

**Arkansas Department of Career Education
Adult Education Division
Funding Packet General Instructions - PY 2016-2017**

Adult Education/Literacy Council administrators must complete all required forms for each funding source from which they receive a grant: Adult Basic Education Funds (ABE); General Adult Education Funds (GAE); Direct & Equitable Funds (D&E); Correctional/Institutional Funds (C/I); English Literacy/Civics Funds (EL/Civics), Special Projects Funds, and Carry-over Funds.

The ABE, GAE, D&E, EL/Civics, and C/I awards are one-year grants funded from July 1, 2016 through June 30, 2017 and are based on the availability of state and federal funds. These grants may not be available in future years.

1. Individual packets of completed forms must be submitted to the Adult Education Division for each grant awarded. Each program will receive the *Adult Education Grant Award* page by e-mail or U.S. mail, which will serve as the cover page of the funding packet. Funding packets for each funding source are located at the following web address:

<http://ace.arkansas.gov/adultEducation/informationForms/Pages/forms.aspx>

Requirements for each funding source are different. Be sure to use all required forms in each specific funding packet when submitting that packet. Only **the original** of each packet of forms should be submitted. Any required funding **packets that are not received by the deadline, may be denied.** Please note: All required signatures must be **original** and in **BLUE** ink.

2. Each program is required to have a grant budget review meeting with their Program Advisor. In addition, to submitting the funding packet, program administrators will need to be able to discuss goals and plans for grant money and be able to provide substantive justification for each projected spending allocation. Please see budget narrative for more details.

Grant funding packets will be submitted, in person, on the scheduled grant review date. Funding may be denied if grant packets are not received by the deadline. Be sure that every applicable blank on each form is completed.

ABE, GAE, D&E, EL/Civics, C/I, and Special Projects funds will not be released until funding packets have been approved and signed by the Adult Education Division.

3. **A signed and dated** original copy of the 2016-2017 *Arkansas Adult Education Assurances* along with the *LEA and Director PARs Acknowledgement Form* must be completed and returned with the funding packet(s) before funds will be released. If a program has multiple grants, only **one copy of Assurances** should be submitted. These forms are located at: *Adult Education Assurances* and Forms <http://ace.arkansas.gov/adultEducation/informationForms/Pages/forms.aspx>

4. **Each page** of the Arkansas Adult Education Assurances must be initialed by the Local Education Agency (LEA) Administrator. Additionally, the last page must be signed by the LEA Administrator and the bottom right hand corner of each page.

5. In the event someone other than the Local Education Agency (LEA) Administrator or Community Based Organization (CBO) board president is authorized to sign on behalf of the grantee for subsequent documents, **an annual letter on official letterhead must accompany the completed packet stating who is authorized to sign on behalf of the LEA or CBO.**

6. Each application should include a detailed budget line-item narrative, in 12-point font, explaining each item and how the projected expenditures in each subcategory (01-Administration; 02-Instruction; 03-Maintenance and Operation; and 04-Other Support Services) are reasonable and directly related to the adult education program with each *Adult Education Initial Budget or Amendment page*. **Simply restating the budget categories in the narrative WILL NOT BE ACCEPTABLE.** This includes names with salaries and benefits with amounts and items for purchase in 04(f).

Arkansas Adult Education Initial Budget Category Descriptions

01-Administration Category:

01a-b. Personnel: In the Administration category, each position to be funded should be listed by title and employee name and whether the position is part-time or full-time. Also include a brief description of the job duties and responsibilities performed by each position. Show the annual salary rate and the percentage of time to be devoted to the project for each position. The compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within your organization.

The fringe benefits requested should be consistent with what the LEA offers for comparable positions and based on the proposed fringe benefits on actual known costs. Fringe benefits should be for the listed personnel and only for the percentage of time devoted to the project. Applicants must provide adequate documentation of costs and the percentage computation. Fringe benefits with regards to overtime hours are subject to the payroll deductions of FICA, workers' compensation, and unemployment compensation. **If these amounts exceed 10% for State Grants or 5% for Federal Grants then an Arkansas Adult Education Administration Cost Waiver Application must be submitted.**

Each program is required to verify ALL employees credentials and certifications (i.e.: counselor, ELS, etc.) paid on all grants received from Arkansas Adult Education. All employees must have a Personnel Data form and copy of their GED, high school diploma, degree or current teacher license (if applicable), submitted to the state office. Likewise, all inactive employees MUST be removed from Personnel Records, AERIS database, and any documents that support salaries. An updated Personnel Data Form reflecting the exit date must be submitted to the state office.

All budgeted TBA positions MUST be filled within 90 DAYS of grant approval. Please provide your Program Advisor a Plan of Action and Timeline for filling TBA position(s). Failure to fill TBA position may result in a Budget Amendment to reallocate funds. Note: Programs are only allowed 2 budget amendments each fiscal year.

01c. Administration Matching: *See 02g-h: GED Examiner & Instructional Matching below*

01d. Administration Travel: *See Travel Category Description on page 8 for more details*

02-Instruction Category:

02a-f. Personnel. Describe the duties and supervision of each position. List separately the title of each position and the name of the staff person who holds the position, or enter "TBA" after the position title if the position is unfilled at the time of application. If the duties of the position are not clear from the title, enter enough information to make the duties of the staff person clear and/or the reason for requesting the funds evident.

Example: "Teacher/Smith for ESL," or "2 substitutes for teachers attending professional development workshops."

If a staff member serves in more than one capacity, enter that staff member in each applicable function.

For example, if a staff member serves as a teacher and as a counselor, enter that staff member in two separate budget lines under the appropriate function.

Show how the total cost for the position was determined.

Example - Part-Time Salary: 2 teachers x \$75/day x 5 days each = \$750

Example - Full-Time Salary: 1 math teacher at \$50,000/yr annual salary x 50% time on the grant = \$25,000.

02g-h. GED Examiner & Instructional Matching: Fringe benefits are usually applicable to direct salaries and wages. Provide information on the rate of fringe benefits and the basis for their calculation. Ensure that the percentage of an individual's fringe benefits charged to the grant does not exceed the corresponding percentage of that individual's salary charged to the grant. If a fringe benefit rate is not used, itemize how the fringe benefit amount is computed.

Example: If 25% of a staff member's salary is charged to the grant project, up to 25% of his/her fringe benefits can be charged to the grant project.

<i>Fringe Benefits</i>	<i>Total \$ _____</i>
<i>25% of Total salaries = Fringe Benefits</i>	

If fringe benefits are not computed by using a percentage of salaries, itemize how the amount is determined.

<i>Example: Project Coordinator - Salary</i>	<i>\$45,000</i>
<i>Retirement 5% of \$45,000</i>	<i>= \$2,250</i>
<i>FICA 7.65% of \$45,000</i>	<i>= \$3,443</i>
<i>Insurance</i>	<i>= \$2,000</i>
<i>Workers= Compensation</i>	<i>= _____</i>
<i>Total:</i>	

02i. Instructional Texts: Provide an itemized list that includes quantity and dollar amount of any textbook(s), workbooks, reference or library books, education supplies, materials, or curriculum to be purchased for use by the instructional personnel. Also include shipping and freight charges.

02j. Instructional Supplies: Provide an itemized list that includes quantity and dollar amount of any testing (Psychological/Diagnostic/Skills) supplies and materials to be purchased including paper, notebooks, printer toner cartridges, pencils, pens, TABE test, etc. If an item is consumable, then it goes under instructional supplies.

02k. Computer Software: Instructional software must list specific software, quantity, and dollar amount. Software over \$100 must be tagged and added to inventory.

02l. Instructional Travel: Identify the staff member who will be traveling and the purpose for which the travel will be undertaken. *See Travel Category Description on page 8 for more details*

Example: Teacher A round trip from Anytown to Little Rock to teach ABE evening class, 30 miles round trip.

- Enter the description of the requested cost and the cost calculation. Both the description and the cost calculation must provide enough detail to clarify the relevance of the requested cost to the grant project and to enable the reviewer to assess the reasonableness of your request.

03- Maintenance and Operation Category:

**All contracts must be for the current fiscal year, July 1 – June 30.
Leases and rental agreements must be year to year.**

03a. Office/Classroom Space/Rent: Provide a description of services to be rendered that will be supported by this funding. *Provide a current copy of the lease or rental agreement, which outlines items such as to whom rent is paid, for what location, amount of space, length of contract, price/square footage, if the rent is split with other entities, etc.* Include satellite locations if applicable.

Rental costs are allowable to the extent that the rates are reasonable in light of such factors as rental costs of comparable property (Fair Market Value). Rental arrangements should be reviewed periodically to determine if circumstances have changed. List, in detail, what is included in the rental agreement – insurance, utilities, custodial service, maintenance costs, etc.

REMEMBER RENTAL INSURANCE FOR CONTENTS.

Rental costs are allowable only up to the amount that would be allowed had the agency continued to own the property. This amount would include expenses such as depreciation or use allowance, maintenance, taxes, and insurance. Be sure to include the method used to determine the amount of rent.

03b. Utilities: Provide agency name and description of services to be rendered. This includes utilities (phone, electric, heat) and other contracted or purchased services. Indicate if the amount budgeted for utilities (such as electricity, water, sewer, and gas) is based upon direct meter readings expenditures to be paid by the award. Include the methodology or basis used to determine the amount budgeted for utilities overall and for this grant award. Be sure that the amount budgeted for utilities are not actually included in the rental agreement (if so, it should be moved to rent).

03c: Custodial Services/Supplies: If the LEA has a contract with an outside service provider for custodial services, indicate whether or not there is a contract for services with the LEA or an employee of the LEA performing custodial services. *Note:* An employee of the LEA will need to complete a Personal Activity Report (PAR).

A LEA charging a separate “fee” (not included in the rent) will need to have a contract for service. Include the method used to determine the over-all dollar amount and the amount budgeted for this grant award designated for custodial services/supplies. Be sure that the amount budgeted for custodial services/supplies are not actually included in the rental agreement (if so, it should be moved to rent).

03d: Building/Property Insurance: Include the provider name and type of insurance supplied. Also indicate whether the amount budgeted for building and/or property insurance is based upon a direct bill the LEA receives for the facility. Include the method used to determine the over-all dollar amount and the amount budgeted for this grant award. Be sure that the amount budgeted is not actually included in the rental agreement (if so, it should be moved to rent).

03e: Equipment Lease/Rental/Maintenance Contracts: Include the name of the contractor and a description of the equipment or service provided. Indicate whether the amount budgeted for the lease, rental or maintenance of equipment is based upon a direct bill the LEA receives. Include the method used to determine the over-all dollar amount and the amount budgeted for the individual grant award. Be sure the amount budgeted is not actually included in the rental agreement (if so, it should be moved to rent).

04- Other Support Services Category:

Other Support Services may include items such as supplies, telephone, copying costs, etc. Supplies are expendable items and equipment costing more than \$100 should be listed by type. Usually, supplies include any materials that are expendable or consumed during the course of the project. Be sure to show how you calculated the costs.

04a. Advertisement/Promotion: Include a marketing plan and documentation of recruitment process and sample advertisements. Copy of advertisements used during the 2014-15 PY that will be reproduced or duplicated for use in the 2016-17 PY are acceptable.

04b. Graduation Expenses: Include the number of anticipated graduates, breakdown of total anticipated costs for items such as caps and gowns, diplomas, refreshments, etc.

NOTE: Flower arrangements and plants are considered decorative and not an allowable expense.

04c. Office Supplies/Postage: Individually list each item requested. For postage, estimate the number of items to be sent by first class and/or bulk rate and compute the expected cost. A postage meter or log should be used to document support. Show the unit cost of each item, number needed, and total amount. Provide justification for each item and relate it to specific program objectives. If appropriate, General Office Supplies may be shown by an estimated amount per month times the number of months in the budget category. However, you must provide as much detail as necessary for us to accurately determine the necessity for the proposed expenditure.

Sample Budget

Supplies Total \$ _____

General office supplies (pens, pencils, paper, etc.)

12 months x \$240/year x 10 staff = \$2,400

Sample Justification

Provide complete justification for all requested supplies, including a description of how it will be used in the program. General office supplies will be used by staff members to carry out daily activities of the program.

04d. Copying Costs: Estimate the number of photocopies to be made and compute the cost based upon the current LEA charge for copying.

04e. Telephone: *Landline* – Provide the agency name and description of services for landline service. Indicate the number of lines and whether or not there is a contract for services directly with the LEA or is provided by the college or in the rental agreement. Be sure that the amount budgeted for telephone is not actually included in the rental agreement. (If so, it should be moved to rent.)

Wireless – Cellphones are usually considered “local telephone costs” and may not be included if they are used to conduct routine business of the grant. They may be used, however, to maintain contact at satellite locations for logistical or safety reasons. Include a list of all personnel supplied with a mobile phone, phone number, date issued and type of phone. Provide a copy of the most recent wireless billing statement for all wireless accounts paid for with Adult Education funds. Wireless Account Statement should include the name of the carrier, name of responsible party (account holder), number of active lines, type of service, wireless package details (e.g. # of min/month, included data, text & picture messaging, etc.), and any add-ons or upgrades to the service package, insurance and enhanced voice mail, etc. that are billed to the account.

NOTE: Services above basic service are not an allowable expense.

04f. Other: Provide a description of other costs associated with this grant that are not included in the other categories.

04g. Conference/Workshop Travel: *See Travel Category Description on page 8*

04h. Equipment: Generally, equipment is defined as non-expendable equipment, which is tangible property having a useful life of more than two years and an acquisition cost of \$100 or more per unit. Expendable items should be included in the “supplies” or “other” categories.

An item to be purchased is categorized as equipment if it meets ALL of the following criteria:

1. It retains its original shape, appearance and character with use;
2. It is nonexpendable; that is, if the item is damaged or some of its parts are lost or worn out, it is more feasible to repair the item than to replace it;
3. Under normal conditions of use, including reasonable care and maintenance, the item can be expected to serve its primary purpose for at least one year;
4. The unit cost is more than \$100.

Equipment requests must be listed separately along with estimated costs (see example.) Whenever possible, include a written estimate from the vendor or other documentation of the actual equipment cost (e.g. printed website pages, copies of catalog pages, etc.)

Sample Budget

<i>Equipment</i>			<i>Total \$ _____</i>
<u><i>Item Requested</i></u>	<u><i>How Many</i></u>	<u><i>Unit Cost</i></u>	<u><i>Amount</i></u>
Computer Workstation	2 each	\$5,500	\$11,000
Computer A	1 each	\$6,000	\$ 6,000
Graphing Calculator	15 each	\$120	\$ 1,800
		<i>Total</i>	<i>\$18,800</i>

Sample Justification

Provide complete justification for all requested equipment, including a description of how it will be used in the program.

Narrative: Computer A will be used to **[explain how it will help to achieve program objectives]**..Graphing calculators will be used to **[explain how it will help to achieve program objectives]**.

Where equipment is purchased from a single vendor as a “package,” identify the full “package price” and the package components (e.g., computer packaged with software, printer, etc.). Do not show the cost of the components separately if they are not purchased separately.

For all equipment over \$100: Remember to add an Adult Education tag on all new equipment. Update and submit an inventory list to the Adult Education office.

Travel: Categories 01-d, 02-l, 04-g

In-State Travel - Provide a narrative justification describing the travel staff members will perform. List where travel will be undertaken, number of trips planned, who will be making the trip, and approximate dates. If mileage is to be paid, provide the number of miles and the cost per mile. If travel is by air, provide the estimated cost of airfare. If per diem/lodging is to be paid, indicate the number of days and amount of daily per diem as well as the number of nights and estimated cost of lodging. Include the cost of ground transportation when applicable.

Out-of-State Travel - Provide a narrative justification describing the same information requested above. Include Adult Education meetings, conferences, and workshops, if required by the Adult Education Division. Itemize out-of-state travel in the format described above.

All travel must follow State and Federal guidelines including costs for per diem. Be specific using federal or state travel regulations.

Sample Budget

Travel (in-State and out-of-State) *Total \$ _____*

In-State Travel:

<i>1 trip x 2 people x 400 miles r/t x .42/mile</i>	=	<i>\$336</i>
<i>2 days per diem x \$37/day x 2 people</i>	=	<i>148</i>
<i>1 nights lodging x \$67/night x 2 people</i>	=	<i>134</i>
		<hr/>
	<i>Total</i>	<i>\$ 618</i>

Sample Justification

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PY 2016-2017

The Director and Teacher will travel to (Little Rock) to attend the AACAE conference.

Sample Budget

Out-of-State Travel:

<i>1 trip x 1 person x \$500 r/t airfare</i>	=	<i>\$500</i>
<i>3 days per diem x \$45/day x 1 person</i>	=	<i>135</i>
<i>1 night=s lodging x \$88/night x 1 person</i>	=	<i>88</i>
<i>Ground transportation 1 person</i>	=	<i>50</i>
		<hr/>
<i>Total</i>		<i>\$773</i>

Sample Justification

The Director will travel to Atlanta, GA, to attend the COABE Conference.

Local programs may transfer travel funds by amendment only among 01-d Administration travel, 02-k Instructional travel, and 04-g Conference/workshop travel. Funds may be transferred by an additional amendment out of travel into other categories, but not out of other categories into travel without prior written approval by the Deputy Director of Adult Education.

Travel and Equipment may not be increased after the budget is approved without authorization of the Adult Education Division Deputy Director.

TRANSFER OF FUNDS

Transfer of funding *within* a single category (01-Administration, 02-Instruction, 03-Maintenance and Operation, or 04-Other Support Services) is allowed without an amendment or state office approval. However, transfer of funds for travel and equipment are subject to the approval process. In either case, please notify your assigned Program Advisor **PRIOR** to transferring funds. Any transfer of funds, whether within a single category, or between categories, must be reflected in the final budget amendment submitted for the fiscal year.

Failure to comply with specific deadlines/requirements of the Adult Education Division, including submission of reports and inputting of data in AERIS may result in suspension of funding until full compliance is achieved.

Funding Guidelines:

Federal & State Funds:

- Adult Education funds must be used effectively and efficiently.
- Programs funded with adult education grants must coordinate to avoid duplication of services, programs, and/or activities made available to adults under other local, state or federal adult education programs.
- No more than ten percent (10%) of state ABE/GAE grants and no more than five percent (5%) of federal D&E or EL/Civics grants may be spent in 01-Administration.
- If 01 Administration is projected to exceed 10% of a STATE grant or 5% of a FEDERAL grant, you may request to waive the current maximum % level. The [Adult Education Division Administration Waiver Form](#) FY2016-2017 must be submitted with a detailed justification.
- No more than ten percent (10%) of each grant may be spent in 03-Maintenance and Operation and none is allowed in federal EL/Civics or C/I funds.
- **All personnel must be listed on the *Personnel Page*** which must be updated whenever there is a change.
 - CBO Exception: volunteers may be included on a listing of names and attached to the Personnel Page.
- All personnel paid with adult education funds and any volunteer tutors whose students and hours are reported to the ACE-AED must meet current requirements as found in the [ACE-AED Program Policies](#).
- All programs receiving funds will be responsible for adhering to [ACE-AED Program Policies](#), [Assurances](#), and [Arkansas NRS Guidelines](#).
- The Adult Education Division requires all programs funded with State and/or Federal Adult Education Funds to use the Adult Education Reporting Information System (AERIS). AERIS is a high-quality web-based information management system that has the capacity to report participant outcomes and to monitor program performance. The Adult Education Division provides all funded programs access to AERIS, training, and a help desk at no charge. **All student data must be entered into AERIS by the 15th of each month for the previous month's data. All data must be approved by the 22nd of each month for the previous month's data.** Failure to enter student data in AERIS may result in a suspension of funds.
- Programs serving multiple counties must submit to the Adult Education Division budget pages and detailed narratives for each county served with GAE funds and one composite budget page.
 - Adult Basic Education (ABE) funds will continue to be used primarily in the main county of the program; and
 - Direct and Equitable, Correctional/Institutional, EL/Civics, Special Projects, and Carryover

funds may be spent in the county of choice by the local Adult Education Administrator.

- Adult literacy services for adults in family literacy programs may be supported from state ABE/GAE and/or federal D & E and/or C/I grant funds.
- Federal D & E and EL/Civics funds may not be used to provide services to adults in C/I settings. Those services may only be supported with C/I grant funds, state ABE/GAE funds, Workplace, Special Projects, or Carryover, and/or other public or private funds.
- Students ages 16 and 17 may be served with Adult Education funds if they are waived into an adult education program. CBOs receiving adult education funding may not use adult education funds to serve students under the age of 18 in accordance with Arkansas Act 1659 of 2001, Arkansas Act 604 of 2003, and/or any subsequent acts amending them.

Federal Funds: D&E, C/I, EL/Civics

- Federal funds must be used **to supplement** (add to, extend) and **not supplant** (take the place of) other funding.
- Federal D & E funds may not be used to provide services to adults that function above the 8.9 functioning level in reading, math, and language arts skills as determined by a standardized testing instrument approved by the Adult Education Division.
- Only 02 - Instruction expenditures will be allowed with federal C/I funds.
- **No equipment** may be purchased with federal D&E, EL/Civics or C/I funds.
- CBO Bonding - CBOs must provide a copy of the policy. In the budget narrative, identify those bonded, their financial, purchasing, and/or check signing responsibilities for state and/or federal adult education funds.
- Any federal funds not used by local program should be returned to the Adult Education Division at the earliest possible date following the end of the fiscal year.

State Funds: ABE, GAE

- For the 2016-2017 fiscal year, each program receiving Adult Education Division state funding with multiple counties will receive from the Adult Education Division a grant award page with a total amount of GAE funds for the program's use. Programs must use GAE funds in each county which it serves. The amounts to be spent in each county have not been predetermined by a funding formula, but past year's county expenditures may serve as a guide for the amounts to be budgeted.
- GED testing and graduation expenses may be paid with state GAE Funds only.

If you have questions, please contact our office.

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