

**ARE YOU BEING SERVED?**

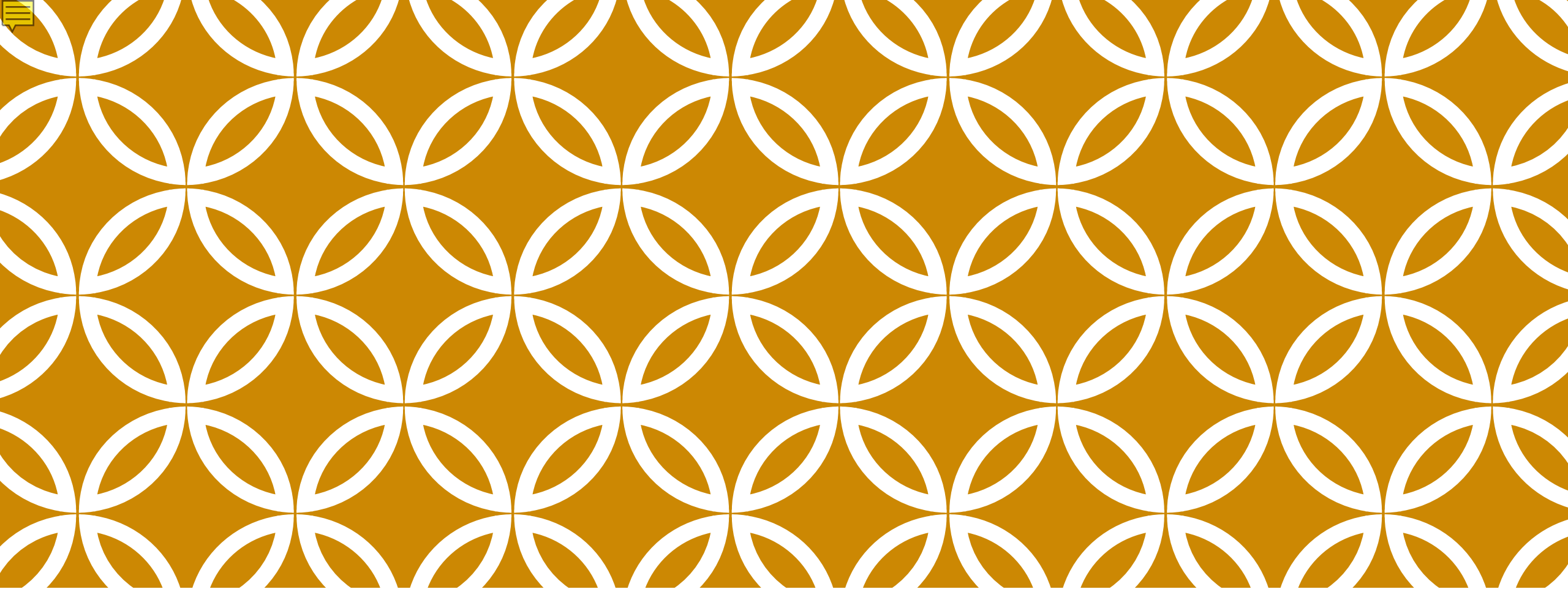




# AGENDA

1. Introduce the Team & Department Overview
2. Discuss Updated & Upcoming Guidance
3. Share Current & Future Opportunities for Support





# GRANTS MANAGEMENT INTRO & OVERVIEW





# GRANTS MANAGEMENT

SUPPORTIVE  
PROBLEM-SOLVING  
COLLABORATIVE  
INNOVATIVE  
POSITIVE  
PRECISE  
TIMELY

# GRANTS MANAGEMENT TEAM

**Deputy Associate Superintendent**

Deidre Mai



## FISCAL MONITORING & PROCESSING

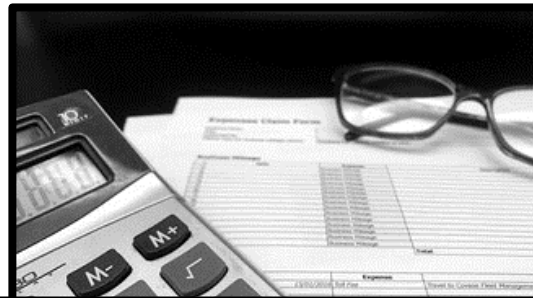
- 10 Grant Coordinators
- 10 Fiscal Monitors

**DIRECTOR**

Nicole von Prisk

**SUPERVISORS**

Myrna Rodriguez, Alina Meraz,  
Dominique Frye



## GRANTS TECHNOLOGY

- 1 Data Analyst
- 1 Grants Coordinator
- Grants Technology Coordinators

**DIRECTOR**

Alice Johnson



## GRANTS TRAINING

- 2 Grants Training Specialists

**SUPERVISOR**

Andrea Grabow



## FISCAL MONITORING

- Review Single Audit(SA) reporting from LEAs with more than \$750,000 in federal funds
- Audit grants – review expenditures, indirect costs, purchasing documentation, completion reports, time and effort, etc.
- Issue findings
- Corrective Action Plans

## FISCAL PROCESSING

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



# GRANTS TRAINING

- Develop training materials and resources
- Conduct training sessions
- Provide support to customers

## **INTERNAL**

- Agency support & training
- Grants Management Team training

## **EXTERNAL**

- Regular training sessions
- 1:1 assistance and GME navigation support

## GRANTS TECHNOLOGY

- 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





## ON-GOING SUPPORT

### **GME HELP DESK**

- Internal/external triage issues with GME system

### **CALL CENTER**

- Support for LEAs navigating GME and fiscal processes
- Fiscal monitoring/processing, training, and tech

## ANNUAL PROCESSES/PROJECTS

- Grants Annual Planning Process (GAPP)
- Master Allocation File (MAF)
- Risk Assessment (RA)
- General Statement of Assurances (GSA) /Self-Assessment



# UPDATED AND UPCOMING GUIDANCE



# TIME & EFFORT



- Increased flexibility moving forward
- Eliminating “Alternative T&E” process
- New Time & Effort Guidance Document to include:
  - Simplified guidance and clarity
  - Internal Controls/Policy requirements
  - Documentation requirements
  - Examples/Best Practices
  - FAQs
- T&E Training will be provided this summer

# RISK ASSESSMENT 2023



- Updated timeline
- Where to find
- Overview of indicators
  - Audit Performance
  - Academic Performance
  - Reporting Timeliness
  - General Performance
  - Fiscal Performance

# TIMELINE, LOCATION & USAGE

- Uploaded in June 2022
- Located in LEA Document Library
- Not attached to funding
- Used for LEA review of processes

## LEA Document Library

Arizona Department of Education (000111000) Test District - FY 2022 - Global Hold(s): (2020, 2021, 2022, 2023)

### LEA Document Library Search

Enter Search Text:

Root Folders:

- 2023
- 2022
- 2021
- 2020

### LEA Document Library [\[Expand All\]](#) [\[Collapse All\]](#)

General

2022

#### Folders

Affirmation of Consultation with Tribal Representatives

Capital Equipment Classification

Approval to use 1003 funds

Fiscal Monitoring

Fiscal Quarterly Report

General Statement Of Assurance

High Risk Determination

#### Folders

Sample High Risk Templates

#### Documents

Sample High Risk Determination Letter [\[Edit Documents\]](#)

Sample High Risk Determination form [\[Edit Documents\]](#)





## 2022 Risk Assessment ADE Sample Elementary Charter District



CTDS	Entity ID	LEA Type	Years In Operation
123456789	1234	Charter District	Over 5 Years

Risk Level  
**Medium**

### Introduction

In compliance with 2 CFR 200.331(b), the Arizona Department of Education (ADE) has prepared this annual comprehensive risk assessment of your entity. This comprehensive risk assessment evaluates your performance and financial stability translated into a risk level. The ultimate intent of this report is to ensure transparency and accountability which will reduce and mitigate potential vulnerabilities. ADE will use these results to provide technical support and drive healthy conversation around performance improvement. The risk assessment results **will not** be used for determining allocations or application approvals.

### Process

ADE created a catalog of required criteria for the risk assessment by using appropriate public metrics such as graduation rates, dropout rates, and Single Audit findings. Data sets such as AZMERIT and/or AZELLA scores were utilized as indicators providing a reasonable basis for the results based on our assessment objectives and federal requirements. ADE believes that the evidence obtained from the data provides reasonable conclusions to determine if an LEA is Low, Medium or High Risk. Scoring calculation is specific to each individual LEA. Entities were not given points for indicators with factors that did not have data sets. For example, for an entity that was not required to submit a single audit, points were not given or added to the total possible in the Audit and Monitoring category and as a result did not affect their overall score.

### Understanding the Risk Indicators

Five categories were determined to be significant indicators of risk that may adversely affect the ability of an LEA to achieve its objectives. The categories include Monitoring and Audit Performance, Academic Achievement, Reporting Timeliness, Fiscal Performance and General Performance. Each category included the analysis of several data sets. Scores for each data set were combined into a single score to provide an indicator of risk for each category.



## ADE Sample Elementary Charter District

### Reporting Timeliness

Yes

**General Statement of Assurance** submitted on time? LEAs are required to provide assurances annually to guarantee accountability to the Federal Government and State of Arizona.

6 mos +

**Funding Applications** - How soon after opening were all applications submitted? LEAs are required by Uniform Grant Guidance to have their Funding Application substantially approved prior to obligating and spending funds. This allows for sufficient time to utilize funds.

Yes

**Adopted Budget** submitted on time? LEAs are required by Arizona Revised Statute to submit their Adopted Budget to ADE annually.

Yes

**Annual Financial Report** submitted on time? LEAs are required by Arizona Revised Statute to submit an Annual Financial Report (AFR).

No

**Completion Reports** submitted on time? LEAs are required by Uniform Grant Guidance to submit their Completion Reports to Grants Management within 90 days of the completion of a federal award project.

### Monitoring & Audits

2018

**Last Fiscal Monitoring** - When was the most recent fiscal monitoring audit? This factor considers the frequency and outcomes of grant funding audit and monitoring activity conducted by the Arizona Department of Education (ADE).

Yes

**Fiscal Monitoring Findings** - Were there any findings during the most recent fiscal monitoring? N/A indicates a fiscal monitoring was not conducted during the most recent fiscal year.

No

**Fiscal Monitoring Disallowed Costs** - Were there any disallowed costs in the most recent fiscal monitoring? This factor considers any disallowed costs in the most recent audit year.

NS

**Single Audit Submitted** on time? LEAs that received \$750,000 or more from ADE in the most recent fiscal year must submit a single audit. This factor evaluates whether the LEA has met that requirement. N/A indicates the LEA was not required to submit a single audit to ADE.

N/A

**Single Audit Findings** - Were there findings on the last Single Audit? Per 2 CFR 200.331(d), Single Audits are considered a necessary risk criterion as it is a critical component to ensuring federal funds are safeguarded and utilized effectively. N/A indicates the LEA was not required to submit a single audit to ADE.

# RISK ASSESSMENT SAMPLE



## Reporting Timeliness

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N/A

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# INDIRECT COSTS 2023

- Best practice is to apply by June 1 for FY23
- Revision option closed for FY23 because carry forward is implemented
- Federal guidance cautions claiming excessive IDC through unrestricted rates to avoid unintended consequences
- New charters will be granted the state average



# WHERE TO APPLY

## Indirect Cost 2023

- Located in GME
- Supplements
- Apply by June 1 for July 1 rate

Search Supplements

Organization Name: Begins With

Organization Number:

County: All

Organization Type: Select an option(s)...

Fiscal Year: 2023

Supplement:   
GME Enhancement Planning  
**Indirect Cost**  
School Safety Program Reporting  
Self Assessment

Supplement State: All

Supplement Status:   
Indirect Cost Request Not Started  
Indirect Cost Request Started  
LEA Indirect Cost Request Submitted  
SEA Indirect Cost Request Not Approved (See History Log)  
SEA Indirect Cost Request Approved  
SEA Indirect Cost Request Returned for Edits  
Indirect Cost Request Revision Started

Supplement Contact: All

# REIMBURSEMENT REQUESTS

- Reimbursements are encouraged on a regular and repeating cycle
- Best practice is to submit at least once a month
- It is weighted on the risk assessment as an indicator



- The 3rd Wednesday each month – April 20, 2022
- Target audience is LEAs that are not reimbursing frequently/at all
- Our staff is standing by to help you process a reimbursement



# COST ALLOCATION

- A plan has been developed in partnership with the AG's office and HM
- A special object code for approved cost allocation plans specific to transportation costs is forthcoming
- ADE is finalizing the process for LEAs to submit for review and approval

# SUBSTANTIAL APPROVAL

## What is the difference between substantial approval and SEA Director Approval?

- Substantial Approval =
  - Reasonable attempt at a budget (no place holders/ “zero” budgets)
  - General Statement of Assurances (GSA) in “SEA General Statement of Assurance Accepted” status
    - This is affirmation that an LEA intends to accept monies from a particular funding source and agrees to abide by all assurances in the GSA.
  
- SEA Director Approval =
  - Grant program area has reviewed/approved the funding application and budget submitted
  - Specific program area requirements may apply – i.e., LIAP/SIAP
  - SEA Director Approval status also enables the LEA to submit GME Reimbursement Requests during the applicable project period.

# SUBSTANTIAL APPROVAL

**What is the earliest date for substantial approval?**

- ***The grant's project start date is the earliest substantial approval date.***
- Example: July 1<sup>st</sup> is the project start date for many federal and state grants and thus July 1<sup>st</sup> would be the earliest substantial approval date.
- Applications submitted in a substantially approvable state ***prior*** to a grants project start date will receive the project start date as the substantial approval date.

# SUBSTANTIAL APPROVAL

## What if my funding application isn't substantially approved by the grant's project start date?

- Substantial approval is the **obligation date** tied to the date your funding application is submitted in a substantially approvable state.
- This means that once your grant project receives SEA Director approval, you may submit Reimbursement Requests in GME.
- Expenditures can then be reimbursed from the date the funding application was substantially approved.
- Example: A substantial approval date of August 15th would prevent an LEA from being reimbursed for any expenditures which happened between July 1st and up to the August 15th substantial approval date.

## Can my LEA just submit a request for pre-award costs to allow for missing a timely substantial approval date?

- The ADE no longer has the authority to approve pre-award costs per the US Department of Education.



# RESOURCES & SUPPORT





### **Grants Management Hot Topics - June**

This training will share top tips and best practices to help LEAs prepare for successful completion of the grant cycle. Participants will discuss the top audit issues, reimbursement challenges, and tips for year end closeout.

### **Grants Boot Camp-July**

This is a comprehensive, multi-day training designed for LEA staff who are new GME users and/or new to their positions. Participants will learn the key grant processes and how to navigate and complete tasks within the Grant Management Enterprise (GME) system.





# FEDERAL GUIDANCE WORKSHOPS

- ESSER Federal Procurement Workshop – April 2022
  - AZ Auditor General
  - Brustein & Manasevit
  - Review federal procurement and use of ESSER federal funds
  - Common audit findings
  - Q&A
  
- Brustein & Manasevit Summer Workshop – July 2022

# WE WANT YOUR FEEDBACK

Do you know who to contact within GM for questions or support?

Are you comfortable reaching out to GM with questions or support?

What do you need?

What are your challenges in navigating GME?



Do you have any recommendations for changes to GME?

# Thank you!

For attending the 2022 COP Spring forum!

## Reminders:

Provide your feedback for each session

General Session



Breakout Session 1



Breakout Session 2



Breakout Session 3

