and Reminders for the Month of September

#### Upcoming Trainings

- The Grants Management Fall Forum is a multiday, in-person event designed to give LEA grant professionals key information range of grant topics. [Find more information and registration here.](#)

#### Completion Reports (CR)

- CRs for most grants opened July 1, 2023.
- CRs are due 90 days after the project period ends.
- CRs are due September 28, 2023 for grants ending on June 30, 2023.
- CRs are due December 29, 2023 for grants ending September 30, 2023.
- Any CR not received by ADE before the 90<sup>th</sup> day deadline may result in forfeiture of final reimbursement of expenditures on
- Please allow appropriate processing time if your LEA is required to submit to your county office before your completion report is reviewed and approved by Grants Management.

#### Reimbursement Requests (RR)

- RRs re-opened July 1, 2023 for FY23 projects ending after June 30, 2023 and FY24 projects.

#### Risk Assessment

- Risk Assessment reports are now available and can be viewed in the LEA Document Library in GME. Please find more information [the Risk Assessment here.](#)



# We're Here to Help!

**ADE Helpdesk:** <https://helpdeskexternal.azed.gov>

**GM Website:** [www.azed.gov/grants-management](http://www.azed.gov/grants-management)

**GM Upcoming Trainings:** <https://azed.geniussis.com/Registration.aspx?CAT=28>

**GM Hotline:** 602-542-3901

## Grants Technology

### Option 1

- GME System Support
- GME System Updates & Enhancements
- GSA & Self-Assessment

## Grants Training

### Option 1

- Training and Professional Development
- Training Resources & Materials

## Fiscal Processing

### Option 2

- Reimbursement Requests
- Completion Reports
- Title I Maintenance of Effort
- Technical Assistance

## Fiscal Monitoring

### Option 3

- Single Audits
- Fiscal Monitoring
- Corrective Action Plan Support

**Questions?**





# **Budget Narrative Guidance – FY25**

*Uniform guidance across all Federal grants*

# Agenda

- Accessing the file (location)
- Review new document
- Communication with ADE



# Accessing File (Location)



# File's Location in GME

- Grants Management Resource Library
- GME User Resources/Training
- Funding Applications

## Grants Management Resource Library

### Grants Management Resource Library Search

Choose Keyword:

Or Enter Text:

Search

Below is the Grants Management Resource Library. Expand the nodes to view the folders and documents.

### Grants Management Resource Library [\[Expand All\]](#) [\[Collapse All\]](#)

+ CARES Act Funding

+ Fund Alerts

- GME User Resources/Training

+ Completion Reports

+ Fiscal Monitoring

- Funding Applications

📁 [Capital Outlay Worksheet FAQ \(Fast Facts\)](#)

📁 [Entitlement vs. Competitive Funding Applications Fast Fact](#)

📁 [Funding Application User Roles Infographic](#)

📁 [IDEA Funding Application - GM and ESS \(Presentation\)](#)

📁 [Substantial Approval FAQs](#)

📁 [Global vs. Program Holds](#)

📁 [Cost Allocation Plan Internal Svc Fund Flyer](#)

📁 [ADE Budget Narrative Guidance](#)

# Live Walkthrough

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# Review New Document



# Walkthrough

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- NRAC & CFR References
- Object Code Information
- Program Area Notes
- Examples
- Appendix



# N.R.A.C. & CFR References

## N.R.A.C and the 5 W's

Start with N.R.A.C. Ensure your budget narrative is describing costs that are **Necessary**, **Reasonable**, **Allocable** and correctly **Coded** for the grant that is providing the funding. As you are writing your narratives, keep in mind the 5 W's, based on the Uniform Grant Guidance Cost Principles.

Legal Reference	Question For (external/LEA)	Question For (internal/ADE)
2 CFR §200.405	<b>What</b> is proposed for purchase?	Is it allocable & allowable under the grant?
2 CFR§200.403	<b>Why?</b> For what purpose?	Is the cost necessary? Included in the IAP in response to a need?
2 CFR§200.405 USFR/USFRCS	<b>Who</b> benefits from it or uses it?	Is it allocable? Is the coding aligned to USFR/USFRCS?
2 CFR§200.404	<b>How</b> much does it cost? <b>How</b> was the cost determined?	Is the cost reasonable?
As Applicable		
2 CFR§200.459 2 CFR§200.474	<b>Where</b> is this event?	Is travel required based on the location of the event? If so, are travel costs reasonable?
2 CFR§200.459	<b>When</b> is this taking place?	Can the service reasonably be concluded in the time proposed?
2 CFR§200.474		Will it occur within the timeframe of the grant? Has it been pre-approved (if applicable)?

# Object Code Information

Object Code		<b>6100 - Salaries</b>
Purpose		<i>Compensation of Employees</i>
Narrative Description Format Options	<p>Narrative description to including cost break out details and an overall format with these main elements:</p> <p><b>FTE FORMAT:</b> Position Title (indicate certified or classified): (# of Staff) @ (Total FTE) = Total Funding</p> <p><b>HOURLY PAY FORMAT:</b> Position Title (indicate certified or classified): (Approx. # of Hours) = Total Funding</p> <p><b>STIPEND FORMAT:</b> Position Title or Purpose (indicate certified or classified): (# of Stipends) = Total Funding</p> <p><i>"Not to Exceed" may be used</i></p>	

- Narrative Description Format: Provides specific formatting templates for costs commonly coded to highlighted Object Code
- Not exhaustive, nor indicating the only items allowed
- Provides the minimum information required to meet NRAC

# Program Area Notes

<p>Narrative Description Format Options</p>	<p>Narrative description to including cost break out details and an overall format with these main elements:</p> <p><b>FTE FORMAT:</b> Position Title (indicate certified or classified): (# of Staff) @ (Total FTE) = Total Funding</p> <p><b>HOURLY PAY FORMAT:</b> Position Title (indicate certified or classified): (Approx. # of Hours) = Total Funding</p> <p><b>STIPEND FORMAT:</b> Position Title or Purpose (indicate certified or classified): (# of Stipends) = Total Funding</p> <p style="text-align: center;"><i>"Not to Exceed" may be used</i></p>
<p><a href="#">Program Area Notes:</a></p>	<p><b>ESEA:</b> Site Names, Set Aside #, T4 Category labels required where appropriate.</p> <p><b>IDEA:</b> Educator IDs must be included prior to approval of reimbursements.</p> <p><b>Title III:</b> Narrative should attest the request is <i>supplemental</i> and indicate the purchase is <i>only</i> for ELs, Teachers of ELs, or Families of ELs</p> <p><b>School Improvement:</b> Off contract pay must use hourly examples; positions are limited to support personnel.</p> <p><b>EHCY:</b> Content area(s) to be taught, number of HCY served, verbiage satisfying comparability and supplement requirements, if position is paid through multiple funding sources, and uploaded board-approved job description.</p> <p><b>MEP:</b> Content area(s) to be taught, number of MEP served, verbiage satisfying comparability and supplement requirements, if position is paid through multiple funding sources, and uploaded board-approved job description.</p> <p><b>Early Childhood:</b> Staff not listed as certified must include education level achieved.</p>

- **General:** “Certified teacher for pull out reading support; 2 staff for 1.50FTE = \$68,244
- **ESEA:** “Cactus Middle, certified teacher for pull out reading support; 2 staff for 1.50FTE = \$68,244
- **Title III:** “Certified teacher providing pull out reading support for ELs only; 2 staff for 1.50FTE = \$68,244

# Object Code Examples

1000	2100, 2200, 2600, 2700	2300, 2400, 2500, 2900
<p><b><u>Salary Example 1:</u></b> White Middle School: Math intervention teacher 1 @ 0.70FTE = \$36,400</p> <p><b><u>Salary Example 2:</u></b> 2 instructional aides (classified) working under the direct supervision of a special education certified teacher (2345678). 2 @ 2.0FTE = \$42,000.</p> <p><b><u>Hourly Example 1:</u></b> After school tutors (certified). Approx. 100 hours, not to exceed \$2,500.</p> <p><b><u>Stipend Example 1:</u></b> STEM Club sponsor stipend. 1 @ \$1,000.</p>	<p><b><u>Salary Example 3:</u></b> Instructional Coaches. 5 @ 4.5FTE= \$360,000</p> <p><b><u>Hourly Example 2:</u></b> Off-duty pay for teachers (certified) to attend "Leader in Me" training. Approx 25 total hours for \$550.</p> <p><b><u>Stipend Example 2:</u></b> Instructional Technology Coach stipend (EUT). 2 stipends = \$1,000</p>	<p><b><u>Salary Example 4:</u></b> <u>Set Aside #1:</u> 1 FTE Administrative assistant to the Director of Federal Programs \$22,000</p>

- Examples are meant to be informative
- Not an endorsement, nor a statement of allowability across all funding applications
- Variety of funding applications used to create examples

# Appendix

- Clicking on the “Program Area Notes” will take you to the Appendix
- This section contains detailed guidance from program areas
- Program Area Resources to assist with completing their funding applications are linked in this document

# Coding Manual - USFR

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- The Uniform System of Financial Records (USFR) is the accounting and financial reporting manual for Arizona
- It's your coding "bible"
- Link to USFR: <https://www.azauditor.gov/usfr>
- Let's check it out



# Let's Practice

- Salary & benefits for a full-time pre-school teacher
- Classroom set of activity books, crayons, markers, and other consumables
- Registration cost to attend ADE training on preschool development for 2 staff

Revisions



# Revision – What Is It?

---

- Revisions are done anytime changes are required to your funding application *after* receiving SEA Director Approval.
  - Increase/decrease in budget or allocation
  - A change in staffing
  - A coding correction
  - Additional materials needed
  - A new position

# Revision - Appearance

---

- Original Narrative – DO NOT DELETE OR MODIFY
- Revision Structure
  - Revision goes directly below Original Narrative
  - Rev # & Date
  - Written in RED
  - Follow all budget guidance
    - Use totals, not +/-
- HL Comment indicating Obj/Func codes modified in this revision

# Example

## Revision Example 1:

Object Code	Function Code	Project Time (FTE)	Quantity	Salary, Rental, or Unit Cost	Line Item Total
6100 - Salaries	1000 - Instruction		1	\$82,646.10	\$82,646.10

**Narrative Description**

Salaries for partial FTE for three (3) Reading Specialist positions, one for each school, at [redacted] Elementary, [redacted] Elementary, and [redacted] Elementary to support the Tier 3 reading intervention program for identified students who are most at risk of not meeting the ELA Reading & Reading Foundational Standards.

Position #1: [redacted] Elementary - (.4692 FTE) = \$33,842.46  
Position #2: [redacted] Elementary - (.2933 FTE) = \$18,754.19  
Position #3: [redacted] Elementary - (.2185 FTE) = \$12,466.96

**Total: \$65,063.61**

**Revision 1: 9/21/22**

Use carry-over funds to adjust salary for position #3 [redacted] to \$12,580.14 (Incorrect base salary was used in initial calculation and this corrects it for .2185 FTE.)

Use remaining carry-over funds to increase FTE for position #1 at [redacted] Elementary.  
Position #1: [redacted] Elementary increased to .4859 FTE = \$35,047

**New Total: \$66,381.33**

# Let's Practice

- Registration cost to attend ADE training on preschool development for 2 staff
  - Make a revision to add an additional staff member

# Questions?



[PDGInbox@azed.gov](mailto:PDGInbox@azed.gov)  
[www.azed.gov/ece/pdg](http://www.azed.gov/ece/pdg)



CRADLE TO CAREER

# Welcome

Please review this information while we wait for all to join!

## In the Chat

Please enter your parent organization name and site name.

### ***For example:***

Arizona Department of Education, Early Childhood Center





ARIZONA DEPARTMENT OF  
**EDUCATION**

# Preschool Development Grant B-5

May 16, 2024  
Day 2 Onboarding

# AGENDA

## Overview of Day 2

**Welcome & Introductions**

**PDG Guidance Manual Overview**

**EMAC**

**Questions & Answers**

**Grant Management Training**



[Preschool  
Development  
Grant B-5](#)

# Welcome & Introductions

## ADE Early Childhood Education Team

**Laura Lee**, Director of ECE

**Alexis Horne**, Early Childhood Head Start Collaboration Office Lead

**Lourdes Kelly**, ECE Grants Manager

**Deanna Bailey**, ECE Finance Specialist

**Chelsea Rousseau**, ECE Program Specialist

**Patsy Rethore-Larson**, ECE Program Specialist

**Oksana Beatty**, ECE Program Specialist

**Vikki Snipes**, ECE Program Specialist

**Priscilla Sachs**, Early Inclusion Specialist/liaison for ECSE Team

**Wendy Flynn**, ECE Workforce Specialist

**Wendy Logue**, Early Literacy Specialist

**Deanna Jergenson**, ECE Literacy Specialist

**Qiana Harris**, CLSD Program Specialist

## Early Childhood Office Hours





ARIZONA DEPARTMENT OF  
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# PDG Guidance Manual

# PDG Guidance Manual Overview



## Preschool Development Grant B-5

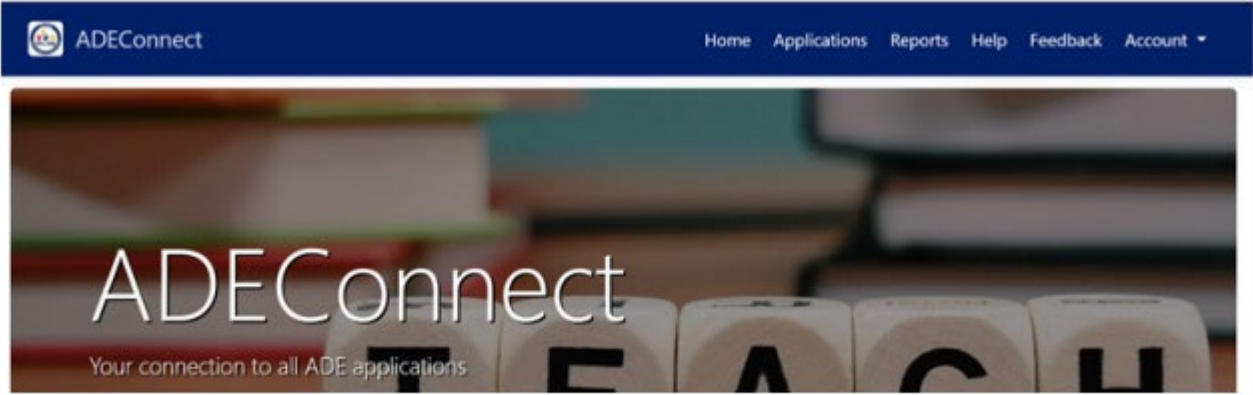
*Preschool Development Grant FY25 Guidance Manual*  
ARIZONA DEPARTMENT OF EDUCATION, EARLY CHILDHOOD EDUCATION



ARIZONA DEPARTMENT OF  
**EDUCATION**

# Educational Monitoring Assistance & Compliance (EMAC)

# Educational Monitoring Assistance & Compliance (EMAC)



Login to ADEConnect.

[How to Access EMAC \(flowchart\)](#)

[EMAC Portal User Guide](#)

The image is a screenshot of the EMAC dashboard for 'Estrellita Child Care Center, LLC (92799)'. The top navigation bar includes the EMAC logo and links for Home, Task(s) Schedule, Communications, Document Archive, Reports, Support, a notification bell, and a user profile icon. The main content area is divided into several sections. On the left, there are tabs for 'My Monitoring Programs' and 'Organization Monitoring Programs'. Below these are sections for 'Fiscal Year : 2023-2024' and 'Fiscal Year : 2022-2023', each containing a list of programs: 'High Quality Early Learning FY24' and 'Preschool Development Grant FY24'. The central 'Dashboard Task Count(s)' section shows a dropdown for 'All Programs' and a 'Reset' button. It displays task counts for 'FY 2024', '2023', and '2022'. Under 'My Tasks', it shows 8 Not Started and 2 Onsite Visits Onsite Visits, with 56 Completed and 0 Overdue tasks. Under 'Organization Tasks', it shows 8 Not Started and 2 Onsite Visits Onsite Visits, with 56 Completed and 0 Overdue tasks. At the bottom, there are sections for 'My Recent Activity' (with filters for 7 Days, 15 Days, 30 Days) and 'Upcoming Tasks' (with filters for My Tasks and EdOrg Tasks).

Verify there is a link “EMAC” on your list of applications.

[EMAC Administrator Guide](#)

[ADE Helpdesk](#)

## Cohort 1 PDG Funding

### • Cohort 1

- **May 1st:** FY25 Funding Application Opened
  - Complete budget requests for award letter amount only
- **July 1st:** Begin Completion Report (CR) to access FY25 funds
  - FY24 conclude spending by **6/30/2024**
- Completion report is the "final draw" for FY24
  - Completion report will allow for FY24 carryover funds
- **FY25 (July 1, 2024):** Continuation funding as noted on your award letter available
  - Will include notified slot increases
  - Subgrantee will need to complete a budget revision with updated funds inclusive of carryover funds
- Director level approval required prior to spending and reimbursements for FY25



## Cohort 1 PDG Funding

### • Cohort 1

- **Jan 2025:** ADE ECE will increase FY25 funding with your yearly award noted on your award letter
  - Subgrantee will need to complete a budget revision with updated funds
- **FY25 (September 30, 2025)** PDG Funds must be spent in full
  - Final Completion Report opens **Oct 1, 2025**, and closes December 30, 2025

## Cohort 2 PDG Funding

- **Cohort 2**

- FY24 budget closes out **9/30/2024**
- **Oct 1st:** Begin Completion Report (CR) to access FY25 funds
  - FY24 conclude spending by 9/30/2024
- Completion report is the "final draw" for FY24
  - Completion report will allow for FY24 carryover funds
- **FY25:** Complete funding application for your carryover funds
- Director level approval required prior to spending and reimbursement requests
- **Jan 2025:** ADE ECE will increase FY25 funding with your yearly award noted on your award letter
  - Subgrantee will need to complete a budget revision with updated funds
- Director level approval required prior to spending and reimbursement requests
- **FY25 (September 30, 2025)** PDG Funds must be spent in full
  - Final Completion Report opens **Oct 1, 2025**, and closes December 30, 2025

# Questions & Answers

[Preschool  
Development  
Grant B-5](#)



ARIZONA DEPARTMENT OF  
**EDUCATION**

# Welcome Grants Management



# Preschool Development Grant Onboarding

*Welcome to Federal Grants*

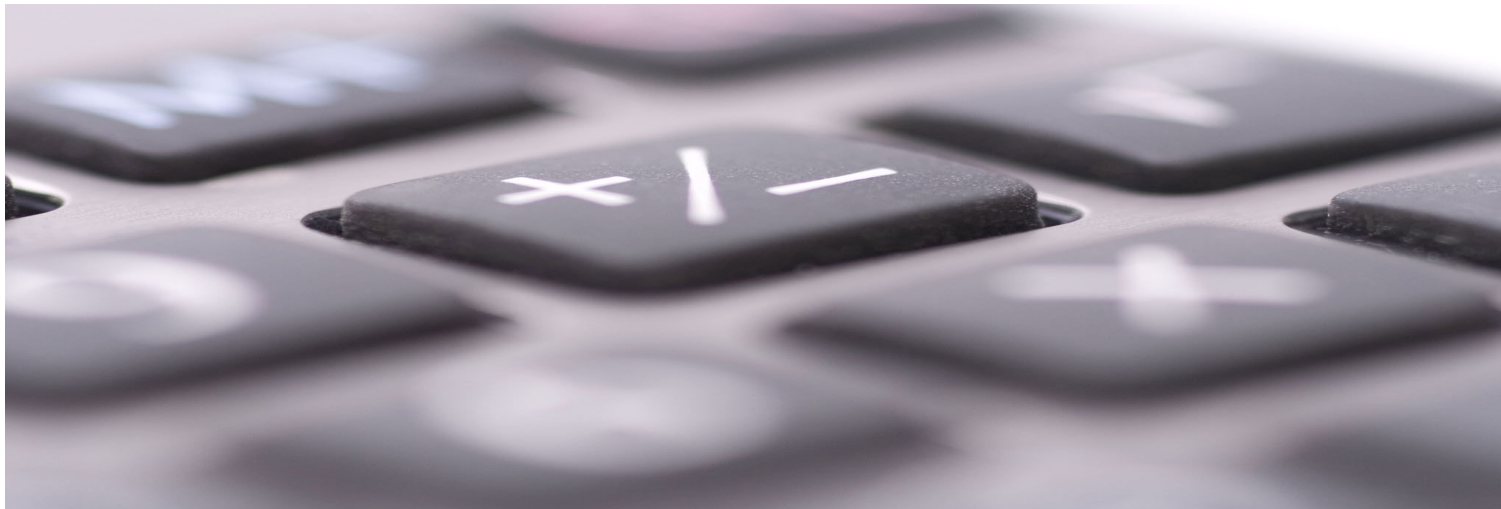
# FISCAL FRAMEWORKS: REIMBURSEMENT REQUESTS

Presented by:

The Grants Management Training Team

Arizona Department of Education

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# Goal

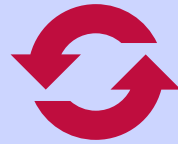
Our goal for this module is for participants to leave with a better understanding of Reimbursement Requests by covering the following topics:

-**WHY** do we use reimbursement requests?

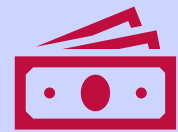
-**WHAT** is a reimbursement request?

-**WHO** can complete reimbursement requests? (User Roles)

-**HOW** to access reimbursement requests in GME (Grants Management Enterprise)



In this module, you will learn about Reimbursement Requests



How does this module support the grant process?

Fiscal  
Documentation  
Processing



As a participant, you will be able to understand the requirements and process of Reimbursement Requests



# What is a Reimbursement Request?



Reimbursement Requests are the process by which funds are drawn down from a director approved funding application



Recommendation is for LEAs to draw down funds 1-2 times monthly



LEA Business Manager (required), LEA Authorized Representative



**Required:**

Reimbursement Request Summary (Project Summary)  
Reimbursement Request Sections, Expenditure Details  
Related Documents, Request, History Log





# Who Can Submit Reimbursement Requests?

Only one user role is **required** in the Grants Management Enterprise (GME) System to submit Reimbursement Requests.

The **LEA Business Manager** can initiate, complete and submit Reimbursement Requests.

Be sure to keep up with changes to User Roles as individuals leave or join your organization!

Incorrect individuals assigned to required User Roles can prevent you from being able to process Reimbursement Requests in a timely fashion.



# General Overview of the Process

**(1) Create new Reimbursement Request**

**(2) Add year-to-date expenditures**

**(3) If applicable – upload necessary documentation**

**(4) If applicable - address special items in the History Log**

**(5) Submit for Grants Management review**



# Be Prepared!

The following questions are helpful to ask yourself before beginning your Reimbursement Request!

- Is my original application in **SEA Director Approved Status**?
- Am I prepared to enter all **cumulative expenditure information**?
- Are there any **supplemental documents** required for this request?



# Reimbursement Requests in Grants Management Enterprise (GME) System

The following are key pages within GME related to Reimbursement Requests. We will take a walk through the following:

1. Reimbursement Request Summary (Project Summary)
2. Reimbursement Request Sections
3. Expenditure Details
4. Request
5. Related Documents
6. History Log
  - Create Comment



# Reimbursement Requests in Grants Management Enterprise (GME) System

## Live Demonstration



# Expenditure Documentation

Unedited, official expenditure summary from accounting system.

1. Amounts
2. Date range
3. Object and Function codes
  - Applicable Project/Fund codes
    - Project-to-date expenditures.



# Circumstances Where Additional Documentation is Required

- Expenditure Report (ER) Required:
  - 20% or greater of the allocation
- Random Samplings
  - Other selected reimbursement transactions that fall under 20%
- Crosswalk (needed if ER coding doesn't match GME; **charters only**). The Crosswalk Template is available in the GME Resource Library.
- Unsure or need specific information? Contact your Grants Coordinator!

Description
<a href="#">History Log</a>
<a href="#">Create Comment</a>
<a href="#">Expenditure Details</a>
<a href="#">Request</a>
<a href="#">Related Documents</a>
<a href="#">Assurances</a>
<b>All</b>



# Importance of Consistently Drawing Down Funds

Implications and increased vulnerability at Completion

Report time

- Expired funds
- Carryover
- Timeliness
- Risk Assessment:

1. Reimbursement Requests – Fiscal Performance

2. Completion Reports – Reporting Timeliness





# The Fiscal Quarterly Report

1. Stay up to date with status of applications and utilization of grant funding.
2. Regularly drawing down funds helps to minimize risk, maximize use of funds, and ensure funding is available to meet needs.
  - ✓ Danger of expiring funds
    - Grant may allow carryover, but it is not indefinite
  - ✓ Danger of losing/returning funds or other penalties
    - Some funding applications have specific requirements for how/when funds are expended
  - ✓ Increased likelihood of monitoring issues
    - Many more audit issues occur with infrequent draw downs and/or completion



**Quarterly calls are completed by your assigned Grants Coordinator within a couple weeks of uploading them into GME.**



# Other Deadlines and Considerations

- Substantial approval
- Project end dates
- Quality assurance of reporting
  - Uploading expenditure reports before CR
- One fiscal action at a time; pending payment



Tip! Reimbursement Requests cannot be submitted after the project end date! Reimbursing monthly is best practice. Remember to allow for adequate processing time.



# Answers to Common Questions/Issues

## 1. Why can't I start a new Reimbursement Request? The link isn't there or won't work.

- a. There are generally two reasons this would occur:
  - You have a prior Reimbursement Request that is not in "Paid" status yet. Only one fiscal action is allowed per award at a given time.
  - The link to start a new Reimbursement Request is gone because the project end date has passed. If the award is not a state reverting grant, a final drawdown can be made on the Completion Report within the subsequent 90-day liquidation period.



## 2. Why doesn't the Reimbursement Request show my new budget from my revision?

- a. A revision must be in a Director approved status before the budget refreshes. Until then, you can still submit a Reimbursement Request, but it will show the most recent budget that has been Director approved rather than one pending Director approval.



# Reflection/Key Points

## 1. Prepare all necessary information before starting the Reimbursement Request

- Is the application in SEA Director Approved Status?
- Is all cumulative expenditure information prepared to be entered?
- If required, are all supplemental documents ready to be uploaded?

## 2. Complete all required sections

## 3. Submit the Reimbursement Request at the LEA level





# Completion Reports

Closing Out Your Grant

# Training Objective

- This training will explain how to successfully process and submit a Completion Report (CR).



Completion reports close out the grant cycle within GME for the current fiscal year.

# Learning Targets

1. Pre-planning/Essential Information
2. CR Sections/Submission
3. Refunds
4. Project/Global holds
5. Revisions
6. Expired funds



# Pre-Planning

**This following pre-planning steps are required prior to starting a CR :**

- You must be logged in to GME through ADE connect.
- The correct user role needs to be assigned.
- All Reimbursement Requests must be in **paid** status.
- Year to date expenditure summary report.



# Pre-Planning – User Roles

## ➤ Required Role:

- The LEA Business Manager: initiates, updates, and submits the Completion report.

## ➤ Optional Roles:

- LEA (FA Name) update can edit a specific CR, no ability to initiate or approve.
- LEA Data View can view unapproved items, not able to action the CR.



# Essential Information for Completion Reports

- The 90 day liquidation period following the end of the federal project end date allows organizations to request reimbursement on the completion report for expenditures incurred **PRIOR** to the project end date.
- Timely submission of your completion report ensures the organization will avoid Fiscal Holds.
- If the completion report is not received in an approvable state **PRIOR** to the due date, your organization will lose the opportunity to make final reimbursements

# CR Sections and Submission

Let's take a deeper look into GME

The following sections will be reviewed:

Completion Report

CR Capital Outlay Worksheet

CR Related Documents

Budget

Budget Overview

Program Details

Capital Outlay Worksheet

Related Documents

# How to Locate and Start a Completion Report

- Select Funding Application from the blue main menu
  - Select the correct fiscal year
  - Select the Grant you will be completing
  - Change status of the grant to CR Draft Started

Let's Take a  
Look in GME



## Questions

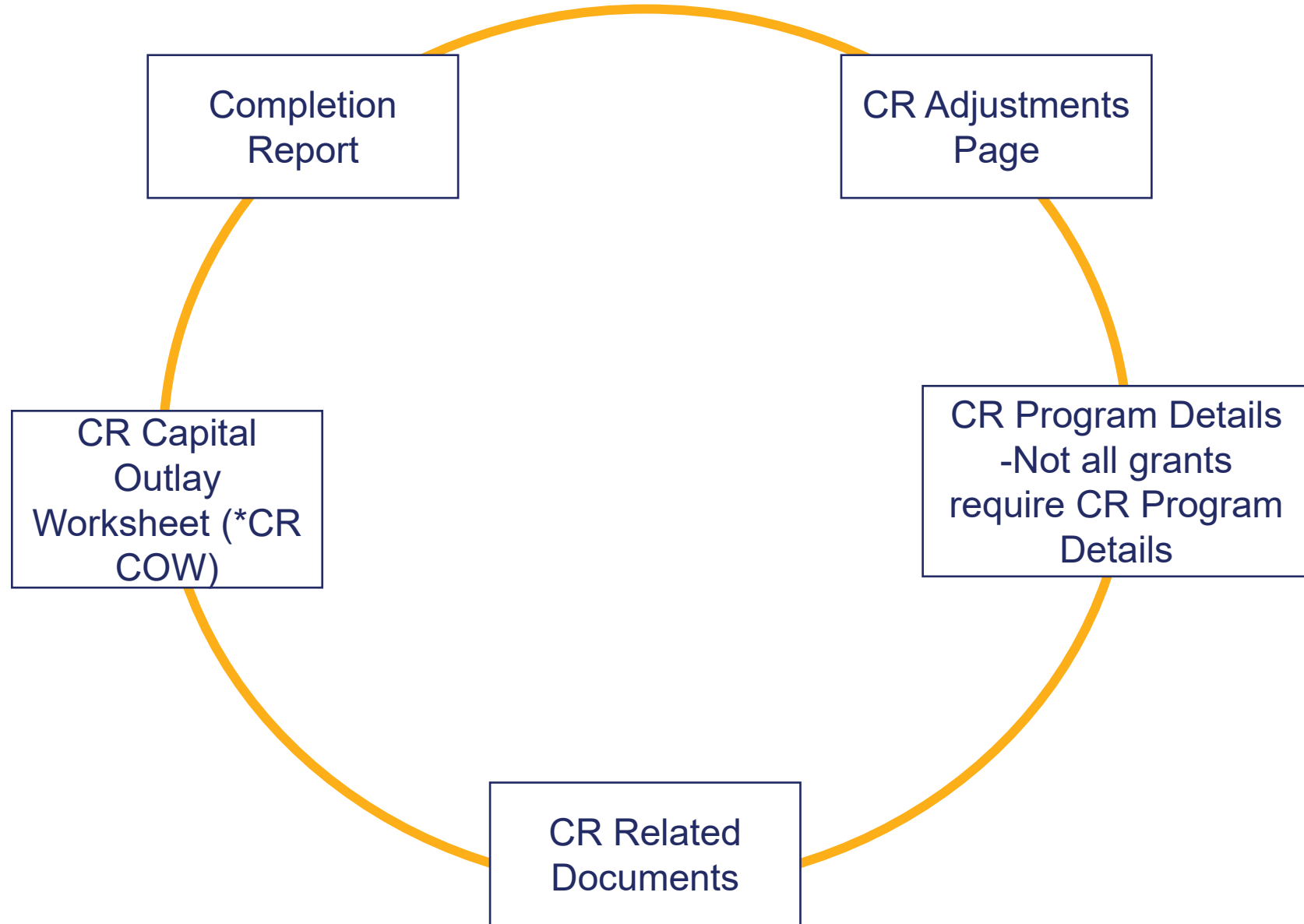
Please feel free to unmute or type questions in the chat.



# CR Sections Page

These steps can be done in any order if they are completed successfully

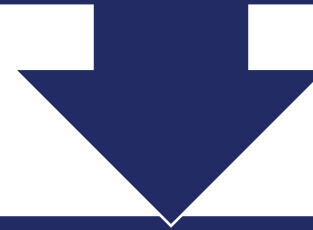
\*CR COW is required if the Completion Report page contains expenditures greater than \$0 in any of the Capital Object Codes



# CR Crosswalk Template

- Please contact your Grants Coordinator for additional information.

Visions and QuickBooks are the most common expenditure summary report systems used for verification by organizations



Your organization may need to complete a crosswalk, if you are not using the standard accounting codes.

A crosswalk ensures your accounting codes match the USFR/UFCR required codes in GME



# CR Refunds

The return of monies form must be completed prior to sending in the refund check.



Create a history log comment in GME explaining details of the refund



The return of monies form and the check must be sent together addressed to:

Arizona Department of Education  
Accounting Department, Bin #1  
1535 W Jefferson Street  
Phoenix, AZ 85007



## Questions

Please feel free to unmute or type questions in the chat.



# Follow the Guidelines Below for the Completion Report Tab:

## Update

- Ensure all entered amounts reflect current YTD totals

## Review

- Approved budget to compare to expenditures

## Verify

- Expenditures are accurate

# Fiscal Holds

When fiscal holds will be placed and how to correct them



# Fiscal Holds

Fiscal holds are placed on the 106<sup>th</sup> day of the CR not being submitted at least 1 time.

On the 120<sup>th</sup> day the Fiscal hold is placed if the CR is not approved.

Fiscal holds will be systematically lifted after corrective action is completed.

**FAILURE TO COMPLETE A CR MAY RESULT IN YOUR ORGANIZATION BEING REQUIRED TO RETURN ALL FUNDS**

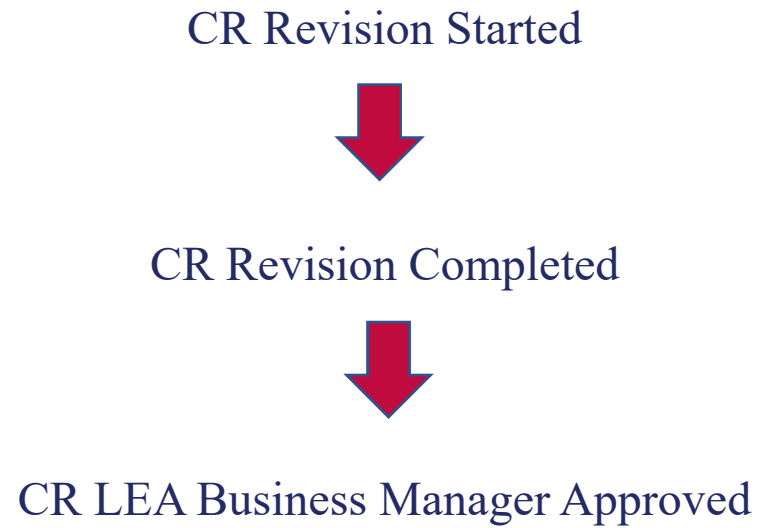
# Revisions

- CR Revisions may be needed to make adjustments after approval.
  - Ex. Vendor issues a refund for goods purchased with the grant; reduction in expenses would be required.
- Revisions can be initiated by ADE or your organization
- Steps to opening a CR revision
  - Complete a history log comment documenting the reason for the revision
  - The LEA has 15 business days to complete the CR revision and 15 business days to submit a refund if needed.
  - Incomplete CR Revisions with a refund will be placed on fiscal hold after an additional 5 days.
  - Only send refund checks to ADE at the prompting of your Grant Coordinator(they will drop a History Log comment)

\*The CR revision process must be completed in 35 days if a refund is due.



# Reminder: CR Revision Submission Status Changes



## Questions

Please feel free to unmute or type questions in the chat.





# FISCAL FRAMEWORKS: THE MONITORING PROCESS

Presented by:  
The Grants Management Training Team  
Arizona Department of Education

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# Goal

Our goal for this module is for participants to leave with a better understanding of the Fiscal Monitoring Process by covering the following topics:

-**WHY** does a Fiscal Monitoring happen

-**WHAT** happens during the Fiscal Monitoring process

-**WHO** is involved in the Fiscal Monitoring process?

-**HOW** does the Fiscal Monitoring come to a close



In this module, you will learn about the Fiscal Monitoring Process



How does this module support the grant process?

Fiscal  
Documentation  
Processing



As a participant, you will be able to understand the requirements of the Fiscal Monitoring Process

# The Big Picture of the Fiscal Monitoring Process:

## Overview

1. Fiscal Monitoring begins with a review of the LEA's Internal Controls: The Policies and Procedures.
2. The Fiscal Monitor will then request expenditure reports for each Grant received by the LEA. Expenses will be sampled from the expenditure reports provided.
3. Based on the samples collected, the Fiscal Monitor will ask the LEA for details, such as documents to show the process of following the Policies and Procedures in the purchase of each sampled item.



# Why Does a Fiscal Monitoring Take Place?



Pursuant to 2 CFR §200.332, as a Federal grant pass-through agency, ADE is responsible for monitoring the activities of subrecipients to ensure the subaward is used for authorized purposes, in compliance with Federal and state statutes, regulations, and the terms and conditions of the subaward.



# Who is Involved in the Process?



- **Parties involved in the Fiscal Monitoring process:** The Fiscal Monitor from Grants Management and Individuals from your organization with approved access to the FM tool in GME
- **First:** The Engagement Call. The Fiscal Monitor conducting the monitoring will confirm individuals who should have access to the Fiscal Monitoring tool in GME.
- **History Log:** All communication between FM and organization representatives will be documented in the GME History Log. This allows all parties to review what information was requested when.

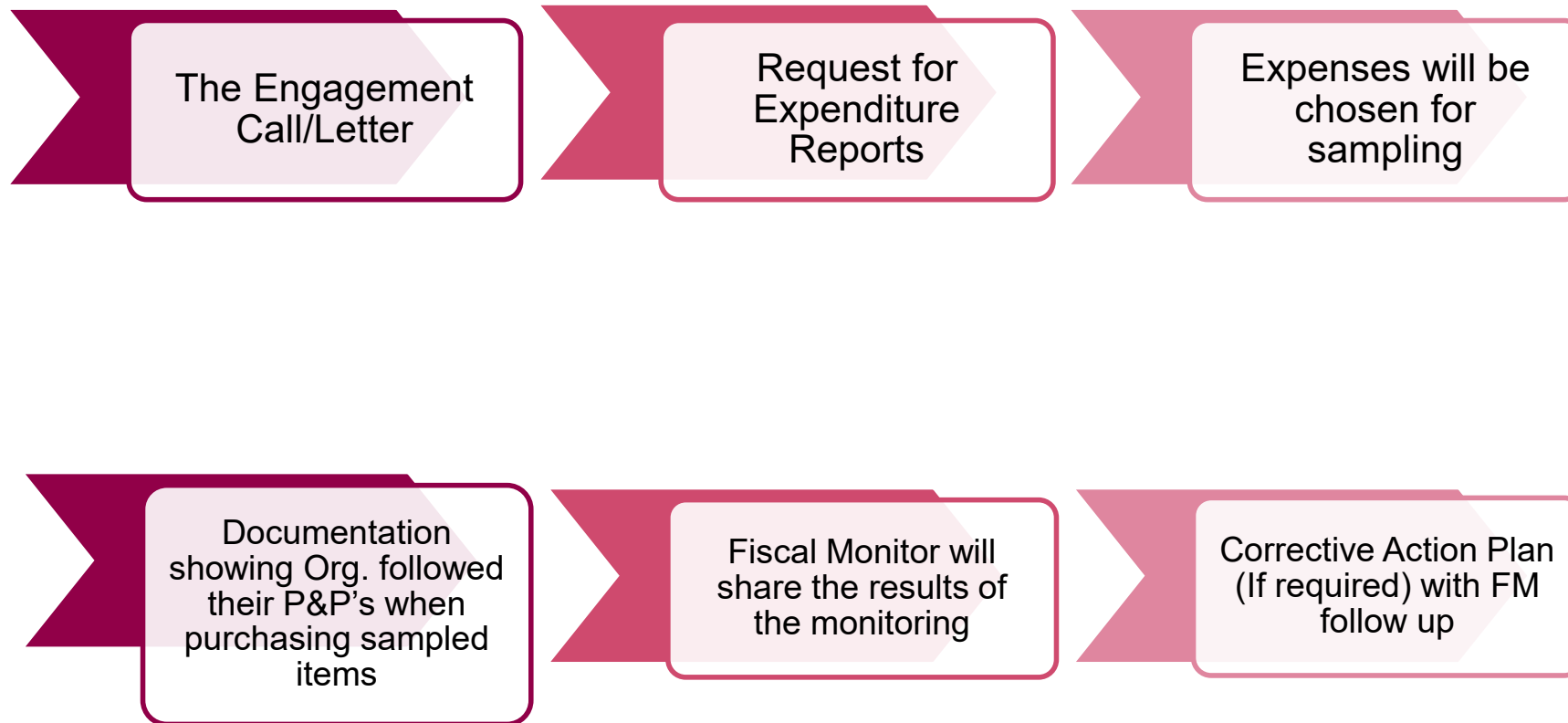
[View ADE History Log](#)

[View Change Log](#)

Description ( <a href="#">View Sections Only</a> <a href="#">View All Pages</a> )		Validation	Print <input type="checkbox"/> Select Items
All		Messages	<a href="#">Print</a>
<input type="checkbox"/> History Log			<a href="#">Print</a>
<a href="#">History Log</a>			<a href="#">Print</a>
<a href="#">Create Comment</a>			



# What Happens During the Process?



# Sample Supporting Documentation

## Payroll

- Time & Effort policies and procedures
- Time & Effort documentation
- Employment contracts
- Payroll sheets that coincide with pay periods

## Non-Payroll

- Procurement policies and procedures
- Requisition and/or Purchase Orders
- Professional Services contract
- Invoices, receipts, or packing slips
- Copy of a payment



# Sample Supporting Documentation Cont.

## Travel

- Travel policies and procedures
- Documentation of Travel Expenses
  - Transportation
  - Hotels
  - Per diem
- Invoices and/or copy of receipts or payments

## Assets

- Asset management policies and procedures
- Asset Requisition or Purchase Order
- Invoices, packing slips or copy of a payment
- Inventory list

## GME User

- Policy and procedures for adding/deleting users in GME
- Documentation for random sampling of personnel of GME



# Commonly Requested Policies and Procedures



1. Asset Management
2. Time and Effort
3. Travel
4. Procurement
  - a) Suspension & Debarment
  - b) Conflict of Interest policy
5. GME User Access



# Common Findings Related to Policies

- LEA does not have an internal policy
- LEA's internal policy is not aligned with state and/or federal requirements
- LEA's policy is missing key information
- LEA does not follow internal policy

**Note:** An inadequate organizational policy may result in technical assistance with the recommendation that the organization updates their policy to incorporate additional internal controls and/or align policy to the federal standards. Subsequent issues may result in a finding.

# Examples of Common Policy Issues

## No Internal Policy

LEA did not provide evidence of a Computer User Access Policy.

## Not Aligned to State/Federal Standards

Evidence provided did not demonstrate federal methods of procurement were followed.

## Missing Key Information

Submitted travel policy does not contain procedures for calculating per diem/meal reimbursement amounts.

## Internal Policy Not Followed

Submitted semi-annual certification was prepared and signed annually. Organization internal policy states, "Time and effort certifications will be prepared and completed semi-annually."



# Three Types of Findings in a Fiscal Monitoring

## 1. Internal Control Findings

- Normally do **not** have a specific dollar amount
- Expenditure Report and Completion Report do not reconcile
- Are found around policies and procedures and user access

## 2. Questioned Cost Findings

- Have a specific dollar amount
- Do **not** have to be returned to ADE
- Could be identified as Disallowed Cost Findings in future if not remedied through the Corrective Action Plan (CAP)

## 3. Disallowed Cost Findings

- Have a specific dollar amount
- Funds **must** be returned to ADE



# How Does The Fiscal Monitoring Close?

- Once all documentation requested of the LEA has been submitted, the Fiscal Monitoring will follow one of the following steps:



## Monitoring Closed with No Findings:

GME status will change to: SEA Fiscal Monitoring Reviewed- No Findings.

Monitoring Closed with Findings: CAP will need to be approved. Once CAP is approved, LEA will be notified and Monitoring closed



The Fiscal Monitor will let the LEA know that ADE will follow up on any fiscal monitoring related to the CAP.



The LEA will be notified when CAP follow up begins using the GME History Log.



## Corrective Action Plan (CAP)

LEA will complete a CAP in response to each Non-Compliant Finding from the Fiscal Monitoring. The CAP will be reviewed and approved by the Fiscal Monitor.

# Let's Put It Into Practice!

## Will a CAP be needed?

**Scenario 1:** The fiscal monitor reaches out to tell you that after reviewing all the documentation your team submitted to GME, there have been no findings.



**Scenario 2:** The fiscal monitor reaches out to let you know that while reviewing your Travel Supporting Documentation for a conference your team attended, there is a Questioned Cost Finding.



**Scenario 3:** The fiscal monitor submits an update to GME that there are disallowed cost findings related to 3 of your organization's grants.



**\*Bonus\*:** If a CAP is needed, do you have to do more than one?





# The Big 5



## 1. **Policies and Procedures-**

Your organization is responsible for creating, implementing and following their Policies and Procedures.

## 2. **Documentation/Organization-**

It is important for your organization to have a robust system for organization and documentation as it pertains to financial records such as quotes, invoices, purchase orders, travel receipts, proof of reimbursement, etc.

## 3. **Process-**

The Fiscal Monitoring Process as a whole needs to be completed.

## 4. **Corrective Action Plan-**

The CAP must include: What action/s will be taken to remedy the finding, Who will be responsible for implementation, the date by which the action will be implemented.

## 5. **Collaboration-**

A fiscal monitoring is truly a collaboration between Grants, Program Areas and your organization. Our role is to provide support to aid in your processes moving forward. Be sure to utilize the History Log!

# Let's Wrap Up What We've Learned!

- Revisit Goal

Our goal for this module is for participants to leave with a better understanding of the Fiscal Monitoring Process by covering the following topics:

- -WHY does a Fiscal Monitoring happen?
- -WHAT happens during the Fiscal Monitoring process?
- -WHO is involved in the Fiscal Monitoring process?
- -HOW does the Fiscal Monitoring come to a close?





## Questions

Please feel free to unmute or type questions in the chat.



# Questions?



[PDGInbox@azed.gov](mailto:PDGInbox@azed.gov)  
[www.azed.gov/ece/pdg](http://www.azed.gov/ece/pdg)



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