Mini-Handbook

Fiscal Monitoring

LEA/External Users

Arizona Department of Education
Grants Management Division

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User Roles

There is one role required to complete and submit **Fiscal Monitoring**:

- **LEA Fiscal Monitoring Update**: allows a user to initiate, edit, and submit Fiscal Monitoring.

There is an additional role that also has the ability to complete and submit Fiscal Monitoring:

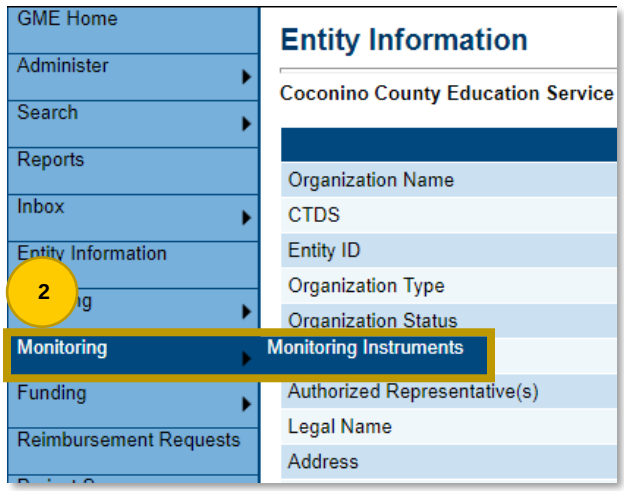
- **LEA Entity Authorized Signer**: allows a user to initiate, edit, and submit Fiscal Monitoring in addition to another highly important ability tied into this role (approval of General Statement of Assurance). This role must be given only to the authorized signer of your organization.

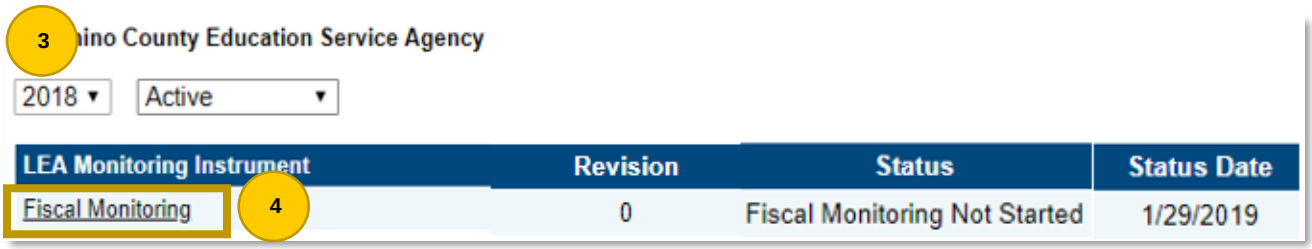
Note: To be assigned any of these roles, please reach out to your **LEA User Access Administrator**.

Basic Navigation

Accessing the Fiscal Monitoring

1. Log into GME and select your Organization's Name.
2. Once the Entity Information page populates, in the Main Menu, hover over Monitoring and select Monitoring Instruments.
3. Select the Fiscal Year you want to complete.
4. Select the Fiscal Monitoring.





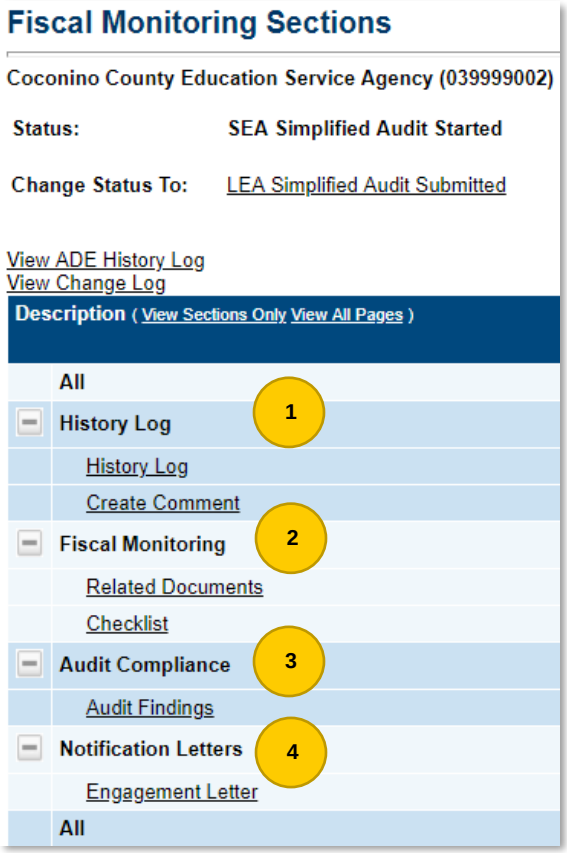
Initiating the Fiscal Monitoring

To initiate the Fiscal Monitoring, the **SEA Fiscal Monitoring Approver** role (ADE role only – Grants Management's Fiscal Monitoring employee) selects **Change Status To:** Initiate Engagement Letter and then SEA Simplified Audit Started. No LEA action in GME is required until Fiscal Monitoring is in SEA Simplified Audit Started Status.

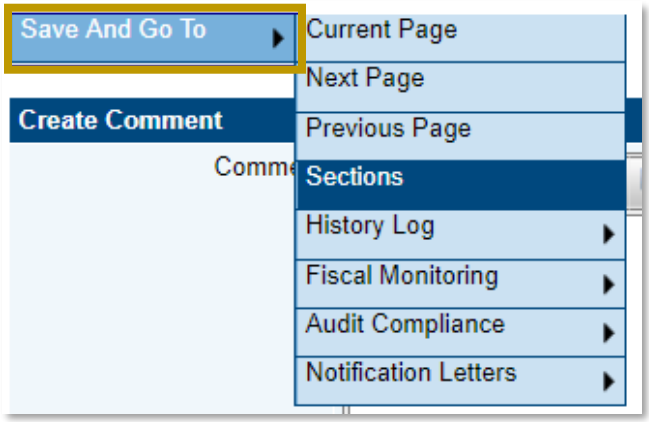
Fiscal Monitoring Sections

There are 4 main sections of the Fiscal Monitoring:

1. History Log
2. Fiscal Monitoring
3. Audit Compliance
4. Notification Letters

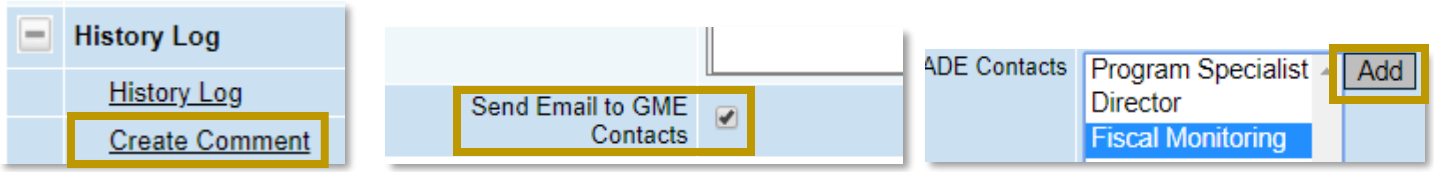


Note: When completing any **Sections** page, always save your work periodically to ensure your data is saved. To save any information (except documents), select **Save and Go To** quick return menu located on the top of the page (then you can select Sections from the submenu).



History Log

This tool will be used to communicate between LEAs and Grants Management (ADE). To ensure the communication is being sent out to the appropriate users, when entering a comment on the Create Comment page, always check off the **Send Email to GME Contacts** check box, select the appropriate user roles (or type in **Additional Users**) and select **Add**.



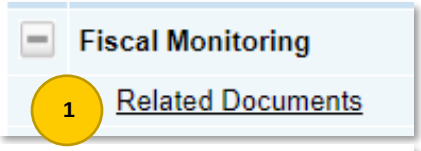
- If the Fiscal Monitoring is returned for any edits or any additional information needs to be communicated to your organization from ADE, always review History Log for the details.
- For a comprehensive Quick Reference Guide on how to use the History Log, click here or navigate to Grants Management Resource Library > GME User Reference Guides > History Log and Creating Comments.

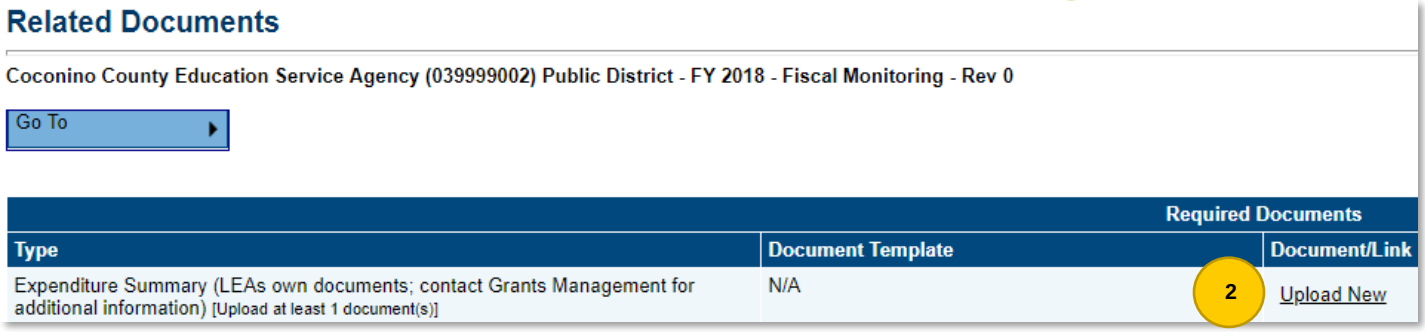
Last Revised: February 7, 2019

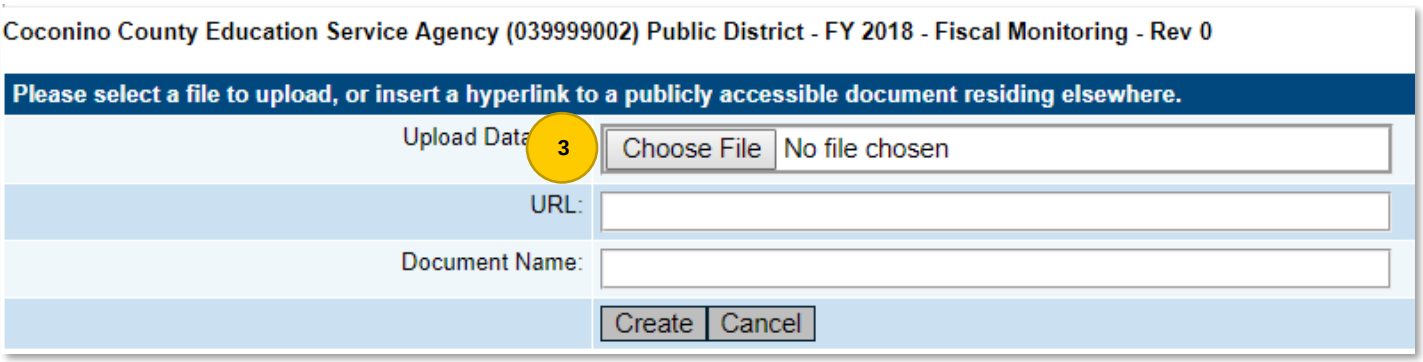
Fiscal Monitoring

There is only one page under Fiscal Monitoring that initially requires your action and it is Related Documents.

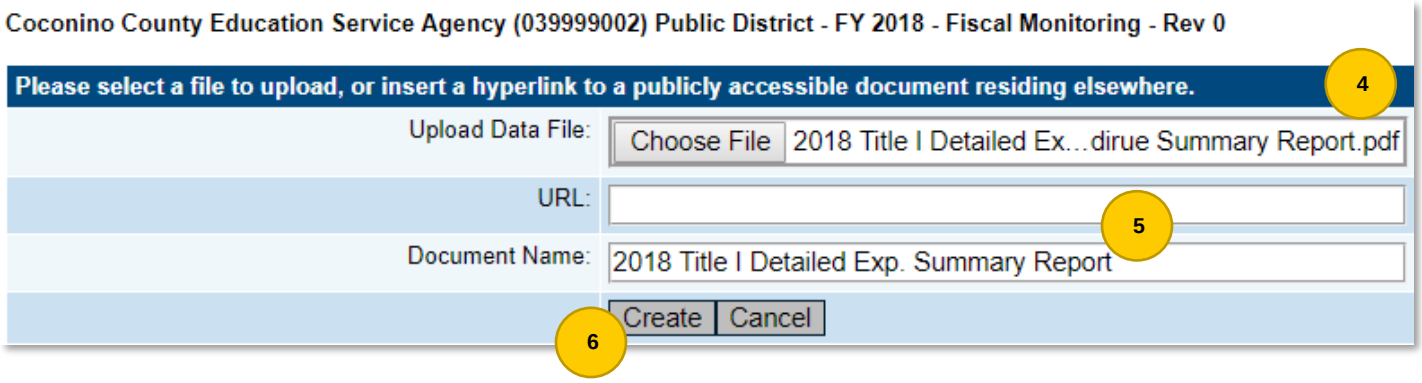
1. Select Related Documents.
2. Select Upload New.
3. Select Choose File.







4. Choose the appropriate document to be uploaded.
5. Type in the Document Name (fiscal year, name of the grant, type of the documentation).
6. Select Create to upload the chosen document.

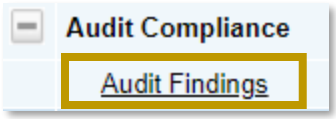


7. The newly uploaded document will appear under Document/Link column right under the Upload New link.

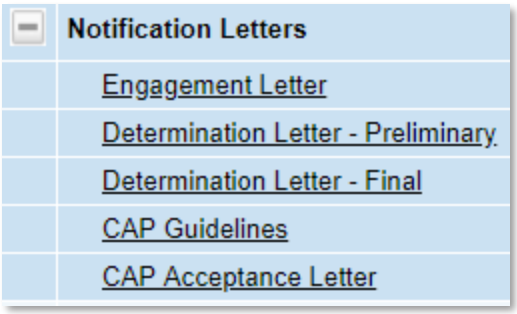
Last Revised: February 7, 2019

Audit Compliance

This section contains only one page – Audit Findings. Action on this page is required from the LEA only when **LEA CAP Response** is needed to be completed or edited (see below individual status options for the details on when and how to use this page).



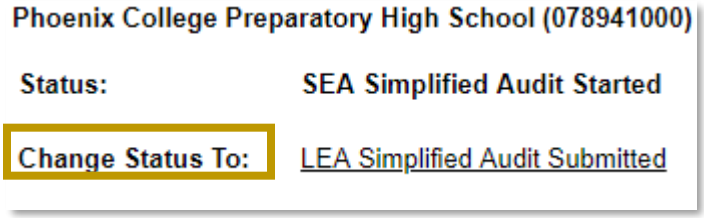
Notification Letters



All notification letters will be emailed to users with **LEA Fiscal Monitoring Update** and **LEA Entity Authorized Signer roles**. They will be also housed under **Notification Letters** section as they are sent out (dependent on the status changes).

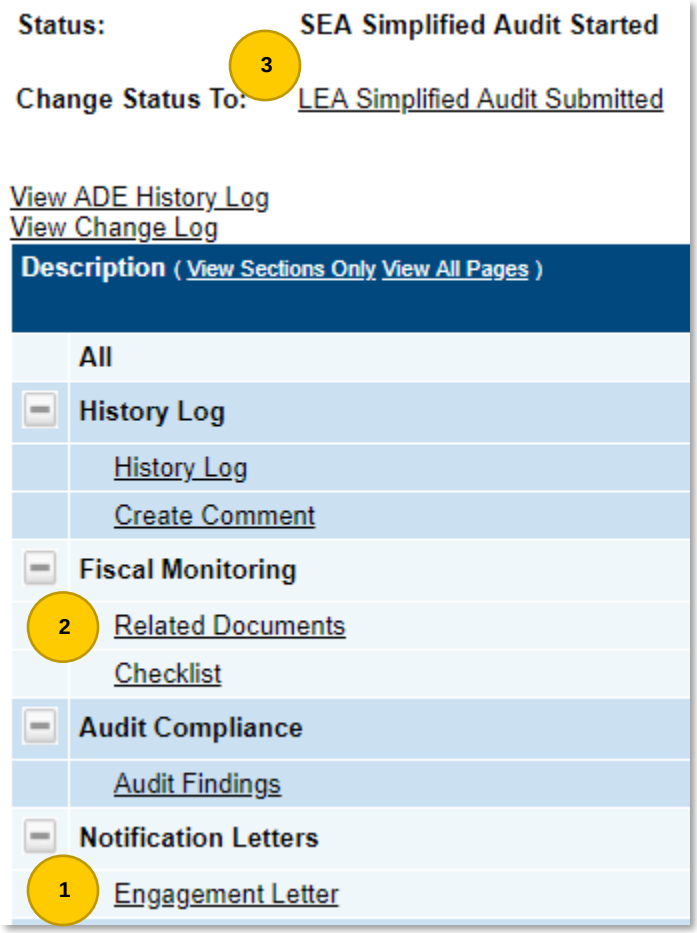
Submittal

Submittal of any information related to Fiscal Monitoring is done through **status changes** in GME.



To assist in navigating the process, below are the status change possibilities with notes on what actions should be considered before changing the status. SEA status change options are for your information only – this action is performed by Fiscal Monitoring personnel at Grants Management.

SEA Simplified Audit Started



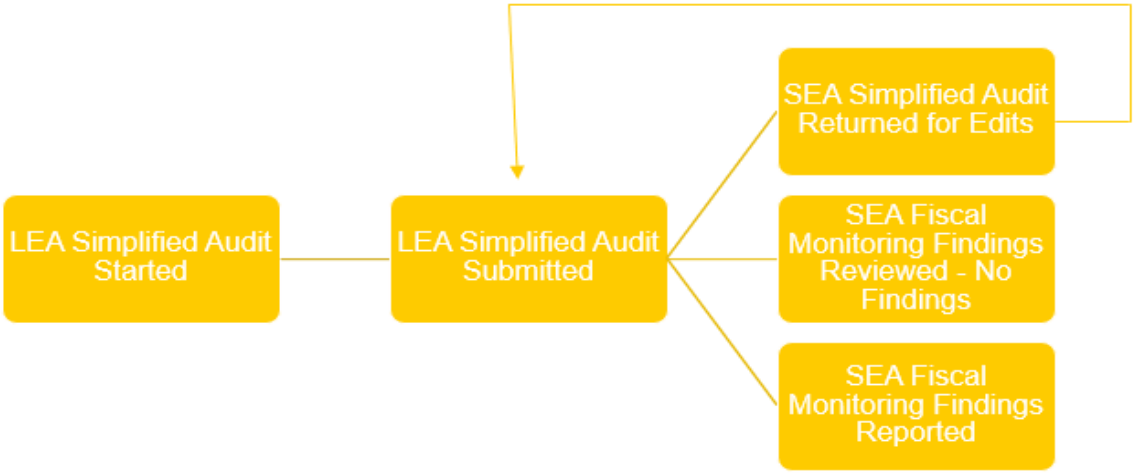
1. Review the information in Engagement Letter sent via email. This letter is also available in **Notification Letters** section of Fiscal Monitoring Sections.
2. Upload the requested Detailed Expenditure Summary Report in Related Documents.
3. Submit to ADE via selecting the **Change Status To:** LEA Simplified Audit Submitted.

*Optional step: If you wish to enter any additional comments, provide those in **History Log** section.

LEA Simplified Audit Submitted

Fiscal Monitoring personnel in Grants Management unit will review your submitted documentation and determine if further information is needed. This will result in one of these two status change options:

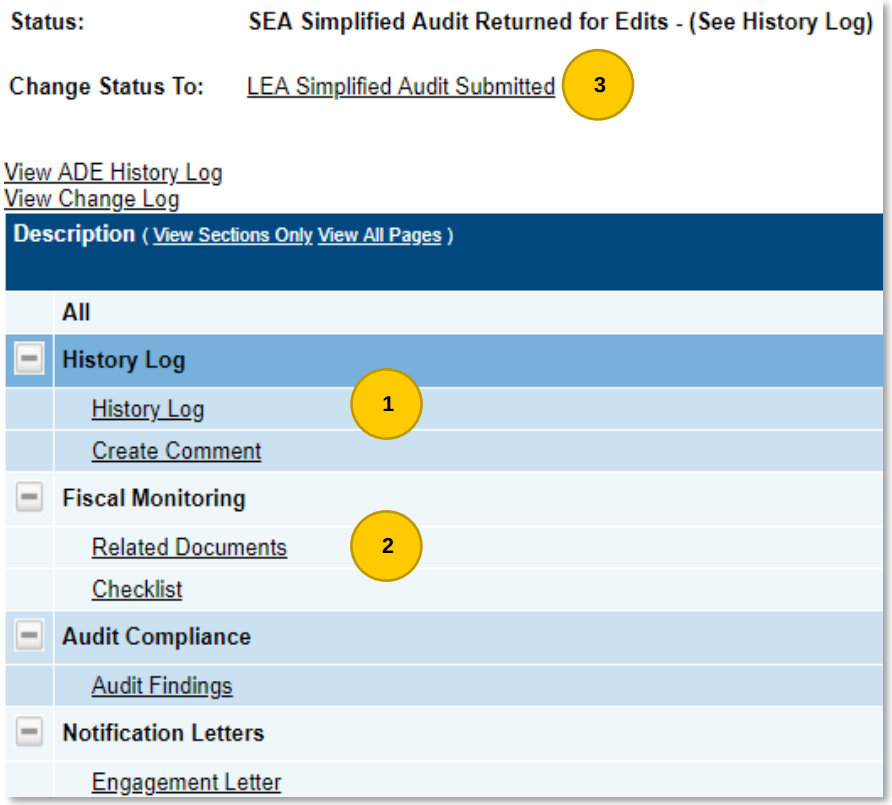
a) SEA Simplified Audit Returned for Edits
b) SEA Fiscal Monitoring Reviewed – No Findings
c) SEA Fiscal Monitoring Findings Reported



SEA Simplified Audit Returned for Edits

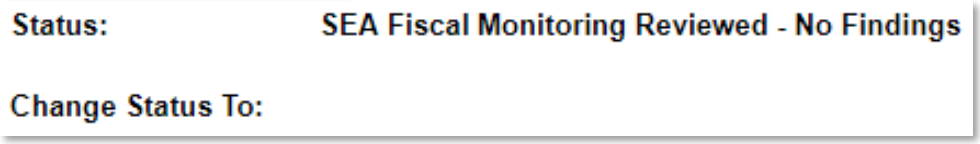
1. Review the information in History Log.
2. Upload the requested additional or corrected documentation in Related Documents.
3. Submit to ADE via selecting the **Change Status To:** LEA Simplified Audit Submitted.

*Optional step: If you wish to enter any additional comments, provide those in **History Log** section.



SEA Fiscal Monitoring Findings Reviewed – No Findings

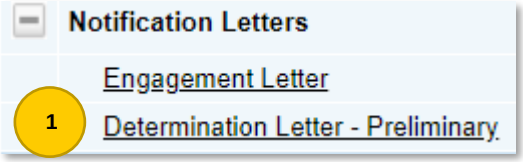
1. Review the information in Fiscal Determination sent via email. This letter is also available in **Notification Letters** section of Fiscal Monitoring Sections.

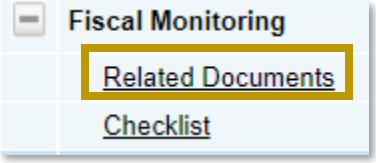


No further action is required as your Fiscal Monitoring is completed, and no findings were identified.

SEA Fiscal Monitoring Findings Reported

1. Review the information in Determination Letter – Preliminary sent via email. This letter is also available in **Notification Letters** section of Fiscal Monitoring Sections.



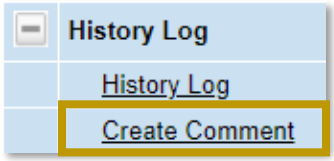


*Optional step: If you wish to upload any additional documentation, upload it in Related Documents **PRIOR** to the status change.

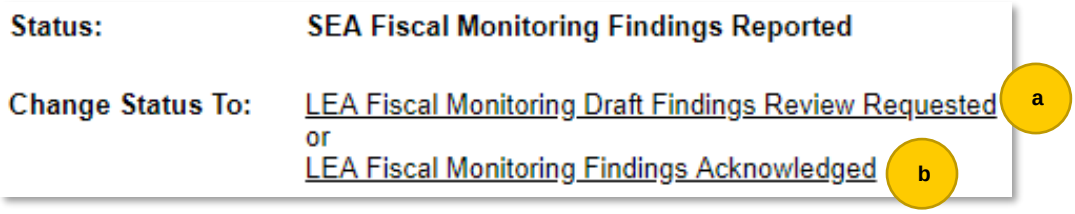
2. You have two status change options:

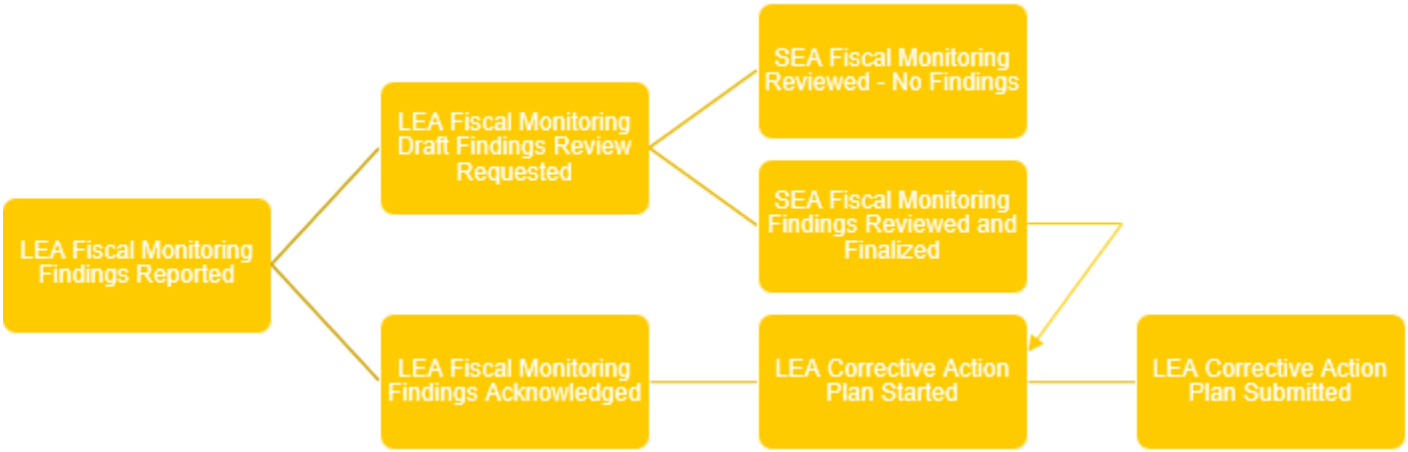
a) If you do not agree with the identified findings or you need to provide additional documentation, **Change Status To:** LEA Fiscal Monitoring Draft Findings Review Requested.

*Optional step: If you wish to enter any additional comments, provide those in **History Log** section.



b) If you agree with the identified findings, **Change Status To:** LEA Fiscal Monitoring Findings Acknowledged.





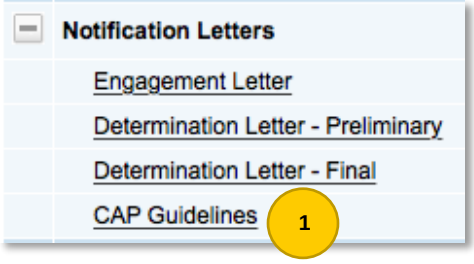
LEA Fiscal Monitoring Draft Findings Review Requested

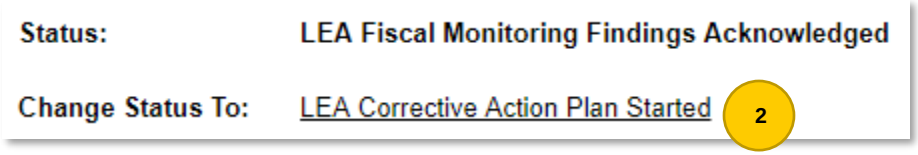
If you request a review of the findings, the Grants Management's Fiscal Monitoring personnel will conduct an administrative review and make a final determination. This will result in one of these two status change options:

a) SEA Fiscal Monitoring Findings Reviewed and Finalized
b) SEA Fiscal Monitoring Reviewed – No Findings

LEA Fiscal Monitoring Findings Acknowledged

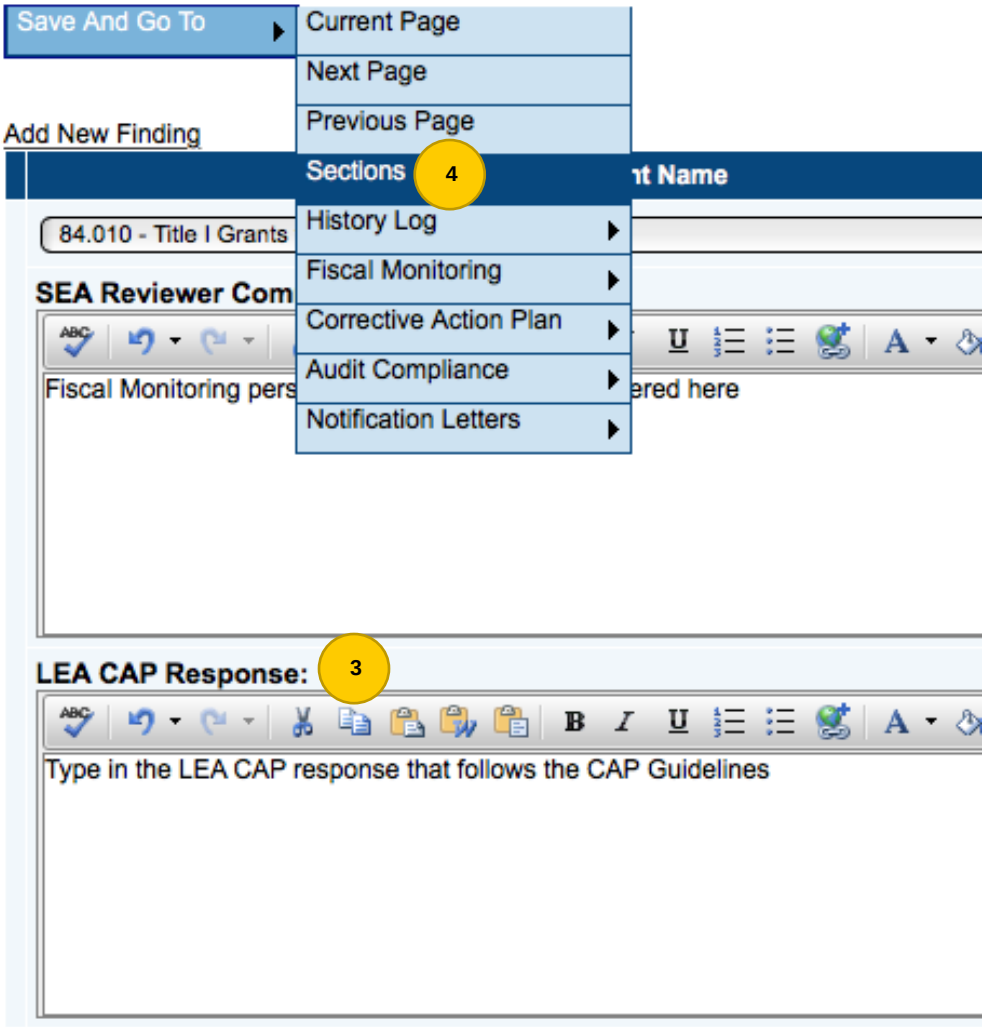
1. Once you acknowledge the findings, you will receive an email with CAP Guidelines that needs to be reviewed. These guidelines are also available in **Notification Letters** section of Fiscal Monitoring Sections.



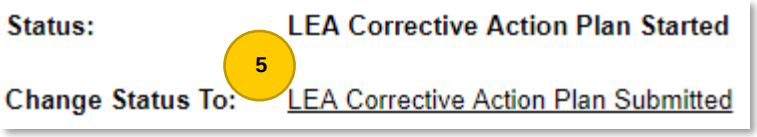


2. Select **Change Status To:** LEA Corrective Action Plan Started.

3. Enter the Corrective Action Plan (CAP) in Audit Findings in LEA CAP Response field.

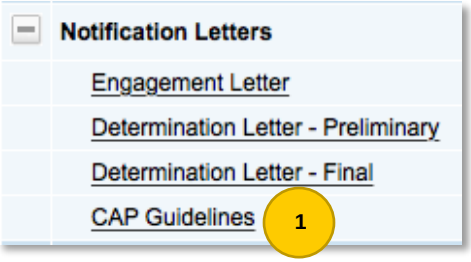


4. After entering the CAP according to the CAP guidelines provided, navigate to **Sections** through your **Save and Go To** quick-return menu.
5. Submit to ADE via selecting **Change Status To:** LEA Corrective Action Plan Submitted.



SEA Fiscal Monitoring Findings Reviewed and Finalized

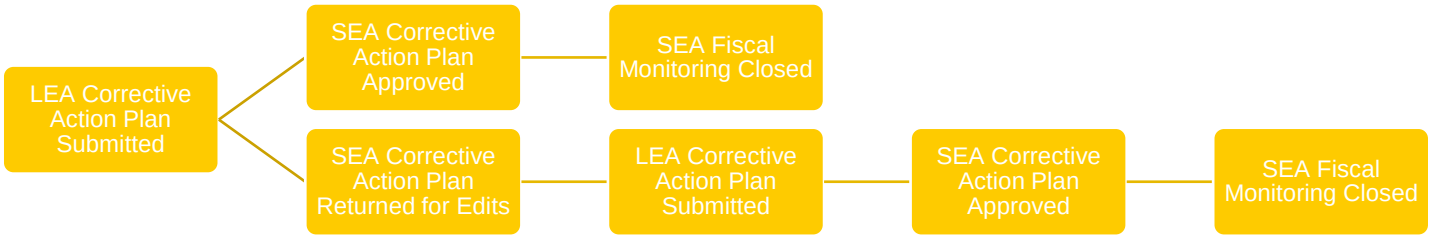
1. Once Fiscal Monitoring personnel finalizes your findings, you will receive an email with CAP Guidelines that need to be reviewed. These guidelines are also available in **Notification Letters** section of Fiscal Monitoring Sections.
2. – 5. Follow the steps 2. – 5. of LEA Fiscal Monitoring Findings Acknowledged status option described on the previous page.



LEA Corrective Action Plan Submitted

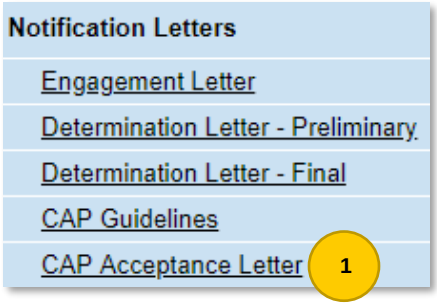
Grants Management's Fiscal Monitoring personnel will review your submitted Corrective Action Plan (CAP) and determine the appropriate action. This will result in one of these two status change options:

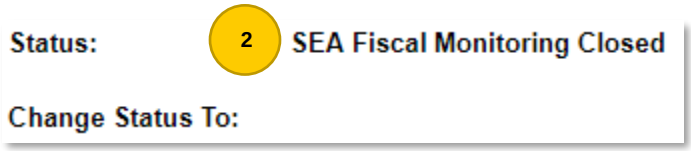
a) SEA Corrective Action Plan Approved
b) SEA Corrective Action Plan Returned for Edits



SEA Corrective Action Plan Approved

1. Review the information in CAP Acceptance Letter sent via email. This letter is also available in **Notification Letters** section of Fiscal Monitoring Sections.

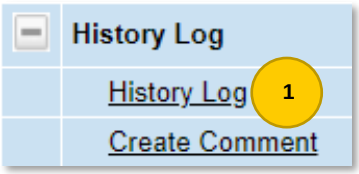


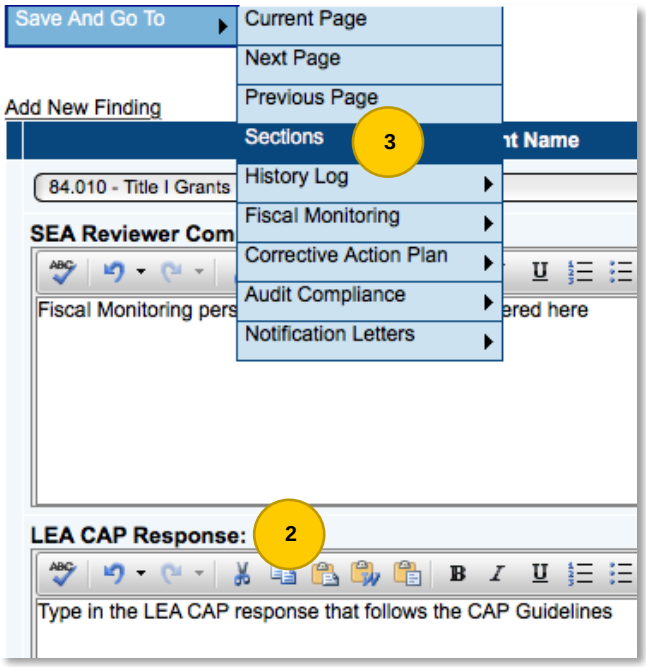


2. Your Monitoring will be moved to SEA Fiscal Monitoring Closed status.

SEA Corrective Action Plan Returned for Edits

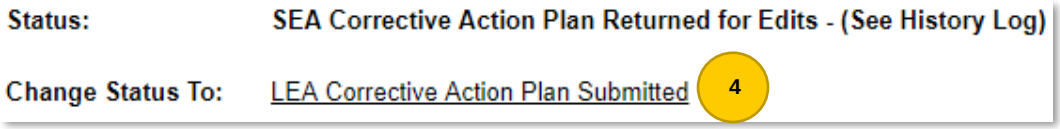
1. Review the information in History Log.





2. Update your Corrective Action Plan (CAP) in Audit Findings in LEA CAP Response field appropriately.
3. After entering the CAP according to the History Log notes provided, navigate to **Sections** through your **Save and Go To** quick-return menu.

4. Submit to ADE via selecting **Change Status To:** LEA Corrective Action Plan Submitted.



5. Review the information under LEA Corrective Action Plan Submitted status described on the previous page for the next status change options (done by Grants Management's Fiscal Monitoring personnel).