Regional Equity and Recovery Partnership

Grant Administration and Data Guide

February 2023

State Funded Grant Program

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Purpose of the Grant Administration Guide

Funding under the Regional Equity and Recovery Partnership (RERP) grant program is provided through the General Fund.

This guide was created as a comprehensive resource for Fiscal Agents (Awardees) and applies to all entities receiving General Fund awards under RERP. It is the responsibility of the Fiscal Agent/Awardee to run and operate a compliant grant program. The purpose of this Grant Administration and Data Guide is to assist with this process.

 Please use and reference as needed, and share with partners, front-line workers, program administrators, data entry professionals, contractors, etc. as appropriate. This document may be updated throughout the grant term. Updated versions of this document will be posted on the Regional Equity and Recovery Partnership webpage.

Section I. Grant Administration

General Grant Information

Grant Term
The Grant Term is up to three years. Refer to the executed Standard Agreement for the grant term.

Grantee Portal
Website: [Regional Grantee Portal](#)
Password: regionalca

Role of the California Workforce Development Board
The California Workforce Development Board (CWDB) is the primary point of contact on behalf of the State of California and oversees all programmatic aspects of the RERP grant program. Key points of contact within the CWDB are outlined below by function.

Program Implementation and Regional Support Branch
Grant administration and project management are handled by the CWDB Program Implementation and Regional Support Branch (referred to as the Program Branch).

General Initiative Inbox
RERP General Inbox: RERPInfo@cwdb.ca.gov
The Program Branch utilizes a centralized inbox to handle all communications regarding grant administration requirements, activities, and functions. The entire RERP Program Team has access to the inbox, creating a streamlined channel for communication. A CWDB team member will respond to inquiries within 48 hours. When using the RERP General Inbox, be sure to include the grant program/cohort name in the subject line, with the name of the Fiscal Agent/Awardee, and the topic of the question.
- Example: RERP – *September 2022 Invoice*

Examples of issues that the CWDB Program Branch can assist with include, but are not limited to:
- Budget and fiscal reporting questions, including allowable uses of funding.
- Project development and implementation guidance.
- Salesforce technical assistance, access, data change requests, and inactivation.
- Reporting requirements.
- Course corrections, adjustments, and amendments.

Equity, Climate, and Jobs Field Branch
All projects will be provided with ongoing support during the grant term from the Equity, Climate and Jobs Field Branch's Regional Coordination Specialist. The Regional Coordination Specialist works in collaboration with the CWDB Program Branch and the CWDB Policy, Legislative, and Research Branch to coordinate and support the regional work and has a pivotal role in making connections with key leaders throughout each region to further an infrastructure that sustains regional initiatives long-term. The Regional Coordination Specialist will collaborate

with partners to identify RERP best practices, gather qualitative data to inform and advance essential regional elements, and engage project partners in learning and development opportunities, including communities of practices, networking events, and other knowledge-sharing forums.

Policy, Legislative, and Research Branch
The Research and Program Evaluation Specialist provides clarification and support related to participant data reporting requirements and procedures, including but not limited to technical assistance to the SAFE website or other data platforms, account set up, password reset, and assistance with participant eligibilities and placement inquiries.

Employment Development Department (EDD)

Although the EDD does not manage this grant program, they are involved in the CWDB state funded grant programs by providing Standard Agreements and fiscal support. The CWDB Program Implementation and Regional Support Branch works closely with the EDD during the Standard Agreement execution and process of invoices.
The EDD is involved in the following areas:
- Setup, execution, and formally amending Standard Agreements
  - The EDD Contract Service Group oversees the grant agreement process and may contact Fiscal Agent/Awardee directly with paperwork or to share executed documents.
- Payment
  - The EDD Financial Reporting and General Ledger Group and Fiscal Programs Division oversee the reimbursement process. The warrant will be mailed out to the Fiscal Agent/Grantee by the 45th calendar day after the invoice has been submitted and processed by the Financial Reporting and General Ledger Group and forwarded to the Fiscal Programs Division.

Role of the Fiscal Agent

Fiscal Agent Requirements and Responsibilities
The term *Fiscal Agent* refers to the awarded agency (*Awardee*) that enters into a Standard Agreement with the State of California. The terms *Fiscal Agent* and *Awardee* are used interchangeably in this document.

As the first point of contact for the CWDB, the Fiscal Agent/Awardee is expected to:
Have up-to-date knowledge of the project's program and fiscal status. which includes, but is not limited to program and partnership activities, the status of individual project teams, participant activities and data, project obstacles, expenditure status, and all other factors relevant to the status and the progress of the project.
- Have knowledge, experience, and practice in managing a state Standard Agreement and following fiscal rules and requirements.
- Be responsible for tracking and entering participant data (self-reported and in Cal-E- Grants) timely and accurately.

- Maintain active communication with key players and the CWDB and communicate any obstacles impeding the progression and success of the project to the CWDB.
- Organize and coordinate regional activities. Collect and report all data, deliverables, and outcomes of the partnership to the CWDB.

All Fiscal Agents/Awardees are required to keep the CWDB updated with staff that is designated as Specific Points of Contact (SPOC) for parts of their project. The SPOC form will identify individuals within the project responsible for the following areas:
- SPOC for the grant – including project status and activities. This individual will be the main point of contact throughout the grant term.
- SPOC for reporting (formal and informal).
- SPOC for fiscal administration.
- SPOC for participant data, Cal-E-Grants data entry and case management.

To adjust the SPOC form at any time during the grant term, notify the CWDB Program Team through the initiative inbox. The SPOC form should always be up to date, and it is the Fiscal Agent/ Awardee's responsibility to notify the CWDB when there are changes in staff and points of contact.

Project Progress and Modifications

Communicate Project Progress and Changes
Fiscal Agents/Awardees must keep the CWDB updated when adjustments or deviations from the proposed work occur and provide detailed responses on project progress in the narrative reports. Not all project adjustments will require formal amendment. The CWDB Program Team can provide guidance and instruction on the necessary steps when applicable.

Project Modifications
The Standard Agreement acts as a binding contract on behalf of the CWDB and the Fiscal Agent/Awardee. Any changes to this agreement will result in modification and revision of applicable exhibits.

Four major change types require a modification to the Standard Agreement:
- Budget Modification
- Partnership Changes
- Work Plan Adjustments
- Other-for a modification request that does not fall under the other categories.

The Fiscal Agent/Awardee will be asked to provide both a reason and thorough justification for all modification requests. Insufficient justification will cause the modification to be rejected and returned.

Standard Agreement Modification Process
To initiate a modification, the Fiscal Agent/Awardee must complete and submit a Modification Request in the Cal-E-Grants system. Modification requests are not official until the modification

request is completed, submitted, and approved by the CWDB.
1. Complete and submit a Modification Request in the Cal-E-Grants system.
   If assistance is needed prior to starting the request, contact the Program Team through the RERP inbox.
2. Once received, the CWDB will review and respond with the next steps, including guidance on specific exhibit revisions being requested.
3. Revisions will be complete in the Cal-E-Grants system. Applicable exhibits (tabs) will be opened to make edits, reflecting the changes as outlined in the Modification Request.
4. The CWDB will review and determine approval. If approved, the CWDB will provide formal approval in writing along with any pertinent information or next steps.

Note: Modification to the project cannot be executed until notice of final approval has been provided by the CWDB.

Modification Request Submittal
Fiscal Agents/Awardees can complete and submit a Modification Request in Cal-E-Grants.

Take the following steps to complete and submit a Modification Request:
1. Select *Log in* and enter your Username and Password.
   - If staff need to access the Progress Report in the Cal-E-Grants system, the organization's Cal-E-Grants Administrator should add the staff member to the Administrator account, instead of creating a new Cal-E-Grants account.
   - If the staff accidentally created their own Cal-E-Grants account, reach out to the RERP staff for assistance.
2. To add a new user, the Administrator must log into their account and select *Manage User.*
3. Select the *Add a New User* button (located far right, above the yellow bar.)
4. A *Create New User* will appear.
5. Enter the contact information requested for new user and permission type.

   Note: The permission type drop down will provide two options: *Administrator* or *User*. The *Administrato*r option authorizes the new user to have access rights to the RERP grant similar to the original Administrator.

6. Once complete, select *Create*.
7. The new user(s) will receive an email notification with a hyperlink to create a password and formally create an account using their own credentials. If a Cal-E-Grants password needs to be reset, email RERPInfo@cwdb.ca.gov
8. Select *Grants* and choose *Grant ID* for the grant program that needs a Modification Request.
9. Select *New Modification Request.* To verify that a Modification Request has been created, select *Modification Request* tab which is between *Budget Allocation* and *Invoices* tabs.
10. Enter a name for the request.

11. Select the *Classification/Type* of request (i.e., Budget Modification, Partnership Changes, Work Plan Adjustment, Other, etc.).
12. Provide a summary of the request.
    - For Budget Modifications, in the summary section of the request form, indicate the changes that you are requesting within the budget.

      Example: Requesting to move $2,985.40 total from Staff Salaries and$746.00 from Total Benefits to Staff Travel (+.40), Operating Expenses (+1,800.00) and Furniture and Equipment (+$1,931.00). These movements would leave the line totals as follows:
        o Staff Salaries: $35,000.00
        o Total Benefits: $8,750.00
        o Staff Travel: $183.00
        o Operating Expenses: $2,000.00
        o Furniture & Equipment: $19,931.00
13. Provide justification for the request.
14. After entering all the information for the request, select *Save.*
15. Accept the acknowledgement language then select *Proceed.*
16. Select *Submit for Review.*

Editing and submitting revised exhibits
Once the modification request is approved, CWDB will open the applicable exhibits (tabs) to be edited and send an email notification

Fiscal Agents/Awardees should take the following steps:
1. Make the edits to the applicable exhibits (tabs).
2. Select *Submit for Approval.*

Modification Types
There are two types of modification: *Informal Modification* and *Formal Modification*. Both require the same review, vetting, and approval process as outlined in Standard Agreement Modification Process section. Most modification requests will be informal. The CWDB will advise if a modification request should be formal. The difference between the two is the method of execution.

Informal Modification

The CWDB has the authority to approve exhibit revision internally and without formally amending the contract/standard agreement. Modifications made through an Informal Modification are legally binding and will replace the documents within the standard agreement. Fiscal Agents must keep track of Informal Modification requests and updated exhibits since the original Standard Agreement will have different documents and will not be current. The CWDB will provide the Fiscal Agent with formal written approval of the modification along with a copy of the updated/final exhibits. The CWDB prioritizes the use of Informal Modification, which is often utilized for budget adjustments or reallocation of funds, changes to partners, and

adjustments to activities and objectives on the Work Plan.

Formal Modification

Formal Modifications are only used for grant term extension, to increase or decrease award grant amounts, and/or at the request of the Fiscal Agent. Formal Modification will amend the formal standard agreement and may take 4 to 5 months to execute.

Modification Request Cutoff/Timeline
Prior to the end of the grant term, Fiscal Agents/Awardees should evaluate their projects to determine if a modification request needs to be submitted for review and approval. To ensure seamless and efficient processing, all modification requests must be submitted **60 days** prior to the grant term end date, with exceptions on a case-by-case basis. Modification requests received outside of the listed timeframe will not be considered for approval.

Reporting Requirements

Progress Reports
Progress Reports (Quarterly Narrative Reports) are due every quarter. The purpose of the Progress Reports is to capture the following:
- Document project status and outcomes to date.
- Document project progression, adjustments/course corrections, challenges, and successes.
- Share innovations, best practices, and lessons learned.
- Elevate broad workforce barriers and obstacles.
- Share qualitative and quantitative data – including participant outcomes (if applicable).
- Confirm Cal-E-Grants data is on track with Work Plan and Participant Plan and data is entered correctly and timely.
- Identify technical assistance needs and opportunities.
- Help make recommendations to better improve innovation in the workforce system.
- Notify the CWDB of questions, concerns, or changes to your project – both programmatic and administrative.

Note: It is the Fiscal Agent/Awardee and Subrecipients' responsibility to provide complete and comprehensive responses demonstrating activities, progress, success, and challenges in project implementation. Failure to provide correct or responsive answers may impact performance and evaluation of the Fiscal Agent and Subrecipients and the project.

Interim Progress Report Analysis
The CWDB will conduct an in-depth analysis of all projects at the halfway point of the grant term. The analysis will focus on activities to determine if the projects are on track as outlined in the Work Plan, and if the projects are on track with spending down awarded amount per Expenditure Plan, and if spending (both grant funds and if applicable, leveraged/match funds) has been reported accurately in the Cal-E-Grants system.

Progress Report Submittal
Fiscal Agents/Awardees will complete and submit all progress reports in the Cal-E-Grants

system.

Take the following steps to complete and submit a Progress Report:
1. Locate the progress report in Cal-E-Grants.
2. Select *Log in* and enter a **Username** and **Password.**
   - If a staff member needs to access the Progress Report in the Cal-E-Grants system, the organization's Cal-E-Grants Administrator, rather than the staff member, should add the staff member to the Administrator account instead of having the staff member create their own Cal-E-Grants account. If a staff member accidently creates a Cal-E-Grants account of their own, contact RERP staff for assistance.
3. To add a new user, the Administrator must log into their account and go to *Manage Users* at the top of the Cal-E-Grants page.
   i. Select *Add a New User* button (located far right above the yellow bar).
   ii. A pop-up screen will appear.
   iii. Enter contact information for new user (Name, Email, Phone) and permission type.

   iv. **Note:** The permission type drop down will provide two options: *Administrator* or *User*. The *Administrator* option authorizes the new user to have access rights to the RERP grant similar to the original Administrator.
   v. Once complete, select *Create.*
   vi. New user(s) will receive an email notification with a hyperlink to create a password and formally create an account using their own credentials.

   vii. **Note:** If a Cal-E-Grants password needs to be reset, reach out to the RERP inbox (listed below) for assistance.

4. Locate and select the *Grants tab.*
5. Locate *Recently Viewed* then select the down button next to *Recently Viewed* and select *All.*
6. Locate and select the program's Grant ID.
7. Select *New Report.*
   - To check if a Progress Report has been created for the quarter, select *Progress Report*s tab which is between *Invoices* and *Documents* tabs.
8. Select the appropriate report for the quarter, **Quarter x**.
   - Ensure the correct quarter is selected to complete the report.
9. *The Title* field may be left blank as it is not required to complete the progress report.
10. Select the *Narrative* tab to complete the progress report.
11. After completing the *Narrative* tab, select *Save.*
12. If supporting documentation needs to be included with the progress report, select

Documents tab.
  i. Select *New.*
  ii. Enter name of document and select format of document (i.e., Word, Excel, PDF) then select *Save.*
  iii. On the Document tab, locate the document entry that you created and select on
  iv. *Upload Files.*
  v. Locate the document on your computer to upload.
  vi. Select *Done* when upload is complete.
13. Review the Narrative tab to ensure all questions are answered with detailed responses then select *Submit.*

Progress Report Calendar and Deadlines
The Progress Report calendar and deadlines are as follows:
- January 1 – March 31, report due before or by April 20.
- April 1 – June 30, report due before or by July 20.
- July 1 – September 30, report due before or by October 20.
- October 1 – December 31, report due before or by January 20.

No narrative report will be issued/required for the final reporting quarter. Activities and outcomes for the final quarter will be included in the Close-Out Report. Refer to CWDB Close-Out Requirements: Close-Out Narrative Report section for more information.

Quarterly Progress Report Process & Submission Instructions
The quarterly progress report template will be available on the first week of each month following the end of the reporting period and can be found on the *Reports* tab of the Cal-E-Grants system. An email notification will be sent, notifying Fiscal Agent/Awardees that the progress report is available to complete in the Cal-E-Grants system with a due date.

Note: Fiscal Agent/Awardee will complete the narrative report and submit it in the Cal-E-Grants system, on or before 20th day of the following month.

The Fiscal Agent/Awardee will contact the CWDB with any questions or to request additional time to complete the report.

Progress reports with insufficient responses and/or details will be rejected and returned to the Fiscal Agent/Awardee.

Close-Out Report
The Fiscal Agent/Awardee must complete and submit the Close-Out Report in Cal-E- Grants system. If there are multiple partner organizations involved on the projects, the Fiscal Agent/Awardee may consult with partners/project teams to complete and submit the Close-Out Report. The Close-Out Report will highlight the results of the regional approach, strategies, accomplishments, challenges, and more. Further guidance on close-out reporting will be provided near the end of the grant.

The Close-Out Report, which evaluates the entire grant term, is due 30 days after the grant term end date.

Periodic Review and Information Requests
The CWDB may conduct periodic reviews and request information at any time and as needed throughout the grant term.

If the Fiscal Agent/Awardee is not performing in accordance with program requirements, the Fiscal Agent/Awardee will be subject to the remedies for non-performance. This may include being placed on cash hold until issues are resolved or deobligation of funding.

Monthly Fiscal Expenditure Reporting

The Fiscal Agent/Awardee will complete and submit all monthly invoices in the Cal-E-Grants system. Invoices are due on or before or the 20th of the month following the invoice period.

Invoices must be submitted monthly, even when there is a $0 balance for the month.

Fiscal (Invoice) Report Submission Instructions

Submitting an Invoice:
1. Locate the invoice in [Cal-E-Grants.](#)
2. Select *Log in* and enter **Username** and **Password.**
   - If staff needs to access to the Progress Report in the Cal-E-Grants system, your organization's Cal-E-Grants Administrator should add the staff to your organization's Cal-E-Grants Administrator account, instead of the staff creating their own Cal-E-Grants account.
     - o If staff accidentally created a Cal-E-Grants account on their own, contact RERP staff for assistance.
   - To add a new user, the Administrator must log into their account then:
     - i. Go to *Manage Users* at the top of the Cal-E-Grants webpage.
     - ii. Select Add a *New User* button (located far right above the yellow bar).
     - iii. A *Create a New User* pop-up screen will appear.
     - iv. Enter contact information for new user (Name, Email, Phone, etc.) and permission type.

       Note: The permission type drop down will provide two options: *Administrator* or *User*. The *Administrator* option authorizes the new user to have access rights to the RERP grant similar to the original Administrator.

     - v. Once complete, select *Create*.
     - vi. The new user(s) will receive an email notification with a hyperlink to create a password and formally create an account using their own credentials.

If a Cal-E-Grants password needs to be reset, email RERPInfo@cwdb.ca.gov for assistance.

3. Once logged in, locate and select *Grants.*
4. Locate *Recently Viewed* and select on the down button next to the *Recently Viewed.*
5. Select *All.*
6. Locate and select program Grant ID.
7. Select *New Invoice.*
   - To check if an Invoice has been created for the quarter, select *Invoices* tab which is between *Modification Requests* and *Progress Reports* tabs.
8. Select the appropriate invoicing month.
   - Example: If programming begins in September 2022, select September 2022.
9. Review the disclaimer and complete the *Authorizing Signature Name* before proceeding
10. The Invoice has two columns (*Grant Fund Expenditure* and *Leveraged Fund Expenditure*) for grantees to enter amounts.
    - *Grant Fund Expenditure:* Identify which line item and how much per line item that is being requested for the month.
    - *Leveraged Fund Expenditure*: If including leverage/match funds in the application, you must report the leverage/match fund on the invoice.
11. After completing the invoice, select *Save.*
12. If supporting documentation needs to be included with the invoice, select *Documents* tab.
    i. Select *New.*
    ii. Enter name of document and select format of document (i.e., Word, Excel, PDF) then select *Save.*
    iii. On the *Document* tab, locate the document entry created and select *Upload Files.*
    iv. Locate the document to be uploaded.
    v. Select *Done* when upload is complete.
13. Select *Submit* after ensuring all entered amounts are correct.

Payment

The warrant will be mailed to the Fiscal Agent/Awardee by the 45th calendar day after the invoice is submitted and processed by the Financial Reporting and General Ledger Group and forwarded to the Fiscal Programs Division.

Note: Holidays and the fiscal year-end may affect this timeline, as well as unforeseen circumstances such as natural disasters, epidemics, etc. The warrant will be mailed to the address listed on the STD 204 and/or STD 205. If the warrant is not received after 45 days, contact RERPInfo@cwdb.ca.gov.

For additional information on payment lead times, refer to the [California Prompt Payment Act](#).

Fiscal Monitoring and Documentation
This section is intended to assist the Fiscal Agents/Awardees in maintaining appropriate documentation on file in the event of monitoring/auditing. The CWDB will amend this section as additional issues are brought to the CWDB's attention.

If Fiscal Agents/Awardees have specific questions or require assistance on monitoring and documentation, contact RERPInfo@cwdb.ca.gov.

Leveraged/Match Funds
The RERP grant program does not require leveraged/match funds at time of application. However, if leveraged/match funds are included in the RERP application, the Fiscal Agent/Awardee is required to track and report those funds in Cal-E-Grants.

The Fiscal Agent/Awardee is required to track leveraged/match funds separately from grant funds. If monitored and reviewed, the Fiscal Agent/Awardee must provide all supporting documentation to indicate how all leveraged/match funds were spent within the grant term. The CWDB defaults to the federal leveraged/match funds guideline as outlined in the [Office of Management and Budget Guidance,](#) Part 200, 2 CFR.

Procurement and Prior Written Approval
Prior written approval is requested after the application submittal and during the exhibit revision process. If an expense on the budget requires prior written approval, the CWDB will requested the form(s) to be submitted for approval prior to the Standard Agreement execution.

During a modification request, prior written approval may be requested for new expenses *not* included in the original budget. The CWDB requests that the prior written approval be submitted and approved for that expense(s), prior to the approval of the modification request.

Types of Prior Written Approval

CWDB Purchase Justification Approval
If the purchase (expense) is over $2,500, the Fiscal Agent/Awardee will be required to complete and submit a CWDB Purchase Justification Approval form. This pertains to the individual unit purchase over $2,500 as well as purchase orders. The Fiscal Agent/Awardee must also obtain three competitive quotes for the purchase over $2,500 to justify that the cost of the expense is reasonable.

Example: A Fiscal Agent/Awardee is planning to purchase 10 laptops at $500 each, the total for this purchase is $5,000 which is over the threshold of $2,500 so the Fiscal Agent/Awardee will be required to complete and submit the CWDB Purchase Justification Approval form and obtain three competitive quotes for the laptop purchase.

The Fiscal Agent/Awardee does not have to submit the quotes to the CWDB but must keep the quotes on file for monitoring purposes.

If the purchase is a *sole source* purchase (only one vendor capable of providing an item or service, therefore it is not possible to obtain competitive bids), notify the CWDB for further guidance on sole source requirements and supporting documentation.

CWDB Use of Funding Approval

If a cost (expense) is listed in the Fiscal Agent/Awardee's budget and the CWDB cannot determine how the cost is related to the scope of work, deliverables, and outcomes, and/or activities, the Fiscal Agent/Awardee is required to complete the CWDB *Use of Funding Approval* form. The Fiscal Agent will have to provide justification for that cost and explain how the cost is related to the scope of work, deliverables, and outcomes, and/or activities.

CWDB Use of Funding for Child Care Approval

If the Fiscal Agent/Awardee has an allocation to the Supportive Services line item on the budget, the CWDB *Use of Funding for Child Care Approval* form will need to be completed and submitted to the CWDB.

The Fiscal Agent/Awardee must:
- Not allow childcare costs to exceed $1,400 per child and per month.
- Maintain three quotes for licensed childcare providers for three years.
- Obtain receipts from the participants for the childcare costs. The receipts must be maintained for three years upon completion of grant term.

Note: Approved prior written approval may be revoked or rescinded at any time during the grant term, if the CWDB determines the Fiscal Agent/Awardee is not in compliance with program requirements and state and federal guidelines.

Proof of Payment for Contracted Funds

While the CWDB does not ask for proof of payment with the invoice (e.g., receipts) for the RERP grant program, the Fiscal Agent/Awardee and their partners/contractors receiving grant funds must keep records of all expenses for monitoring/auditing purposes. All costs should be allowable and reasonable as outlined in the Funding Solicitation and/or Request for Application and as approved in the budget exhibits of the Standard Agreement.

Close-Out Process & Requirements

General Grant Close-Out Preparation

When the grant term approaches its end, the Fiscal Agent/Awardee will need to prepare for close-out. The CWDB recommends starting close-out activities and preparation two months (60 days) prior to end of grant term.

On the fiscal side, close-out involves spending down funds, paying off contractors/partner organizations for goods and services delivered, and informing the CWDB of unspent funds, and other remaining issues.

On the program side, this involves, for example, ensuring participant data and activities are up

to date, compiling qualitative and quantitative data, assessing outcomes achieved by the project, and documenting lessons learned and best practices.

Note: Grant funds cannot be spent after the grant term ends or as pre-payment for activities occurring outside of the grant term. Any unspent grant funds will revert to the State of California.

CWDB Close-Out Process

90 Day Check-In
The CWDB will check in with all Fiscal Agents/Awardees 90 days prior to the end of the grant term to confirm the project is on track with deliverables and Expenditure Plan (informing the CWDB of unspent funds).

Close-Out Report
At the end of the grant term, a Close-Out Report will be available in the Cal E-Grants system for the Fiscal Agents/Awardees to complete and submit.

The Close-Out Report is due 30 days after the grant term end date and will evaluate the entire grant term.

Administrative & Additional Requirements

Monitor and Audit
After grant approval, Fiscal Agents/Awardees can be monitored and/or audited by the state, in accordance with existing policies procedures, and requirements governing the use of General Funds to identify areas of strength and non-compliance. The Fiscal Agent/Awardee is expected to:

- Be responsive to all compliance monitors' requests for Fiscal and Program Management.
- Provide reasonable and timely access to records and staff.
- Facilitate access to subcontractors and communicate with compliance monitors in a timely and accurate manner.
    - If performance is insufficient or the project is not performing and making progress towards deliverables, the state will consider placing the agency on cash hold and possibly de-obligating funds.
- Conduct regular oversight and monitoring of all Fiscal Agents and their contractors.
    - The purpose of this requirement is to ensure that expenditures meet the cost category and cost limitation requirements of CWDB, and other applicable laws and regulations, and to provide technical assistance as needed.
- Ensure that all awarded funds comply with all regulations.

Subrecipient and Contractor Distinctions
Prior to entering into any contractual agreement, the Fiscal Agent/Awardee must determine the relationship with partners and entities on a case-by-case basis. When determining whether a Contractor or Subrecipient relationship exists, the substance of the relationship is more important than the form of the agreement (i.e., grant, contract, subgrant, or subcontract). All

characteristics related to the provider and agreement should be analyzed and no single factor should be taken in isolation. Not all characteristics will be present in every relationship and in rare situations, an entity can be considered a recipient, a Subrecipient, and a contractor, depending on the substance of each agreement.

Subrecipients are responsible for meeting all programmatic compliance requirements. Contractors are required to follow procurement selection rules but are exempt from programmatic requirements. Contractors may receive payment for goods or services that originate from an award, but those payments are not considered a federal award. Refer to the WSD 18-06 Subrecipient and Contractor Distinctions directive for complete guidance on the distinction between subrecipients and contractors as well as the roles and responsibilities for all parties of an agreement.

Fiscal Agents/Awardees are held to the distinctions outlined in the Supplemental Budget as entered in their Standard Agreement. The areas below summarize sections of this directive:

Subrecipient
A Subrecipient carries out a portion of the award and is held to the same programmatic requirements as the Fiscal Agent. The following descriptions are indicative of a nonfederal entity in the role of a Subrecipient:
- Meet all participant and data requirements if administering participant services and activities, including participant eligibility, data entry, and case management.
- Measure performance against the objectives of the grant program.
- Maintain programmatic control or independent discretion over work.
- Adhere to program requirements as outlined in the Funding Solicitation and/or Request for Application, Grant Administration and Data Guide.
- Use funds to carry out a program for a specified public purpose as opposed to providing goods or services for a program or pass-through entity.
- Directly support the goals of grant.

The Fiscal Agent/Awardee is responsible for Subrecipient(s) ability and performance and is required to provide oversight throughout the grant period to ensure grant program requirements are being met in all required areas based on Subrecipient role. If monitored, the Fiscal Agent/Awardee will have to provide proof that oversight was provided, and rules were followed. The Fiscal Agent/Awardee is responsible for demonstrating this.

If the grant program rules are not being followed or disallowed activities occur by the Subrecipient this may impact the Fiscal Agent/Awardee's performance, future funding opportunities, and/or termination of contract. Disciplinary action or disallowed costs will be the responsibility of Fiscal Agent/Awardee to address with the CWDB as the State will not seek disallowed costs or engage with Subrecipients.

Contractor

A contractor is a vendor, dealer, distributor, merchant, or other seller providing goods or services that are required to conduct a federal program. The following descriptions are indicative of a contractor in a procurement relationship with the non-federal entity disbursing federal funds:

- Provide goods and services to a variety of purchasers within normal business operations.
- Operate in a competitive environment.
- Provide goods or services that are ancillary to the operation of the grant program.
- Not subject to federal compliance requirements of the program resulting from the agreement.
- Does not participate in program design.
- Holds little or no independent discretion over program work or direction.
- Undelivered work will result in non-payment.
- Not required to directly support goals of grant.

Record Retention

Fiscal Agents/Awardees are required to maintain the project and fiscal records in a manner that allows state and local reviewers to evaluate the project's effectiveness and proper use of funds. The record retention system must include both original and summary (e.g., computer-generated) data sources. Fiscal Agents/Awardees will retain all records pertinent to this contract for three years from the date of final payment on this contract. Specific documentation and records to be used for this purpose are the Fiscal Agent/Awardee's responsibility to determine and produce if requested.

The CWDB defaults to the federal record retention guideline as outlined in the CFR 200.333 – 200.337 – Record Retention.

Communication & Branding

Branding & Communications Guidelines

The RERP's branding and communication guidelines can be found on the Grantee Portal. This document provides guidance regarding the implementation of the requirements in the Funding Guidelines and serves as a reference for grantees and contractors implementing projects and programs around the state to ensure brand and messaging consistency in alignment with the CWDB and the funding source. The document provides guidance on:

- Media releases and events, including key messaging in all outreach and public facing materials.
- Sharing success stories and photos with the CWDB.
- CWDB and grant program logo usage and expectations.

Networking and Knowledge Sharing

Ongoing consultation and technical assistance will be provided to Fiscal Agents/Awardees throughout the grant term. Technical assistance may be provided by the CWDB internal staff and/or third-party entities (non CWDB staff). Knowledge sharing will be facilitated through structured communities of practice, guided peer-to-peer learning sessions, training webinars,

in-person and virtual meetings, and other forums. To develop a field of practice, regional practitioners will be provided regular opportunities to engage with other practitioners to learn from each other, exchange ideas, and share resources. Technical assistance providers will conduct a series of needs and interest surveys which will be used to inform ongoing learning and development events and activities. Fiscal Agents/Awardees are encouraged to fully participate in all these opportunities and share best practices and lessons learned with key workforce development stakeholders throughout the grant term.

Program Technical Assistance

The program technical assistance for RERP may be provided by the CWDB internal staff and/or the California Workforce Association (CWA). CWA and their project partners will convene regional staff and their RERP partners to share cross-system information, provide expert advice to help facilitate regional collaboration, perform one-on-one consultation, provide ongoing technical assistance, and offer a variety of trainings, including but not limited to capacity training, regional coordination, and partnership development.

Evaluation

As the evaluator for RERP, the Corporation for a Skilled Workforce (CSW) will evaluate the progress and impact of regional partnerships through RERP. The evaluation will use both qualitative and quantitative methods to assess the success of regional partnerships between Workforce Development Boards, Community Colleges, and other workforce partners in developing regional career pathway programs that result in the placement of individuals with barriers to employment in quality jobs. The evaluation will focus on the partnership efforts of the community college consortia and the Regional Planning Units (RPUs) and the ability of the partnership to attain RERP goals.

CSW will work with the RPUs, Regional Organizers, Community College partners, and technical assistance providers to evaluate the effectiveness and success of RERP, identify lessons learned and best practices and recommend changes to improve coordination and collaboration between community colleges and workforce development programs. CSW will also evaluate efforts by regions to progress on the implementation of the Regional Indicators of Coordination and Alignment. As a result of the evaluation, CSW will collectively work with CWDB to co-produce a final report with policy recommendations based on findings.

Section II. Data Collection Guide

Fiscal Agents/Awardees will report participant data on the State Grant Data Capture Solution (SGDS) and upload to the California Workforce Development Board (CWDB) Secure Automated File Exchange (SAFE) website. The CWDB is developing and creating a data collection component in the Cal-E-Grants system and will provide further instructions when the data collection component is complete.

Fiscal Agents/Awardees will continue to report participant data through SGDS until further notice.

State Grant Data Capture Solution (SGDS)

All participant data should be reported in the State Grant Data Capture Solution (SGDS) Excel workbook. The SGDS workbook and related resources can be found on the RERP Grantee Portal, under the *Reporting* ribbon. The SGDS workbook needs to be completed with participant data and uploaded to the CWDB Secure Automated File Exchange (SAFE) website on the 20th of each month.

SGDS Excel Workbook

The Excel workbook is designed to help guide Fiscal Agents/Awardees with entering and capturing participant data for CWDB state funded (non-WIOA) grant programs. The Excel workbook is where all participant data will be tracked.

Note: CalJOBS can also be used for data collection. If the Fiscal Agent/Awardee opts to use CalJOBS there will be an additional supplemental report that will be required to submit with the quarterly Progress Report.
The RERP Grantee Portal contains the [CWDB State Funded Data Workbook Instructions](#). This guide provides a detailed overview of the data sheets, its workbook variables, and their descriptions/instructions.
The Excel SGDS Excel workbook should be uploaded through the SAFE website on the 20th of each month* using the format:
Example: RERP_<Grantee Name>_<Reporting Period>_.xlsx.

Note: Important points regarding the Excel workbook for Fiscal Agents/Awardees:
- There are nine data sheets to report program data which include:
  - Data Description
  - Grantee Information
  - Participant Information
  - Training Services
  - Career Services
  - Supportive Services
  - Milestones
  - Training Outcomes
  - Post Exit Outcomes
- The services being reported in the workbook cover the entire quarter. Therefore, do not delete services that were recorded in the previous month.
- Participant IDs must be unique for each individual.
  - Fiscal Agents/Awardees can use their own numbering conventions.
- Each grant program requires its own workbook. If a grantee has multiple
  - grant programs operating at the same time, each will have their own workbook
  - to ensure proper tracking of services per contract/subgrant agreement.

- o   If a Fiscal Agent/Awardee has multiple projects under the same grant
  - ▪   program (e.g., Cohort A and Cohort B), they must be tracked in separate
  - ▪   workbooks and named appropriately.

Note: The CWDB may ask for the data, as needed, outside of quarterly reporting deadlines. The data collected must always be current and up to date.

Tabs of the SGDS Excel Workbook

The following descriptions of required tab fields are provided as examples:

Data Description Tab

Sheet Name	Variable	Description/Instructions	Type
GranteeInformation	Grant Title	Please input the name of the grant program for which you are reporting on (e.g., RERP)	Manual Input
GranteeInformation	Grantee ID	This refers to the unique three or four letter subcode designated for your organization.	Manual Input
GranteeInformation	Grantee Name	This refers to the name of the fiscal agent organization.	Manual Input
GranteeInformation	Reporting Year	Please enter the four digit year for which you are reporting on.	Manual Input
GranteeInformation	Reporting Quarter	Select which calendar quarter you are reporting the data from the drop-down menu.	Drop-Down
ParticipantInformation	Participant ID	The participant ID must be a unique numeric code. Please make one up for each participant.	Manual Input
ParticipantInformation	Social Security Number	We use SSN to compare wages to see if our programs are effective. Leave this blank if this is not collected.	Manual Input
ParticipantInformation	First Name	Enter legal first name.	Manual Input
ParticipantInformation	Middle Name	Enter full middle name.	Manual Input

Grantee Information Tab

	Grant Title	Grantee ID	Grantee Name	Reporting Year	Reporting Quarter
1	Grant Title	Grantee ID	Grantee Name	Reporting Year	Reporting Quarter
2	RERP	ABC	America's Best College	2023	Q1
3					
4					
5					

Participant Information Tab

Participant ID	Social Security Number	First Name	Middle Name	Last Name	Date of Birth	Gender	Transgender / Gender Nonconforming
1	123-45-6789	Susie	Q	Sample	1/1/1980	Female	No

Training Services Tab

Participant ID	Social Security Number	Training Provider Name	Training Course Name	Training Start Date	Estimated Training Completion Date
1	123-45-6789	America's Best College	Medical Assistant	1/1/2023	6/30/2023

Career Services Tab

Participant ID	Social Security Number	Service Provider Name	Career Service Name	Service Start Date	Estimated Service Completion Date
1	123-45-6789	America's Best College	Resume Prep	1/10/2023	1/10/2023

Supportive Services Tab

Participant ID	Social Security Number	Transportation (e.g. bus passes, gas cards)	Basic Needs (e.g. food, clothing)	Education/work supplies (e.g. tools, work boots, textbooks)	Housing Assistance (incl. bills)
1	123-45-6789	Yes	No	Yes	No

Milestones Tab

	A	B	C	D	E	F
1	Participant ID	Social Security Number	Occupation Skills Progression (i.e. Measurable Skill Gain)	Stabilized Housing	Improved Health	Improved Personal Finances
2	1	123456789	Yes	No	No	No
3						
4						

Training Outcomes

Participant ID	Social Security Number	Secondary School Diploma / Equivalency	Post-Secondary (Academic): Certificate	Post-Secondary (Academic): Associate	Post-Secondary (Academic): Bachelors
1	123-45-6789	No	Yes	Yes	No

Post Exit Outcomes Tab

Participant ID	Social Security Number	Post-Exit Employment	Post-Exit Occupation Employed	Post-Exit Industry Employed	Holding Multiple Jobs
1	123-45-6789	Yes	Medical Apprentice	Healthcare	No

CWDB Secured Automated File Exchange

Logging in to SAFE

To access the [Secure Automated File Exchange (SAFE) website](#), first navigate to the website using a supported web browser. Review the SAFE security disclaimer.

1. Select the *I accept* button to acknowledge the security disclaimer.
2. Enter User ID and password.
3. Enter the SAFE user credentials provided by CWDB in the login window and select the *Sign In* button.
   - To obtain credentials or for assistance with logging in, email RERPInfo@cwdb.ca.gov.
   - The [Secure Automated File Exchange (SAFE) User Guide](#) provides further instructions for successfully logging in to and uploading files with the SAFE web interface.

Creating a Password

To create a new password, first enter the temporary (CWDB provided) password, create a new password when prompted, and re-enter the new password to confirm the change. The new password must meet the following six requirements:

- A minimum of 15 characters
- At least one alpha character (i.e., uppercase, or lowercase letter)
- At least one number
- At least one special character (e.g, % # ! @)
- Must be different than the last 12 passwords used.

SAFE automatically locks an account after 5 failed login attempts. For locked SAFE accounts, email RERPInfo@cwdb.ca.gov. The CWDB will provide a temporary password and directions to create a new password.

Navigating the SAFE Interface

Upon navigating to the main SAFE interface, verify that username is displayed in the upper right corner. For issues, email RERPInfo@cwdb.ca.gov and in the Subject line, type: *RERP SGDS Issue.*

Only authorized users within the grantee organization will share access to a designated folder. The folder will be accessed by selecting the *Your Files* tab at the top of the page.

If no recent files have been uploaded, the central display will indicate: *This folder is empty*.

Note: The system will automatically delete uploaded files within 30 days.

Uploading a File

To upload a participant file, select on the *Upload* button to open the web browser's file dialog.

- Select the file(s) to upload and select the *Open* button to initiate the upload and return to the main SAFE interface.
- Once the upload is complete, the selected files will be listed in the central display along

with their last modified dates and sizes.

- The *Uploads* monitor panel in the bottom left corner of the page can be used to track the status of any active uploads and review the details of previous uploads. This panel is collapsed by default, but selecting the button located on the right side of the panel will expand it.
- The expanded panel displays the status of all active and inactive uploads and provides controls to pause, resume, and cancel an upload in progress.
- The *Remove* button can be used to remove a record from the expanded Uploads monitor panel. Doing so does not delete the file from the organization's designated folder. Refer to the *Deleting a File* section for additional instructions.
- Selecting the button located on the upper right of the expanded Uploads monitor will collapse the panel.
- While uploading files, the Uploads monitor displays a blue progress bar across the top of the collapsed or expanded panel and the title (i.e., *Uploads monitor*) changes to reflect the status of the upload.

Deleting a File

To delete a file from the organization's designated folder, select the file(s)to be deleted in the central display area.

1. Select the *Actions* dropdown located directly above the central display area and select the *Delete* option.
2. The *Delete* option will not be available unless a file is selected.

SGDS Technical Assistance

Email RERPinfo@cwdb.ca.gov for participant data collection assistance. Use the subject line, *RERP SGDS Question*.