

Federal & State Grants Administration and Compliance

GET THERE

Florida's Workforce Education Initiative

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2025 ACE Summer Symposium
June 9 -10, 2025

Agenda

- Purpose
- Grants Pre-Approval Process
- Grants Submission/Award
- Grants Amendments
- Grants Reporting
- Compliance and Monitoring
- Questions

Purpose

- To inform attendees of grants management and compliance issues for the 2025-26 grant period.
- The topics will include the responsibilities of the grantees and the responsibilities of the Florida Department of Education (FDOE).
- Answer questions from attendees.

Grants Pre-Approval Process



Grants Pre-Approval Process

- Each year (November/December) the Division of Career and Adult Education (DCAE) begins preparing the budget for the following year's grants.
 - Perkins V
 - *Formula driven*
 - Adult Education and Family Literacy Act (AEFLA)
 - *Formula driven*
 - Adult General Education (AGE)
 - Integrated Education Literacy and Civics Education (IELCE)
 - Corrections Education
 - State Appropriation Grants
 - Leadership Projects
 - Special Federal Grants (i.e., GEER, ESSER, CRRSA, etc.)

Grants Pre-Approval Process (continued)

- DCAE determines a grants budget and initiates an internal routing process to receive FDOE authority to release the grant funding (once made available by the U.S. Department of Education (ED) and/or the U.S. Department of Labor (DOL)).
- DCAE begins drafting RFA/RFPs.
- RFA/RFPs are routed through FDOE for preapproval.
 - This process involves several divisions within FDOE.
 - The Office of Grants Management (OGM), the FDOE Budget Office, the Comptroller's Office, General Counsel and the Commissioner's Office.
- Once preapproved, RFA/RFPs are posted to the Division website for eligible applicants to begin applying for the specific grant funds.

Grants Submission & Award

Grants Submission/Award

- Applicants are strongly encouraged to attend the funding opportunities webinars as they are announced.
- Webinars include important information regarding:
 - Completing the application,
 - Completing any associated workbooks,
 - Purpose and Priorities of the funding,
 - Guidance on use of funds,
 - FAQs and
 - Submission details.

Grants Submission/Award (continued)

- Generally, questions may be submitted to DCAE to be answered; however, sometimes there may be a mandatory "black-out period" where no questions may be answered.
 - This is usually done during a competitive grant so as not to allow an advantage to one applicant over another.
- DCAE will compile a list of frequently asked questions as they are received and post them to the funding opportunities webpage so that all applicants have access to the same information.

Grants Submission/Award (continued)

- Applicants must follow the prescribed method of submission.
 - ShareFile folder
 - Naming Convention
 - Required documents
- Only OGM is the authorized administrator of the FDOE ShareFile System.
- For issues related to the FDOE ShareFile, please contact OGM@fldoe.org.
 - User access issues
 - Adding/Deleting authorized users
 - Other technical issues

Grants Submission/Award (continued)

- OGM will perform the initial intake of the RFA/RFP documents and review the files to ensure all components of the RFA/RFPs are present.
- If additional documents are needed, OGM will contact the applicant (usually the person in your office with ShareFile access).
- Timely responses to their inquiries will prevent a delay in processing your RFA/RFPs.
- This process can take up to four-weeks depending on the amount of grants being processed by OGM.

Grants Submission/Award (continued)

- When OGM confirms the RFA/RFPs are complete, DCAE begins reviewing applications, as outlined in the RFA/RFP.
 - DCAE conducts a thorough and timely review of the grant documents.
 - Grant Managers or other DCAE personnel may contact the grantee for additional edits. Your timely responses will ensure a faster turnaround.
- After review of the RFA/RFPs, DCAE returns the application to OGM for a grant budget analysis.
- OGM ensures proposed expenditures are allowable and align with the purposes/priorities of the grant.
 - Further edits may be required at this stage.

Grants Submission/Award (continued)

- Please respond as quickly as possible to OGM requests so as not to delay your award any longer than absolutely necessary.
- Following OGM's final approval, it is sent to the Comptroller's Office for certification and uploading to FLAGS/FACTS system(s).
- When the Comptroller's Office certifies the award, the RFA/RFP is sent to the DCAE Grants Administration and Compliance Chief for signature.
- Upon receiving the signature of the Bureau Chief of Grants Administration and Compliance, the award is fully approved.

Grants Submission/Award (continued)

- **SOME** grant awards may be retroactive.
 - The grant was submitted prior to or on July 1 in "substantially approvable form."
 - The project application form (DOE 100A) bearing the original signature of the official who is authorized to legally bind the agency, e.g., superintendent for the school district or the president/chairperson of the board for other agencies.
 - The budget narrative form (DOE 101 or DOE 101S) and ANY other required supplemental forms.
 - Signed General Assurances, Terms and Conditions for Participation in Federal and State Programs.
 - Superintendent, President or official who is authorized to legally bind the district or college/university, etc.

Grants Submission/Award (continued)

- Depending on the funding method, your agency may begin drawing down funds and making purchases for approved budgetary items and/or equipment.
 - Some methods of funding require collaboration with the Comptroller's Office to disburse a portion of grant funds for your use.
 - In those cases, you will be sent a warrant check via U.S. Mail or receive a direct-deposit to your business account (direct-deposit is the preferred method).
 - To apply for direct-deposit, email DirectDeposit@MyFloridaCFO.com or call 850-413-5517.

Grants Submission/Award (continued)

- From time-to-time a change will need to be made to your grant.
- Either a programmatic or budget change, or sometimes both simultaneously.
- In these cases, the agency must complete and submit a DOE 150 and a DOE 151 form.

Grant Amendments



Grant Amendments

- During the grant year, it may become apparent that an amendment is needed, to either change the Scope of Work or the budget, or both.
- In these cases, you would work one-on-one with your grant manager to assess your needs.
 - In some cases, amendments are not needed, so check with DCAE first before doing all that work.
- The DOE 150 is a grant amendment document that contains all the information relevant to the program and the reason for the amendment request.
 - This "Narrative" must be completed to submit the amendment.

Grant Amendments (continued)

- The DOE 151 is a budget amendment form.
 - Regardless of your amendment needs, both forms must be submitted for approval, per OGM.
- All information on the DOE 151 must be completed for submission.
- All amendments must be submitted via the FDOE ShareFile System. DCAE cannot accept amendments via email.
- The amendment approval process is like the RFA/RFP approval/award process; it involves many FDOE divisions and is time intensive. Plan ahead.

Grant Amendments (continued)

- It is important to provide as much detail on the DOE 151 budget narrative form as possible.
- One word or very short sentences are not sufficient.
- A thorough summary of what the funds are being used for and how they will assist the program in meeting the approved deliverables is the minimum required for an approved amendment.
- Be sure to use the appropriate Function and Object codes, as using the wrong ones may result in a monitoring finding.
- If new (previously unapproved) equipment is needed for the program, a new Projected Equipment Purchases Form must accompany the DOE 150 and DOE 151 in the amendment submission.

Grant Amendments (continued)

- If there are issues with your submission, your timely responses will help FDOE process your amendment faster.
- Unlike some grant awards, amendments are **NOT** retroactive.
- Grantees are cautioned about using funds prior to receiving the approved amendment as this will likely result in a monitoring finding.

Grants Reporting



Grants Reporting

- All DCAE grants released by the DCAE require some level of reporting.
- Be sure to read the RFA/RFP, as this will tell you exactly what reports are required for the specific grant. If you have questions, ask your DCAE Grant Manager.
- Work with your grant manager, who can assist you with any reporting issues you're experiencing.

Grants Reporting (continued)

DOE 399

- This report lists all the approved line-items in the budget.
- If there was an amendment adding/removing line-items, they must be updated on this form.
- DCAE does **NOT** allow overages within line-items.
 - All overages must be balanced by an amendment to move additional funds into or to "zero out" the line-item.
 - Overages of line-items may result in a monitoring finding.

Grants Reporting (continued)

DOE 499

- As a result of certain federal funding, you may be asked to complete the DOE 499 at the conclusion of the grant year for the previous years' expenditures by program area.
- FDOE has been asked by the USED to report on the levels of funds used for certain activities in Adult Education.
- As a recipient of the AEFLA funds, grantees are required to undertake certain tasks to benefit their students.

Grants Reporting (continued)

- These tasks include (per [OCTAE Memo 17-2, Attachment VII – Table C](#));

Attachment VII – Table C	
Career and Training Services Applicable to AEFLA ²⁵	Category of Service
Outreach, intake, and orientation information	Career Service
Initial assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities, and supportive services needs	Career Service
Referrals to and coordination of activities with other programs and services	Career Service
Provision of performance information and program cost information on eligible providers of education, training, and workforce services by program and type of provider	Career Service
Provision of information on availability of supportive services or assistance and appropriate referrals (including child care; child support; medical or child health assistance available through the State's Medicaid program and CHIP; SNAP benefits; EITC; assistance under TANF, and other supportive services and transportation)	Career Service
Integrated education and training (IET) programs ²⁶	Training Service

Grants Reporting (continued)

Career Services

- All WIOA AGE, IELCE and Corrections recipients **MUST** have an expenditure amount reported for Career Services.
- Career Service examples include:
 - Outreach, intake and orientation information;
 - Initial assessment of skill levels including literacy, numeracy and English language proficiency, as well as aptitudes, abilities and supportive services needs and/or
 - Referrals to and coordination of activities with other programs and services.

Grants Reporting (continued)

Career Services (continued)

- Provision of information on availability of supportive services or assistance and appropriate referrals
 - Childcare,
 - Child Support, and/or
 - Medical or child health assistance, such as:
 - State's Medicaid Program,
 - CHIP,
 - SNAP,
 - TANF, and/or
 - Other supportive services and transportation.

Grants Reporting (continued)

- **Training Services**

- Training Services is synonymous with Integrated Education and Training (IET) programs.
- Per federal regulation, if an agency offers a National Reporting System (NRS) eligible program, they **MUST** offer an IET program.
- Training Services examples include:
 - IET programs*

*Training Services expenditure reporting is limited to funds used for the training portion of IET, not to be inclusive of funds spent on the AGE instruction.

Grants Reporting (continued)

- These services' expenditures must be reported in Box 12 (Federal Expenditures and Unobligated Balance)
 - Service Reporting Information:
 - Row (f) Career Services Expenditures, and
 - Row (g) Training Service Expenditures
 - Column (e) Training, and
 - Column (f) Total

Grants Reporting (continued)

(12) Federal Expenditures and Unobligated Balance:	(a) State Administration	(b) Leadership	(c) Programs of Instruction (ABE levels 1-4 and	(d) Programs of Instruction (ABE levels 5-6)	(e) Training	(f) Total
Federal Share of Expenditures:						
a. Basic Grant.		\$ -	\$ -	\$ -		\$ -
b. Integrated English Literacy and Civics Education (Sec 243)			\$ -			\$ -
c. Corrections Education (Sec. 225) (9a) & 10a)			\$ -	\$ -		\$ -
d. One-Stop Infrastructure Costs (Local Option) (AEFLA Funds)			\$ -			\$ -
e. Total Federal Share		\$ -	\$ -	\$ -		\$ -
Service Reporting Information:						
f. Career Services Expenditures.					\$ -	\$ -
g. Training Services Expenditures.					\$ -	\$ -
Recipient Share (NON-FEDERAL FUNDS):						
h. Recipient share of expenditure (Non-Federal Funds)	\$ -	\$ -	\$ -	\$ -		\$ -
i. One-Stop Infrastructure Costs (State Option) (AEFLA Funds)	\$ -		\$ -	\$ -		\$ -
j. Integrated English Literacy and Civics Education (Sec 243)	\$ -	\$ -	\$ -			\$ -
k. Corrections Education (Institutionalized) Persons (Sec. 225)	\$ -	\$ -	\$ -	\$ -		\$ -
Program Income Reporting Methods:	<input type="checkbox"/> Addition	<input type="checkbox"/> Deduction				
l. Total program income earned			\$ -	\$ -		\$ -
m. Program income expended			\$ -	\$ -		\$ -
n. Unexpended program income (line l minus line m)			\$ -	\$ -		\$ -

Grants Reporting (continued)

- DOE 499 Submission
 - FDOE must submit all NRS data to USED no later than October 1. AGE, IELCE and Corrections grantees are asked to submit their DOE 499 prior to September 1.
 - This ensures that all data may be compiled, reviewed and corrected (if necessary).

Grants Reporting (continued)

- Grant Closeout
 - Each grantee will work with the FDOE Comptroller's Office to close out their federal and/or state grants at the end of each fiscal year.
 - It is the responsibility of the grantee to upload any requested reports, documentation or other required forms to the prescribed method of submission required by the Comptroller's Office.
 - It may be necessary to return unused grant funds to FDOE.
 - This should be a last resort and not a yearly occurrence.
 - For example, if grantees have been advertising unfilled positions for the grant period, prorate the remaining year's salaries and amend those additional funds into a line-item that can utilize the funds through allowable expenditures.

Compliance & Monitoring



Compliance and Monitoring

A Way of Work

- The Quality Assurance section of the Bureau of Grants Administration and Compliance is responsible for the design, development, implementation and evaluation of a comprehensive quality assurance system, including monitoring.
 - Assure financial accountability
 - Program Quality
 - Regulatory Compliance

Compliance and Monitoring

- DCAE is tasked with statewide monitoring of all federal and state grant programs released by the Division.
- The Director of Monitoring and Compliance is Kara.Kearce@fldoe.org.
- The Monitoring and Compliance Team performs On-Site Monitoring, Desk Audits and provides training via webinars and site visits.
- The Compliance and Monitoring team website is: <https://www.fldoe.org/academics/career-adult-edu/compliance/>.

Compliance and Monitoring (continued)

Core Monitoring Guide (CMG)

- The CMG is a tool for the reviewer to perform an on-site or desk monitoring review of a grant recipient's core activities. The CMG provides a consistent framework to allow the reviewer to evaluate the grant recipient's compliance in meeting the requirements outlined in its grant agreement, federal and state regulations.
- [Core Monitoring Guide](#)

Compliance and Monitoring (continued)

- Spring monitoring is underway.
- The Compliance and Monitoring team will continue monitoring the Pathways to Career Opportunities Grants (PCOG) agencies.
- The purpose of monitoring and compliance should not be perceived as something negative.
 - DCAE monitoring and compliance team's role is to provide best practices guidance and issue findings to support the requirements of federal and state grant management.
- DCAE will be adding some additional monitoring tools during the summer which we will be rolling out for the fall monitoring period.

QUESTIONS?

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