



Nevada Adult Basic Education

ABE ADMINISTRATOR'S HANDBOOK SECTION 2: GRANT MANAGEMENT

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INTRODUCTION

The purpose of this Grant Management section is to facilitate the state-, regional- and local-level coordination and fiscal management of federal grants administered under the authority of the Adult Education and Family Literacy Act of 1998. This section is designed to consolidate federal and state procedures required for the management of grants, including budgeting and reporting requirements.

Notes on usability:

Programs should periodically review the Web sites included in this document for updated information.

Some Nevada State policies are presented in bold green text for readability and ease of use.

PURPOSE OF AEFLA

The Adult Education and Family Literacy Act (AEFLA) is the federal government's primary mechanism for helping states and localities address the problem of adult illiteracy.

The Adult Education and Family Literacy Act has broad-ranging objectives. Its purpose is to encourage the establishment of education programs for adults ages 16 and over (age 17 and over in Nevada) which:

1. Assist adults to become literate and obtain the knowledge and skills necessary for employment and self-sufficiency.
2. Assist adults who are parents to obtain the educational skills necessary to become full partners in the educational development of their children.
3. Assist adults in the completion of a secondary school education.

Funds for this Act support the following programs in Nevada:

- Adult basic education (ABE) and literacy for adults below the eighth grade proficiency level;
- English as a second language (ESL) for adults who lack facility in English;
- Adult secondary education (ASE) for adults to obtain a high school diploma or to pass the General Educational Development (GED) Tests;
- English Literacy/Civics for adults who lack facility in English and seek a focus on personal needs in relation to community, state, and nation;
- Family literacy with an adult component; and
- State Leadership activities, which primarily support all AEFLA-funded programs in Nevada.

PART I: FUND DISTRIBUTION PROCEDURES

BASIC STATE GRANT PROGRAM

Through the Basic State Grant Program, states receive federal funds annually according to a statutorily defined formula based on the number of individuals, at least 16 years of age, who have not earned a high school diploma or its equivalent and who are not required to be enrolled in a secondary school.

States must match at least twenty-five percent of the federally funded cost of instruction with state and local funds.

BASIC STATE GRANT FUND DISTRIBUTION

The Nevada Department of Education distributes federal funds provided to the State by the Adult Education and Family Literacy Act (AEFLA) in accordance with the provisions set forth in the Act and the [Nevada State Plan for Adult Basic Education](#). The Basic State Grant is distributed to individual programs as subgrants and is allocated as follows:

- State Administration of the Program (5.0%)
- State Leadership Projects (12.5%)
- Remainder supports programs of instruction, which may include services to institutionalized persons and prisoners of up to 10% of the grant.

State funds are similarly allocated.

Local programs must provide a twenty-five percent match of federal funds or maintenance of effort, whichever is greater.

ADULT BASIC EDUCATION PROGRAMS OF INSTRUCTION

Nevada's ABE Programs serve adults 17 years of age or older who are not enrolled or required to be enrolled in secondary school and who:

- lack the level of literacy skills requisite for effective citizenship and productive employment, or
- do not have a secondary school diploma or its recognized equivalent, or
- are unable to speak, read, or write the English language.

The purpose of Adult Basic Education in Nevada is to increase the reading, writing, speaking, comprehension, mathematics, and problem-solving skills of adult learners so they can achieve their life, work, and educational goals.

Individuals with an F-1 Visa (student visa) status are ineligible for services and shall "not be accorded a course of study in a publicly funded adult education program." [Source: U.S. Immigration and Nationality Act (Sec. 1101a(15)(F)(1))]

Objectives:

1. Assist adults to acquire basic educational skills necessary for literate functioning.
2. Assist non-English speaking adults to acquire basic communication skills in the English language; assist these adults to acquire skills necessary to achieve citizenship.
3. Assist adults to reach a level of competence, which will enable them to succeed in vocational training, retraining programs or other avenues of postsecondary education that will enable them to obtain and retain productive employment.
4. Enable adults who so desire to continue their education to obtain a high school diploma or GED.

STATE LEADERSHIP ACTIVITIES

Using not more than 12.5 percent of the grant funds to carry out State Leadership activities, the Nevada Department of Education (NDE) allocates funds for the following adult education and literacy activities:

1. The establishment or operation of professional development programs to improve the quality of instruction, including instruction incorporating phonemic awareness, systematic phonics, fluency, and reading comprehension;
2. The provision of technical assistance to eligible providers of adult education and literacy activities;
3. The provision of technical assistance, including staff training, to eligible providers of adult education and literacy activities to enable the eligible providers to improve the quality of such activities;
4. The support of Nevada state or regional networks of literacy centers;
5. The monitoring and evaluation of the quality of, and the improvement in, adult education and literacy activities;
6. Incentives for program coordination, integration and performance awards;
7. Developing and disseminating curricula;
8. Other activities of statewide significance that promote the purpose of this title;
9. Coordination with existing support services — such as transportation, child care, and other assistance designed to increase rates of enrollment in and successful completion of adult education and literacy activities — to adults enrolled in such activities;
10. Integrating literacy instruction and occupational skill training; promoting linkages with employers; and
11. Linkages with post-secondary educational institutions.

PROGRAMS FOR CORRECTIONS EDUCATION AND OTHER INSTITUTIONALIZED INDIVIDUALS

From federal funds made available, the Nevada Department of Education (NDE) shall carry out corrections education or education for other institutionalized individuals. Not more than 10 percent of available funds for program instruction will be available to carry out services for institutionalized individuals. These funds will be made available through regular application guidelines.

PART II: RFP PROCEDURES

The State Department of Education Adult Education Office has developed application forms, policies, and procedures in compliance with the requirements of the Adult Education and Family Literacy Act and the [Nevada State Plan for Adult Education](#). The complete Request for Proposal (RFP) can be requested from the [Nevada Adult Education Office](#). What follows is a summary of key issues:

Prospective applicants must address the following issues in the RFP in order to be considered for funding:

1. The intent to establish or operate one or more programs that provide services or instruction in one or more of the following categories: adult education and literacy services, including workplace literacy services; family literacy services; English literacy or English literacy/Civics programs.
2. Mission statement of applicant organization;
3. Planning and input from organization's advisory board;
4. Evidence of administrative process for proper fiscal management;
5. Measurable goals and proposed activities;
6. Evaluation procedures;
7. Evidence of past effectiveness;
8. Commitment to serving those most in need;
9. How program will provide intensity of services;
10. Effective practices that will be used;
11. Use of technology;
12. Learning in real-life context;
13. Well-trained staff;
14. Coordination with other community resources;
15. Availability of flexible schedules;
16. Management information system;
17. Demonstrated need for English literacy;
18. Description of steps applicant proposes to take to meet the requirement of the General Education Provisions Act (GEPA);
19. Proposed budget (including local match) and assurances.

Applications for Leadership grants must contain information parallel to that listed above and must have a statewide focus.

RESPONSIBILITIES OF GRANT RECIPIENTS

Instructional grant recipients will provide adult education (remedial, basic, developmental) below the 12th grade level to its target population - those who are least educated and most in need of assistance. Such a program could include instruction in the following: English literacy, civics, workplace literacy, family literacy, basic communication and numeracy skills, employability skills (not specific vocational training), and General Education Development (GED) preparation instruction.

Grant recipients should also make available adult guidance and referral services, tutoring, career assessment and advisement, follow-up and outreach activities, and support services such as childcare and transportation as deemed necessary, for a continuum of support services. These services may be provided directly or by referral.

Instructional grant recipients will use the Comprehensive Adult Student Assessment System (CASAS) and a state approved record keeping software for placing students and tracking progress.

Instructional grant recipients will work closely with the Leadership grant recipient(s) to ensure quality services.

Instructional and Leadership grant recipients will provide quarterly and year-end reports as required.

Instructional and Leadership grant recipients will attend state meetings as required.

Instructional programs will keep individual entry and update records on student demographics, pre- and post-testing and student achievements. Programs will also maintain individual student records with at least the following information: demographics information, attendance hours, initial learning goals, initial literacy level, and performance outcomes. **Data must be kept for all students with 12 or more contact hours and the records, which may be electronic, must be kept for three years.**

STAFF DEVELOPMENT GUIDELINES

Role of state leadership

(Objectives adopted December 2007)

The Leadership Team:

1. Promotes and supports the implementation of standardized assessment, data collection and reporting in ABE/ESL programs.
2. Encourages consistent, statewide application of Nevada standards-based teaching and program administration.
3. Provides effective professional development responsive to the needs of Nevada's ABE/ESL providers.
4. Builds high expectations for and fosters innovative, research- and evidence-based practices for implementation by local ABE/ESL delivery systems.
5. Facilitates the integration of employability skills, workplace literacy, and post-secondary readiness into local ABE/ESL delivery systems.
6. Provides mechanisms for raising awareness and sharing resources related to adult education and literacy throughout the state and region.
7. Promotes supportive and collaborative learning initiatives in Nevada.

Nevada Policy: State Leadership funds provide various support services including those described at left, however the ultimate responsibility of ensuring appropriate staff development lies with individual program directors.

In essence, state leadership will provide development opportunities and will fund the cost of bringing them to adult educators throughout the state. (For planning purposes, it is expected that each program will take advantage of at least two of these training opportunities.) However, funded programs of instruction should budget for and fund the cost of bringing educators to the training at a central location (Las Vegas, Reno, or Elko).

.Examples of specific items that should be budgeted by funded programs:

- Stipends for training attendance.
- Travel to in-state training events (at state per diem rates)
- Travel to conferences, such as NAE, MPAEA, and CASAS Institute.
- Director's trainings/meetings: At least three two-day meetings per year in the Reno or Las Vegas areas for directors and selected staff at director's discretion.
- Additional trainings and meetings for director and staff that meet the specific needs for the program.

State leadership funds will be budgeted for unforeseen or special opportunities that may arise throughout the grant cycle. However, it is important that each individual program director plan, estimate, and budget to meet the program's staff development needs.

LOCAL APPLICATIONS

To be eligible for review, applications must be completed in accordance with all instructions, forms and procedures provided in the RFP. Incomplete applications received on or before the due date will be returned. Applications received past the due date do not qualify for review. Exceptions to this may occur during the grant cycle when one or more additional grants may be awarded, when there is sufficient carry-over funds, or for special, unexpected projects that arise during the program year.

Grant funds will be available to eligible recipients in accordance with the provisions of AEFLA. Eligible recipients will be invited to attend a meeting at which the Requests for Proposals (RFPs) are discussed. These public information meetings are announced in legal notices in Nevada's major newspapers and their schedules are included in the RFP package.

Applications must be submitted on or before the initial due date determined by the Adult Education Office. Only complete and approvable applications received on or before the due date will be accepted and considered.

GRANT APPLICATION REVIEW PROCESS

The Department of Education will provide funds for the following competitive grants: Programs of Instruction, Leadership activities, and English Literacy/Civics.

The Grant Review Committee is made up of representatives from public and private organizations as specified in the [Nevada State Plan for Adult Basic Education](#). The Adult Education Office provides each member of the Review Committee with a copy of each grant application and with the criteria from which approval will be determined at least three weeks before the Committee meets. The criteria must conform to the requirements of AEFLA, the State Plan, and the RFP package.

The review committee may provide the following recommendations for competitive applications submitted for funding: (1) approval; (2) approval with modifications; (3) denial of funding; (4) full funding; (5) partial funding; (6) increased funding.

Modifications may take the form of specific modifications to the content of the project, recommended alterations to individual budget items, or requests for clarification regarding any aspect of the project objectives and/or activities.

The Adult Education Office provides letters to all applicants announcing acceptance, denial and/or requested modifications. Successful applicants receive their subgrant awards after the proposal is approved and/or modified to the expectations of the review committee and the Department of Education is in receipt of the federal grant award.

COMPLAINT AND APPEAL PROCEDURES

Applicants who submit a proposal that is not selected for funding by the review committee shall be so advised in writing. The applicant may request a hearing within thirty (30) days of notification of proposal disapproval. Hearing requests shall be submitted in writing to Director, [Office of Adult Education](#).

PART III: PROJECT BUDGET/EXPENDITURE FORMS

The subgrant of federal funds is based on the approved amount indicated in the project budget forms. The budget forms used for adult basic education funded projects are listed below:

Title	Form
Proposed Budget Request Summary	Form AE-01
Budget Information by Category	Form AE-02
EL/Civics Proposed Budget Request Summary	Form AE-05
EL/Civics Budget Information by Category	Form AE-06

These Budget Forms may be accessed electronically at www.doe.nv.gov/AE_admin.htm

PROPOSED BUDGET REQUEST SUMMARY (FORMS AE-01 AND AE-05)

The Budget Request Summary is a summary of all requested funds that identifies the planned purpose and use of funds based on Expenditure Categories. The expenditure categories and sub-categories are indicated on the left column of Form AE-01 and AE-05. Expenditure Categories include Salary, Benefits, Travel, Operating, Student Support, Equipment, and Indirect Costs. Indirect costs are considered to be administrative costs. Administrative costs may not exceed 5% of the federal grant funding. As each program may figure indirect costs at 8% of the **total** funding, programs may use state funds for additional indirect and administrative costs.

The Budget Request Summary Forms AE-01 and AE-05 provide columns that identify funding source and/or purpose. The columns are:

- Federal Funds Instructional - enter amount of federal funds requested to support direct instruction for adult education students. See RFP for appropriate costs in this column.
- Federal Funds Local Administration - enter amount of federal funds requested to support program administration costs. Appropriate costs are detailed in the RFP and later in this section. This amount may not exceed 5% of the total federal funds requested (the sum of the three columns - Instructional, Local Administration and Institutions).
- Federal Funds Institutions - enter amount of federal funds requested for instruction for institutionalized adult education students. Programs which do not operate services in institutional settings should not use this column.
- State Funds Requested - enter amount of State funds requested. No match is required for State Funds.
- Total Matching Funds – Must be 25% of federal funds awarded or maintenance of effort, whichever is greater.
- State Use Only Federal Funds - do not fill in this column.
- State Use Only State Funds - do not fill in this column.

Each major expenditure category has a subtotal. The grant recipient may not expend more than the budgeted and approved amount for any expenditure category e.g., salaries. The grant recipient may spend less, subject to audit scrutiny of size, scope and quality, but not more. Therefore, if the grant recipient budgets and the Department of Education approves \$10,000 for the salaries category, the grant recipient cannot spend more than \$10,000 for this category.

The grant recipient may deviate from amounts budgeted and approved for sub-categories within each major category by 10 percent provided the total of the major category does not exceed the amount budgeted and approved. For example, the amount in sub-categories of supplies, printing and other expenses may deviate by 10 percent, but the total sum allocated for the entire Operating category cannot exceed the amount budgeted and approved without Department approval.

All applicable lines and columns must be complete and accurate before approval can be granted for the project. In addition, the Budget Request Summary Form AE-01 must include the appropriate authorized signature and date for the original and any subsequent submission; the authorized signature on the Form AE-01 validates all information on the Form AE-02 budget forms.

Nevada policy: All budget forms require an original signature. Electronic signatures are not acceptable.

BUDGET INFORMATION BY CATEGORY (FORMS AE-02 AND AE-06)

Expenditures on the Proposed Budget Request Forms (AE-01 and AE-05) are to be itemized in detail on the Budget Information by Category Forms (AE-02 and AE-06) for all project activities. For example, if a grant recipient budgets monies for in-state travel in the Travel Category, the means of travel (airfare or vehicle mileage), the purpose of travel (attend conference or visit class sites), days of per diem (using state rates) must be itemized on Form AE-02 or AE-06. When the budget includes funds for instructional supplies under Operating Category, Form AE-02 or AE-06 must include, at a minimum, a general description of the supply items.

ALLOWABLE COST CATEGORIES AND ACTIVITIES FOR BUDGETING FEDERAL FUNDS

ADMINISTRATION

CANNOT EXCEED 5%

Direct and indirect costs associated with the administration of the program.

Salaries and fringe benefits of personnel engaged in the following: executive activities, financial, management, reporting of student data, legal activities, audit, local program monitoring, procurement of services, data processing, communications, and other similar functions.

Salaries and fringe benefits of program administrative positions of such activities as: supervisors and supervision, program analysts, staff that conduct needs assessments, project directors and clerical personnel that do administrative work to carry out activities associated with the above.

Costs identifiable with program administrative positions such as the purchase of materials, supplies, equipment, space, and travel.

All activities associated with the development of a grant application.

EDUCATIONAL PROCESS

MUST BE AT LEAST 95%

All costs associated with providing literacy instruction for adult education students. These costs are: teachers' salaries, salaries of teacher aides or assistants, equipment for the classroom, educational materials or curriculum purchases, and rental of classroom space.

All costs associated with the development and implementation of curriculum for classroom instruction.

All costs associated with the student intake and enrollment process. Activities such as: testing, counseling, student eligibility determination, all data collection of information to determine eligibility, and costs associated with the placement of students in the program.

All costs related to providing allowable support services, such as child care and transportation, that will allow students to participate in the program.

Any activities carried out by a titled administrative staff person such as: outreach to provide classroom space for students, application and intake activities, curriculum development, and any other direct activities that are considered instructional in nature.

ADMINISTRATIVE AND INDIRECT COSTS

Each agency is allowed to expend up to 8% of funding for indirect costs accrued by the institution.* However, only 5% for total administrative costs is allowed on the federal portion — that is, the indirect costs plus other administrative charges must not exceed 5% of the total federal monies. Additional indirect and/or administrative costs may be taken from the state allocation.

The following formula is presented as a guideline to assist in the calculation of indirect costs.

Example 1:

Federal funds = 30,000
State funds = 20,000
Total funds = 50,000

- A. Total funds (federal & state) divided by 1.08**
50,000 divided by 1.08 = 46,296
- B. Total funds minus quotient (A)**
50,000 minus 46,296 = 3,704 total admin allowed
- C. Total federal funds divided by 1.05**
30,000 divided by 1.05 = 28,571
- D. Total federal funds minus quotient (C)**
30,000 minus 28,571 = 1,429 total federal for admin
- E. B minus D = State expenditures for indirect costs**
3,704 minus 1,429 = 2,275 total state expenditure of indirect

* EL/Civics projects are limited to 5% for indirect costs.

PART IV: REQUEST FOR FUNDS FOR PROJECT ACTIVITIES

The information in this section describes the procedures to request federal funds.

Once the grant recipient has received a “Notification of Subgrant Award” and has received formal approval of the submitted application from the Department of Education, a request for funds may be submitted.

SUBMITTING A REQUEST FOR FUNDS

The form *Request for Funds for Project Activities* (FP-02) is to be used by all recipients when requesting funds to provide for the actual costs associated with the funded projects. **Nevada Policy requires that the FP-02 be submitted to the Department of Education on an original NCR multi-part form, along with a summary of expenditures for the requested funds.** You may obtain the FP-02 form from Nevada’s [Adult Education Office](#). The FP-02 should be completed as follows:

General Information

- Attention line: Enter “Adult Education.”
- Name and Address of the Grantee: Provide complete name and address of the agency.
- Project Number: Provide the number assigned by the Department of Education on the subgrant award.
- Project Title: Provide the name of the project(s), e.g., ABE program, EL/Civics, State Leadership, etc.
- Source of Funds: Check the box or specify in writing the source of the grant funds.

Part I - Disbursements

- Enter the ending date for which the last funding was disbursed.
- Item 1: Enter the cumulative total of the agency’s expenditure of cash for all projects previously reported on the FP-02.
- Item 2: Enter the agency’s expenditures of cash for the current period which has just ended.
- Item 3: Enter the cash on hand (all cash received by the agency, less any expenditures of cash to date).
- Item 4: Enter the total amount of cash received to date from the Nevada Department of Education by the agency for this project number.

Part II - Estimated Funding Requirements

- Enter the ending date of the period for which the funding is requested.
- Item 1: Enter the amount of cash the agency estimates it will need to operate for the next period.
- Item 2: Enter the same as Part 1, Item 3, “Cash on Hand.”
- Item 3: Enter the net amount of cash needed for the current period. This is the estimated amount of cash needed, less the cash on hand.

Any adjustments made by the Department will be noted in the “SDE Approved” column. An original signature, title and date must appear on the FP-02; the **original NCR form** must be sent to NDE. **A faxed copy will not suffice.**

DEPARTMENT OF EDUCATION PROCESSING OF THE FP-02

Once the Adult Education Office receives the request, it is approved and forwarded to the Department’s Fiscal Office, where it is processed for payment. The State Controller’s Office issues the payment. It is

possible that the check will not be received by the requesting agency until three to four weeks from the date the Department receives the request.

PAYMENT SCHEDULE

The federal government restricts the size of cash balances that can be kept at the state level. Therefore, to ensure that cash will be available when needed, cash draws should be requested quarterly in an amount not to exceed encumbrances/expenses incurred during the last quarter and to be encumbered during the next quarter.

NON-FEDERAL (STATE) FUNDS

State funds, if any, are requested on the same form and in a similar manner as are the federal funds. **Grant recipients should ensure that all allowable state funds are requested and spent during the fiscal year.**

PART V: PROJECT REVISIONS

The information in this section describes the procedures for submitting project revisions.

Once an eligible recipient has received approval, a subgrant award is issued. Although the funded project must be operated in accordance with the terms of the approved application, an application may be revised during the subgrant year. The revised application must be approved in writing before implementation.

In general, anytime a grant recipient changes the focus of project activities whereby any one of such activities does not fall under the scope of existing, approved objectives, a grant revision is necessary. Such changes would require an amendment to the related project narrative. Likewise, anytime a budget must be changed and such changes fall beyond the allowed variations or deviations (see Part III), an amendment to the budget forms is required.

PROJECT NARRATIVE REVISIONS

Changes to be made in the operation of a project as it was written and approved must be formally revised and submitted to the appropriate grants office for approval. Such changes may include revisions to the project scope, objectives or function of key personnel.

Project revisions are submitted in the form of revisions to the original application. Any section of the original application that would be affected by the proposed changes should be revised accordingly and submitted for review and approval.

BUDGET REVISIONS

No-Cost Revisions

No-cost revisions do not affect the overall budget of the subgrant. Transfers of up to 10% of funds within a major category may be done without a budget amendment and Department of Education approval.

It is important to note that all expenditures must be supported by appropriate objectives in the project narrative. Therefore, changes in a budget may require changes or additions to the project narrative also.

Transfers of funds between sub-object codes (within major categories) in excess of 10 percent must receive prior approval from the Office of Adult Education. If, for example, an agency wishes to transfer funds from Audio/Visual Materials to Software, and the transfer involves more than a 10 percent deviation from the amounts originally budgeted, a budget revision must be submitted and approved before the transfer of funds may be made. It is necessary to revise the written narrative to justify a transfer of funds.

Most no-cost revisions require a budget amendment. The agency must submit a budget revision and receive approval from the Department before the transfer can occur. The change should be explained in a written narrative to justify the transfer of funds.

When an agency requires such a transfer of funds, the budget forms must be submitted to the Department for review and approval. Subgrant recipients requesting budget revisions must resubmit a signed Budget/Expenditure Summary form. Also, all affected budget forms throughout the grant must be revised.

Generally, the deadline for submitting subgrant no-cost revisions for projects funded according to the fiscal year (July 1 to June 30) is **early in May**.

Cost Revisions

An increase to the total amount of the subgrant is a cost revision. Any proposed increase to the total amount budgeted for a project may be contingent upon the recommendation of the review committee, approval from the Department of Education, and the availability of funds. Increases due to distribution of carry-over funds are included in this description. A budget amendment must be prepared and submitted to the Department for approval.

A specific decrease in the total amount of the original approved budget must also be submitted in the form of a cost revision. If, for example, an agency included a salary in the original budget but found it could not fill that position, a budget amendment should be prepared and submitted to the Department for approval.

Generally, the deadline for submitting cost revisions for projects funded according to the fiscal year (July 1 to June 30) is **April 15**.

Submission of Budget Revisions

When submitting a budget revision, the agency must include:

- Budget forms (summary and by category) with original (not electronic) signatures, and
- A cover letter that explains the revision and why it is necessary.

See [APPENDIX 1: SAMPLE BUDGET REVISION REQUEST](#) for a sample of the documentation required.

PART VI: PROGRAM EVALUATION AND MONITORING

Nevada's AEFLA-funded programs are evaluated and monitored to ensure each project is managed in compliance with state and federal requirements and best practices according to the provisions in the approved Nevada State Plan for Adult Basic Education and to provide feedback for program improvement and continuation.

EVALUATION

The Department of Education evaluates each subgrant recipient a minimum of once every three years, though more evaluations may be conducted as necessary. The purposes of the evaluations are to:

1. Determine if the project is in compliance with the [Nevada State Plan for Adult Basic Education](#);
2. Determine if the project as implemented is in compliance with federal and state regulations;
3. Determine if the project is conducted as stated in the approved application, especially in terms of the objectives, procedures, and budgets;
4. Provide technical and administrative assistance, if needed, to aid local programs in fulfilling the project objectives and maintaining regulatory compliance; and
5. In the event that a program is longitudinally, consistently, and substantially out of compliance with federal and state regulations despite the use of technical assistance and other resources, take appropriate and fair steps to see that its AEFLA funding is discontinued.

The comprehensive [Monitoring, Evaluation And Full Site Program Appraisal Instrument](#) covers the following areas: data elements and MIS, financial, curriculum and instruction, student services, students with special needs, staff, coordination and linkages, management, and progress toward meeting the terms of Nevada's [Adult Basic Education Quality Indicators](#). Evaluation procedures are detailed in the Appraisal Instrument.

MONITORING

Annual monitoring of each program is conducted to follow up on recommendations made as a result of the evaluation process during the three years between program evaluations. Focusing primarily on the programs' achievement of their negotiated performance measures, the monitoring process enables the Nevada Department of Education, as well as the programs themselves, to identify areas that need attention and to acquire technical assistance to address those areas.

Monitoring is conducted through on-site visits and may be augmented by the submittal of associated documentation and follow-up activities. Trend analysis, comparative data examination, analysis of persisters and statistical reports, internal consistency scrutiny, and extensive technical assistance are among the tools used to complete the monitoring process. The [Program Data Quality Monitoring Instrument](#) covers approximately 30 areas of investigation, including such areas as adequate and trained staff, appropriate software, data management processes, and security.

All evaluation and monitoring forms are posted at www.doe.nv.gov/AE_admin.htm or may be requested from the [Adult Education Office](#).

PART VII: ANNUAL AND QUARTERLY REPORTS

Each agency receiving funds from the Adult Education and Family Literacy Act is required to submit annual reports to the Department of Education. The reports include Financial Reports (the Final Report of Expenditures and Program Annual Financial Reports), an Evaluation Narrative Report, and an Inventory of Equipment. Program of Instruction grants must also submit Annual and Quarterly Statistical Performance Reports.

FINANCIAL REPORTS

Final Report of Expenditures (Annual)

Upon completion of each fiscal year, those agencies that received funding through the Adult Education and Family Literacy Act are to submit a Final Report of Expenditures for each funded project. The Final Report of Expenditures consists of the following budget forms:

- a. AE-03, Comprehensive Budget Expenditures – Summary Sheet
- b. AE-04, Comprehensive Budget Expenditures – Category Detail (line-item detail for AE-03)
- c. AE-07, EL/Civics Budget Expenditures – Summary Sheet (EL/Civics projects only)
- d. AE-08, EL/Civics Budget Expenditures Category Detail (EL/Civics projects only, line item detail for AE-07)

These Final Report of Expenditures forms may be accessed electronically at www.doe.nv.gov/AE_admin.htm.

Program Annual Financial Reports

The Program Annual Financial Reports reconcile cash flow and can be found at www.doe.nv.gov/AE_admin.htm.

- a. FP-01 F (Federal Funds Report)
- b. FP-01 S (State Funds Report)

The FP-02 Request for Funds for Project Activities must be obtained from the [Adult Education Office](#).

The Final Report of Expenditures should accurately reflect the **actual** expenses of each project. Each grant recipient will be instructed to retain or return any cash on hand. If a recipient retains the cash on hand, the next year's subgrant award will be reduced accordingly.

Completed Final Reports of Expenditures and Program Annual Financial Reports are to be submitted in the same package such that they are received by the Department of Education by August 15th of the next fiscal year.

Nevada policy: All financial reports require an original signature. Electronic signatures are not acceptable.

EVALUATION NARRATIVE REPORT (ANNUAL)

Programs of Instruction

The narrative report describes program activities for the year. It should address:

1. Each objective from the program's grant proposal, with a description of outcomes and the extent to which objectives were met for each educational functioning level (Core Measure One) and for Core Measures Two, Three, Four and Five.
2. The extent to which activities, programs, and projects were successful in implementing the goals of the State Plan:
 - Goal I To ensure that the adult education program is effective and of high quality so that adult learners meet their learning goals and achieve core measures.
 - Goal II To integrate technology into instruction and to use technology effectively in reporting program outcomes.
 - Goal III To establish cooperative/collaborative efforts between the program and community resource agencies.
 - Goal IV To engage in workplace literacy activities.
 - Goal V To engage in family literacy activities.
3. A description of student recruitment and retention efforts, staff development efforts, and program and student accomplishments.
4. A description of any significant findings from the evaluation of the effectiveness of the program and literacy activities based on the core indicators of performance.
5. A description of any involvement the program has with the One-Stop system and whether any Title II funds were used to support activities and services through the One-Stop delivery system. Include any integration of activities with other adult education, career development, and employment and training activities.
6. A description of successful activities and services supported with EL Civics funds, including the number of adult learners served.

Leadership Projects

Similarly, Leadership Projects should submit a report that lists each objective of the project; describes successful activities, programs, and projects; and addresses the extent to which these activities, programs, and projects were successful in implementing the goals of the State Plan (listed above). One copy of any products and reports that were produced during the year as a result of the project should be submitted with the narrative.

INVENTORY OF EQUIPMENT (ANNUAL)

Equipment purchased with state or federal funds is defined as non-expendable property that costs over \$1,000.00 and has a useful life of more than one year.

An "Adult Education Programs Inventory" form (which can be found at www.doe.nv.gov/AE_admin.htm) must be submitted if any equipment was purchased during the year with Adult Basic Education funds. This form should be cumulative—that is, it should reflect the updates to a master inventory list of equipment purchased with grant funds. Information must include description, serial number, and location of the equipment.

STATISTICAL PERFORMANCE REPORTS (ANNUAL AND QUARTERLY)

All instructional programs must keep individual entry and update records on student demographics, pre- and post-testing, and student achievements. Programs must also maintain individual student records with at least the following information: demographics information, attendance hours, initial learning goals, initial literacy level, and performance outcomes.

More information about Nevada's procedures for data collection, verification, analysis, and reporting may be found in [Section 3 \(Accountability\)](#) of this handbook.

Nevada Policy: Instructional programs in Nevada are required to use the Comprehensive Adult Student Assessment System (CASAS) and TOPSpro (Tracking Of Programs and Students) for placing students and tracking progress and for providing periodic submissions of student information to the State.

Federal legislation also requires all programs to report on **core outcome measures**:

1) Educational Gain; 2) Entered Employment; 3) Retained Employment; 4) Receipt of a Secondary School Diploma or GED; 5) Placement in Post-secondary Education or Training.

Programs must report on educational gain (item 1 above) for all students. Items 2 through 5 are also called **follow-up measures**. Programs must report on follow-up measures only for those students who designate one of these outcomes as a goal. For more information on goal setting and reporting, see [Section 3 \(Accountability\)](#) of this handbook.

Data on the four **follow-up measures** is collected during specified time periods as delineated in the National Reporting System (NRS) and can be determined via local follow-up surveys **or** data matching. (Only one method may be used.) **Nevada Policy: Nevada uses data-matching to collect data on follow-up measures.**

The NRS also contains four **secondary outcome measures** — 1) Reduction in receipt of public assistance; 2) Met work-based project learner goal; 3) Achieved citizenship skills, registered to vote or voted for the first time, or increased involvement in community activities; 4) Increased involvement in children's education or in children's literacy-related activities.

Submission of Statistical Performance Data

Nevada Policy: AEFLA-funded programs in Nevada are required to submit their TOPSpro database and a signed Data Integrity Report to the Nevada Department of Education within fifteen days after the end of each of the first three fiscal quarters and within thirty days after the end of the fiscal year and at any time upon request.

Each fiscal quarter, programs are to export all TOPSpro database records for the current program year and submit them electronically to the State ABE office. Detailed TOPSpro export procedural instructions are available at <http://www.nae-reports.net/tops/ExportHowto.ppt>. With each data submission, program directors are to fax a signed copy of the TOPSpro Data Integrity Report to the State ABE office (775-687-9114).

Data Submission Calendar	
Quarter	Due By
1 (July-Sept)	October 15
2 (Oct-Dec)	January 15
3 (Jan-March)	April 15
4 (Apr-June)	July 30

In the event that the State ABE office determines that the data submission is incomplete or contains errors, the program must resubmit corrected data within ten days of request.

PART VIII: COMPLIANCE WITH NRS REQUIREMENTS

It is important that program directors and staff understand and implement the requirements of the NRS (the National Reporting System) in order to be in compliance with federal guidelines. This is doubly important since the ability to accurately report the achievement of student outcomes, the primary criterion for determining continued funding, is contingent on this understanding. Each director should become thoroughly familiar with the entire document, but because of its length and (in some cases) complexity, this will not happen overnight. Therefore this portion of the handbook is designed to make it easier to maneuver through and obtain a working knowledge of NRS requirements.

BACKGROUND

The NRS began as a project to develop an accountability system for the federally funded adult education programs. This system includes a set of student measures to allow assessment of the impact of education instruction, methodologies for collecting the measures, reporting forms and procedures, and training technical assistance activities to assist states in collecting measures.

Compliance with the NRS *Implementation Guidelines* is a federal requirement. The *Guidelines* document presents the measure definitions, methodologies and proposed reporting formats. It also includes an overall framework of NRS operation at the local, state, and federal levels.

In addition, Nevada will comply with federally mandated guidelines for certifying to the reliability and validity of data submitted per the *NRS Data Quality Standards for Adult Education*. These guidelines ensure the quality, objectivity, utility, and integrity of information reported to and disseminated by federal agencies.

NRS INFORMATION ONLINE

The main [National Reporting System Web Site](#) also includes links to other information and tools, such as:

- NRS Implementation Guidelines and related documents: <http://www.nrsweb.org/foundations/>
- Training webinars, and online courses: <http://www.nrsweb.org/trainings/>
- Guides on data quality and use: <http://www.nrsweb.org/NRSwork/>
- At [Guidance for Collecting the Followup Measures](#), the NRS provides guidelines, procedures, and responsibilities for conducting follow-up surveys on student outcomes

As you become familiar with the guidelines you will find that there are a few areas where individual states have the opportunity for discretionary decision-making with regard to implementing the guidelines. State policies and procedures are noted in green under appropriate topics in this handbook. See [Section 3 \(Accountability\)](#) for detailed information on data collection and reporting.

APPENDIX 1: SAMPLE BUDGET REVISION REQUEST

Any budget revision request should include (along with the budget forms) a cover letter that explains the budget revision and why it is necessary. Here is an example:

Cover letter

Adult Education Office
 Nevada Department of Education
 700 E. Fifth St.
 Carson City, NV 89701

Dear (Adult Education Consultant):

This no-cost revision is submitted for your approval. It is necessary so that it will accurately reflect actual expenditures and program changes. The primary adjustments are in the Salaries category, as you will note in the enclosed summary chart. Increased enrollment has made it evident that we need more personnel at the front desk. Actual teaching costs were less than anticipated. Specifics are given in the accompanying detail sheets.

Please contact me if you have questions or concerns at 777/123-4567.

Sincerely,

ABE/ESL Program Director

Summary chart

**ABE/ESL Program
 Adult Education and Family Literacy Act Grant
 Project # 02-YYYY-ZZ**

Budget Revision # 2

Fiscal Year 2001-2002

NO-COST BUDGET REVISION			
CATEGORY	ORIGINAL AMOUNT	REVISION	DIFFERENCE FROM ORIGINAL BUDGET
1. SALARIES			
a. Professional	45,764	45,901	+137
b. Classified	59,380	52,242	-7,138
c. Support Staff	47,424	71,552	+24,128
d. Instructional	245,777	237,365	-8,412
2. BENEFITS	59,771	52,713	-7,058
3. TRAVEL	NO CHANGE		-
4. OPERATIONS	24,279	23,257	-1,022
5. STUDENT SUPPORT	NO CHANGE		-
6. EQUIPMENT	11,100	10,347	-753
7. INDIRECT COST	24,482	24,600	+118