



# Consortium Fiscal Administration Declaration

**INSTRUCTIONS:** The form below has been partially completed based on information provided from your Consortium Annual Plan and prior year's Consortium Fiscal Administration Declaration. Please carefully review and update each section. You may save your progress by clicking the **Save** button at the bottom of the page. When you have completed all sections, click **Submit** and follow the prompts to finalize your 2017-18 Consortium Fiscal Administration Declaration.

Click on the **Consortium Information** header to begin.

## Consortium Information

### 21 Salinas Valley

#### Address

411 Central Avenue

Street Address

Street Address 2

Salinas CA 93901

City

State

Zip

#### Website

www.svaec.org

#### Primary Contact

Kristen Arps

First

Last

#### Certifying Official / Coordinator

David Techaira


First

Last

#### Logo

If your consortium has a logo, please upload it here.

Files must be in .png format.


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#### Primary Contact Email

karps@hartnell.edu

#### Certifying Official / Coordinator Email

dtechair@hartnell.edu

## Consortium Membership

### Member Representation

List Consortium Member agencies planning to participate in the 2017-18 program year. For each Member listed, please provide the name and contact information for the Member Representative authorized to approve allocations on behalf of each Member agency. Signatures from each of these individuals will be required in order to complete your 2017-18 CFAD.

Member Agency	Member Representative	Email	Phone	Approved
Gonzales Unified School District	Candice McFarland	cmcfarland@gonzales.k12.ca.us	(831) 675-0100	10/28/2015
Soledad Unified School District	Jeff Lopez	jlopez@soledad.k12.ca.us	(831) 678-3987	09/09/2015
North Monterey County Unified School District	Emily Tsai Brownfield	emily_tsaibrownfield@nmcusd.org	(831) 633-3343	09/27/2015
Salinas Union High School District	Carvette McCalib	carvette.mccalib@salinasuhd.org	(831) 796-6905	03/11/2016
South Monterey County Joint Union High School District	Steve James	sjames@smcjuhsd.org	(831) 385-4661	10/21/2015
Monterey County Office of Education	Chandalee Wood	cwood@monterey.k12.ca.us	(831) 755-6458	05/06/2016
Hartnell Community College District	Kathy Mendelsohn	kmendelsohn@hartnell.edu	(831) 755-6827	12/09/2015

### Organizational Chart

Attach your current Consortium organizational chart. Show member reporting and fiscal agency relationships, key partners, as well as other stakeholder groups as applicable.

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## Fiscal Management —

### Funding Channel

AB104 legislation states that each Consortia may decide to designate a fiscal administrator to receive and distribute AEBG funds. If a member agency is chosen to be the fund administrator, the member shall commit to developing a process to apportion funds to each member of the consortium pursuant to the consortium's adult education plan within 45 days of receiving funds appropriated for the program. This process shall not require a consortium member to be funded on a reimbursement basis.

**Please select the option that best describes how funding should be disseminated to your Consortium from the state.**

- The consortium has designated a fiscal agent
- The consortium has chosen direct funding

### Fiscal Agent

Hartnell Community College District

## Rationale

*Provide details regarding the rationale for your fiscal structure decision. How did you arrive at the decision? What were the overwhelming benefits to using this structure?*

### May 2016 entry:

At its open and public Steering Meetings in fall 2015, the SVAEC held discussions and made decisions regarding fiscal management of the Consortium, which led to the decision to have Hartnell College serve as fiscal agent using a reimbursement/sub-agreement fund distribution process. At its April 2016 Steering Meeting, the SVAEC decided to continue to have a fiscal agent but to switch to a pass-through fund distribution process. These decisions have been based on a desire for efficiency, transparency, accountability, continuity, a spirit of collaboration, and sufficient Member support (especially for smaller districts).

### May 2017 entry:

At the September 2016 Steering Meeting, the Consortium revisited the matter of which fund distribution process to use. The top fiscal personnel from the Fiscal Agent, Hartnell College, attended the meeting and discussed the pros and cons of both the Reimbursement model and the Pass-through model. After extensive discussion, the Members voted to null the former April decision to move to Pass-through in 16-17, and to instead continue using the Reimbursement process. This decision was based on a desire for ongoing oversight and accountability, as well as flexibility to reallocate funds, if necessary.

At the March 2017 Steering Meeting, the Consortium again revisited the matter of which fund distribution process to use in 17-18. The discussion indicated a desire to switch to the Pass-through process, in order to give Members more autonomy and to help them spend funds more efficiently and quickly. The feeling was that the Members have established trust with each other and with the Fiscal Agent, and are also now more familiar with the AEBG requirements and parameters. This decision was an action item on the April 2017 Steering Meeting agenda, and there was a unanimous vote to switch to a Pass-through process beginning July 1, 2017. This will apply to all budgets, including any 15-16 or 16-17 carryover, as well as new 17-18 funds.

The Consortium will continue to require quarterly expenditure and progress reports for ongoing oversight, transparency, and accountability, with special attention paid to the mid-year and year-end reports/reviews of Member spending. Because the payments will be made monthly, there will still be adequate flexibility for reallocating funds, if necessary.

For the past year, the Consortium has discussed the process for potential reallocation of funds; the discussion will continue as we refine our Consortium's definitions and measurements of success, our evaluation processes for Member and Consortium performance, the conditions under which funds may be reallocated, and the process for such.

Note: At the May Steering Meeting, the Consortium will vote on whether or not to disburse in lump sums any remaining 15-16 carryover funds to Members (funds already allocated to them), for immediate spending.

## Fiscal Management Approach

*Whether using a fiscal agent or direct funding model, describe how you are fiscally managing your block grant. How are you rolling up grant expenditures to report to the State?*

### May 2016 entry:

In 15-16, SVAEC Members have been asked to submit quarterly invoices, expenditure reports, budget revisions, and progress reports to the Consortium Director and fiscal agent business office. The templates for these invoices and reports were designed by the Director and fiscal agent. The expenditure and progress reports have been rolled up by the Consortium Director and certified and submitted to the State every 6 months (so far only the Period 1 report). In the Hartnell College fiscal administration system (Colleague), the Member allocations were lumped into major object code 5000 - Contract Services, but tracked separately in Excel spreadsheets in order to track and record Consortium-wide and Member funds in more detail.

In March, the templates for the Quarter 3 invoices and reports due in April to the Director and fiscal agent were altered because the State is now requiring expenditures to be reported by major object code/expenditure type, in addition by member and program area. So from now on all reporting from members to the Consortium and from the Consortium to the State will show expenditures by member, program area, and expenditure type.

In 16-17, despite the change to a pass-through process for distributing funds to Members, the Consortium Director and Fiscal Agent will still require monthly expenditure and progress reports in order to provide current snapshots of Consortium progress to Members and the public.

May 2017 entry:

In 16-17, Members have continued to receive their funds on a reimbursement basis (see above for explanation). They are able to invoice the Fiscal Agent as often as monthly, and are required to submit invoices quarterly. Members are also required to submit quarterly expenditure reports to the Consortium Director, using separate templates for 15-16 carryover and 16-17 funds, which require Members to report quarterly spending by expenditure type, program area, and objective (in order to align with the State’s reporting requirements).

Beginning July 1, 2017, the funds will be distributed by the Fiscal Agent to the Members using a Pass-through process. Members will automatically receive their funds on a monthly basis in 12 equal installments. No invoices will be submitted for reimbursement, except for use of Shared Consortium Funds (e.g. for hosting Consortium meetings, collaborative professional development, participation in Consortium workgroups/PLCs, etc.).

The Pass-through process will be applied to both new 17-18 funds as well as any prior-year carryover funds.

An addendum will be made to the current Agreements between the Fiscal Agent and Consortium Members to reflect the change to the Pass-through process. As stated in the Agreement, a Member’s allocation payments may be delayed if reporting and spending requirements are not met.

## Member Allocations

### Member Allocations

*In the table below, provide approved funding allocations to each Consortium Member by program year. Total allocations must equal the total AEBG funds allocated to the Consortium for each fiscal year.*

	2015-16	2016-17	2017-18
Total AEBG Funds	\$3,437,850	\$3,490,139	\$3,490,139
Total Allocated to Members	\$3,437,850	\$3,490,139	\$3,490,139
<b>Total Remaining</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

Member Agency	2015-16 Allocation	2016-17 Allocation	2017-18 Allocation
Gonzales Unified School District	\$255,628	\$255,628	\$255,628
Soledad Unified School District	\$342,618	\$342,618	\$342,618
North Monterey County Unified School District	\$454,242	\$454,242	\$454,242
Salinas Union High School District	\$1,716,285	\$1,716,285	\$1,716,285
South Monterey County Joint Union High School District	\$78,500	\$78,500	\$78,500
Monterey County Office of Education	\$28,000	\$28,000	\$28,000
Hartnell Community College District	\$562,577	\$614,866	\$614,866
<b>Total</b>	<b>\$3,437,850</b>	<b>\$3,490,139</b>	<b>\$3,490,139</b>

## Allocation Changes

Please describe any significant changes in allocations to members made for the 2015-16 and / or 2016-17 program years.

No entry in May 2016.

May 2017 entry:

In order to meet the May 2, 2017 deadline for submission of the Member allocation schedule, the Consortium Steering Meeting agreed to approve it as-is (no changes from prior year) for now. However, they agreed that they wanted to complete their planning process for 17-18 before determining what amount of funds each Member should receive for 17-18. This process was started formally in April and will conclude at the June 21, 2017 Steering Meeting, at which Members will review and vote on each Member's 17-18 Annual Plan and allocation. If there are changes to the allocation schedule unanimously agreed upon at that meeting, the State will be immediately informed.

The Consortium feels strongly that each year the allocation schedule should be revisited and determined by examining the following factors for each Member: prior-year spending, prior-year performance (including number of students served), prior-year and upcoming year goals and outcomes, upcoming year maintenance of effort/baseline funding needs, upcoming year funding needs for additional growth/improvement, leveraging of other funds, and collaboration. The annual planning and evaluation process cannot be completed by May 2, when the preliminary allocation schedule is due.

Note: In the AEBG Web Portal version of the allocation schedule, the allocation listed for Hartnell College is comprised of two separate allocations/budgets: \$223,250 for Hartnell College as a Consortium Member, and \$225,419 for the Shared Consortium Funds used for Consortium-wide, non-Member-specific expenditures and activities (e.g. Consortium personnel salaries and benefits, Consortium marketing/advertising, Consortium professional development, etc.). (There is no way in the AEBG online system to report a budget for Shared Funds.)

## Consensus and Approval

Describe how you arrived at consensus and approval of the allocations provided in the table above.

May 2016 entry:

It was discussed at an open and public Steering Meeting on April 13, 2016 and approved unanimously by SVAEC Member Designees at said meeting.

May 2017 entry:

It was discussed at the March 2017 Steering Meeting and approved at the April 2017 Steering Meeting. All Steering Meetings are open and public. All decisions are made by a voting process by board-approved Member designees, with 1 vote per Member District.

The decision to maintain the Fiscal Agent model but to change to a Pass-through fund distribution process was unanimous (7 of 7 Member votes). The decision to approve the current preliminary allocation schedule with potential revisions at a later date, was approved with 6 of 7 in favor and 1 abstention. All present agreed that a date needed to be set by which the Consortium would revisit the Member allocation schedule; that date is June 21, 2017.

At the same meeting, the group was asked if any other governance or fiscal changes should be made, e.g. Consortium structure, decision-making processes, etc. - no comments were made or issues raised or changes requested.

## Certification and Submission

Consortia must obtain signatures from each participating Member Agency certifying their acknowledgement and approval of the annual Member Allocations provided herein. The AEBG Web Portal provides two options for submitting these signatures:

1. Digital signatures may be submitted directly by clicking on the signature blocks below, and signing using a stylus or mouse; or
2. Consortia may alternately provide a scanned printout of their approved CFAD, replete with Member Signatures, via the upload link on the Certification Page.

**Please select from the following options:**

- Print and Sign
- Digital Signature

Please note: your 2017-18 CFAD may not be processed until all signatures from Member Agencies have been provided.

### Signature Block

Gonzales Unified School District

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*Candice McFarland*

Soledad Unified School District

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*Jeff Lopez*

North Monterey County Unified School District

Salinas Union High School District



Emily Tsai Brownfield

South Monterey County Joint Union High School District



Carvette McCalib

Monterey County Office of Education



Steve James

Hartnell Community College District



Chandalee Wood



Kathy Mendelsohn

[svaeccfadmay2017signatures.pdf](#)

Click to indicate you are ready to Submit your 2017-18 CFAD

Applicant	Status	Date
Kristen Arps	Approved	04/26/2017 10:41am

Signature