

CAEP Carryover Compliance Overview

Open Office Hours



September 22, 2026

Agenda

- Introductions
- Carryover Compliance Overview
- Written Expenditure Report
- Technical Assistance and Resources
- Questions





Presenters

Mayra Diaz

California Community Colleges Chancellor's Office

Mandilee Gonzales

CAEP Technical Assistance Provider

Lisa Mednick Takami, Ed.D.

CAEP Technical Assistance Provider



Carryover Compliance Overview

- ☐ Informed by Ed Code Sections 84901 & 84914
- ☐ Tracking began FY 23-24 (July 1, 2023)
- ☐ Closing the third year of tracking FY25-26
- ☐ Has two parts that impact **members** and **consortia** differently



Consortium Carryover Compliance

*AB 1491 requires a **consortium** with **carryover** from **one or more** prior fiscal years exceeding 20% to....*

- Submit a written expenditure plan, to the Chancellor and the Superintendent by **November 15** (or the next business day if it falls on a weekend).
- Chancellor and Superintendent will:
 - “Prescribe and assign technical assistance to that consortium to ensure that adequate adult education services are provided to the region in proportion to the region's available funding.”

Member Carryover Compliance

- **Members vote** on whether (or not) to set a carryover % threshold within their consortium.

This is updated in NOVA and documented during the CFAD process.

- **Member** funding for *one year* may be impacted after *two consecutive years* are assessed.

Carryover Threshold

Input a percentage of carryover that your consortium agrees will be considered an excessive amount.

Should a member, or members, exceed this carryover percentage upon certification of their Q4 report, they will be flagged as non-compliant with the carryover legislation (EC 84914). One year of non-compliance does not carry a penalty. However, should the same member, or members, have two consecutive years of non-compliance the consortium may agree, by majority vote, to reallocate an amount that does not exceed the carryover to other members.

A consortium does have the ability to opt-out. To do so, simply toggle the carryover threshold button to the off position.

Carryover Threshold *

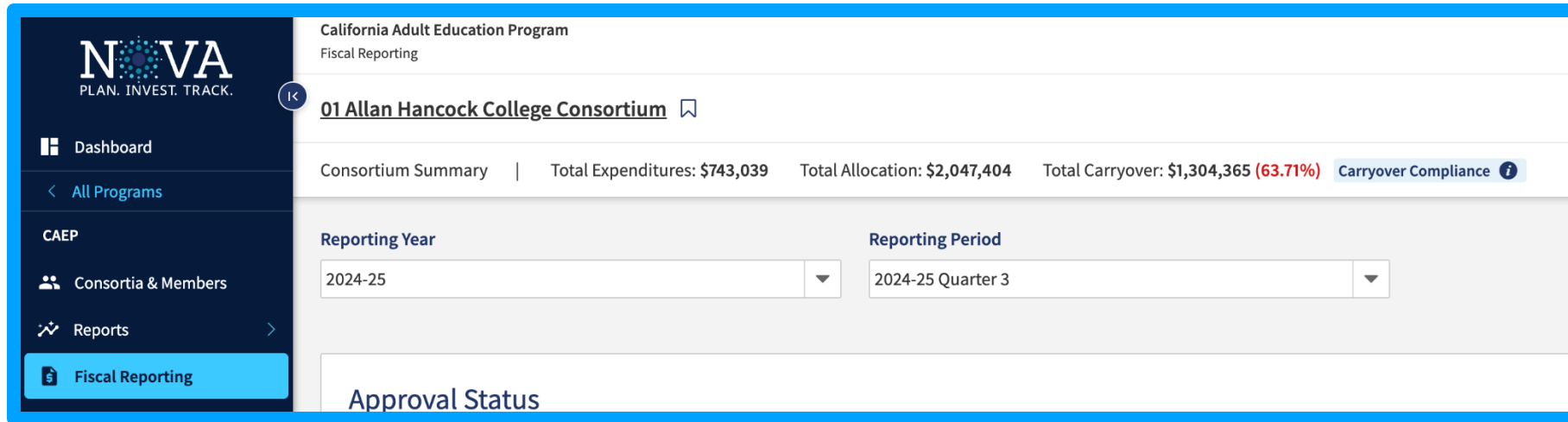
20%

Corrective Action Fiscal Reporting Quarterly Thresholds

If member carryover is over the threshold set below, a corrective action narrative will be required to complete.

	Q1	Q2	Q3	Q4
% of Carryover Threshold	80%	60%	40%	20%

Consortia Carryover Compliance



NVA
PLAN. INVEST. TRACK.

California Adult Education Program
Fiscal Reporting

01 Allan Hancock College Consortium

Consortium Summary | Total Expenditures: \$743,039 | Total Allocation: \$2,047,404 | Total Carryover: \$1,304,365 (63.71%) | Carryover Compliance

Reporting Year: 2024-25 | Reporting Period: 2024-25 Quarter 3

Approval Status

➤ **Consortia** exceeding 20% carryover of the tracked fiscal year's allocation will be flagged and monitored by the Chancellor's Office and CDE.

➤ **Consortia** that have been flagged for carryover will be required to submit a **written expenditure plan** and assigned **technical assistance** by the Chancellor's Office and CDE.



Tools & Resources

NOVA

- Forecasting tool
- Expenditure threshold percentage tool (state level setting)
- Member Corrective Action Plan
- CFAD governance section on carryover (Q#16 & Q#17)
- Annual Plan question on carryover (Fiscal Management section)
- Reports for carryover at the member level

CAEP Technical Assistance Providers (TAP)

- Consortium on-boarding (governance, administrative functions)
- Targeted technical assistance
- NOVA workshops and technical assistance
- Professional Learning Circles (PLC)



Compliance Tracking & Identification

Identifying Carryover Compliance

- Carryover compliance is calculated in NOVA upon Q4 certification.
- Carryover compliance calculated on **September 30 at 11:59 p.m.**
- If a consortium has carryover, in Fiscal Reporting, a tag appears next to the consortium name. **CC | 1 year**
- The tags that will be visible next to the member in fiscal reporting are:

CC | 1 year

CC | 2 years

Fiscal Reporting

Consortia Carryover Tracking Ribbon



- Dashboard
- All Programs
- CAEP
 - Consortia & Members
 - Reports
 - Fiscal Reporting**
 - Program Area Reporting

California Adult Education Program
Fiscal Reporting

Susan Wynne

01 Allan Hancock College Consortium

Consortium Summary | Total Expenditures: \$1,396,852 | Total Allocation: \$2,100,935 | Total Carryover: \$704,083 (33.51%) | **Carryover Compliance**

Reporting Year: 2025-26 | Reporting Period: 2025-26 Quarter 4

Fiscal Report Submittal Status

Carryover Compliance (EC 84914) authorizes a consortium to reduce a member's allocation by no more than the amount of the member's carryover, as defined, if the consortium makes a finding by a majority vote, based on the member having excessive carryover for at least two consecutive fiscal years beginning with the 2023-24 fiscal year, that the member has been consistently ineffective in providing services that address the needs identified in the adult education plan.



Calculating the 20% Carryover

Both Consortium and Member annual carryovers are calculated from **one fiscal year exceeding 20%**. It is assessed and acted upon annually.

This is different than FIFO* (30 months of time and tracks spending period for CAEP funds).

→ *Consortium* carryover includes the carryover of all its *members*.

Carryover compliance calculation:



- $\text{FY Allocation} - \text{FY Expenditures} = \text{Carryover Amount}$
- $\text{Carryover Amount} / \text{FY Allocation} = \text{CC Percentage}$

*Note: Total expenditures are accounted with FIFO (carryover is not the same as total expenditures)

The annual process allows assessment of consecutive years of annual carryover.

Example:

\$100k Expenditures deducted from **\$50k Carryover** leaving **\$50k Expenditures** deducted from current FY's allocation

Consortium Written Expenditure Plan



PLAN. INVEST. TRACK.

- < All Programs
- CAEP
- Consortia & Members**
- Monitor Reports
- Fiscal Reporting
- Program Area Reporting
- Program Settings
- Admin
- Fiscal Agent Hub
- Institutions
- Help

California Adult Education Program
Consortia & Members

Written Expenditure Plan 2025-26 DRAFT

01 Allan Hancock and Lompoc Unified Adult Education Consortium

Submit

Information

In alignment with Education Code 84914, a consortium exceeding 20% excessive carryover in one or more fiscal years will be required to submit a written expenditure plan and assigned technical assistance to reduce the excess carryover. The consortium will be required to identify the circumstances that have led the consortium to reach the excessive carryover threshold and outline the corrective action plan to reduce the carryover.

Written Expenditure Plan 2025-26

Were funds expended sufficient enough for lorem ipsum?

☐ Yes

☐ No

Expenditure Plan

Explain how future expenditures will lorem ipsum dolor sit amet, consectetur adipiscing elit. Aliquam tincidunt augue eu nunc vehicula vestibulum.

Characters: 0/10,000

Describe challenges or barriers in implementing activities as stated in your workplan.

Characters: 0/10,000

Describe progress made this quarter in key priority sectors in your region.

Characters: 0/10,000

Outcomes

Using specific references to data you reported on the program's reporting system on training, technical assistance, course development and marketing, describe the

Consortium WEP in NOVA

Dashboard My Dashboard   Filters

ACTION ITEMS Show hidden ☐ On

Open	Completed
 Submit CAEP Carryover Compliance Written Expenditure Plan Due: 9/9/25 01 Allan Hancock and Lompoc Unified Adult Education Consor...	
Submit SWP-R Q1 Fiscal Report Due: 9/10/25 9361: Bay Area Cloud Initiative	
Certify CAEP Written Expenditure Plan Due: 9/10/25 01 Allan Hancock and Lompoc Unified Adult Education Consor...	

NOVA
PLAN. INVEST. TRACK.

California Adult Education Program
Consortia & Members

01 Allan Hancock and Lompoc Unified Adult Education Consortium

CAEP

- Consortia & Members
- Monitor Reports
- Fiscal Reporting
- Program Area Reporting
- Program Settings

Quarter 1 Fiscal Report Certification

Document	Year	Submitted	Status
Quarter 1 Fiscal Report Certification	2019-20	11/30/2020, 5:16:28 PM	N/A

Show older documents + Add Document

Budget & Workplan 2024-25

Member Agency	Available Funds	Budget	Indirect Costs %	Fiscal/Admin Expenses	Status
Allan Hancock Joint CCD	\$1,666,849	\$1,666,849	4.97%	\$0	CERTIFIED
Lompoc Unified	\$1,967,448	\$1,967,448	5.0%	\$0	CERTIFIED

Consortium Roll-up for 2022-23

Carryover Compliance Written Expenditure Plan

Name	Year	Status	Completed
Written Expenditure Plan	2024-25	Not Submitted	N/A



Written Expenditure Plan Questions

1. In 2025-26, did your consortium have an optional internal member carryover threshold?
- 2-3. List all your consortium's funded members and the percentages of their carryover.
4. Describe the circumstances that led the consortium to exceed the Consortium level 20% carryover threshold. Include information about specific members.
5. Describe the support the consortium has attempted to provide consortium members to reduce the excess carryover.
6. What is the proposed consortium level corrective action plan and timeline to reduce the excess carryover with members and thus the consortium?
7. What types of processes and protocols will be implemented to ensure that current and future consortium and member level carryover is reduced?
8. What kind of support and technical assistance from the State CAEP Office would be helpful to the consortium to assist with the reduction of excess carryover?
9. Provide contact Information.



Local Board Approval

Question: Does my written expenditure plan need to have local board approval?

Answer: It depends; if your members' budgets and work-plans align with your proposed consortium level corrective action plan and timeline to reduce the excess carryover, then there would be no need to obtain additional local board approval. But please check your bylaws as this may vary by consortium.



Certification of Plan

Question: Do all members have to approve the written expenditure plan?

Answer: Yes.

Question: If I can't make the November 15, can I ask for an extension?

Answer: Yes, if you require an extension, please contact CAEP TAP.

Question: Who will review my plan?

Answer: Plans will be reviewed & approved by CDE and the Chancellor's Office.



Technical Assistance & Resources



The State will assign technical assistance to those consortia to ensure effective use of funds as specified by policy, and to ensure that the consortium's annual carryover does not continue to exceed the 20% threshold so that it continues to provide adequate adult education services to the region.

This will include Technical Assistance from the enhanced CAEP Technical Assistance Providers, Sacramento County of Education and North Orange Continuing Education.

CAEP TAP Webinars & Resources

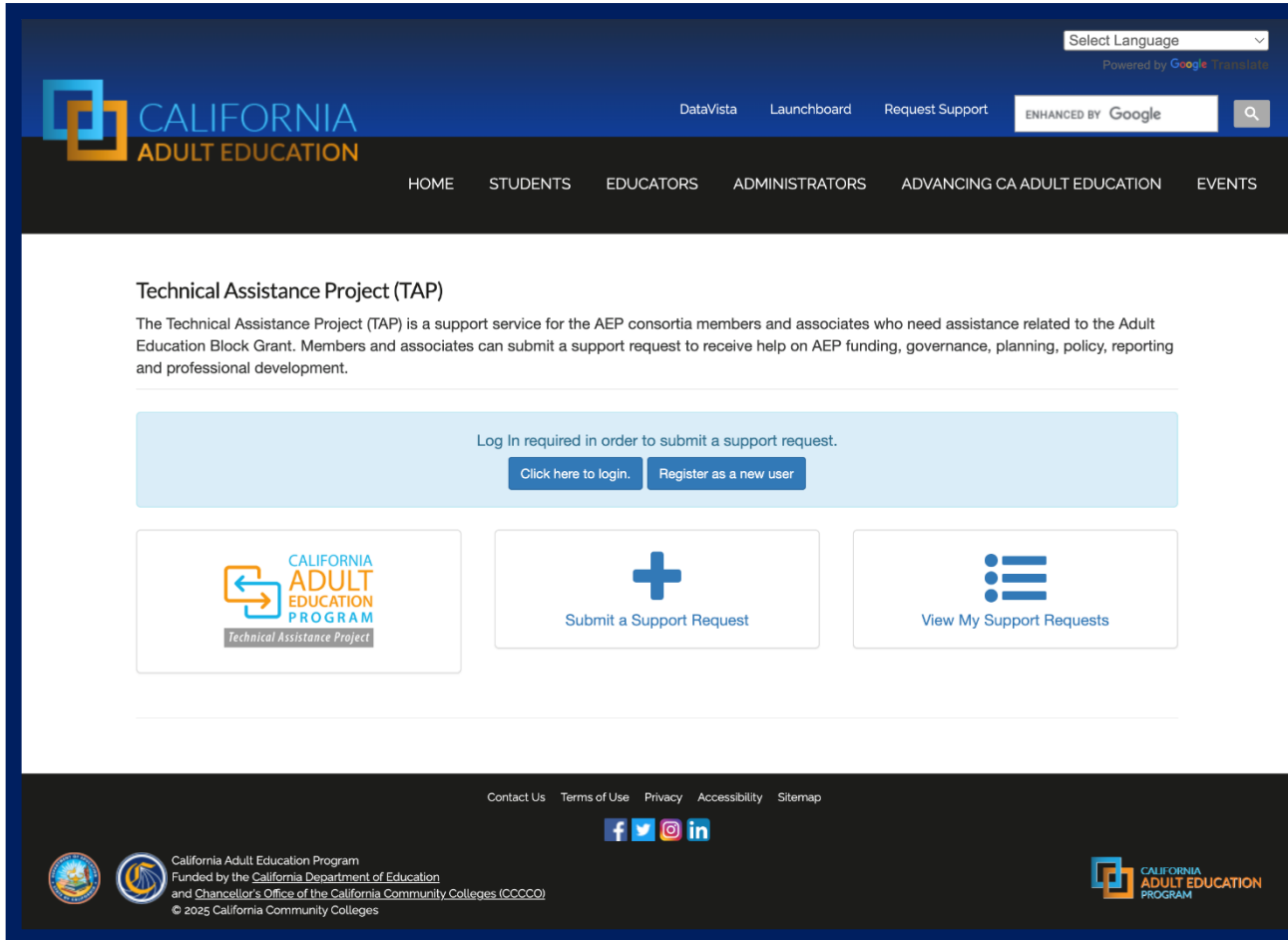
Resources

- [AB 1491 Guidance](#)
- [AB 1491 Timeline](#)
- [Updated Program Guidance w/ AB1491 FAQ](#)
- [Webinar Chat Q&A](#) (March 23, 2023)

Professional Development

- CAEP Technical Assistance Project Events





The screenshot shows the homepage of the California Adult Education Program's Technical Assistance Project (TAP). The header features the program's logo, navigation links (DataVista, Launchboard, Request Support), a language selector, and a Google Translate widget. The main content area is titled "Technical Assistance Project (TAP)" and includes a description of the service. A light blue banner prompts users to log in or register. Below this are three buttons: "Submit a Support Request" (with a plus icon) and "View My Support Requests" (with a list icon). The footer contains contact information, social media links, and funding details.

Technical Assistance Project (TAP)

The Technical Assistance Project (TAP) is a support service for the AEP consortia members and associates who need assistance related to the Adult Education Block Grant. Members and associates can submit a support request to receive help on AEP funding, governance, planning, policy, reporting and professional development.

Log In required in order to submit a support request.

[Click here to login.](#) [Register as a new user](#)

[Submit a Support Request](#) [View My Support Requests](#)

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Request Support from CAEP TAP





Thank you!

