Programs for At-Risk Early Elementary Students

Grant Application and Implementation Guidance

Iowa Department of Education

General Provisions

The Programs for At-Risk Early Elementary Students is a grant made available to eligible Iowa public elementary schools in a year in which funds are made available by the Iowa legislature. The grant provides funds to assist schools in addressing the needs of kindergarten through third grade students who are at-risk of educational failure.

Funds are awarded to elementary schools with a high percentage of low-income families in grades K-3 as reported on the previous year's fall certified enrollment report (SRI). Elementary schools notified by the Iowa Department of Education are eligible to participate.

Funds can be used to pay for expenditures designed to improve academic achievement and to "provide activities and materials designed to encourage children's self-esteem, provide role modeling and mentoring techniques in social competence and social skills, and discourage inappropriate drug use" (Iowa Code § 279.51). Funds must be used to supplement, not supplant, funds that would otherwise be used for the activities supported by the program. Refer to Appendix A and the administrative rules for additional guidance on allowable expenditures.

Funds are awarded to buildings for a 3-year cycle, with annual renewal for the next two consecutive years contingent upon legislative appropriation and the grantee meeting the minimum requirements as set forth in administrative rule. Grantees will submit an initial report (including budget) and semi-annual progress reports for each of the three years of the grant cycle.

The purpose of this guidance is to assist grantees in understanding, administering, and implementing the Programs for At-Risk Early Elementary Students grant. Please review this guidance in its entirety before beginning your application.

Project Design Considerations

Design

When you accept a grant award you accept responsibilities involving the management and administration of programmatic, financial, and reporting aspects of the grant project. A well-developed project plan will help ensure the success of the grant project and represents a valid commitment by you to use public resources appropriately.

Successful project design answers the questions: Why, Who, What, When, Where, and How. A good place to start is by defining your target population and specifying the clear and concise outcomes you want to achieve. Lay out your short- and long-term project goals (specific desired results), strategies (specific methodologies), and objectives (measurable achievements).

In designing your project, keep in mind that you will receive funds to carry out the project over the course of three years (contingent upon meeting the requirements set forth in administrative rule) and that you will be expected to show positive student growth in your identified area of need each year.

Changing needs or circumstances within your school and/or project activities that are not resulting in positive student growth may necessitate a revision to your project design. Revisions must adhere to the general guidelines of the grant program. Significant revisions will be reported to the Department in either the semi-annual progress reports or in the subsequent year's initial project description report.

Evaluation

Project evaluation is an important component of your approved project. Not only does the evaluation help determine whether the project is meeting its objectives, but the data gathered in the evaluation process may be important to others who will want to study the project or replicate it.

Progress reports have the following purposes: 1) to determine if the grantee has implemented the project as agreed; 2) to determine if the grantee is making progress towards meeting its goals; 3) to determine if

the activities performed by the grantee are linked to the specific outcomes of the project; 4) to allow the grantee to present information on any problems encountered in implementing the project; and 5) to allow the grantee to revise, with Department concurrence, the project design.

After the grant notification is received it is important for the grantee to 1) review the project objectives, activities, and outcomes, 2) develop a preliminary list of baseline data, and 3) identify possible assessment instruments needed to measure various aspects of the project's progress and success.

Progress reports will be submitted to the Department semi-annually.

Budget

This grant has an annual award life-cycle of twelve months and must be fully expended by June 30 of the respective state fiscal year of the award; any funds not fully expended by June 30 will revert.

Grant expenditures must integrate with and support the school's project and have a direct impact on student learning. The school's Grant Manager, in coordination with the district business office, is responsible for monitoring all project expenditures to ensure that funds are expended in accordance with the approved budget and the grant project timeline.

The expectation is that 100% of grant funds will be used by the end of the grant period. To ensure proper spending a good rule of thumb is to spend approximately 25% of the funds each quarter. The Grant Manager, in coordination with the district business office, should review grant activity on a monthly basis to ensure that expenses are appropriately charged to the budget and that no costs have been erroneously posted to the grant account. Avoid making unusual expenditures at the end of the project as this can bring to question the legitimate need of the purchase for achieving project activities.

Awards funded under this program must adhere to applicable accounting principles and governmental auditing standards and must be used solely for the approved project and not for any other purpose.

A grantee must maintain effective control and accountability for all funds, property, and other assets and must adequately safeguard all assets and ensure they are used only for grant-authorized purposes. The local board of education is responsible for the proper disbursement of, and accounting for, project funds. Written district policy concerning wages, mileage and travel allowances, overtime compensation, or fringe benefits, as well as State rules pertaining to competitive bidding, safety regulations, inventory control, and out-of-state travel must be followed. Supporting or source documents are required for all grant related transactions entered into the district's recordkeeping system. Source documents that authorize the disbursement of grant funds consist of purchase orders, contracts, time and effort records, delivery receipts, vendor invoices, travel documentation, and payment documents, including check stubs.

To be considered allowable for reimbursement, costs must meet the following general criteria: 1) be necessary and reasonable for proper and efficient operation of the project; 2) be permissible under applicable state and/or federal laws and regulations; 3) conform to any limitations or exclusions set forth in these guidelines, laws or regulations, or other governing limitations as to types or amounts of cost items; 4) be net after applying all applicable credits, such as purchase discounts, project-generated income, and adjustments of overpayments; 5) must not be included as a cost in any other project or grant; and 6) be supported by appropriate documentation.

Records Retention: Supporting documentation for this grant must be kept for at least six years after the last payment was made unless otherwise specified by program requirements. Additionally, audit or litigation will "freeze the clock" for records retention purposes until the issue is resolved. All records and documentation must be available for inspection by Department officials or its representatives.

Grant Award Agreement

The approved Grant Application (IowaGrants.gov) serves as the Grant Award Agreement (GAA) between the Department and the grantee. By accepting the grant award, the grantee agrees to comply with the program objectives and fiscal requirements in accordance with the executed GAA.

Non-Compliance/Termination

The Department will impose sanctions in the event of noncompliance or violation of any grant provision by the grantee. Appropriate sanctions may include, but are not limited to, withholding payments, suspension, or termination of a portion or the entire grant. The Department will provide 10 days' notice to the grantee if the grant is terminated for "convenience," as outlined in the "Statement of Assurances." Grants terminated for "cause" will take effect immediately, per 281 IAC 65. If the grant is terminated, the grantee will be paid only for activities/services allowable under the grant contract that were completed prior to the effective termination date.

Project Monitoring

Project monitoring is designed to be instructive, not disruptive, and to foster information exchange and partnership. The Department monitors each project to ensure the grantee is operating the project as agreed upon, is working towards its objectives, and is following appropriate fiscal procedures. During the grant award period, monitoring may include review of project and fiscal records and communication with project stakeholders, project participants, and/or any staff directly or indirectly involved in the performance of the project. Project monitoring is intended to verify compliance with grant and fiscal requirements, provide technical assistance, offer program development and design guidance, and observe program activities. Statewide leadership teams will review the end-of-year report and provide appropriate feedback to the grantee.

Department Contact Information

Program: Leigh Bellville, Literacy Consultant (leigh.bellville@iowa.gov, 515-689-3717)
Fiscal and IowaGrants.gov: Tana Mullen, Executive Officer 1 (tana.mullen@iowa.gov, 515-281-3333)

Managing Your Project through IowaGrants.gov

Application and reporting forms can be found at **www.iowagrants.gov**. As a general rule, you will click on the words or phrases formatted in "**blue**" to access an area, a sub-area, or to perform a task (i.e. to sort, print, add, delete, edit, or save). Fields marked with a red asterisk (*) are required fields.

Most forms can be edited while still in the **Edit** mode. Once you **Submit** a report you must contact the Department if a correction is necessary.

Main Menu

This Main Menu information applies to all grants that you have access to in the IowaGrants.gov system.

Instructions

This page provides you with a general overview of the functionality of the IowaGrants system.

My Profile

Edit your personal contact information or reset your password here.

Funding Opportunities

This page provides you with a list of all available State of Iowa funding opportunities that are open for application. Click on a column heading to sort the respective heading numerically or alphabetically.

My Applications

Use this page to access applications that have been either not "submitted" or not "approved."

My Grants

Use this page to access reporting forms for your approved grant project(s). The page opens to a list of your Active Projects. Click on the respective *Project Name* under the heading "**Title**" to access the Grant/Project Components for the project you are working on.

Click on the "**Closed Grant/Projects**" link to access grant details for prior years' approved grant projects.

Initial Project Report

Initiate Your Project Application

Sign in to your **IowaGrants.gov** account. Follow the registration instructions on the login page if you are a new user.

From the **Main Menu** screen select **Funding Opportunities**.

Select **Program for At-Risk Early Elementary Students (201x-1x Grants).**

> **Agency**: Education
> **Program**: K3 Innovative At Risk

Select **Start a New Application**.

> The **Registered Applicant*** and **Organization*** fields should prepopulate based on your registered profile information. Go to **My Profile** on the **Main Menu** to update or correct your profile information.

> **Project Title***: Add a title for your project in the area indicated. Please include the <u>grant year</u> and the <u>name of your school building</u> in your Project Title.

Click the **Save** button at the top of the screen.

Your screen should look like this:

Click the **Edit** button. Under **Additional Grantee Contacts**, select the names of any other individuals who will need access to the various sections of the project application (i.e. application, progress reports, budgets, and claims). Hold down the [Ctrl] button to make multiple selections. New users will need to register before you can add them as **Additional Grantee Contacts**.

Click the **Save** button at the top of the screen.

Your screen should look like this:

Select **Go To Application Forms** to continue with the remaining parts of the application.

Cover Sheet-General Information

From the **Application Forms** screen select **Cover Sheet-General Information.**

The **Cover Sheet-General Information** screen must be completed by all IowaGrants.gov applicants. Provide appropriate responses to all questions.

Click the 💾**Save** button at the top of the screen.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

Minority Impact Statement

From the **Application Forms** screen select **Minority Impact Statement.**

The **Minority Impact Statement** screen must be completed by all IowaGrants.gov applicants. Provide appropriate responses to all form questions.

Click the 💾**Save** button at the top of the screen.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

District Contact Information

From the **Application Forms** screen select **District Contact Information.**

Provide the district, building, grant, and fiscal personnel information as specified in the form.

Click the 💾**Save** button at the top of the screen.

Go to the bottom of the screen and click the "**Add**" button to list the names and positions of any **Other Key Individuals** who will be directly involved in the planning, management, or day-to-day operation of this grant.

Click the 💾**Save** button at the top of the screen. Repeat the "**Add**" and 💾**Save** process to complete the **Other Key Individuals** list.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

Initial Report: Project Description

From the **Application Forms** screen select **Initial Report: Project Description.**

Click the 📝 **Edit** button at the top of the screen.

Required: In the **Project Description** section, describe what you are trying to accomplish and what you will do to accomplish it. Include a description of how you will use these grant funds to address the physical, emotional, social, and cognitive development needs of your target population. Describe the improvement goal(s) you wish to accomplish as a result of receiving these funds. Include a brief summary of the need(s) of your target population, a description of your proposed innovative school project, and the actions you intend to take to accomplish your objective(s).

(Note: Supporting data charts and/or graphs, research documents, and other information may be attached in the **Upload Attachments** section.)

Click the 💾**Save** button at the top of the screen.

Initial Report: Action Plan

Optional: The **Action Plan** area is provided to help you plan and monitor your project. List the specific action steps you intend to implement to accomplish your project goal(s).

Click the "**Add**" button to add an Action Step.

Complete each action step field as appropriate.

Click the 💾**Save** button at the top of the screen.

Repeat the "**Add**" and 💾**Save** process to add additional action steps. Click on the Proposed Action Step item (**indicated in blue**) to edit the information within that action step.

Click the 💾**Save** button at the top of the screen to save changes.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

Project Budget

The Project Budget serves as your spending plan and should cover all anticipated project costs. Describe in detail what you intend to purchase (e.g. type and purpose for instructional materials and services, position descriptions and # FTE for building staff, etc.) and how each respective purchase relates to your proposed project goals.

Refer to Appendix A for further guidance on expenditure categories.

From the **Application Forms** screen select **Project Budget.**

Click the 📝 **Edit** button at the top of the screen.

Enter proposed budget amounts and descriptions as appropriate.

Click the 💾**Save** button at the top of the screen.

The Requested Total at the top of the page and the Budget Total at the bottom of the page must equal the amount you were awarded for this grant.

Click the 📝 **Edit** button at the top of the screen for additions or corrections. Click the 💾**Save** button at the top of the screen to save changes.

Click on the Account Description item (**indicated in blue**) to edit the information within the Purchased Professional/Technical (Contracted) Services section. Click the 💾**Save** button at the top of the screen to save changes.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

Statement of Assurances

From the **Application Forms** screen select **Statement of Assurances**.

The Statement of Assurance is the agreement between the Department and the grantee that binds the grantee to comply with all applicable State and Federal regulations governing the financial assistance award granted to them.

An authorized official must sign and date your application by providing the information requested.

After signing, click the 💾**Save** button at the top of the screen.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.

Attachments

Supporting data charts and/or graphs, research documents, and any other pertinent information supporting your project design or budget may be attached in the **Upload Attachments** section.

From the **Application Forms** screen select **Upload Attachments Here**.

Click the 🧩**Add** button at the top of the screen.

Click the Browse… button, then double click on the file you want to upload.

Provide a **Description*** of the form.

Click the 💾**Save** button at the top of the screen.

Repeat to upload multiple files.

Click the **Mark As Complete** button. You will be redirected to the **Application Forms** page of the report. To preview your application click on the **Preview** button.
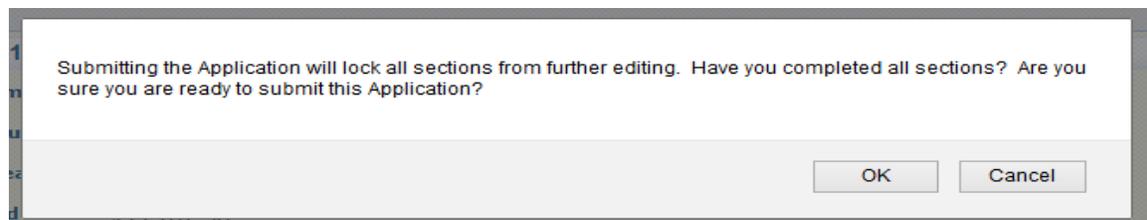
Submit Your Application

From the **Application Forms** screen select the **Preview** button to review your application.

To make corrections, click on the **Application Form** name, then click the 📝 **Edit** button at the top of the screen. Make the necessary additions or corrections and then click the 💾**Save** button at the top of the screen.

When you are satisfied that your application is complete, from the **Application Forms** screen, click the **Submit** button to submit your application to the Department.

You will receive the following message:

Submitting the Application will lock all sections from further editing. Have you completed all sections? Are you sure you are ready to submit this Application?

OK   Cancel

Click the OK button to submit your application.

You will be directed to the **Application Signature** page. Sign and indicate your agreement to the terms of the Funding Opportunity by checking the box. Click the **Submit** button.

You will receive a Confirmation stating that you have successfully submitted your application, along with your Application ID number.

Click the **Menu** button to return to the **Main Menu**.

Due Date: August 7

Project Evaluation

Grantees must submit project evaluation reports twice per year, one at the end of the first semester and one at the end of the school or grant year. Statewide leadership teams will review the end-of-year report and provide appropriate feedback to the grantee.

Mid-Year Progress Report

The mid-year progress report is used to provide the Department with information about how well your project design is working in achieving the objectives laid out in your Initial Report and to let us know what modifications, if any, you plan to make to address issues you may have encountered to date.

From the **Grant Tracking** screen select the "**Title"** of your application.

From the **Grant/Project Components** screen select: **Status Reports**.

Click the 🍀**Add** button at the top of the screen.

General Information Screen

Status Report Type: Select "**Monitoring Report**" from the pull-down menu.
Title: "1st Semester Progress Report"
Reporting Period: Dates should coincide with your first semester start and end dates.

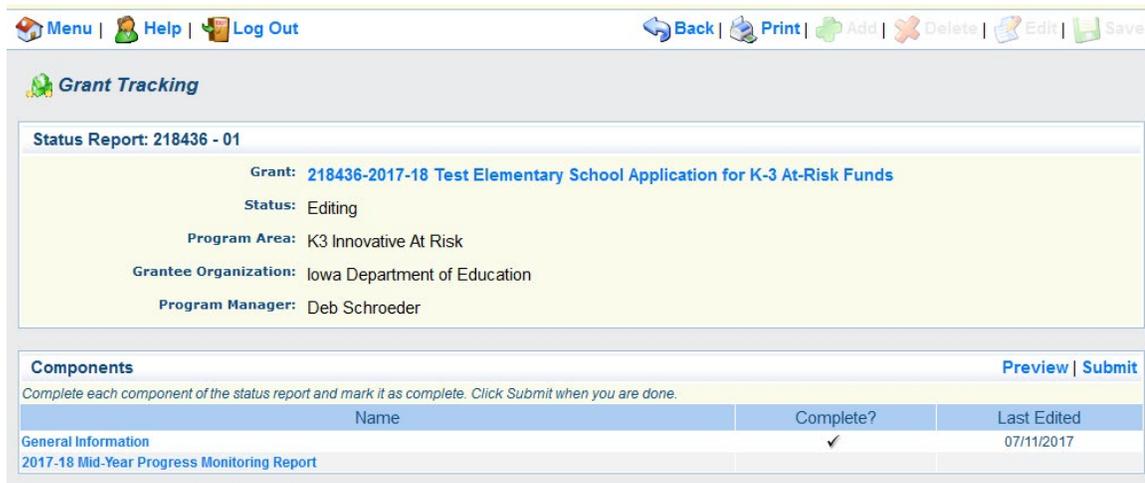Your screen should look like this:

Click the 💾**Save** button, then the **Return to Components** link.

Your screen should look like this:

From the **Components** screen select **Mid-Year Progress Monitoring Report**.

Progress Report Data: Click the **Add** button located to the right of the Progress Report Data sub-screen. Enter the data set(s) you are using to monitor your progress in achieving your objectives. Complete the applicable fields and then click the 💾**Save** button at the top of the screen to save your data. You can add multiple data elements by simply clicking on the **Add** button and then the 💾**Save** button for each data element.

Your screen should look like this:

2017-18 Mid-Year Progress Report							Mark as Complete | Go to Status Report Forms
Progress Report Data							Add
*Provide the requested information in the boxes below. List each **Progress Report Data Element** by specific Name and/or Type. You may add as many **Data Elements** as necessary to let us know how you are progressing on accomplishing your project goal(s).*							
Data Source/Description	Date or Time Period	GR K	GR 1	GR 2	GR 3	GR K-3	GRs Other
Fall FAST Data	Fall 2017	58%	63%	69%	68%		
Parent Activity - Sign in sheets	October 10						Gr 1 and 2, 212 parents
Average Daily Absenteeism	1st Semester	3.8%	2.3%	6.8%	4.2%		

Progress Report Narrative: Click the 📝**Edit** button at the top of the screen. Provide a summary of the progress you've made to-date on accomplishing your project goal(s), tell us about any issues you may have encountered in implementing your project, and let us know what modifications you plan to make going forward to address these issues.

Grant $ Spent-to-Date: Enter the total amount of grant dollars you've spent so far this year, as reported on your December 31st claim.

Click the 💾**Save** button to save your data.

To make corrections click the 📝**Edit** button at the top of the screen, reenter the applicable data, then click the 💾**Save** button.

Click the **Mark As Complete** button near the top of the report page. You will be redirected to the **Components** page of the report.

To preview your report, click on the **Preview** button.

Click on the **Submit** button to submit your report.

Due Date: February 21

End-of-Year Assessment and Evaluation Report

The end-of-year assessment and evaluation report is used to tell the Department about how well your project design is working in achieving the objectives laid out in your Initial Report and to provide us with certain student and staff demographic data.

From the **Grant Tracking** screen select the "**Title**" of your application.

From the **Grant/Project Components** screen select: **Status Reports**

Click the 🧩**Add** button at the top of the screen.

General Information Screen:

Status Report Type: Select "**Semi-Annual**" from the pull-down menu
Title: "2nd Semester Progress Report"
Reporting Period: Dates should coincide with your second semester start and end dates.

Your screen should look like this:

Click the 💾 **Save** button, then the **Return to Components** link.

Your screen should look like this:

From the **Components** screen select **End-of-Year Assessment and Evaluation Report**.

Progress Report Data: Click the **Add** button to report the data set(s) you are using to monitor your progress in achieving your objectives. Complete the applicable fields and then click the 💾**Save** button at the top of the screen to save your data. Add multiple data elements by simply clicking on the **Add** button and then the 💾**Save** button for each element.

Your screen should look like this:

Assessment and Evaluation Narrative: Click the 📝**Edit** button at the top of the screen. Provide a summary of the progress you've made to-date on accomplishing your project goal(s).

Other Student Demographic Data: Provide the student demographic data as requested.

Staff Data: Provide the Full-Time Equivalency (FTE) staff data as requested.

Click the 💾**Save** button to save your data.

To make corrections click the 🖊**Edit** button at the top of the screen, reenter the applicable data, then click the 💾**Save** button.

Click the **Mark As Complete** button near the top of the report page. You will be redirected to the **Components** page of the report.

To preview your report click on the **Preview** button.

Click on the **Submit** button to submit your report.

Due Date: July 31

Reimbursement Claims and Budget Amendment Requests

This grant operates on the accrual basis of accounting, i.e. any expense you incur on or before June 30, irrespective of the date of payment, can be submitted for reimbursement for the grant year.

The Department reimburses actual and allowable expenditures for goods and services incurred during the grant period. To receive reimbursement of authorized expenditures a grantee must submit a Claim for Reimbursement via IowaGrants.gov. Grantees must maintain records identifying the source and application of funds for each budget line item. Only items listed in the approved grant are eligible for reimbursement.

Claims should be filed on a semi-annual calendar basis (i.e. as of December 31 and June 30) unless otherwise mutually agreed upon. Grantees must submit a claim even if no costs were incurred (zero claim) or no activities took place during that time period.

Refer to **Appendix A** for additional guidance.

Semi-Annual Claim

From the **Grant Tracking** screen select the "**Title"** of your application.

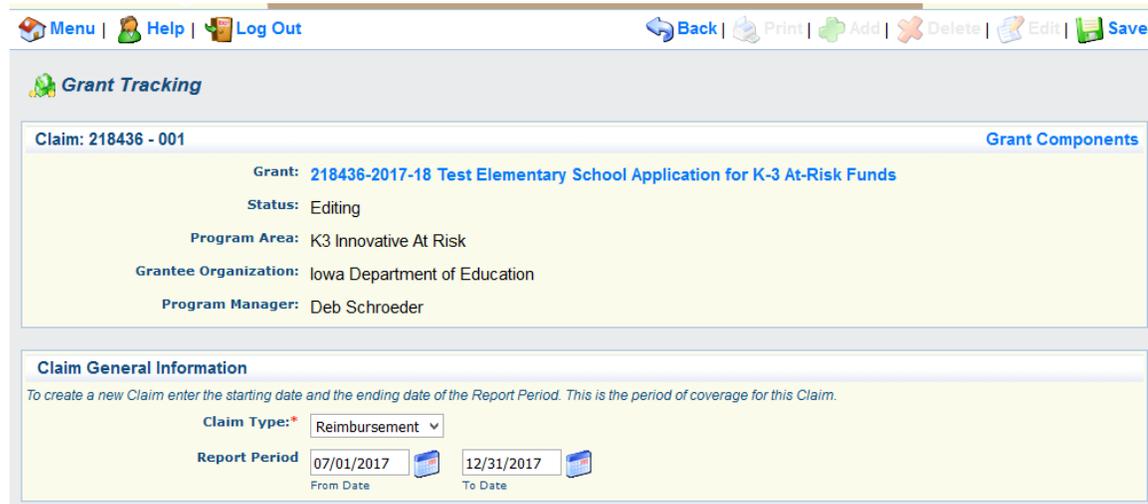From the **Grant/Project Components** screen select: **Claims**

Click the 🧩**Add** button at the top of the screen.

General Information Screen:

Claim Type: Select "**Reimbursement**" from the pull-down menu.
Report Period: Dates should coincide with the respective semi-annual period of your report.

Your screen should look like this:

Click the 💾**Save** button, then the **Return to Components** link.

Your screen should look like this:

From the **Components** screen select **Expenditure Reimbursement Form**.

Click the 📝 **Edit** button at the top of the screen to access the fillable form.

Expenditure Reimbursement Form. Report expenditures for the reporting period in the appropriate categories in Column 2. Total expenditures reported in the expenditure reimbursement form must equal the total expenditures reported in the attached detail general ledger.

Click the 💾 **Save** button at the top of the screen.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

From the **Components** screen select **Detailed Explanation - Specific Expenditure Items**.

Use this screen to provide additional information with respect to expenditure items not clearly identified or defined in your initial project budget. Provide a detailed description of the item(s) purchased (i.e. item name, vendor, etc.) and describe how this expenditure relates to and supports the referenced outcome/goal of the approved project.

Click the 📝 **Edit** button at the top of the screen to access the form.

Additional explanation. Include as much information as necessary for Department staff to understand what it was you purchased and how the purchase relates to and supports your project goals.

Click the 💾 **Save** button at the top of the screen.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

From the **Components** screen select **Expenditure Documentation - Detail General Ledger**.

A detail general ledger must be attached to your claim before it will be processed for payment. Amounts reported in the Reimbursement Section of your claim must match the expenditures reported in your general ledger. (Only one general ledger may be attached.)

Click on the **Detail general ledger** link.

Click the Browse… button, then double click on the file you want to upload.

Provide a **Description*** of the form.

Click the 💾 **Save** button at the top of the screen.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

From the **Components** screen select **Payroll and Invoice Detail**.

Supporting detail payroll and invoice documents <u>must</u> be attached to your claim. Attach detail payroll reports, by employee, for all salaries/wages and benefits paid and detail invoice copies for all non-wage expenditures paid for the reporting period. All attachments must be legible. Dates and amounts for all supporting documents must match the transaction detail reported in the general ledger.

Click the 🍀**Add** button at the top of the screen.

Click the ⬚ Browse… button, then double click on the file you want to upload.

Provide a **Description*** of the form.

Click the 💾**Save** button at the top of the screen. Repeat to upload additional files.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

From the **Components** screen select **Expenditure Documentation - Other**.

Attach other explanatory information here.

Click the 🍀**Add** button at the top of the screen.

Click the ⬚ Browse… button, then double click on the file you want to upload.

Provide a **Description*** of the form.

Click the 💾**Save** button at the top of the screen. Repeat to upload additional files.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

From the **Components** screen select **Claim Certification and Signature**.

The **Claim Certification and Signature** page must be signed and dated by an authorized official.

Sign and date the form.

Click the 💾**Save** button at the top of the screen.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

Submit Your Claim Form

You will be redirected to the **Grant Components** page after marking each component as "complete." A check mark should appear under the **Complete?** column for all required components. Click on the respective claim **Component** to update, if necessary.

To preview your report click on the **Preview** button.

Click on the **Submit** button to submit your claim.

Due Date: Claims shall be submitted by February 21st for the period ending December 31st and by July 31st for the period ending June 30th.

Budget Amendment Request

Budget revisions may be necessary to meet the changing needs or circumstances of your project. If you anticipate that expenditures (by General Category) will exceed your current budget amount by more than 10% you <u>must</u> file a **Contract Amendment** request. All proposed budget revisions must be approved by the Department <u>prior</u> to implementing the change or making a commitment to expend funds. The date of receipt of an amendment request is the earliest possible funding date for encumbrances based on that amendment. Amendments may not be submitted after the grant's end date. Once approved, an amendment replaces that portion of the approved grant agreement and becomes the agreement between the school and the Department.

From the **Grant Tracking** screen select the **Title** of your application.

From the **Grant/Project Components** screen select: **Budget Amendment Request**
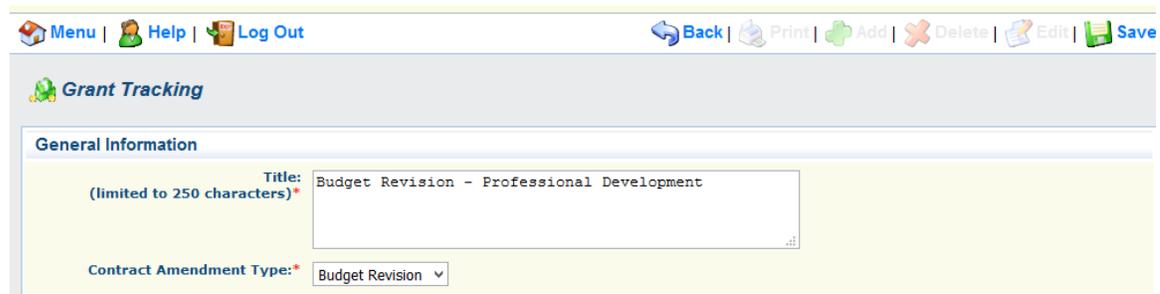
Click the **Add** button in the center-right of the screen.

General Information Screen:

Title: Provide a descriptive title for your request
Contract Amendment Type: Select Budget Revision (default).

Your screen should look like this:

Click the **Save** button at the top of the screen.

Click the **Return to Components** link.

From the **Components** screen select **Budget Amendment Request Form**.

Click the **Add** button at the top of the screen. Complete the form as follows.

Transfer **Budget Amounts** to:
- Select the category you want to transfer money <u>to</u> (add) in the first field.
- Enter the amount of money you want to transfer <u>to</u> (add) this category in the second field.

Transfer **Budget Amounts** from:
- Select the category you want to transfer money <u>from</u> (reduce) in the third field.
- Enter the amount of money you want to transfer <u>from</u> (reduce) this category in the fourth field.

Justification: Describe in detail the reason for the request. Include a detailed description of what you plan to purchase and explain how each purchase relates to your project goals.

Click the **Save** button at the top of the screen.

Your screen should look like this:

| Menu | Help | Log Out | | | Back | Print | Add | Delete | Edit | Save |

Contract Amendments

Contract Amendment: 01	
Grant:	**218436-2017-18 Test Elementary School Application for K-3 At-Risk Funds**
Status:	Editing
Program Area:	K3 Innovative At Risk
Grantee Organization:	Iowa Department of Education
Program Manager:	Deb Schroeder
Submitted Date:	

Budget Amendment Request   **Mark as Complete | Return to Components**

Project Budget Revision: All line item budget revisions that exceed 10% (by major category) must be **approved in advance** by the Iowa Department of Education (281 IAC 65).

You may also use this form to request a reduction in your award amount by completing the "transfer from" fields only.

Budget Category to transfer to:	$ Amount to transfer to this Category:	Budget Category to transfer from:	$ Amount to transfer from this Category:	Describe in detail the reason for requesting this budget transfer or reduction. If purchasing items not listed in your original budget, explain how such items relate to your project goals.
Staff Development & Training	$600.00	**Instructional Materials & Supplies**	$600.00	We have PBIS goals written into our initial project report. We would like to send two teachers to a newly offered 1-day PBIS conference in June: Staff per diem time - $350.00; related benefits - $60; travel expenses - mileage, hotel, and meals - $190.00

Last Edited By: Rhonda McFadden, 07/12/2017

To edit an entry, click on the **Budget Category** description (**indicated in blue**), re-enter the applicable data, then click the **Save** button.

Click the **Mark As Complete** link. You will be redirected back to the **Components** screen.

To preview your request, click on the **Preview** button.

Click on the **Submit** button to submit your request.

Appendix A: Budget and Accounting Guidelines

General Guidelines

The Programs for Early Elementary At-Risk Students grant is considered a categorical grant as defined by 281 IAC 98. Project budgets are subject to approval by the Department and based on availability of funding.

Grant funds are allocated based on the state fiscal year (July 1 through June 30). Annual allocations must be fully expended by June 30 of the respective fiscal year of the award. Funds not fully expended by June 30 of the grant year do not carry over to the next fiscal year.

Expenditures must integrate with and support the school's project and have a direct impact on student learning. All anticipated expenditures should be accounted for on the grant application budget page. Line item budget revisions that exceed 10% must be approved by the Department (281 IAC 65).

Moneys received for this grant are subject to the General Provisions (Division I) of 281 IAC 98, Financial Management of Categorical Funding, and shall only be used for to pay the direct costs of providing the school's project. Grant award moneys may not be used to pay for costs that are allocated costs or that are considered indirect costs or overhead.

Definitions

Administrative Costs

Administrative costs are those additional direct costs which the school may incur as a result of this project. In order for the cost of administration be considered an additional direct cost, "the costs must be necessary because of something that is unique to the project that is causing the need for the service, not otherwise needed or not otherwise provided to similar programs; the cost must be in addition to costs which are normally otherwise incurred; and the costs must be measurable directly without allocating" (281 IAC 98.2(5)).

Capital Outlay (Equipment)

Capital Outlay means the purchase of transportable, non-consumable items that meet the Iowa Uniform Financial Accounting definition of "Equipment" and that cost $500 or more per unit.

Equipment purchased with grant funds must integrate with and support the project, have a direct impact on student learning, and be used for the children and staff served at this grant school.

Fiscal Year

Grant funds are awarded based on the state fiscal year (July 1 through June 30). Annual grant awards must be fully expended by June 30 of the respective fiscal year of the award. Funds not fully expended by June 30 of the grant year will revert; funds from the current year award do not carry over to the next fiscal year.

The state fiscal year for this grant is July 1 through June 30.

Instructional Materials and Supplies

Instructional materials and supplies are items used by students in the instructional process and may include such items as: consumable supplies, software, textbooks, workbooks, library books and periodicals, or other similar instructional materials.

Parent Involvement Activities

List all costs related to activities designed to increase parent engagement (training, communications, school volunteers, home instruction, and parent nights) in this category.

Grant funds may be used to provide food or non-alcoholic beverages for students, staff, or parents, provided there is no local policy prohibiting these costs. Food and beverage costs must be for critical activities or functions related to the actions and goals of the project.

Salaries, Wages, and Benefits

List the salaries and wages for all personnel providing direct services for the grant project. For each position, provide the FTE of the position, the BOEE licensing status of the position (if applicable), and the anticipated percent of time the individual(s) will be assigned directly to the project. Costs must be prorated for employees who are assigned to the grant project on a part-time basis.

List the proportionate share of employee benefits for all personnel providing direct services to the grant project. Employee benefits include: employer share of FICA, retirement, health, dental, vision, life, and long-term disability insurances.

Staff Development and Training

Staff development training must be specifically identified. Staff training or development costs shall be used to support the research and staff development related to this grant. Include the cost of substitute personnel, travel, and any materials, books, or periodicals related to the training in this section.

Student Activities

List all costs related to student non-classroom activities here. Grant funds may be used to provide food or non-alcoholic beverages for students, staff, or parents, provided there is no local policy prohibiting these costs. Food and beverage costs must be for critical activities or functions related to the actions and goals of the project.

Supplement Not Supplant

"Supplement, not supplant" means that the categorical funding shall be in addition to general purpose revenues; that categorical funding shall not be used to provide services required by federal or state law, administrative rule, or local policy; and that general purpose revenues shall not be diverted for other purposes because of the availability of categorical funding. Supplanting is presumed to have occurred if the school district or area education agency uses categorical funding to provide services that it was required to make available under other categorical funding or law, or uses categorical funding to provide services that it provided in prior years from general purpose revenues, or uses categorical funding to provide services to a particular group of children or programs for which it uses general purpose revenues to provide the same or similar services to other groups of children or programs. These presumptions are rebuttable if the school district or area education agency can demonstrate that it would not have provided the services in question with general purpose revenues if the categorical funding had not been available" (281 IAC 98.1).

Uniform Financial Accounting

Grant expenditures shall be classified in accordance with Iowa Uniform Financial Accounting. The Source and Project code for this Award is "3234."

Unallowed Costs

Grant funds may not be used for facility construction, remodeling, or renovation; upgrades to or maintenance of buildings; incidental or non-instructional supplies or materials; computer hardware or software for staff; technology infrastructure; technology set-up fees; gifts or monetary awards of any kind; stipends to students or parents/guardians for attendance at grant related activities; the cost of office furniture; salaries and employee benefits for any staff that do not directly support grant activities as described in the school's approved plan; professional dues, memberships, or contributions; legal or audit expenses; instructional or other services the district is otherwise required to provide; indirect costs; or any other costs not directly related to project activities, functions, or anticipated outcomes.